

Project Controls

Master Specification

PC-PL1 Framework for Planning Studies

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1	Initial Issue (formerly P10)	27/06/19
2	Formatting and cross-referencing updates	15/08/19
3	Refining deliverables and tasks throughout	August 2020
4	Minor edits and development of preliminary Business Requirements to have regard to the Department Sustainability Manual	August 2021

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PC-PL1 Framework for Planning Studies

1 General

Scope

- 1.1 This Part defines the framework for delivery of Planning Studies.
- 1.2 A Planning Study will be undertaken across the Proving and Pre-delivery phases of a project which are preceded by the Initiation phase.

Definitions

- 1.3 The following definitions apply to terms used in this Part:

Table PC-PL1 1-1 Definitions

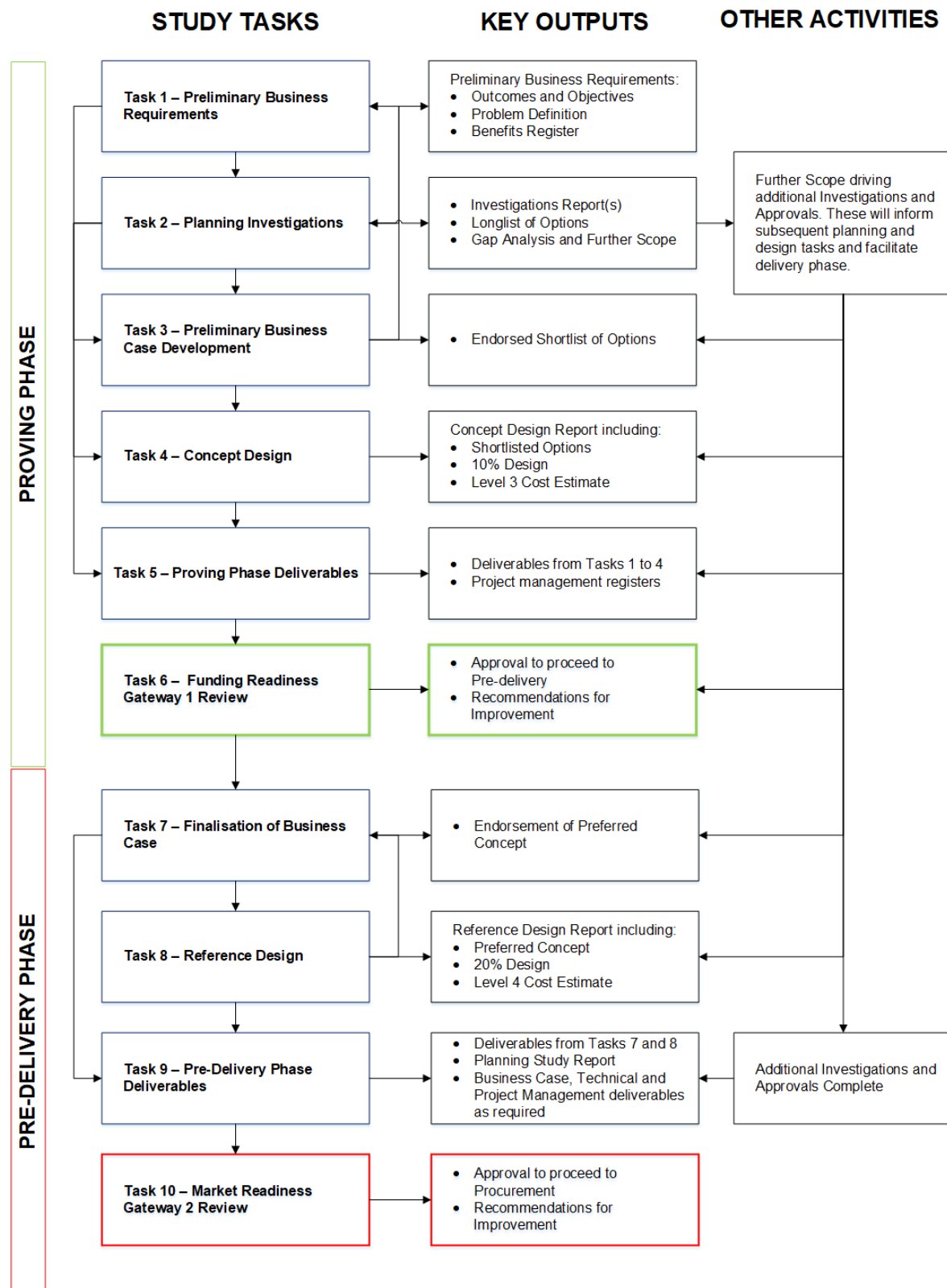
Term	Definition
Business Requirements	Documents the agreed outcomes and objectives for the project.
Planning Investigations (Investigations)	Investigations undertaken by the Principal and / or Contractor to ensure the Planning Study task objectives are met.
Business Case Development	Processes and assessment undertaken by the Principal and / or Contractor to inform a Business Case.

References

- 1.4 In addition to the requirements of this Part, and where required by the Contract, the Planning Study will be in accordance with the following:
- Master Specification Part PC-PL2 “Planning Investigations”.
 - Master Specification Part PC-PL3 “Concept Design Development”.
 - Master Specification Part PC-PL4 “Constructability”.
 - Master Specification Part PC-PL5 “Cost Estimation”.
 - The Department Sustainability Manual.
 - Department of Infrastructure, Transport, Cities and Regional Development Notes on Administration for Land Transport Infrastructure Projects, 2019 – 2024.
 - Infrastructure Australia’s Assessment Framework for Initiatives and Projects to be included in the Infrastructure Priority List, March 2018 (the IA Assessment Framework).
 - SA Department of Treasury and Finance Treasurer’s Instruction 17 on Evaluation of and Approvals to Proceed with Public Sector Initiatives (TI17).
 - The Australian Transport Assessment and Planning (ATAP) Guidelines.

2 Outline of Framework

2.1 The following flow chart outlines the framework for Planning Studies documented in the remainder of this Part.



3 Infrastructure Sustainability Planning Rating

- 3.1 The Principal will confirm whether the project will be registered for a planning rating under the Infrastructure Sustainability Council of Australia's (ISCA) IS rating scheme and in turn shall nominate a minimum IS rating score for the project and minimum levels to be achieved for specified credits.
- 3.2 If confirmed, the Contractor:
 - a) shall meet the requirements outlined in the Department Sustainability Manual part 5.1;
 - b) shall achieve or exceed the score and levels specified by the Principal;
 - c) is not required to prepare a Sustainability Plan (Pre-delivery phase deliverable); and
 - d) shall integrate its scope to deliver the above with the scope of the Planning Study.

4 Proving Phase

Objectives and outcomes of the Proving phase

- 4.1 Objectives include increasing clarity on the project outcomes and benefits to be derived, identifying options and estimating costs to assess value for money and viability.
- 4.2 Planning Investigations (as per PC-PL2 "Planning Investigations") will commence to ensure critical path items and approvals are known and communicated to the Principal by the Contractor early on in the project's lifecycle.
- 4.3 Outcomes will include agreement of the problems and benefits and preliminary justification for the project prior to receiving funding.
- 4.4 Tasks 1 to 3 of the Proving phase are iterative and interdependent of each other and should be undertaken concurrently.

Preliminary Business Requirements (Task 1)

- 4.5 The Task 1 objective is to identify, understand and align on the problems and benefits of the project.
- 4.6 Inputs will include Initiation phase documents prepared by the Principal and the Principal's strategic framework for benefits, including Outcome Statement(s), Initiative Proposal(s) and Benefits Register(s). It will also include strategic context, anticipated problems and benefits.
- 4.7 The Contractor shall develop the Preliminary Business Requirements. As a minimum, this will include a review of the available information and a workshop with the Principal. Preliminary Business Requirements will be developed with consideration of Section 3 of the Department's Sustainability Manual.
- 4.8 The key output of the task will be a Preliminary Business Requirements Report. This will document the problems identified that need to be addressed by the project and in turn the expected benefits and potential dis-benefits (outcomes and objectives) that will result.

Planning Investigations (Task 2)

- 4.9 The Task 2 objectives are:
 - a) to understand how (amongst other things) engineering, environmental and heritage conditions, greenhouse gas emissions, land ownership and rights, legislation, stakeholder and community opinion or social profile in the area of the proposed project may affect generation and selection of options and delivery of the project;
 - b) to ensure de-risking of critical path items and approvals is expedited; and
 - c) to generate options that address the Business Requirements.
- 4.10 The Contractor shall prepare a Data Request Register describing the data required in order to undertake the Planning Investigations and subsequent planning study tasks. The register will include a description of the data required, due date, importance and urgency and whether the item has been

- provided. The register will be a 'live' document and will be maintained and updated as required by the Contractor and will be accessible and available for use and review by the Principal.
- 4.11 The Principal shall endeavour, where available, to provide relevant inputs including data documented in the Data Request Register.
 - 4.12 The Contractor shall undertake Planning Investigations (Investigations) sufficient to deliver on the task objectives. Investigations will be in accordance with Master Specification PC-PL2 "Planning Investigations".
 - 4.13 In the course of its Investigations, and as soon as practical once identified, the Contractor shall inform the Principal of critical path items and approvals and any additional detailed Investigations (e.g., vegetation surveys, ground investigation) that should be expedited in order to meet the Principal's program or given the materiality of the item or approval.
 - 4.14 As per the requirements and Hold Points in PC-PL2 "Planning Investigations", the Contractor shall prepare Investigation Report(s) summarising Investigations undertaken and documenting findings, a gap analysis (where relevant) and recommendations for further detailed Investigations (if any).

Preliminary Business Case Development (Task 3)

- 4.15 The Task 3 objective is to utilise outputs of the Preliminary Business Requirements (Task 1) and Planning Investigations (Task 2) and develop a Preliminary Business Case.
- 4.16 The Business Case development will consider the approach documented by Australian Transport Assessment and Planning (ATAP) and/or other approved methodologies or guidelines and as a minimum will include the following:
 - a) Where possible, monetisation of the problems and benefits;
 - b) Socio-economic evaluation including a discounted cash flow analysis;
 - c) Development of one or more robust ranking and assessment methodologies (e.g., a Multi-criteria Analysis - MCA) that considers (amongst other things) the Business Requirements, socio-economic evaluation and outcomes of Investigations considered material to the project (e.g., environment, heritage, greenhouse gas emissions and opportunities to deliver increased green infrastructure);
 - d) Application of the assessment methodology to the long list of options to derive a shortlist; and
 - e) Engagement with the Principal during, and as input to, the development of the assessment methodology to ensure alignment.
- 4.17 Provision of the shortlist of options and accompanying documents shall constitute a **Hold Point**.

Concept Design (Task 4)

- 4.18 Following shortlisting, shortlisted options will be developed to Concept Designs in accordance with the following and documented in a Concept Design Report:
 - a) PC-PL3 "Concept Design Development";
 - b) PC-PL4 "Constructability Assessment"; and
 - c) PC-PL5 "Cost Estimation".

Proving Phase Deliverables (Task 5)

- 4.19 Draft versions of all deliverables described in this Part will be provided to the Principal electronically via email for review and comment prior to issue of final versions.
- 4.20 The Principal shall provide a single set of consolidated review comments to the Contractor for each draft deliverable.
- 4.21 The key deliverables for the Proving Phase are as follows:
 - a) Preliminary Business Requirements;
 - b) Concept Design Report;

- c) Standalone technical deliverables resulting from PC-PL2 “Planning Investigations”; and
 - d) A report documenting a high level estimate of greenhouse gas emissions for each shortlisted option (if applicable), and the outcomes of the assessment of emission reduction and circular economy opportunities.
- 4.22 If required by the Contract Documents, the following will also be prepared:
- a) A preliminary Planning Study Report will be prepared by the Contractor. This will be a ‘working draft’ that documents the Planning Study activities undertaken to date.
 - b) An outline Business Case.
- 4.23 Provision of draft deliverables shall constitute a **Hold Point**.
- 4.24 The Contractor shall also prepare the following deliverables. These will be ‘live’ documents that are maintained and updated as required by the Contractor and are accessible and available for use and review by the Principal during the contract:
- a) The Data Request Register (as described previously);
 - b) A Task and Deliverables Register including target and delivered dates;
 - c) A Planning Study Decisions Register including records of any consultation with the Principal or stakeholders; and
 - d) A Risk Register.

Gateway 1 Review / Governance Review (Task 6)

- 4.25 If specified in the Contract Documents, the Contractor shall be required to participate in an internal Gateway 1 Funding Readiness Review, including supplying Proving Phase deliverables and attendance at Gateway Review interviews.
- 4.26 If a Gateway 1 Review is not undertaken, the Principal may undertake an alternative internal governance review of the Project that the Contractor may be required to participate in.

5 Pre-delivery Phase

Objectives and outcomes of the Pre-delivery phase

- 5.1 Objectives include refining the project scope, the approach to delivery (including procurement) and the commitment to the project.
- 5.2 Inputs will include outputs of the Proving phase and recommendations of the Gateway 1 Review (if any) in the form of a Recommendations Action Plan (RAP).
- 5.3 Outcomes will include funding commitment and foundation documentation to facilitate the commencement of the Procurement phase.

Finalisation of Business Case (Task 7)

- 5.4 The Task 7 objective is to adopt a preferred option that best delivers on the Preliminary Business Requirements and that addresses the risks identified.
- 5.5 Task inputs will include outputs of the Proving phase and new information provided by the Principal or Contractor as a result of internal review processes and additional Investigations (if any).
- 5.6 The Contractor shall further develop the Business Case commenced in Task 3 sufficient to deliver on the task objectives.
- 5.7 As a minimum this will include undertaking the following for the short-listed Concept Designs:
- a) Application of a suitably robust assessment methodology (as per Task 3) to the shortlisted and developed Concept Designs using updated and additional information;
 - b) Identification of a preferred Concept Design; and

- c) Engagement with the Principal during, and as in input to, the process of recommending a preferred Concept Design to ensure alignment.
- 5.8 Provision of the preferred Concept Design shall constitute a **Hold Point**.

Reference Design (Task 8)

- 5.9 The Contractor shall undertake development of the preferred Concept Design to Reference Design in accordance with the following and documented in a Reference Design Report:
- a) PC-PL3 “Concept Design Development”;
 - b) PC-PL4 “Constructability Assessment”; and
 - c) PC-PL5 “Cost Estimation”.

Pre-delivery Phase Deliverables (Task 9)

- 5.10 Draft versions of all deliverables described in this Part will be provided to the Principal electronically via email for review and comment prior to issue of final versions. Final versions of all deliverables in this Part will also be provided to the Principal electronically via email for review and for approval as an ‘Issued for Use’ deliverable.
- 5.11 The Principal shall provide a single set of consolidated review comments to the Contractor for each draft and final deliverable.
- 5.12 Key deliverables of the Pre-delivery phase are as follows:
- a) Full Planning Study Report; and
 - b) Reference Design Report.
- 5.13 The Full Planning Study Report will document and/or reference all the Planning Study activities undertaken across the Proving and Pre-delivery phases including the following:
- a) A Strategic Merit Test assessing the project’s alignment with Principal, State and Commonwealth strategic policies and objectives;
 - b) Relevant outputs of PC-PL2 “Planning Investigations”;
 - c) The socio-economic analysis including the Benefit Cost Analysis and any related calculation files (including in Microsoft Excel format);
 - d) The options assessment methodologies used for assessment of options and any related analysis files (including in Microsoft Excel format);
 - e) The shortlisted and preferred Concept Designs;
 - f) Project funding and budget impacts including cash flow, program and procurement planning;
 - g) The final value for money assessment including correlation of the qualitative and monetised analysis to derive the preferred Concept Design.
- 5.14 Unless excluded by the Contract Documents and subject to the capital value of the project and source of funding, the Contractor shall also prepare one or more of the following business case and State and Commonwealth submissions:
- a) a Department Business Case Report including the preferred option, results from financial, economic, social and environmental analysis that demonstrates that the preferred option is justified and best value for money, benefits and the primary benefits management strategies proposed and key risks and the primary risk management measures proposed;
 - b) a Development or Delivery Phase Project Proposal Report (PPR) suitable for submission to the Department of Infrastructure, Regional Development and Cities (DIRDC);
 - c) if required to accompany the PPR, an Indigenous Participation Plan that reflects the Business Requirements and requirements of DIRDC’s Notes on Administrations;
 - d) a completed Stage 1, 2 or 4 Infrastructure Australia Assessment Framework submission;
 - e) an Executive Summary Report suitable for Cabinet Submission;

- f) a Public Works Committee (PWC) submission. The submission will be lodged, and acquittal sought, by the Principal; and
 - g) an Ecologically Sustainable Development Report that will be attached to the PWC submission that includes the high level estimate of greenhouse gas emissions for each of the shortlisted options (if available).
- 5.15 Unless excluded by the Contract Documents the Contractor shall also prepare one or more of the following Planning Study and Technical Deliverables:
- a) final Business Requirements, to be updated and refined from the Preliminary Business Requirements (Task 1) and considering outcomes of the subsequent tasks;
 - b) Investigation Reports resulting from PC-PL2 “Planning Investigations” to be updated from Task 2 and including any additional Investigations including the following:
 - i) a Report on the Assessment of Outcomes for Aboriginal People; and
 - ii) an Environment and Heritage Impact Assessment Report (EHIA) including additional assessment and investigation data collected by the Contractor in the course of the Planning Study or provided by the Principal.
 - c) a Planning Phase Sustainability Plan for the preferred Concept Design / Reference Design which complies with the requirements in the Department Sustainability Manual;
 - d) a Project Report, to be no more than 40 pages in length and of sufficient quality, consistency and writing style (i.e. non-technical), to enable it to be provided to the community to communicate (amongst other things) the project scope, background, benefits and a summary of environmental, social and economic effects and mitigation measures;
 - e) visual media for the Principal to use in communication of the preferred Concept to the community and stakeholders including the following:
 - i) all media shall include road names, north arrow and department logo;
 - ii) for an artist’s impression, a minimum of two perspectives covering the major movement(s) and one perspective covering key design features;
 - iii) for a fly-through / visualisation, it must commence with an aerial 2D showing the South Australian road network and project site it must include a minimum of two directional perspectives.
- 5.16 Unless excluded by the Contract Documents, the Contractor shall also prepare and/or finalise one or more of the following Project Management and Governance deliverables:
- a) the complete Data Request Register (as described previously);
 - b) the complete Task and Deliverables Register;
 - c) a Final Planning Study Decisions Register including records of any consultation with the Principal or stakeholders;
 - d) a Final Risk Register for use by the Principal. The Risk Register will be based on outcomes of the Study and will complement the suite of deliverables described above by documenting the key risks identified in each; and
 - e) a Planning Study Lessons Learnt Report and Register.
- 5.17 Provision of draft deliverables shall constitute a **Hold Point**.
- 5.18 Provision of final deliverables shall constitute a **Hold Point**.

Gateway 2 Review / Governance Review (Task 10)

- 5.19 If specified in the Contract Documents, the Principal shall co-ordinate and schedule an internal Gateway 2 Market Readiness Review in accordance with its Gateway Review Framework.
- 5.20 If specified in the Contract Documents, the Contractor shall be required to participate in the Gateway Review, including supply of Proving Phase deliverables and attendance at Gateway Review interviews.

- 5.21 If a Gateway 2 Review is not undertaken, the Principal may undertake an alternative internal governance review of the Project that the Contractor may be required to participate in.

6 Hold Points

- 6.1 The following is a summary of Hold Points referenced in this Part:

Table PC-PL1 6-1 Hold Points

Document Ref.	Hold Point	Response Time
4.17	Provision of the shortlist of options	10 Working Days
4.24	Provision of draft Proving Phase deliverables	10 Working Days
5.8	Provision of the preferred Concept Design	10 Working Days
5.17	Provision of draft deliverables	10 Working Days
5.18	Provision of final deliverables	10 Working Days