

Processing a Complying Application Package for a Section 73 Certificate

1. Overview

1.1. At a glance

What This instruction enables the Water Servicing Coordinator (WSC) and Project Officer (PO) to determine if a proposed development is 'low-risk' and process the application as a Complying Section 73 application.

Applications able to be lodged as 'complying' include developments that:

- have already met Sydney Water's servicing requirements
- only need to build minor works (sewer)
- only need to build main to meter property service
- only need building plans approved
- only need to sign an MLiM undertaking
- only need to complete other 'low-risk' requirements.

The main steps for a Complying application are:

- WSC determines the scope of requirements is low risk
- WSC project manages the requirements
- WSC submits complying application
- PO reviews the complying application for compliance to criteria and issues the S73 certificate
- WSC receives the S73 Certificate.

1.2. Scope

Who Applies for the submission by WSC's of Section 73 Certificate development applications where the requirements meet the criteria of 'low risk'. The application is reviewed for compliance and the issue of the Section 73 Certificate by the PO.

Exclusions: Refer to Attachment 1.

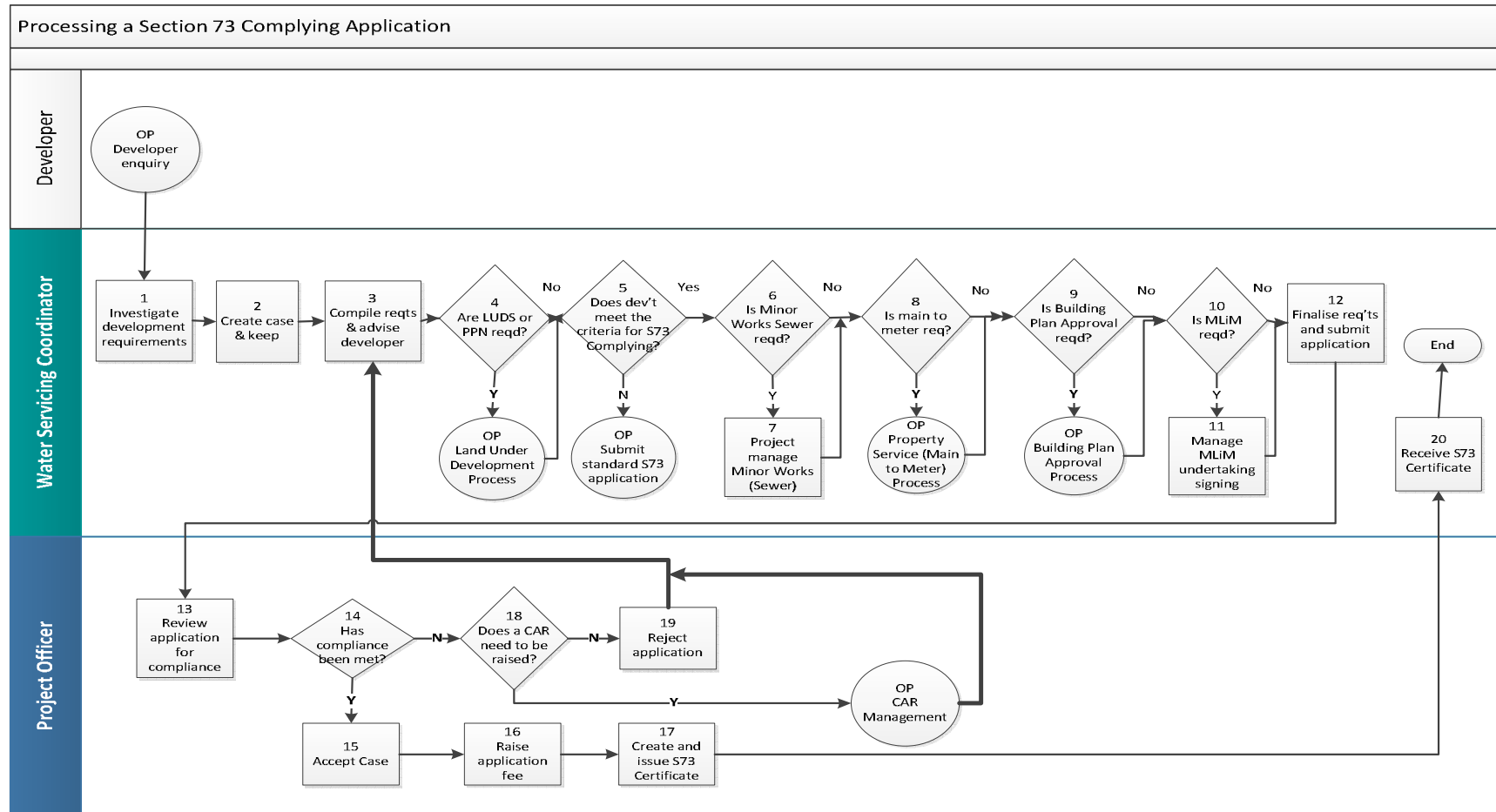
1.3. Objective

Why To reduce the time taken for a developer to receive a Section 73 Certificate for a low risk development application.

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Work Instruction

2. Flowchart



WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

3. Procedure

Step	Instruction
1	WSC - Investigate development requirements You need to investigate what requirements are necessary for the proposed development. 1.1 Review the Development Consent or the Approval Document to make sure it's valid / current. Notes: 1. Developments with a Deferred Commencement Consent, that otherwise fall within the scope of this work instruction must be submitted as a Complying Application. You do not have to wait for confirmation that the Deferred Commencement conditions have been met before submitting the Complying Application package. 2. You may receive an approval document from a Private Certifier or as a State Environmental Planning Policy (Exempt & Complying Development Code) 2008. These can be submitted as a S73 Complying Application. You will need to attach the approval document to the Consent field in the Complying application work item in e-Developer. 1.2 Review the development/subdivision plan(s) to ensure they meet Sydney Water's requirements. To do this, refer to the <i>Section 73 Plan Requirements fact sheet</i> on the Providers page of our website. 1.3 Access Hydra Mapping and Hydra Enquiry from the e-Developer main menu and: • Identify the existing lot/s in the development • view and identify the impacts of the proposed development on the existing property boundaries • View the existing locations for water, wastewater, recycled water and stormwater mains Note: If the development is located in a recycled water area, or meets any of the stormwater requirements listed in the Planning requirements checklist for Section 73 developments it cannot be submitted as a Complying Application. Go to Other Process: Submit standard e-Developer application. • Determine if each lot has no less than a two-metre frontage to a water main. • Determine if each lot must has a connection to a water main and a water service and meter • Determine if each lot has a connection to a wastewater main that is located at least one metre inside the lot's boundaries. Refer to the Connection policies and guidelines, Standards and Codes to determine wastewater and water requirements for each lot that needs to be provided with services prior to the issue of the S73 Certificate (see Section

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Step	Instruction			
	4.3 for other supporting documents). • A field inspection may be required to ascertain site conditions that may affect the proposed development e.g. oversize metering, sewer extension requirements • You may need to get a Sewer Service Diagrams (SSD) for the development and also the surrounding properties of the development. This is to determine if there is an encroaching customer drain. Note: The SSD can be obtained by either Hydra Download in the e-Developer main menu (the SSD is delivered via fax), or buying these products online through Sydney Water Tap in. Go to www.sydneywater.com.au/tapin 1.4 Determine if the development requires MLiM. Do this in two steps: Step 1: Decide if the development is a multi-level development*: • if it isn't, there is no MLiM requirement and this instruction ends here. • if it IS, then, go to step 2. [*For a definition, go to Section 4. Definitions] Step 2: Decide if the 'Development type' and 'Development sub type' (which will be the same as you'll be entering into e-Developer later in step 2.4) is one of the combinations in the table below. Then: • If it isn't one of the combinations, there is no MLiM requirement and this instruction ends here, but • If it IS, then MLiM is required and a 'MLiM undertaking' must be signed by the developer (later in this instruction). <table border="1"><tr><td> Development Type = 'Residential' AND EITHER Development sub type = 'Development' OR 'Other/Multi Unit/ Mixed'* OR 'Strata Subdivision' OR 'Stratum Subdivision' </td></tr><tr><td> Development Type = 'Commercial' AND EITHER Development sub type = 'Serviced Apartments' OR 'Mixed Development Subdivision'* OR 'Commercial Subdivision' </td></tr><tr><td> Development Type = 'Mixed'* AND Development sub type = 'Residential/Commercial' </td></tr></table> * Check if excluded in Attachment 1. 1.5 Go to step 2.	Development Type = 'Residential' AND EITHER Development sub type = 'Development' OR 'Other/Multi Unit/ Mixed'* OR 'Strata Subdivision' OR 'Stratum Subdivision'	Development Type = 'Commercial' AND EITHER Development sub type = 'Serviced Apartments' OR 'Mixed Development Subdivision'* OR 'Commercial Subdivision'	Development Type = 'Mixed'* AND Development sub type = 'Residential/Commercial'
Development Type = 'Residential' AND EITHER Development sub type = 'Development' OR 'Other/Multi Unit/ Mixed'* OR 'Strata Subdivision' OR 'Stratum Subdivision'				
Development Type = 'Commercial' AND EITHER Development sub type = 'Serviced Apartments' OR 'Mixed Development Subdivision'* OR 'Commercial Subdivision'				
Development Type = 'Mixed'* AND Development sub type = 'Residential/Commercial'				

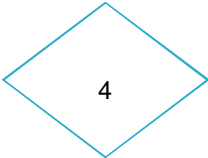
Step	Instruction				
2	WSC - Create case and keep 2.1 In e-Developer create a new case and select the application type 'S73 Complying Application'. 2.2 You can partially complete the S73 Complying Application form. The application will partially auto populate by entering the temporary download number in the 'Hydra Data Auto Population' field. This will auto populate the majority of fields. Note: The temporary download number will expire in 30 days. 2.3 Once you create the case you must update the following fields: • Describe current and proposed development as per the description on the Consent document (do not include additional information in this field) • Attach Development Consent • Attach development plan and/or subdivision plan. 2.4 Determine if there are MLiM requirements and complete the 'Development Type' and 'Development sub-type' fields. (This will help you decide if the development needs the MLiM requirement because, if any of the combinations in the following two tables are selected AND the development is 'multi-level development' then this requirement applies. TIP: You've already started looking at this in step 1.4.) Either: <table border="1"> <tr> <td rowspan="3">For:</td><td>Development Type = 'Residential' AND EITHER Development sub type = 'Development' OR 'Other/Multi Unit/Mixed'*</td></tr> <tr> <td>Development Type = 'Commercial' AND EITHER Development sub type = 'Serviced Apartments', 'Mixed Development Subdivision'* OR 'Commercial Subdivision'</td></tr> <tr> <td>Development Type = 'Mixed'* AND Development sub type = 'Residential/Commercial'</td></tr> </table> * Check if excluded in Attachment 1. You must also complete the fields immediately below any of the selected combinations - the fields will look like this:	For:	Development Type = 'Residential' AND EITHER Development sub type = 'Development' OR 'Other/Multi Unit/Mixed'*	Development Type = 'Commercial' AND EITHER Development sub type = 'Serviced Apartments', 'Mixed Development Subdivision'* OR 'Commercial Subdivision'	Development Type = 'Mixed'* AND Development sub type = 'Residential/Commercial'
For:	Development Type = 'Residential' AND EITHER Development sub type = 'Development' OR 'Other/Multi Unit/Mixed'*				
	Development Type = 'Commercial' AND EITHER Development sub type = 'Serviced Apartments', 'Mixed Development Subdivision'* OR 'Commercial Subdivision'				
	Development Type = 'Mixed'* AND Development sub type = 'Residential/Commercial'				

Step	Instruction																
	<table border="1"> <tr> <td>Strata/Stratum Subdivision</td> <td>☒ Yes ☐ No</td> </tr> <tr> <td>Development contains multi-level building</td> <td>☒ Yes ☐ No</td> </tr> <tr> <td>Number of multi-level buildings</td> <td> </td> </tr> <tr> <td>No. of levels in tallest building</td> <td> </td> </tr> </table> and you follow these instructions: - If your development is NOT being Strata or Stratum subdivided, click the 'No' radio button for 'Strata/Stratum Subdivision'. Then, click 'Yes' or 'No' to answer 'Development contains multi-level building': - If you clicked 'No', MLiM does NOT apply. Go to step 2.5. - If you clicked 'Yes', you must complete the next two fields 'Number of multi-level buildings' and 'No. of levels in tallest building'. MLiM applies. Go to step 2.5. - If it IS being Strata or Stratum subdivided, click the 'Yes' radio button for 'Strata/Stratum Subdivision'. Then, click 'Yes' or 'No' to answer 'Development contains multi-level building': - If you clicked 'No', MLiM does NOT apply. Go to step 2.5. - If you clicked 'Yes', you must complete the next two fields 'Number of multi-level buildings' and 'No. of levels in tallest building'. MLiM applies. Go to step 2.5. Or: <table border="1"> <tr> <td>For:</td> <td>Development Type = 'Residential' development AND EITHER Development sub type = 'Strata Subdivision' OR 'Stratum Subdivision'</td> </tr> </table> You must also complete the fields immediately below any of the selected combinations - the fields will look like this: <table border="1"> <tr> <td>Development contains multi-level building</td> <td>☒ Yes ☐ No</td> </tr> <tr> <td>Number of multi-level buildings</td> <td> </td> </tr> <tr> <td>No. of levels in tallest building</td> <td> </td> </tr> </table> and you follow these instructions: - Click 'Yes' or 'No' to answer 'Development contains multi-level building'. - If you clicked 'No', MLiM does NOT apply. Go to step 2.5. - If you clicked 'Yes', you must complete the next two fields 'Number of multi-level buildings' and 'No. of levels in tallest building'. MLiM applies.	Strata/Stratum Subdivision	☒ Yes ☐ No	Development contains multi-level building	☒ Yes ☐ No	Number of multi-level buildings		No. of levels in tallest building		For:	Development Type = 'Residential' development AND EITHER Development sub type = 'Strata Subdivision' OR 'Stratum Subdivision'	Development contains multi-level building	☒ Yes ☐ No	Number of multi-level buildings		No. of levels in tallest building	
Strata/Stratum Subdivision	☒ Yes ☐ No																
Development contains multi-level building	☒ Yes ☐ No																
Number of multi-level buildings																	
No. of levels in tallest building																	
For:	Development Type = 'Residential' development AND EITHER Development sub type = 'Strata Subdivision' OR 'Stratum Subdivision'																
Development contains multi-level building	☒ Yes ☐ No																
Number of multi-level buildings																	
No. of levels in tallest building																	

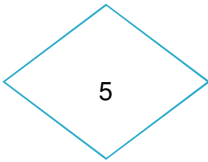
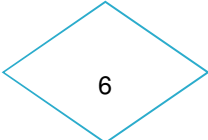
WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

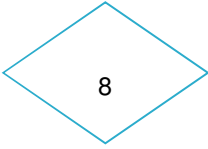
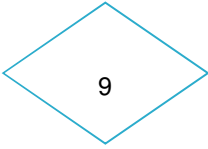
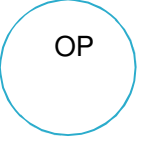
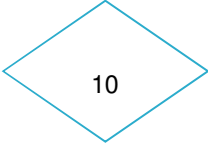
Step	Instruction
	Go to step 2.6. 2.5 Determine if the application is a dual occupancy, then do the following: • If yes, go to step 2.6 • If no, go to step 2.8 2.6 If the dual occupancy includes subdivision, enter the following: Development Type = 'Residential' AND EITHER Development sub type = • Torrens Subdivision Or • Strata Subdivision 2.7 If the dual occupancy does not include subdivision, enter the following: Development Type = 'Res Dual Occupancy' AND EITHER Development sub type = Select one of the following: • Unsubdivided • Future Strata Subdivision • Future Torrens Subdivision. 2.8 Click keep to save the Application Entry form. You can return to it at any time. Note 1: You must complete all fields in the Application Entry work-item before releasing it to Sydney Water. Note 2: Once you have created the application it is visible to Sydney Water via the e-Developer Case Enquiry function. 2.9 Go to Step 3.
3	WSC - Compile requirements and advise developer 3.1 Advise the developer of the low risk requirements that apply to the development. These may be one or more of the following: • Land Under Developer (LUD) process

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Step	Instruction
	• Building Over or Adjacent Assets (BOA/BAA) • Property Service (Main to Meter) installation • Minor Works (Sewer) construction • MLiM (Developer to sign the MLiM Undertaking) IMPORTANT - You must: 1. In your requirements letter, use the same words shown in Attachment 3 and 2. Complete, then attach, the MLiM Undertaking (found under 'Complying applications') to that requirements letter (NOTE: Type the details in 'Lower case'.) • Other low risk requirements (e.g. metering, encroaching customer drain, large water connection approval etc.) See attachment 1 for more details. • No requirements 3.2 Issue the <i>Section 73 Additional Advice sheet</i> to the developer. This details other Sydney Water applications, approvals etc. that may be required after the issue of the Section 73 Certificate. Note: Trade Waste Advice - If the development is 'Commercial' or 'Industrial', download the <i>Advice Letter Requirements for Business Customers for Commercial and Industrial Property Developments</i> and issue it to the Developer. 3.3 Do the following: • If there are no requirements go to step 12. • For all other requirements, go to step 4. Note: You can use the <i>e-Developer Application Entry work item</i> for Complying Applications as a checklist to identify the information that Sydney Water requires prior to issue of the Section 73 Certificate.
	WSC - Are LUDS or PPN required? 4.1 Determine if the creation of new lots (subdivision) is required. Do the following: • If yes, go to step 4.2 • If no, go to step 5. 4.2 Review the LUD Column of the <i>LUD, PPN and Main to Meter Development Types Checklist</i> to determine if LUD & PPN is required. The form is located at: sydneywater.com.au/plumbing-building-developing/developing/wsc-documents/ 4.3 Go to: Other Process - Land Under Development Work Instruction.
	Other Process: Land Under Development (LUD) process The Land Under Development process enables the early allocation of Sydney Water property numbers for proposed lots in a subdivision and the update of the proposed subdivision layer in Hydra. Once this has been completed applications in Sydney Water Tap in™ can be processed for building related activities.

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Step	Instruction
	- Follow the <i>Land Under Development – Water Servicing Coordinator Work Instruction</i>. - Go to step 5.
	WSC - Does the development requirements meet the criteria for a Complying Application? 5.1 Determine if the requirements are within scope of this procedure and that the proposed development does not fall into the exclusions listed in Attachment 1. 5.2 Do one of the following: - If none of the exclusions in Attachment 1 apply, go to step 6. - If exclusions do apply, it cannot be submitted as a Complying Application. Go to: Other Process - Submit standard e-Developer application.
	Other Process: Submit standard e-Developer application Submit a standard e-Developer application. You will receive a Notice of Requirement Letter for the proposed development issued from Sydney Water.
	WSC - Is Minor Works (sewer) a requirement? Confirm that the requirements meet the criteria for Minor Works (sewer). This is located on the Minor Works (sewer) Conditions of Approval template. Note: If entry onto third party property is required AND you need Sydney Water's involvement in negotiating entry, then the application cannot be submitted as a Complying S73 application. Refer to the <i>Entry onto Third Party Property guidelines</i> for more details. 6.1 If the requirements meet the criteria for minor works (sewer), go to step 7. 6.2 If the requirements do not meet the criteria for minor works (sewer), do one of the following: - If there are no sewer requirements, go to step 7. - If asset creation (Major Works) is required, go to: Other Process: Submit standard e-Developer application.
	WSC - Manage Minor Works (sewer) Follow the instructions in Attachment 2: WSC - Minor Works Process for Complying Applications to manage and certify these works.

Step	Instruction
	WSC - Is Main to Meter required? 8.1 Review the Main to Meter Column of the <i>LUD, PPN and Main to Meter Development Types Checklist</i> to determine if a main to meter is required. The form is located at: sydneywater.com.au/plumbing-building-developing/developing/wsc-documents/ 8.2 If a main to meter (property) service is required, go to Other Process: Property service (Main to Meter) installations work instruction. 8.3 If a main to meter (property) service is not required, go to step 9.
	Other Process: Property service (main to meter) installations Each property needs a frontage to a water main and an independent main to meter (property) service. Follow the <i>Property Service (Main to Meter) Installations – Water Servicing Coordinator Work Instruction</i> to manage and certify these works. Note: If you cannot meet the standard meter location and connection requirements you must contact the Urban Growth Property Team before you proceed with the works. For more information <i>refer to the Water Meter Installation Guide</i> on our website.
	WSC - Is Building Plan Approval required? 9.1 If yes, go to Other Process: Building Plan Approval 9.2 If no, go to step 10.
	Building Plan Approval process Follow the Building plan approvals procedure on our website. Then go to step 10.
	WSC – Does MLiM apply to the development? In step 1.4 and 2.4, you will have already decided if MLiM applies to the development. 10.1 If Yes, go to step 11. 10.2 If No, go to step 12.

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Step	Instruction								
11	WSC – Manage signing of MLiM undertaking 11.1 Get the developer to sign the MLiM undertaking sent with the requirements. 11.2 Once signed, make a copy of the signed undertaking for attachment to the application in step 12.3. Keep the original with your office application records. 11.3 Go to step 12. ***Help with MLiM enquiries (technical or MLiM exemption)*** If you need help with the MLiM requirement, contact Sydney Water, MLiM Operations on email MLiMinternal@sydneywater.com.au (preferred) or phone the MLiM Operations Manager (Anthony McMillan) on 8849 6385 and quote the e-Developer case number. Please make the initial enquiry on behalf of the developer. If necessary, they can discuss the requirement with the developer. If the developer is enquiring about an exemption from the requirement, they may need to provide justification in writing. MLiM Operations will record what has happened and, if needed, will email you with the details and quote the case number. Retain the email with your office records for the case. If the result is that the MLiM requirement is withdrawn and/ or that the undertaking will NOT be signed, you must attach a copy of the email in place of the undertaking when you submit the application.								
12	WSC - Finalise requirements and submit compliant S73 application All requirements have been met and you are ready to submit the S73 Complying Application. Do the following: 12.1 Review the <i>e-Developer Application Checklist</i> to ensure that you have all of the necessary documentation required for the submission of the complying application. You need to work through the check list as you complete the Complying Application form in e-Developer. 12.2 You will have created the <i>S73 Complying Application</i> entry form in e-Developer already. 12.3 If an MLiM requirement applies to the application – see sections 1.4 and 2.4 - attach a scanned copy of the signed MLiM Undertaking to the 'Attach signed MLiM Undertaking' field in the 'Proposed development' section. <table border="1"> <tr> <td>Development contains multi-level building</td><td>☒ Yes ☐ No</td></tr> <tr> <td>Number of multi-level buildings</td><td> </td></tr> <tr> <td>No. of levels in tallest building</td><td> </td></tr> <tr> <td>Attach signed MLiM Undertaking</td><td> select </td></tr> </table>	Development contains multi-level building	☒ Yes ☐ No	Number of multi-level buildings		No. of levels in tallest building		Attach signed MLiM Undertaking	select 
Development contains multi-level building	☒ Yes ☐ No								
Number of multi-level buildings									
No. of levels in tallest building									
Attach signed MLiM Undertaking	select 								

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

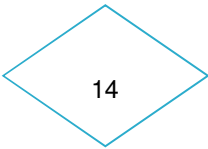
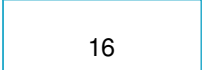
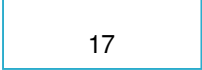
Step	Instruction
	12.4 Complete the Determine Complying Requirements section by following steps 12.5 to 12.15. 12.5. In the Is Main to Meter Required? section, do one of the following: • If no, click the no radio button. Go to step 12.7 • If yes, click the yes radio button. Go to step 12.6 12.6 Scan, zip and attach the Main to Meter PCP and the LUD Version 3 form to the <i>Attach Main to Meter Package</i> field. Note: If there was a LUD requirement but no Main to Meter requirement, then you must attach the LUD Version 2 form to the <i>Attach Consent Document</i> section. 12.7 In the Is Building Plan Approval Required? section, do one of the following: • If no, click the no radio button. Go to step 12.9 • If yes, click the yes radio button. Go to step 12.8 12.8 Scan, zip and attach the Blue form to the <i>Attach BPA Requirement Blue Form</i> field. 12.9 In the Is Minor Works Required? section, do one of the following: • If no, click the no radio button. Go to step 12.11 • If yes, click the yes radio button. Go to step 12.10 12.10 Complete the following sections: • Project Completion Package Note: Complete the Minor Works PCP Checklist. Zip and attach it with the Connection Report. • Financial Details • Installed Assets • If Permission to Enter was required you must submit your permission to enter form and supporting documents. Attach this with the Restoration Clearance Letter in the Restoration Clearance Letter field. Notes: 1. Work-As-Constructed plans need to be named according to our conventions - case number and service suffix, e.g. CASE123456WW-1.1. If you fail to do so the application will not be accepted and a Corrective Action Request (CAR) will be raised. 2. It is extremely important that the Minor works information is accurate. If any of the above fields are not correct the application will be rejected and a Corrective Action Request (CAR) will be raised. This will delay the process and will impact the developer's timeframes. 12.11 If there were other low risk requirements (eg metering, rectification of encroaching customer drain), then you must attach all relevant documents to the Attach Consent Document section in e-Developer. If services are being provided under other current e-Developer cases you must advise us. Use the <i>Additional Application Information</i> template and quote case number(s) and dates of when PCP's were submitted or Section 73 Certificates issued.

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

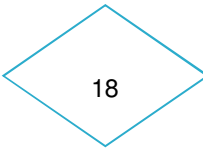
Step	Instruction
	12.12 Review the application entry form for accuracy and completeness. 12.13 Complete the e-Developer Application Checklist then zip and attach with the Consent Document. 12.14 Release the S73 Complying Application work item. <i>A Windows Internet Explorer message will appear with the following message:</i> 'I have checked and confirmed that the information submitted in the complying application is correct and is reflected in the source documents that I have submitted'. 12.15 Do one of the following: • If all the information is correct, click OK. The application will release. Go to step 13. • If the information is not correct, click Cancel. The application will be kept. Repeat step 12.
13	PO – Review application for compliance Identify requirements are within the scope of this instruction and that the proposed development does not fall into the exclusions listed in Attachment 1. 13.1 From the Define Team Leader Queue at <i>Assign Case</i> review the supporting documents. 13.2 The low risk requirements are: • Building Over or Adjacent (BOA/BAA) to Sydney Water Assets requirements – If this was a requirement the blue form will be attached. • Main to Meter/Land Under Development (LUD) requirements – If this was a requirement the Main to Meter PCP and/or the LUD form will be attached. Note 1 - If there was a LUD requirement but no Main to Meter requirement, the WSC will have attached the LUD Version 2 form to the <i>Consent Document</i> section Note 2 - If there was a LUD requirement and a Main to Meter requirement, the WSC will have attached the LUD Version 3 form to <i>Consent Document</i> section. • MLiM requirement – If this was a requirement, a copy of the signed MLiM undertaking will be attached to the 'MLiM Undertaking Signed' field in the 'Documents' tab in 'Case Enquiry'. (TIP: The MLiM requirement applies if: 1. the development is 'multi-level' and 2. the 'Development type' and 'Development sub-type is one of the following combinations:

Step	Instruction
	Development Type = 'Residential' AND EITHER Development sub type = 'Development' OR 'Other/Multi Unit/ Mixed' OR 'Strata or Stratum Subdivision' Development Type = 'Commercial' AND EITHER Development sub type = 'Serviced Apartments' OR 'Mixed Development Subdivision' OR 'Commercial Subdivision' NOTE - These cannot be submitted as a S73 Complying application: Development Type = 'Residential' AND Development sub type = 'Stratum subdivision' Development Type = 'Mixed' AND Development sub type = 'Residential/Commercial' See steps 1.4 and 2.4 above for more detail.) *Note: If the requirement to sign an undertaking was waived in step 11 above, a copy of the Sydney Water MLiM Operations email detailing this will be attached instead of the undertaking. HELP? If you need to talk to MLiM Operations, see that email for contact details or email MLiMinternal@sydneywater.com.au or phone the MLiM Operations Manager (Anthony McMillan) on 8849 6385 and quote the e-Developer case number. • Other Low Risk Requirements – this includes any requirements specified in the LUD, PPN and Main to Meter Development Types Checklist and/or Attachment 1. If there were other low risk requirements the additional documents will have been attached to the Consent Document field. • Minor Works – If Minor Works was a requirement do the following: ○ Review the <i>Project Completion Package</i> section Note: The WSC will have completed the Minor Works PCP Checklist and attached it together with the Connection Report. Review the Minor Works PCP checklist for completeness and accuracy and to confirm that the Work-As-Constructed plan meets Sydney Water's requirements. ○ Review the <i>Financial Details</i> section ○ Review the <i>Installed Assets</i> section Note 1: Work-As-Constructed plans need to be named according to our conventions - case number and service suffix, e.g CASE123456WW-1.1. If the WSC fails to do so you must not accept the application and a CAR will be raised against the WSC. Note 2: <u>It is extremely important</u> that the Minor works information is accurate. If any of the above fields are not correct, you must reject the application at this step (Assign Case) and a Corrective Action Request (CAR) is to be raised against the WSC.

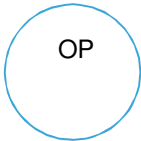
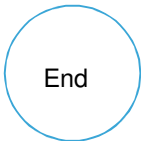
WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Step	Instruction
	Note 3: The WSC uses checklists to help determine if it is compliant. These checklists are available for you to use also, they are: • LUD, PPN and Main to Meter Development Types Checklist • Planning requirements checklist for Section 73 developments • Minor Works PCP checklist • Section 73 Plan Requirements fact sheet. 13.3 Once you accept the case it cannot at any other step be rejected or sent back to the WSC. Go to step 14.
	PO - Has compliance been met? 14.1 If yes, go to step 15. 14.2 If no, go to step 18.
	PO - Accept Case 15.1 In the 'Can the application be accepted?' section, click Yes. 15.2 Click 'Release'. The following actions automatically occur: • If Main to Meter was a requirement, the Main to Meter PCP will go to both the ADI and CSD Locked & Tagged teams • If Minor Works was a requirement the Minor Works PCP will go both the ADI and Plans Management teams • If Minor Works was a requirement the financial data will be capitalised into FMIS 15.3 Go to step 16.
	PO - Raise application fee 16.1 The '<i>Raise application fee</i>' work item is in your queue. Note: The case is now assigned to you for all other steps of the workflow. 16.2 Release this notifier. The WSC will be invoiced the S73 application fee. 16.3 Update the e-Developer timesheet for the case. 16.4 Go to step 17.
	PO - Create and issue S73 Certificate 17.1 The '<i>Create Section 73 Certificate</i>' work item is in your queue. 17.2 Check there are no outstanding CARs. 17.3 From your work queue in e-Developer click on the <i>Create the S73 Certificate</i> work item. 17.4 Enter your name and a PO for the second signature, to do this select a PO within your specialised team "Please specify approving officer 2". 17.5 Keep the work item. You need to return to it later.

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Step	Instruction
	17.6 Open the <i>Create the S73 Certificate</i> work item and then open and complete the Section 73 Certificate template. 17.7 Save and print. 17.8 Get signatures and scan the completed Section 73 Certificate. 17.9 Attach the word version of the Section 73 Certificate and click Keep. 17.10 Open the <i>Create the S73 Certificate</i> work item and click on the 'pdf' icon. 17.11 Review the completed Section 73 Certificate template for accuracy. Do one of the following" • If unsatisfactory, go to back to step 17.6 • If satisfactory, tick the 'pdf' box in the <i>Create the S73 Certificate</i> work item. Release the work item. (If MLiM was a requirement ie 'Development contains multi-level building' is 'Yes' in step 2, an automatic email is sent to MLiM Operations.) 17.12 Open the Case Enquiry Documents tab for the case. Update the Section 73 Certificate word version with the scanned & signed certificate. 17.13 Send the original signed Certificate in the mail to the WSC. 17.14 Update the e-Developer timesheet for the case. 17.15 Go to step 18.
	PO - Does a CAR need to be raised? 18.1 If the corrections are of a minor nature go to step 16. 18.2 The application does not fall into the Low Risk categories and needs an NOR, the application cannot be accepted. Complete steps 16.1 to 16.5 18.3 Raise a CAR. Go to Other Process: CAR Management. <i>The WSC will need to do the corrections, address the CAR and resubmit the Complying S73 Application.</i> 18.4 Update the e-Developer timesheet for the case. 18.5 Update the e-Developer diary for the case.
	PO - Reject application 19.1 If the corrections are of a minor nature. In the 'Can the Application be Accepted?' section, click No. <i>A mandatory text box appears.</i> 19.2 Describe to the WSC what you need to be resubmitted 19.3 Click 'Release'. The Work item will go back to the WSC. The process will restart from step 12 after the WSC has resubmitted what was required. 19.4 Update the e-Developer timesheet for the case. 19.5 Update the e-Developer diary for the case. 19.6 Do one of the following: • If the application has been resubmitted with the required changes, go to Step 12. • If the application cannot be submitted as a Complying Application, go to: End of process. A standard e-Developer application needs to be submitted.

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Step	Instruction
	PO - Car Management Process Follow the e-Developer User guides to raise and issue a CAR. When the CAR process has been completed the WSC will re-submit the Complying S73 application at step 12.
	WSC - Receives S73 Certificate 20.1 The WSC receives the S73 Certificate in the e-Developer inbox and the original hard copy in the mail. 20.2 Issue the original S73 Certificate to the Developer.
	END OF PROCESS

4. Definitions

Term	Definition
BAA	Building Adjacent to Assets. Formerly known as BOS (Building Over Sewer).
BOA	Building Over Assets. Formerly known as BAS (Building Adjacent to Assets).
Building Plan Approval (BPA)	Application for approval of building/development plans to check if the proposed construction affects Sydney Water's pipes, structures or assets.
Complying Application	An application for the issue of a S73 Certificate submitted by the WSC after they have project managed the minor (low risk) requirements for a development.
Developer	A person who either: • has been given an approval under Part 6, Division 9 of the Sydney Water Act 1994 and is seeking a Section 73 Compliance Certificate, or • is seeking approval to adjust, deviate or extend an existing Sydney Water asset on whose behalf the WSC has made an e-Developer Application.
e-Developer	An internet deployed software application that manages and distributes work items to all users according to pre-defined rules.
Large Water	A connection greater than DN20
Land Under Development (LUD)	An existing property that is in the process of subdivision and creating new lots.
Main to Meter	A water property service that connects a dwelling to Sydney Water's water main.
Minor Works (sewer)	Sewer works of a less complex nature which may be constructed under an agreement for the Construction of Minor Works (sewer).
Multi-level development (or building)	Development with more than a ground floor that is not a house, townhouse or terrace. (Note: Ground floor is counted as a floor (or 'level').)
Multi-level individual metering (MLiM)	A requirement that certain types of multi-level development need to either set their plumbing up for, or install, individual metering of each strata or stratum lot.
Notice of Requirements (NOR)	A formal notice issued to the developer by Sydney Water under Section 74 of the Sydney Water Act 1994, in response to an application for a Section 73 Certificate. Also known as Notice Letter.
Pre-Allocated Plan Number (PPN)	A letter issued by the Land and Property Information (LPI) division of the Department of Lands advising proposed Deposited Plan / Strata Plan Numbers prior to the registration of new lots.
Project Completion Package	Certification and supporting documentation advising Sydney Water that all servicing requirements for the proposed development has been met.
Project Officer (PO)	Officer of Business Customer Delivery area within Sydney Water who manages the Section 73 Complying developer process.
Section 73 Certificate (S73)	A Subdivider/Developer Compliance Certificate issued under Division 9 Section 73 of the Sydney Water Act, 1994.

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Term	Definition
Trade Waste	Any liquid and any substance contained in it, which may be produced at the premises from an industrial or commercial activity. Trade Waste does not include 'domestic' wastewater from premises connected to a Sydney Water sewer.
Water Servicing Coordinator (WSC)	The Listed Provider who manages the application, design and construction of any water, wastewater or stormwater works for asset creation and asset protection.
Work-As-Constructed (WAC)	Also known as Work as Executed (WAE), are all drawings defining the physical characteristics of the works constructed.

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

5. Context

5.1. Accountabilities

Position	Responsibilities
WSC	Application of the work instruction
Project Officer, Business Customer Delivery	Application of the work instruction
Manager Business Customer Delivery, Business Customer Services	Authorisation of the work instruction document
Manager Assurance, Urban Growth	Maintenance of the work instruction document

5.2. Training and Competencies

Name/Business	Level of training
Business Customer Services	Face to face; Team brief update.
WSC	Email PowerPoint presentation.

5.3. References

Document type	Title
Legislation	Sydney Water Act 1994 Sydney Water Corporation Operating Licence 2005-2010 Sydney Water Customer Contract WH&S Act 2011 & Regulation 2011 NSW Protection of the Environment Operations Act 1997, and the Environmental Planning and Assessment Act 1979
Policies	• Connections to Sewerage System Policy • Entry onto Third Party Property Policy • Entry onto Third Party Property Guidelines • Property Development Connection Applications Guidelines • Property Development Connection Requirements Policy • Property Development Connection Requirements (Wastewater) Guidelines • Property Development Connection Requirements (Water) Guidelines • Servicing Dual Occupancy and Other Two Dwelling Developments Guidelines • Water Meter Policy • Water Meter Installation Guidelines
Procedures	• Entry onto Third Party Property Procedure - PO • Land Under Development – Water Servicing Coordinator Work Instruction • Building plan approval procedure

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Document type	Title
Forms and checklists	- e-Developer Application Checklist - LUD, PPN and Main to Meter Development Types Checklist - Planning requirements checklist for Section 73 developments - Minor Works PCP Checklist - Minor Works – Work As Constructed report
Other documents	Multi-level individual metering installation guide

5.4. Attachments

Attachment	Title
1	Exclusions for Complying Applications
2	WSC - Minor Works Process for Complying Applications
3	Multi-level individual metering (MLiM) - Requirements letter wording

5.5. Change history

Version	Key changes
1	New document
2	Revision incorporating changes to the Land Under Development process. Re-formatted to comply with PAMS requirements.
3 - 6	Multiple minor changes
7	Added details for new 'Multi-level individual metering' process; added Step 2 back in (removed wrongly v6); deleted references to 'Large water connection applications' references steps 3.2 and 12.11 (following SW email dated 12/11/13).
8	Modified stormwater exclusion text throughout (criteria now included in the <i>Planning Requirements Checklist for Section 73 Developments</i> document) Removed reference to WICA Removed Stratum developments from exclusions Removed Mixed developments from exclusions Updated <i>MLiM Metering Guide</i> version and date to version 6 dated 1 July 2015
9 & 10	Clarification of exclusions for State/Federal Government approvals Changes for SWConnect Addition of Minor Works PCP Checklist requirements.
11	Update for Sydney Water Tap in™ replacing Quick Check only

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

6. Document control

Title:	Processing a Complying Application package – Work instruction	
Current review date: 02/11/2015	Review Period: 3 years Risk Rank = Med	Registered file: N/A
BMIS file name:	ACDP0334	
Prepared by:	Bruce Hansard, S/DSO Assurance, Urban Growth	
Document owner:	Duncan Laurie, Manager Business Customer Delivery, Business Customer Services	
Approved by:	Tim Golland Manager Assurance, Urban Growth	Signature Digitally signed in BMIS

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Attachment 1: Exclusions for Complying Applications

The following table outlines the exclusions for Complying Applications. Some exclusions can be lodged as a Complying Application if the developer meets the Other Low Risk requirements shown in the table.

If you have enquiries about whether a development can be lodged as a Complying Application, or need approval to lodge a Complying Application, email a Senior DSO in the Property Development team.

You must ensure all requirements have been satisfied and all relevant documents are attached in e-Developer before submitting your Complying Application to Sydney Water.

Exclusions	Other Low Risk requirements
Existing Property Connections to Wet Vent Lines	 Cannot be submitted as a Complying Application
Easements over Sydney Water assets	
All developments in Recycled Water areas	
Asset Creation	
Any storm water requirements (see <i>Planning requirements checklist for Section 73 developments</i> for details)	
Adjustments/Deviations	
Road Closures	
Minor Extensions	
Feasibilities	
Community Title	
Homestead subdivisions	
Vacuum sewer areas	
Staged Developments (including residue lots)	
Developments in potentially unstable or landslip areas	

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Approvals issued by State or Federal Government Agencies (excluding Land & Environment Court)	Approvals by State or Federal Government agencies such as Department of Finance, Department of Housing etc CANNOT be submitted as a Complying Application. Consents issued by the Land and Environment Court should be processed as a Complying Application so long as they meet the other 'low risk' requirements.
Easements over Private Service Lines	Any current or proposed private service line that is not covered by a 'Right of Carriageway and Easement for Services' CANNOT be submitted as a Complying Application. If a 'Right of Carriageway and Easement for Services' needs to be created to serve the development, you can submit as a Complying Application if you attach the draft Section 88B Instrument.
Disuse of sewer	You may email Sydney Water to enquire if the sewer can be disused. If Sydney Water approves the disuse, and the sewer is removed from the ground you may lodge as a Complying Application. You must complete the works under the Minor Works process, and attach evidence of the approval and the completed Minor Works WAC plan before submitting the Complying Application.
Encroaching customer drain	You may submit as a Complying Application if the encroaching customer drain is rectified (and you have a Certificate of Compliance signed by a licensed Drainer that the work has been completed, and a drainage diagram showing the change).
Entry onto third party property	If Sydney Water needs to become involved in negotiating entry onto third party property, you cannot submit the application as a Complying Application. If you do not need Sydney Water to become involved, then you may submit as a Complying application.
Rural areas	If the 'Planning requirements checklist for Section 73 developments' shows that the rural development does not need to be referred to Sydney Water's Planning Department, then you may submit the development as a Complying Application. Other rural developments/subdivisions may still be submitted as a Complying Application if agreed to first by Sydney Water. Email a Senior PO in the Property Development team to find out.
Pressure sewer areas	You may only submit as a Complying Application if the development is Commercial or Industrial, and each lot in the development already has a sewer lateral and boundary kit.

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Planning Requirements	If the development needs to be referred to Sydney Water's Planning Department, you cannot submit as a Complying Application. Find out by looking at the 'Planning requirements checklist for Section 73 developments'. Note: Rural developments that need to be referred to our Planning Department may still be submitted as a Complying Application if agreed to first by Sydney Water. Email a Senior PO in the Property Development team to find out.
Mine subsidence areas	Junctions can be inserted in mine subsidence areas as described in the Technical Requirements and Work Instructions for Minor Works (sewer). Any development that requires a sideline CANNOT be submitted as a Complying S73 Application.
Stratum Developments	You may submit as a Complying Application if you have evidence that each serviced lot in the stratum development has been separately metered, and also complies with the Multi-Level Individual Metering (MLiM) guidelines. The evidence you will need to provide is the detail of the meter size and meter number physically installed on each serviced lot in the stratum subdivision eg for a 3 lot stratum subdivision • Lot 1 – 50mm meter, meter number ABC321653 • Lot 2 – 32mm meter, meter number CGF97632C • Lot 3 – 80mm meter, meter number CDA55432A

Attachment 2: Minor works process for complying applications

You have determined that minor works is a requirement. Where possible avoid the creation of duplicate mains.

Note:

If entry onto third party property is required AND you need Sydney Water's involvement in negotiating entry, then the application cannot be submitted as a Section 73 Complying application. Refer to the *Entry onto Third Party Property guidelines* for more details.

Then, use the e-Developer S73 Complying Application work item to do the following:

Conditions of Minor Works

- You must provide the conditions of approval to the developer/applicant
- Once the developer/applicant agrees to the conditions tick yes to the question 'Does the applicant agree to the requirements detailed in the conditions?'
- As the project manager you must ensure the Minor Works constructor that is chosen to carry out the work is in accordance with the criteria listed on the [Conditions of Approval](#).

Submit commencement request

The Water Servicing Coordinator shall complete the CCN, and forward it via e-mail to the Asset Inspection Services Team a minimum of two (2) full working days prior to the proposed commencement date.

- The CCN Notice must be submitted advising Asset Inspection Services (AIS) of the proposed construction commencement date
- You must complete the CCN document and then save and close it.

Note:

You MUST use the correct template.

- Click on the page icon in the 'Submit Construction Commencement Notice' to retrieve the CCN template.
- When you are ready to submit the CCN, attach the completed CCN in the 'Attach Construction Commencement Notice' field then click the keep button. By clicking the keep button the CCN will be sent via an email to the AIS team.
- You must also attach the Servicing Solution Plan
- If you need to submit a deferred CCN start date, complete and reattach a new CCN template.

Project Manage all requirements.

Note: A Corrective Action Request (CAR) will be raised for Non-Conformance on Minor Works by the Asset Inspection Services (AIS) team. An email notification will be sent advising you of the CAR. You have 7 days to provide a resolution; once you have completed the CAR you must change the Status to Fixed. This will then send an email notification to AIS so the CAR can be closed or Rescinded.

Compile the PCP package ready for submission in e-Developer.

WARNING - Document current at time of printing or downloading. Controlled Version is in BMIS.

Attachment 3: Multi-level individual metering (MLiM) - Requirements letter wording

You must use these words in your *Section 73 Complying application requirements letter* (and attach the *MLiM Undertaking*):

Multi-level individual metering

Your development must either allow for or provide individual metering. This means that you must:

1. comply at all times and in all respects with the requirements of Sydney Water's "*Multi-level Individual Metering Guide*" (version 6 dated 1 July 2015);
2. provide and install plumbing and space for individual metering in accordance with Sydney Water's "*Multi-level Individual Metering Guide*";
3. if and when you implement a strata/ stratum plan (or strata/ stratum subdivide) you must:
 - a. engage an Accredited Metering Supplier ("**AMS**") to provide individual metering in accordance with the "*Multi-level Individual Metering Guide*" and meet the cost of the meters and metering system;
 - b. transfer the meters and metering system to Sydney Water once the Testing Certificate has been issued by Sydney Water to the AMS and the AMS has confirmed that payment for the meters and metering system has been paid in full.

Before the Section 73 Certificate can be issued, you must sign the attached Undertaking to show that you understand and accept these metering requirements and associated costs.

All the details about this requirement are available on Sydney Water's website at sydneywater.com.au.