

**PART P20**  
**PLANNING GENERAL**

**CONTENTS****1. INTERPRETATION AND DEFINITIONS**

- .1 The following documents are referenced in this Part:
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| (a) | Development Act (SA) 1993.   |
| (b) | Australian Transport Council Series of Publications for Economic Evaluations |
| (c) | Guidelines for Evaluation of Public Sector Initiatives                       |
| (d) | AS31000 Risk Management  |
| (e) | P10 Preliminaries  |
| (f) | P30 Planning Process   |
| (g) | P40 Stakeholder and Community Engagement Processes                           |
| (h) | P50 Environmental Impact Assessment  |
| (i) | P70 Outputs and Reports  |
| (j) | P80 Reference Design   |
- .2 Note: references to relevant clauses follow each definition in brackets.
- .3 **"Planning Study Methodology"** means the document prepared by the Contractor that details the processes to be undertaken in performing the Planning Services. (P20.2)
- .4 **"Stakeholder and Community Engagement Methodology"** means the document prepared by the Contractor that detail the processes to be undertaken in involving the community. (P20.2)
- .5 **"Broad Concept"** means an option or scheme that is identified early in the planning process and is assessed to determine whether it is suitable to be an Alternative Concept. (P30.3)
- .6 **"Alternative Concept"** means an option or scheme which has been short listed from the Broad Concepts and is assessed against the evaluation criteria to determine whether it is the Preferred Concept. (P30.3)
- .7 **"Preferred Concept"** means the Concept that has been determined to represent the best considered Alternative Concept when measured against the evaluation criteria prior to the Public Display. (P30.3)
- .8 **"Concept Planning Report"** means the report prepared which discusses the planning process used, the Alternative Concepts, issues associated with each alternative, the evaluation of the alternatives and conclusions leading to the selection of the Preferred Concept. (P30.3)
- .9 **"Representation"** means a comment, enquiry or complaint made by a stakeholder where the stakeholder expects a written response or acknowledgement of the comment, enquiry or complaint. (P40.4)
- .10 **"Public Display"** means a display of information relating to the project which may include an invitation for the public to provide comment or input. (P40.5(5))
- .11 **"Major Project"** means a project or development declared to be a Major Project or Development under the *Development Act (SA) 1993*. (P50.1)
- .12 **"Public Exhibition"** means a formal exhibition of a Major Project in accordance with the *Development Act (SA) 1993*. (650.1)
- .13 **"Reference Design"** (alternatively referred to as "Concept" Design) means a design of the Preferred Concept that is of sufficient detail to provide a high level of confidence regarding key project issues such as land boundaries, relocation of utility services and environmental impacts and is suitable for inclusion in a Request for Tender document for the design and construction of the Project. (P80.1)
- .14 **"Working Documents"** means all documentation, data, calculations, models, records of meetings or discussions and any other relevant information collected or prepared during the course of providing the services (either in hard copy or electronic form). (P70.1)
- .15 **"Initial Design Brief"** means a document, supplied by DPTI, specifying the initial set of design criteria and performance requirements that the project design must achieve. This must be updated as required by the Contractor to become the "Project Design Brief" (P80.2)

**Commented [D1]: Note: This Part is provided as an example to provide guidance regarding the general layout of the Statement of Requirements used in Planning Consultancies.**

**It must be used with AS 4122 and the DPTI Special Conditions of Contract for AS4122**

- .16 **"Project Design Brief"** means a document specifying all design criteria and performance requirements that the design is required to achieve. (P70.5)
- .17 **"Working Papers"** means reports prepared by the Contractor for the EIA process, regarding a particular issue / impact that provide the public with a greater level of detail and background than that included in the EIAR. (P70.8.2)
- .18 **"Stakeholder"** means any person, group of persons or organisation that is affected by, or has an interest in, the Project.
- .19 **"Reference Program"** means a Program prepared by the Principal for the sole purpose of assessing the likelihood of the Services being delivered within the timeframe available. If a Reference Program has been provided, it has not been reviewed, checked or optimised and is provided for information only. The use of any aspects the Reference Program is entirely at the Contractor's own risk.
- .20 **"DPTI"** means the Department of Planning, Transport and Infrastructure.
- .21 **"EIA"** means an Environmental Impact Assessment in accordance with the *Development Act (SA) 1993* or DPTI's internal environmental approval process.
- .22 **"VMS"** means a Value Management Study.

## 2. DPTI PROJECT PLANNING MODEL

- .1 DPTI uses a generalised framework for the Planning Processes used for the delivery of road transport infrastructure projects. The Services provided under this Contract are to be compatible with this framework. These processes generally follow that outlined in Appendix P20A Overview of the Planning Process.
- .2 The process will need to be modified to suit the circumstances of each project and there may be a number of iterations of any of the steps in the process. The Planning Study Methodology and Stakeholder and Community Engagement Methodology prepared by the Contractor must reflect this. Where a project has been declared a Major Project, additional reports and processes will be required in accordance with the requirements of the *Development Act (SA) 1993*.

## 3. PLANNING STUDY METHODOLOGY AND STAKEHOLDER AND COMMUNITY ENGAGEMENT METHODOLOGY

### Planning Study Methodology

- .1 The Contractor must prepare and implement the Planning Study Methodology, which provides details of the Contractor's approach to undertaking the Planning Study. The Methodology must include the Program, refer Clause 3 (b) of the General Conditions of Contract. The Program shall show the following:
  - (a) Each task to be undertaken;
  - (b) Dependencies between tasks as normally identified in Critical Path Analysis methods (in either the duration of each task and float);
  - (c) The critical path;
  - (d) The proposed human resources for each task, particularly technical specialists such as Safety Auditors;
  - (e) Monthly cash flow;
  - (f) Integration with the Stakeholder and Community Engagement Methodology; and
  - (g) Integration with the Environmental Impact Assessment process.

### Content of the Stakeholder and Community Engagement Methodology

- .2 The Contractor must prepare and implement the Stakeholder and Community Engagement Methodology, which provides details of the Contractor's approach to undertaking the Stakeholder and Community Engagement Processes. The Methodology shall:
  - (a) clearly demonstrate how the Stakeholder and Community Engagement requirements will be met;
  - (b) be compatible with, and complement, current DPTI Stakeholder and Community Engagement procedures, protocols and guidelines;
  - (c) describe the Contractor's overall approach to dealing with stakeholders with respect to the Project;
  - (d) identify details of specific activities and opportunities for the stakeholders to be informed and involved in the project, and anticipated timeframes within the proposed program of works;

- (e) contain an "Issues Management Plan" (IMP) which identifies likely community related issues and details how these issues will be managed; and
  - (f) establish the scope, purpose and objectives of any Stakeholder and Community Engagement including:
    - (g) who should be consulted/informed;
    - (h) why should they be consulted/informed;
    - (i) what should be communicated; and
    - (j) when should it be communicated.
  - (k) clearly identify who within the Contractor's management team the Principal can contact regarding community and stakeholder liaison, with 24 hours per day, 7 day per week, contact details, and
  - (l) include details of communication systems, processes and procedures which address all aspects of the stakeholder interfaces, including the management of Representations (refer Part P40 Community Engagement, Clause 3 "Response to Representations").
- .3 The Stakeholder and Community Engagement Methodology must be separate to the Planning Study Methodology and referenced by it.

**Control of the Planning Study Methodology and Stakeholder and Community Engagement Methodology**

- .4 The Methodologies are Controlled Documents (Refer Part P10 Preliminaries). If not provided beforehand, the Contractor must submit the Baseline Methodologies to the Principal at least 20 working days prior to the commencement of provision of the Services. If a Methodology is updated, a copy must be submitted to the Principal as soon as practicable and in any case at least 7 days prior to the commencement of services affected by the update.
- .5 Provision of a Methodology or updated Methodology shall constitute a **HOLD POINT** in accordance with Special Conditions of Contract, Clause 5 "Hold Points".
- .6 The Contractor shall:
  - (a) further develop and update the Methodologies whenever there is a change in processes;
  - (b) clearly identify the responsibility for preparation and regular updating of the Methodologies within the Contractor's management team; and
  - (c) provide details of procedures for regular monitoring and updating of the Methodologies.

**4. PROVISION OF INFORMATION BY THE PRINCIPAL**

- .1 When in possession of the Principal, the following information will be provided to the Contractor upon request:
  - (a) traffic volumes (current & predicted);
  - (b) accident data;
  - (c) road features information;
  - (d) road condition information;
  - (e) any relevant previous studies, investigations or designs;
  - (f) any Aerial Survey Data or topographic survey; and
  - (g) any readily available Departmentally owned data (may include pavement and structural information, cadastral data (DCDB) etc.).
- .2 The Contractor shall review all information relevant to the provision of the Services that has been provided by the Principal and assess its currency, adequacy and appropriateness and determine what additional information is required. Any concerns regarding the need to update any of the above information must be brought to the attention of the Principal.
- .3 The Contractor will be briefed by the Principal on any previous planning work undertaken by the Principal. The Principal does not warrant the completeness or accuracy of any previous studies, investigations or designs.
- .4 Except for topographic survey and predicted traffic volumes, any other information required must be sought and obtained by the Contractor. Where, during the course of providing the services, the Contractor believes that additional survey or traffic volumes are necessary, the Contractor must forward a written request to the Principal for consideration. If the Principal provides this additional information, up to 4 weeks per location must be allowed for the survey or investigation to be completed and delivered. The cost of providing this information will be borne by the Principal.

**5. ENGAGEMENT OF LANDOWNERS**

- .1 This Clause applies whenever the Contractor undertakes discussion or arranges a meeting with affected landowners regarding issues relating to accommodation works, land acquisition or access modifications. The Contractor shall:
- provide written prior notice of the time and date of the meeting to the Principal so that a DPTI representative may attend the meeting if necessary;
  - take accurate records of all discussions and provide a copy to the Principal within 5 working days;
  - not make any commitment on behalf of Principal unless prior approval to do so has been given; and
  - provide confirmation of any arrangements affecting any property in writing.

**6. COST ESTIMATES AND ECONOMIC EVALUATION**

- .1 The Contractor must prepare cost estimates of the Alternative Concepts, Preferred Concept and Reference Design. All cost estimates (either Total Project Cost or for any component of the Project) must be prepared in accordance with the DPTI Infrastructure Estimating System. The system provides mandatory processes, procedures and formats for estimates (refer: [http://www.dpti.sa.gov.au/\\_data/assets/pdf\\_file/0003/173532/Estimating\\_Manual.pdf](http://www.dpti.sa.gov.au/_data/assets/pdf_file/0003/173532/Estimating_Manual.pdf)).
- .2 Where this Contract requires the preparation of an economic evaluation, the evaluation must include, at a minimum, a Cost-Benefit Analysis based on the "Australian Transport Council Series of Publications for Economic Evaluations", the SA Treasury "Guidelines for Evaluation of Public Sector Initiatives", and any other requirements of the Commonwealth Department of Transport and Regional Services.

**7. RISK MANAGEMENT**

- .1 The Contractor shall undertake an ongoing Risk Management assessment process throughout the progress of the planning study, to identify, recommend management processes, and incorporate such processes where approved by the Principal in their planning or Stakeholder and Community Engagement processes. This risk management will be the basis of informing the Minister for Transport and Government of the issues arising as they relate to the Federal Government, State Government, Local Government, the community including any interest groups, and environmental, social or technical aspects of the planning and Stakeholder and Community Engagement processes.
- .2 During the planning study the final risk management session will be arranged with the Principal to identify the ongoing risks that must be monitored for the future, including the preparation of a Risk Management Plan.
- .3 The principles of AS 31000: Risk Management - Principles and Guidelines shall be used for all risk assessment processes.
- .4 The Principal will provide the Contractor with access to any previous risk studies (including databases) or include these studies in the Appendices.

**8. HOLD POINTS**

- .1 The Hold Points listed in Table 8.1 apply to this contract. The release of any Hold Points marked with an asterisk in Table SCC.6 is not within the control of the Principal.

<b>SUMMARY OF HOLD POINTS REFERENCED IN THIS CONTRACT.</b>			
<b>HOLD POINT No.</b>	<b>CLAUSE REFERENCE</b>	<b>HOLD POINT DESCRIPTION</b>	<b>TIME FOR RELEASE OF HOLD POINT (working days)</b>
1	P20.2.3	Provision of the Planning Study Methodology or any subsequent updated Methodology	5
2	P30.2	Provision of the Community Involvement Methodology or any subsequent updated Methodology	10
3	P30.2	Completion of the Initiation Report	5
4	P30.3.3	Presentation of Alternative Concepts	3

5	P30.3.4	Completion of the Draft Concept Planning Report	5
6	P30.3.5	Proposed VMS attendees and facilitator	2
7	P30.3.5	Completion of the Concept Planning Report	*
8	P40.3.1	Provision of information to be released to the public	30
9	P40.5	Completion of the Response Document	*
10	P50.1	Completion of the Draft Environmental Impact Assessment Report and Final EIAR prior to printing	*
11	P70.1	Provision of draft reports not covered elsewhere	5
12	P02.1	Completion of Reference Design – Stage 1	5
13	P02.1	Completion of Reference Design – Stage 2	10

- .2 Note: the above Hold Points are not necessarily listed in chronological order.
- .3 The Contractor acknowledges that the release of certain Hold Points may be outside the control of the Principal. In the event that such a Hold Point is not released within 3 months of the Contractor providing all of the relevant information required, the Principal may terminate this Contract for its convenience, pursuant to the General Conditions of Contract.

**9. APPENDIX P20A OVERVIEW OF THE PLANNING PROCESS**

