

## SERVICE DELIVERY DIVISION ZONE AND BASE STAFF ESTATE PROJECT MEETING GUIDE

### 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. 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.

### Aim

3. The aim of this guide is to inform Service Delivery Division (SDD), Zone and base staff about the topics and actions they need to consider and prepare for key meetings that occur throughout the lifecycle of estate projects. The HOTO Plan & Checklist indicates when these meetings occur in the project lifecycle and it provides instructions about stakeholder actions. This guide aims to supplement this information for Zone & base staff.

### Estate Project Key Meetings

4. Projects conduct a range of meetings throughout the project lifecycle. Key meetings covered by this guide include project start-up meetings for the Planning & Development, Design and Construction phases. The guide aligns with the HOTO Plan and Checklist, which must be used for all estate related projects on the Defence estate. The HOTO policy provides further detail about this requirement. The HOTO policy and other key HOTO documents can be found at the following DEQMS link:  
<http://intranet.defence.gov.au/estatemangement/lifecycle/PlanHandoverTakeover/Default.asp>
5. Actions by SDD Zone and base staff are outlined in the following project phases.

### Planning & Development

6. Details about the start-up meeting (planning & development phase) is explained in the *HOTO Plan & Checklist criteria 1.1*. The purpose of this meeting is for the project director (PD), PMCA and /or project manager (PM) to clarify the project scope and objectives, confirm Zone Estate Planning & Management (EM&P) and key HOTO stakeholders, identify any major issues or impediments, consider HOTO Plan & Checklist criteria & evidence and agree the ongoing support required from SDD Zone and EMOS staff.
7. Points of discussion and consideration for Zone staff include:

- a. Clarify project particulars which may include: background documents and reports, project scope, objectives, schedule, dependencies & constrains, delivery method (MC / HC / D&C) etc.
- b. Identify any duplication and/or efficiency opportunities with other projects and de-conflict accordingly.
- c. Identify applicable internal and external stakeholders, their roles and that they have / will be notified about project details: sponsor, resident units, Zone & base staff and national product directorate (PD) staff in SDD & ID, SMEs, EMOS & PSS, project contractors etc. Where a project outcome affects an SD Product, the respective PD team should be notified, e.g. if a project affects current size, design or operation of a mess, notify DH&RS). SMEs may include: Fuel Services Branch, Environment & Engineering Branch, Explosive Ordnance Division, DS&VS, and CIOG etc. For further assistance, refer to *HOTO Plan & Checklist: criteria 1.1.1* and the *Responsible Accountable Consulted Informed (RACI)* table.
- d. Agree applicable HOTO Plan and Checklist criteria, evidence, responsible and verifying persons for the nature of the project. This may be done in the planning and development phase for inclusion in later tender documents.
- e. Identify significant known risks, constraints and activities that may positively and/or negatively impact the project e.g. other projects, exercises, significant environmental factors, etc.
- f. Confirm lines of communication and correct processes for all stakeholders and key project activities such as: access, RFIs, notifications, issues, incidents and disputes etc.
- g. Confirm document management systems to be used e.g. ACONEX, Project Centre etc. Instructions on how these documents will be provided and the objective naming convention, e.g. by AZ number or per building number should be provided.

## **Design**

8. Details about the start-up meeting (design phase) is explained in *the HOTO Plan & Checklist criteria 2.1.1*. Matters to address at the design start meeting may include but not be limited to:
  - a. All applicable stakeholders and SMEs for the design phase activities have been identified and engaged. Now that more information about the project scope and design is available, check that required project stakeholders still align with those stakeholders identified in paragraph 7c. and notify new stakeholders accordingly.
  - b. Project scope and design phase schedule, meetings and deliverables are clearly understood and confirmed by all stakeholders.
  - c. Confirm lines of communication and correct processes for all stakeholders and key design activities.
  - d. Site risks, constraints and environmental management requirements identified. PSS are prepared to provide applicable information gathered from Zone, base staff and EMOS.

- e. The HOTO Plan & Checklist for the design deliverables is reviewed, applicable criteria determined and evidence requirements are agreed.
- f. A data provision plan (DPP) for the supply and management of estate information has been reviewed and agreed.
- g. The project is required to complete the Asset Rollout Notification form (see *HOTO Plan & Checklist Criteria 2.5.1* for further details).
- h. Building Contribution Factor requirements for new built facilities – capability manager (facility sponsor) and the project (*HOTO Plan & Checklist Criteria 2.5.2* details requirements).
- i. PSS to confirm that the most up-to-date estate documents and data sets are provided.
- j. Base access requirements, inductions, working hours / operations, major activities and arrangements for visitors etc is informed by the base representative.
- k. Set parameters for Safety in Design to be commenced during design with a formal meeting at 90% design stage and continued through construction to ensure any risks are accepted prior to handover.

### **Construction – Pre-mobilisation**

9. Details about the start-up meeting (construction phase – pre-mobilisation) is explained in the *HOTO Plan & Checklist Criteria 3.1*. Matters to address at the start meeting may include but not be limited to:

- a. All applicable stakeholders and SMEs, and their role for the construction phase have been identified and engaged.
- b. Confirm lines of communication and correct processes for all stakeholders and key construction activities.
- c. Project scope and construction & DLP phase schedule, meetings and deliverables are clearly understood.
- d. Detail known base risks, constraints and activities that may affect the project e.g. other projects, exercises, significant environmental factors, etc.
- e. Projects working airside or within close proximity to airfields must consider any potential impacts to flying operations. The BAEO or BASO must be consulted to confirm any requirements for a Method of Works Plan (MOWP) and base staff for airfield passes.
- f. A HOTO Plan & Checklist covering the construction and to the end of DLP phases are reviewed, applicable criteria determined and evidence requirements are agreed.
- g. The building certifier details and observations, key check points, activities during construction and practices in relation to issuing (and storage) of the certification for the building approval once construction is complete.

- h. Review and agreed DLP outline maintenance plan actions and responsibilities to enable completion and acceptance of the DLP maintenance plan before HOTO. For more details, refer to *HOTO Plan & Checklist Criteria 3.5* for both CFI and EWP projects.
- i. Base access requirements, inductions, working hours / operations, major activities and arrangements for visitors etc, is informed by base representative.
- j. Dilapidation surveys and demolition plans. Establish Zone, base and EMOS POCs for plan development and endorsement. Refer to *Checklist Criteria 3.3* for more details.
- k. Contractor's Site Management and Control Plans. Review details and provide relevant information applicable to the nature of the project. *HOTO Plan and Checklist criteria 3.2.5 to 3.2.8* provides further detail, however, typical items may include:
  - (1) Security & access to site: access passes, base requirements, building/area requirements and working hours.
  - (2) Traffic management plan and controls.
  - (3) Contractor site set up: site management, amenities & storage, lay-down areas, deliveries, waste management, power & water, first aid, security and site closure at end of each day.
  - (4) Connection & dis-connection of energy and water services. Local process, EMOS POCs, requirements for AE879 and base notification requirements and timeframes. Refer to *HOTO Plan & Checklist Criteria 5.15.8* for more details.
  - (5) Emergency contact details: base, EMOS, security, PMCA / PDS, contractor, sub-contractors and local emergency services.
- l. Contractor's Safety & Hazards Management Plan, incidents and approvals. Establish local POCs, EMOS provide the Asbestos Management Plan (AMP), Zone & base to detail known safety & hazards risks, base WHS Plan and incident management protocols. *HOTO Plan and Checklist Criteria 3.2.8* provides further detail, however, typical plans may include or address:
  - (1) AMP;
  - (2) inductions;
  - (3) SWMS;
  - (4) MSDS;
  - (5) permits;
  - (6) signage & barriers;
  - (7) emergency evacuations & procedures;

- (8) communication channels and escalation process; and
- (9) incident management (includes specific detail for notifiable incidents).

## **HOTO**

10. Prior to pre & post HOTO meetings and physical inspections, the following provisions should be considered and prepared for:

- a. Confirm that PD / PM / PMCA have correctly identified and invited applicable stakeholders to HOTO meetings and physical inspections, and that stakeholders are clear about their responsibilities and accountability.
- b. Conduct a pre-HOTO meeting between PD / PM, Contractor Representative, Zone EMP and EMOS PSS to review and agree completion of the HOTO Plan and Checklist, project logs, defects list and items outstanding before conducting HOTO meetings and inspections with the broader stakeholder group.
- c. Completed copies of the HOTO Plan and Checklist and project logs have been circulated with sufficient review time.
- d. Physical site inspections include contractor support and lay-down areas to confirm acceptable remediation and waste removal has been achieved.
- e. Conduct an assessment of listed project caveats, defects, incomplete deliverables and respective remediation plans to determine the associated risks and if a recommendation for a conditional acceptance should be submitted to the Defence Representative for Takeover (HOTO) approval.
- f. EMOS PSS confirm that applicable CCPs (include interim CCPs) are approved and EMOS and MSPs are ready to commence the required services.
- g. Where property licences are required, EMP representatives are to seek confirmation from Property Management Branch that applicable licenses are implemented and support arrangements are understood by EMOS.

## **DLP**

11. It is expected that projects will conduct regular scheduled meetings during DLP to clear outstanding items and defects. The regularity will vary depending on the nature of the project and number of outstanding project issues to address. However at one month prior to the end of DLP and at the final DLP meeting inspections, the following provisions should be considered and prepared for:

- a. All items listed on the project logs (caveats, issues and outstanding deliverables) and the project defects list & rectification plan have been satisfactorily cleared.

- b. Post occupancy review conducted and identified issues have been satisfactorily addressed.
- c. Confirm with facility users and maintainers that newly identified defects have been reported and if not repaired, these are listed with the Contractor Representative for repair IAW an acceptable repair plan.
- d. EMOS confirmed that CCPs have been approved and services are ready to commence at end DLP for the required BSC services that are additional to those already being provided during DLP.