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ESTATE & INFRASTRUCTURE GROUP

ESTATE PROJECT HANDOVER / TAKEOVER POLICY

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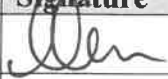
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	HOTO Plan & Checklist	6.0	Aug 19

Approved

Name	Title	Signature	Date
M. Hamilton	FAS SD		20 Feb 20
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Introduction

1. The Defence estate is a critical enabler of Australia's defence capability and supports the generation and sustainment of the Australian Defence Force (ADF). The 2016/36 Defence Estate Strategy has five Estate Strategic aims that detail how a fit-for-purpose, safe, compliant and sustainable Defence estate is to be developed and maintained. The Estate & Infrastructure Group (E&IG) is responsible for the stewardship of the Defence estate and achievement of the estate strategic aims. A substantial component of this responsibility includes the delivery and governance of estate projects. To ensure that the expected project outcomes are delivered and to implement a structured and auditable approach to Defence accepting delivered project items, a Handover and Takeover (HOTO) process culminating in a formal acceptance by Defence is required.

2. To minimise issues during a project's planning, design and delivery phases and efficiently meet HOTO objectives, it is essential that all estate projects satisfy a range of legislative, Defence policy, estate compliance and estate information requirements during these phases. Ensuring compliance with these requirements is achieved through the early understanding of stakeholder responsibilities, planning and engagement, ongoing consultation, applying the Defence HOTO process, reaching agreement on project outcomes and deliverables with key HOTO stakeholders.

Purpose

3. The purpose of the HOTO policy is to ensure that all estate related projects adhere to a systematic process to demonstrate that the project management practices, actions and deliverables comply with legislation, Australian Standards and Defence policy and instructions to deliver safe, compliant and fit for purpose facilities.

Scope

4. The HOTO policy applies to all estate projects delivered on the Defence estate. Estate projects include:
- a. facilities and infrastructure construction, re-purposing, refurbishing, maintenance, land acquisition or disposal, leasing (including Government Furnished Facilities [GFF]) / Government Furnished Equipment [GFE]) and environmental projects; and
 - b. projects delivered and / or managed by Defence personnel (Australian Public Service [APS] and ADF) and contracted entities.

HOTO Policy

5. The HOTO process includes a HOTO Plan & Checklist, a Responsible, Accountable, Consulted, Informed (RACI) matrix and workflow diagram for use by project directors (PD), project managers (PM) and project stakeholders. The HOTO Plan & Checklist are to be used for all estate projects to demonstrate that HOTO requirements have been considered, the required evidence is compiled, stored and available for assurance by project stakeholders.

6. For projects that meet the criteria described in paragraph 4, PD and PM are to ensure that Defence and project contracts specify the use of the HOTO process
<http://intranet.defence.gov.au/estatemangement/lifecycle/PlanHandoverTakeover/Default.asp>

detailed on the Defence Estate Quality Management System (DEQMS). The contracts are to specify that projects are responsible for producing accurate and complete estate data at the required times and in the specified format detailed in the HOTO process and DEQMS.

7. The HOTO process methodically validates and ensures critical compliance and safety requirements are being met for estate related projects. Therefore the HOTO process must be used by all Services, Groups or their contracted entities as part of a quality approach to delivering estate projects or Defence projects or maintenance activities that affect the Defence estate.

HOTO Process Benefits

8. The HOTO process is a progressive assurance activity that commences in the project development phase and concludes at the end of the defects liability period (DLP). To achieve the benefits of an effective HOTO, the process requires continual stakeholder engagement and information delivered throughout the project lifecycle at the right time to inform project delivery and sustainment. By following an agreed HOTO protocol, clarifying responsibilities and promoting collaboration between all project stakeholders, the following benefits will be gained:

- a. project stakeholders have greater alignment and clarity about project quality, compliance and delivery requirements;
- b. project issues are identified early, risks reduced and issues can be resolved earlier in the project lifecycle;
- c. minimise project cost variations caused by differing stakeholder expectations and understanding on project quality, compliance and delivery outcomes;
- d. reduce the number of delayed handovers and subsequent period on non-occupation; and
- e. improve the effectiveness of ongoing in-service management and maintenance support, while reducing 'whole of life' sustainment costs for project deliverables.

Authority

9. The HOTO policy is issued under the joint authority of the First Assistant Secretary Service Delivery (FAS SD) and the First Assistant Secretary Infrastructure (FAS I). Sponsors of the policy are the Director General Estate Services Delivery (DGESD) and the Director General Capital Facilities & Infrastructure (DGCFI). The Directorate Estate Planning & Upkeep (DEPU) is the administering authority of the HOTO policy which includes ensuring that the policy, HOTO Plan & Checklist remain current.

Roles and Responsibilities

10. The following key roles and responsibilities apply for HOTO:

- a. **Defence Representative.** The Defence Representative (Zone Director Service Delivery or authorised delegate) is responsible for accepting the delivered works from the PD / PM into the Defence estate, enabling use by the designated resident unit (RU) for its intended purpose. The acceptance is confirmed by the Defence

Representative being satisfied that all project outcomes and deliverables are met, satisfactorily completed, fit for purpose, Defence estate information requirements are met and approving the completed HOTO Plan & Checklist to that effect.

- b. **PD / PM.** The PD / PM are responsible for managing, assisting and guiding the Contractor Representative with development of the HOTO Plan & Checklist. The PD / PM are to ensure that the Contractor Representative has provided all evidence to demonstrate that all project deliverables have been satisfactorily completed, safe, fit for purpose and the Defence required estate information is accurate and completed. For CFI projects, the PD is contractually represented by the Project Manager Contract Administrator (PMCA) contractor. For Estate Works Program (EWP) projects, the PM role is fulfilled by the Project Delivery Services [PDS] contractor). The PD or PM shall not delegate or transfer their HOTO responsibilities to the Estate Maintenance & Operations Services (EMOS) contractor.
- c. **Contractor Representative.** The Contractor Representative (usually the Head Contractor [HC] or Managing Contractor [MC]) is responsible for developing the HOTO Plan & Checklist and managing and accepting works from delivery contractors subject to the works being satisfactorily completed, safe, fit for purpose and Defence specified estate information requirements are met.
- d. **EMOS.** During project phases, the EMOS provide advice to the Defence PD / PM and the Contractor Representative about Defence estate information and whole of life maintenance requirements. The whole of life maintenance information provided must be coordinated and sourced from all relevant technical expertise available to the EMOS. The EMOS are to conduct system validation checks on estate data, drawings and manuals provided by the Contractor Representative and confirm to the PD / PM that the information complies with Defence requirements.
- e. **Project Support Services (PSS).** PSS staff are EMOS representatives who provide industry and site knowledge to assist estate projects to maximise the effectiveness of project delivery and achieve project outcomes. PSS will directly provide and/or coordinate the provision of EMOS services in support of all Capital Facilities & Infrastructure (CFI) and EWP projects.
- f. **Project Stakeholders.** Project stakeholders are identified and engaged by the PD / PM in the project design phase. The project stakeholders' responsibilities are agreed in the HOTO Plan & Checklist. Project stakeholders are required to participate in a range of activities throughout a project lifecycle. These activities include: attending project planning, design and delivery meetings and contributing to the HOTO process by assisting in the assessment of project and HOTO deliverables to confirm that facilities are satisfactorily completed, safe and fit for purpose. During the design phase and at HOTO, identified stakeholders are required to sign the HOTO Plan & Checklist, acknowledging their acceptance of the scope, design and delivered works.
- g. **RU.** In addition to being stakeholders, RU are not to occupy or use facilities until the HOTO process has been completed and the facilities have been accepted by the Defence Representative and access is granted.

11. The Defence project delivery authorities (PD, PM, PMCA, MC and HC) are responsible for the implementation of the HOTO policy requirements and ensuring that Defence personnel and project contracted entities provide the required project deliverables, outcomes, Defence requirements and evidence of compliance. Respective responsibilities are detailed in the project contract and HOTO Plan & Checklist RACI matrix.

HOTO Plan & Checklist

12. The HOTO process includes the HOTO Plan & Checklist for use by the PD / PM and all identified project stakeholders. The HOTO Plan & Checklist are to be used for all E&IG projects to demonstrate that HOTO requirements have been considered, the required evidence is assembled and available for scrutiny by project stakeholders.

13. The EMOS contractors must use the HOTO Plan & Checklist when delivering E&IG EWP allocated maintenance projects which includes engaging the Zone Estate Management & Planning representative and project stakeholders. In addition to the delivery of responsive, scheduled or performance based maintenance on the Defence estate, EMOS deliver substantial maintenance works through the Alternative Proposal (AP) process. In both maintenance and AP activities, application of the HOTO principles by EMOS and, guided by the HOTO Plan & Checklist will assist the EMOS in identifying changes to estate information and managing the currency and accuracy of Defence estate information resulting from their estate maintenance tasks. Use of the HOTO Plan & Checklist by EMOS for maintenance activities, including AP, should therefore be part of their quality system to ensure consistency in the manner in which records are created or updated and contract change proposals developed as required.

Related Instructions and Business Rules

14. From time to time, E&IG may publish instructions and business rules to support implementation of the HOTO policy and successful completion of HOTO activities. Project stakeholders should refer to DEQMS and the HOTO Plan & Checklist for more information about applicable instructions and business rules.