

s22(1)(a)(ii)

**Subject:** NSW Fast Rail / NFRA catchup  
**Location:** Microsoft Teams Meeting  
  
**Start:** Wed 3/05/2023 1:30 PM  
**End:** Wed 3/05/2023 2:00 PM  
**Show Time As:** Tentative  
  
**Recurrence:** (none)  
**Organizer:** s22(1)(a)(ii)

Rescheduling April’s meeting to 3 May due to attendee availability.

Please let me know if the updated date/time is not suitable.

Thanks

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**From:** s22(1)(a)(ii)  
**Sent:** Wednesday, 12 October 2022 4:21 PM  
**To:** WHALEN Greg  
**Cc:** s22(1)(a)(ii)  
**Subject:** Completion reports of TfNSW [SEC=OFFICIAL]  
**Attachments:** Attachment A - Email to TfNSW.docx; Attachment B - post-completion-report-sydney to bomaderry .docx; Attachment C - post-completion-report-Sydney to Parkes.docx; Attachment D - notes-on-administration-january-2021.pdf; Attachment E - NSW PCB Template 2021-22.xlsm; PCR Briefing.docx

## OFFICIAL

Hi Greg,

Please see the final draft brief and attachments needed to close out the two NSW projects.

Its pretty close to complete but I am keen to check in and make sure it hits the mark with you prior to finalising. Please note that I am also checking on one further detail with IID prior to finalising the brief and attachments – whether TfNSW can provide a cost breakdown outside of our template.

Happy to take feedback and make changes as needed

Cheers, s22(1)(a)(ii)

s22(1)(a)(ii)

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Australian Government  
 National Fast Rail Authority

OFFICIAL



Dear XXXXX

## Reference

Sydney to Bomaderry– Faster Rail Business Case

Sydney to Parkes– Faster Rail Business Case

I refer to the two abovementioned projects which were completed and received by the NFRA last year. The Notes on Administration (NoA) stipulate that a *post completion report* is required at the completion of each joint funded project (refer to section 4 of the NoA).

We are finalising our administrative processes with respect to these projects and have identified that we are yet to receive post completion reports. To assist in expediting this process, I have attached partially completed reports for both projects.

Given this is the responsibility of the proponent, we are requesting that tNSW;

1. Review the content provided for quality assurance.
2. Provide the necessary details to complete the report for each project. We note and confirm that there was an acknowledgement by the Australian Government of \$2.5m of in-kind contribution by tNSW.
3. Sign and return the reports.

Please note that under the NoA that the Chief Executive Officer of the funded agency or their delegate is responsible for signing this report and attesting to the expenditure on the project.

Happy to answer any questions, and thanking you in advance.

Greg Whalen



Australian Government

Department of Infrastructure, Transport,  
Regional Development and Communications

# Notes on Administration for Land Transport Infrastructure Projects 2019 - 2024

January 2021



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# 1 Introduction

## 1.1 Purpose of the Notes on Administration

The purpose of the Notes on Administration for Land Transport Infrastructure Projects (Notes) is to provide administrative detail to support the National Partnership Agreement on Land Transport Infrastructure Projects (NPA).

The Notes, combined with the NPA, the National Land Transport Act 2014 (NLT Act) and the NPA schedules form the suite of documents that enable and support the Australian Government's investment in infrastructure projects (Projects).

## 1.2 Scope of the Notes on Administration

The Notes apply to all Projects funded, or proposed to be funded under Part 3 (Investment Projects) and Part 7 (Black Spot Projects) of the *National Land Transport Act 2014* (NLT Act).

The Notes set out the administrative requirements in relation to:

- **Project approval** ([Chapter 2](#)): the process for consideration of Projects for Approved Funding, including associated terms and conditions;
- **Project administration** ([Chapter 3](#)): the administrative processes that Funding Recipients must follow relating to Project governance and financial governance.
- **Project completion and closure** ([Chapter 4](#)): the administrative requirements relating to Project completion, closure and evaluation.
- **Public recognition** ([Chapter 5](#)): the requirements and obligations of the Australian and State Governments relating to public recognition, media and signage for Projects.
- **National Land Transport Network maintenance** ([Chapter 6](#)): describe the arrangements and processes associated with maintenance funding for non-tolled roads on the National Land Transport Network.
- **Black Spot Projects** ([Appendix D](#)): describes the arrangements and processes associated with the selection of Projects under Part 7 of the NLT Act.

The focus of the Notes is on the administrative requirements for Projects with an announced Australian Government funding commitment and which have been included in the Schedule to the NPA. The selection of Projects is undertaken in accordance with the NLT Act. The Notes do not describe the arrangements and processes associated with the selection of Projects to be included in the NPA schedule.

The Department of Infrastructure, Transport, Regional Development and Communications (the Department) recognises there may be circumstances relating to individual Projects which cannot be readily addressed by referencing the Notes. Under these circumstances Proponents and the Department will discuss and agree the appropriate approach.

## 1.3 Funding Conditions and Compliance with the NLT Act and the NPA

Projects are subject to funding conditions set out in:

- The NLT Act;
- The NPA; and
- Other relevant Australian Government and State laws.

Further guidance on funding conditions is outlined in [Appendix A](#).

A breach of funding conditions may result in Project funding being withheld or a refund being sought.

The Notes are to be read in conjunction with the NPA and if any inconsistencies arise between the terms and conditions contained in the NPA and the Notes, the terms and conditions contained in the NPA will prevail.

## 1.4 Revision of the Notes

The Australian Government maintains the Notes and relevant templates. The Australian Government will seek agreement from the States on changes. The Notes were last revised on 1 January 2021.

## 1.5 Definitions and Abbreviations

The definitions in Section 4 of the NLT Act and Part 6 of the NPA apply to these Notes. The terms used in these Notes are defined in Table 1.

**Table 1: Definitions and Abbreviations.**

Term	Definition
<b>Approved Funding</b>	The funding approved for a Project by the Minister, under the appropriate legislation.
<b>Approval Instrument</b>	Means the Project Approval Instrument as defined in the <i>National Land Transport Act 2014 (NLT Act)</i> . It is the formal document signed by the Minister to approve a Project under the NLT Act.
<b>Approved Purpose/s</b>	Is defined in the NLT Act as purposes forming part of the Project, other than any purposes that are excluded by the Project approval instrument from being purposes on which funding may be expended: a Black Spot Project; an Investment Project; and a Transport Development and Innovation Project.
<b>Australian Government Building and Construction Work Health and Safety Accreditation Scheme</b>	A scheme established under the <i>Building and Construction Industry (Consequential and Transitional Provisions) Act 2016</i> , which places specific legal obligations on Commonwealth agencies in relation to the building and construction industry (see <a href="http://www.fsc.gov.au">www.fsc.gov.au</a> for more information).
<b>Australian Government Building our Future Signage Guidelines</b>	This document sets out the guidelines for signage relating to projects funded through the Department of Infrastructure, Transport, Regional Development and Communications.



Term	Definition
<b>Australian Industry Participation Plan</b>	A written plan that is required under the Australian Government's Australian Industry Participation Plan Policy and the <i>Australian Jobs Act 2013</i> (see <a href="http://www.industry.gov.au">www.industry.gov.au</a> for more information).
<b>BCR</b>	The Benefit Cost Ratio (BCR) - ratio of the present value of economic benefits to the present value of economic costs of a proposed initiative.
<b>Black Spot Project/s</b>	Projects funded under Part 7 of the NLT Act concerned with reducing road trauma or the risk of road trauma in specific locations.
<b>Code for the Tendering and Performance of Building Work 2016</b>	<p>The Code is a code of practice which sets out the Australian Government's expected standards of conduct for all building industry participants that seek to be, or are, involved in Australian Government funded building work.</p> <p>The Code came into effect on 2 December 2016 and applies to all Australian Government funded building work for which an 'expression of interest' or tender has been submitted on or after that date.</p> <p>Note: The Building Code 2013 continues to apply in relation to building work to which it applied immediately before 2 December 2016.</p>
<b>Closure (or Closed)</b>	The end of the Australian Government's obligations and liabilities for the Project; and Funding Recipient's responsibility to provide Monthly Progress Reports for the Project.
<b>Committed Funding</b>	The funding available to a Project listed in the NPA Schedule, subject to approval by the Minister.
<b>Complete (or Completion)</b>	The point at which a Project has achieved its primary purpose—for example, a new road is opened to traffic; a rail passing loop becomes operational; an acquired technology begins operation.
<b>Department</b>	Means the Commonwealth Department of Infrastructure, Transport, Regional Development and Communications.
<b>Final Milestone</b>	The point in time which the last payment of Approved Funding is scheduled, following acceptance by the Department of the Post-Completion Report (if applicable), and a statement from the Chief Executive Officer of the Funding Recipient, or their delegate, that amounts expended from funding payments have been, and are wholly expended on Approved Purposes in relation to funded Projects.
<b>Funding Recipient</b>	A Proponent for a Project following funding approval under the NLT Act.
<b>IMS</b>	Infrastructure Management System - The system used to manage Project payments and reporting.
<b>Infrastructure Investment Program</b>	The program of funds allocated to projects for the Commonwealth's investment in land transport infrastructure under the NLT Act.
<b>Local Government Authority</b>	A body established for the purposes of local government by or under a law applying in a State or Territory.



Term	Definition
<b>Local Industry Participation Plan</b>	A written plan based on the National Framework which was agreed between the Commonwealth and the States in 2001 to promote, develop and maintain a sustainable Australian industry capability by encouraging competitive Australian industry participation in investment projects (see <a href="http://www.industry.gov.au">www.industry.gov.au</a> for more information).
<b>Milestone</b>	A scheduled point in time at which Funding Recipients are expected to have accomplished agreed activities.
<b>Minister</b>	The Commonwealth Minister with Portfolio responsibility for infrastructure.
<b>Monthly Progress Report</b>	The report provided by States each month through IMS.
<b>National Land Transport Network</b>	The National Land Transport Network as in force from time to time that is determined by the Minister under Part 2 of the NLT Act.
<b>NLT Act</b>	<i>National Land Transport Act 2014</i>
<b>NPA</b>	The National Partnership Agreement on Land Transport Infrastructure Projects 2019-20 – 2023-24 between the Australian Government and the States for the delivery of land transport infrastructure Projects.
<b>NPA Schedule</b>	Schedule of Projects with a committed Australian Government funding allocation and financial year allocations agreed between the Australian Government and States that make up the Infrastructure Investment Program.
<b>Outturn Cost</b>	The sum of the price-escalated costs for each year of a Project's duration. Outturn Cost calculation requires the non-escalated or real project cost to be presented as cash flow and the identification, justification and application of an appropriate escalation index for each Project year to derive the price escalated cost for each year. The Project Cost Breakdown template can be used to calculate outturn costs.
<b>PGPA Act</b>	<i>The Public Governance, Performance and Accountability Act 2013</i>
<b>P50</b>	P50 is the Project cost with sufficient contingency to provide a 50 per cent likelihood that this cost will not be exceeded.
<b>P90</b>	P90 is the Project cost with sufficient contingency to provide a 90 per cent likelihood that this cost will not be exceeded.
<b>PCB</b>	Project Cost Breakdown template for Road and Rail Project costs is an excel spreadsheet developed in consultation with State jurisdictions. The purpose of these templates is to achieve improved consistency and rigour in the cost estimates included in funding submissions.
<b>PPR</b>	Project Proposal Report - A document submitted by the Proponent to the Department containing information on the Project, and prepared in accordance with the guidance at <a href="#">Appendix B</a> .
<b>Program(s)</b>	The sum of Projects within a particular State agreed between Commonwealth and State at any given time, to be managed on a programmatic basis.
<b>Project</b>	A Project approved under the NLT Act.

Term	Definition
<b>Proponent</b>	A State; an authority of a State; a Local Government Authority; or any other body corporate that submits a PPR for Australian Government funding under the NLT Act.
<b>State(s)</b>	All, or any, Australian States, the Australian Capital Territory and the Northern Territory.
<b>Unapproved Purposes</b>	<p>Unapproved Purposes include:</p> <p>costs incurred after the Final Milestone has been paid to the Funding Recipient (the Final Milestone generally aligns with the receipt of the Post Completion Report, with payment adjusted to include the Australian Government's unpaid share of Approved Purposes on the Project to date, and the Australian Government's agreed estimated share of outstanding Approved Purposes that may extend beyond the date of payment of the Final Milestone);</p> <p>the oversight and network administration costs of any State agency; or</p> <p>stand-alone artworks and aesthetic features that do not form part of a Project's functional component.</p>

## 2 Project Approval

This chapter sets out the requirements for Projects approved under Part 3 of the NLT Act. The approval processes and administrative requirements set out in this section apply to all Projects listed in the NPA schedules with the exception of maintenance and Black Spot Projects. Separate administrative requirements apply to Black Spot Projects (Refer to Appendix D) and maintenance payments (Refer to Chapter 6).

### 2.1 Committed Funding by the Australian Government

The Australian Government may commit funding to a Project at any time, for any phase based on information it deems appropriate.

Committed funding to a Project will be documented in the NPA Schedules and agreed by both the Australian and respective State Government. Projects may be listed in the NPA Schedules individually or collectively.

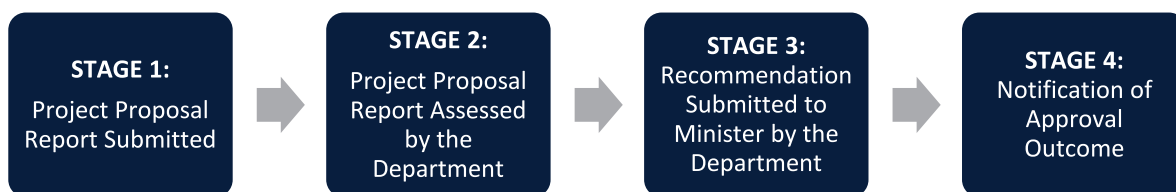
The announcement of Committed funding to a particular Project, and its subsequent inclusion in the NPA Schedules reflects the Australian Government's commitment to the outcomes of the Project but is not a guarantee of funding. Funding must be subsequently approved by the Minister in accordance with the relevant legislation. Any expenditure made by States before Project approval is at the Proponent's own risk, noting the NPA includes specific provisions relating to Project Withdrawals and Cancellations (Clauses 59 – 67).

### 2.2 Project Approval Process

The Project Approval Process is the process by which Project information is provided to the Department to facilitate the assessment of Projects against the relevant parts of the NLT Act and PGPA Act and make a recommendation to the Minister. The Department and Proponent will work cooperatively to meet the requirements of Project Approval, in accordance to the process set out below.

#### ***Project Approval Process***

The Project Approval Process consists of four stages as displayed in the diagram below.



More information of the requirements and processes relating to each stages of the Project Approval Process is provided in the following pages.

#### ***Infrastructure Australia Business Case Assessments***

An assessment of the merits of the proposal by Infrastructure Australia for Projects seeking \$250 million or more in Australian Government funding is required and forms part of the approval process. Proponents are required to provide Business Cases and relevant supporting information and documentation to Infrastructure Australia and to work cooperatively with Infrastructure Australia through its assessment process.



## 2.3 Stage 1: Submission of Project Proposal Report (PPR)

For Projects seeking approval for delivery funding, Proponents are required to provide the Department with the following documents accompanying the PPR:

- Indigenous Participation Plans consistent with the requirements of the Indigenous Employment and Supplier-Use Framework, for Projects with an Australian Government contribution above \$7.5 million and in some circumstances for Projects below \$7.5 million with strong potential to support Indigenous participation (further advice on information requested at [Appendix A3](#)).
- Local Industry Participation Plans or Australian Government's Australian Industry Participation Plan, which is to be forwarded as soon as completed by the successful tenderer.

## 2.4 Stage 2: Assessment of Project Proposal Report

The information provided in a PPR is assessed by the Department to guide its recommendations to the Minister on the merits and risks of a Project. The Minister will consider this assessment in determining whether to approve funding for the Project. The Department considers a range of factors when assessing PPRs, including a Project's eligibility under Part 3, Sections 10 and 11 of the NLT Act.

Information relating the eligibility and appropriateness for approval of Projects can be found at <https://www.legislation.gov.au/Details/C2018C00226>

### ***Identifying Approved Purposes for Funding***

All Australian Government funding against a Project must be expended on Approved Purposes. This is the only expenditure that will be counted in the total cost of the Project for Australian Government purposes. Where non-Australian Government contributions are listed against the Project in the NPA Schedule, only expenditure on Approved Purposes will be counted in those contributions.

Approved Purposes include:

- a. Costs of planning, pre-construction and construction, including public consultation, environmental assessment, design, land acquisition, and traffic management. Provided they are within the agreed scope of a Project, the items listed below are part of a non-exhaustive list of cost considered to be eligible:
  - Project or program management
  - client supplied insurances, fees and levies
  - environmental works
  - public utilities adjustments
  - retaining walls
  - drainage
  - tunnels
  - traffic signage, signals and controls
  - track work
  - design, investigation and trials demonstrations
  - rail systems, including overhead wiring, power supply and distribution, signalling, rail communications and combined services route
  - fencing
  - access roads
  - bridges
  - pavements
  - weigh stations
  - finishing works
  - Intelligent Transport Systems
  - rest areas
  - traffic management and temporary works
  - earthwork
  - property acquisition (including purchase price, transactional costs, business compensation and environmental offsets)
  - rail transport stations, transport interchanges, buildings, stabling and maintenance buildings

- b. Costs of using recycled materials in a Project, where use of the materials is consistent with relevant national or state and territory policies.
- c. Costs of meeting any conditions or requirements imposed on the Project under Australian or State law; this includes
  - i. the *Disability Standards for Accessible Public Transport 2002* (available at <https://www.legislation.gov.au/Details/F2011C00213>).
- d. Costs of reasonable measures to avoid or mitigate negative impacts of a Project (including temporary measures during construction);
- e. Costs of Project public recognition and publicity, including program signage and ceremonies connected to Project progress;
- f. Costs of signage to recognise significant Indigenous contributions to a project, where appropriate (see section 5.4);
- g. Costs of, or arising from, any legal action relating to a Project that is not due to the Funding Recipient failing to properly administer tender processes and supervise and manage relevant contracts; and
- h. The following items may be considered to be Approved Purposes if the Funding Recipient justifies the costs to the Department:
  - i. Costs of aesthetic features which provides the Project with a reasonable degree of aesthetic value such that it complements the surrounding environment, where such features are integrated into functional components of a Project;
  - ii. Costs of other non-construction and temporary construction elements of a Project, where these are operational in nature and are minor items of expenditure in the context of the overall Project;
  - iii. Costs associated with sections of road or rail that might be bypassed by a Project and cease to be part of the National Land Transport Network;
  - iv. Other costs which can be demonstrated to align with Approved Purposes set out in points (a) to (f) as defined above.

The Funding Recipient may contact the Department at any time to clarify Approved Purposes.

**Unapproved Purposes** - see Definitions and Abbreviations

### **GST Treatment**

Funding will not be provided for the Goods and Services Tax (GST) the Funding Recipient pays. All cost estimates and reported expenditure must be GST exclusive.

### **Treatment of Unapproved Purposes**

The Department acknowledges that, for some Projects, there can be synergy in combining Approved and Unapproved Purposes into a single tender and contract (for example, 'design, build and maintain' contracts where maintenance costs are not considered to be Approved Purposes). If Approved Purposes are combined with Unapproved Purposes in a tender, Approved Purposes should be clearly identified to the Department before the tender documentation is finalised. If such a tender proceeds, the Department may seek to review tender bids and may undertake a more detailed review of the cost split.

### **Reviewing and assessing cost estimates**

Cost estimates should be submitted in summary form in the applicable Project Cost Breakdown (PCB) template and in accordance with the principles outlined in the Department's current cost estimation guidance which can be accessed at [http://investment.infrastructure.gov.au/about/funding\\_and\\_finance/cost\\_estimation\\_guidance.aspx](http://investment.infrastructure.gov.au/about/funding_and_finance/cost_estimation_guidance.aspx)

A probabilistic cost estimation process must be used for Projects with a total anticipated Outturn P90 cost (including contingency and escalation) exceeding \$25 million. Projects with a total anticipated Outturn P90 cost under \$25 million may use a deterministic methodology, however the Department recommends using a probabilistic cost estimation method where possible.

The Department will review and assess the cost estimate (including the forecast annual allocations) provided in the PPR before making a recommendation to the Minister. Proponents must cooperate with any review undertaken.

The NPA requires Proponents to provide access to underpinning data for cost estimation purposes. As such, Proponents must maintain an electronic library of all documentation consulted in determining the Project estimate.

### ***Requests for tender exemptions***

A Proponent seeking an exemption from the requirement to use a public tender process must seek approval for the exemption in the PPR. The request for approval must detail the:

- Scope of works for which the exemption is being sought;
- Value of these works;
- Intended entity to undertake these works;
- Category under which the exemption is being sought (Section 24(1)(c) i to vi of the NLT Act); and
- Supporting reasons for the exemption.

The Department acknowledges that early planning, options analysis and preliminary designs works will generally be undertaken within state agencies and that tender exemption requirements do not relate to these internal activities.

### ***Agreeing to Milestones***

The NPA requires funding to be provided to Funding Recipients based on the achievement of Milestones.

Chapter 3 provides detail on how the Australian Government will pay Funding Recipients against Milestones.

Proponents will be required to propose a Milestone schedule for their Project in the PPR. The Department will review these Milestones and discuss changes with the Proponent.

Milestones will be agreed in writing by the Department and the Proponent.

The Department acknowledges that with major procurement in the Delivery phase, it may not be possible to schedule Milestones for construction activities before a contract is awarded. The Department also acknowledges there may be activities leading up to the completion of the major procurement which may be Approved Purposes. In these circumstances, the Department will accept a Milestone schedule covering the lead up to contract award. Once construction contracts are signed, the Funding Recipient will be required to review and, where necessary, update the Milestone schedule to include construction activities.

Funding Recipients must provide up to date information on all Project procurements, in line with Chapter 3 requirements.

Agreed Milestones will be entered into the Department's Infrastructure Management System (IMS). Milestones may be varied by agreement, in line with Chapter 3 requirements.

## **2.5 Stage 3: Recommendations to the Minister**

For Projects funded under the NLT Act, the recommendation will relate to whether or not the Project should be approved. If the recommendation is to approve the Project, the recommendation will include the amount of funding to be provided, the scope of the Project and any Project specific arrangements. The recommendation will take into account the amount of Committed Funding for the Project, if funding has been provided for a previous phases and the latest cost estimate. The recommendation to the Minister will also take into account the proposed Indigenous Participation Plan for the project, where applicable.

## **2.6 Stage 4: Notification of Approval**

Following a decision by the Minister, the Department will write to the Proponent advising if Project funding has been approved or not. If approved, a copy of the Funding Instrument will also be provided. Any Project- specific arrangements

agreed between the Minister and Funding Recipient in the context of Project approval will be set out in the correspondence. Once the Project is approved, the Funding Recipient will be required to abide by all funding conditions.

## 3 Project Administration

This chapter sets out the administration processes and requirements for approved Projects, including governance and financial governance arrangements.

### 3.1 Project Governance

The appropriate Project governance arrangements will be considered on a Project by Project basis and agreed between the Australian Government and the relevant State government at the outset of a Project, and may include steering committees, Project Specific Agreements, and joint business case teams.

#### ***Steering committees and Project boards***

Where Funding Recipients implement governance arrangements such as steering committees or Project boards for a Project with an Australian Government funding contribution, the Australian Government will be given the opportunity to participate in such committees.

The role of Australian Government representation on steering committees and Project boards will be discussed and agreed between the Australian Government and the relevant State on a case by case basis at the commencement of the Project and at agreed intervals throughout the Project lifecycle.

The Australian Government or the Funding Recipient may request that steering committees or Project boards be established.

#### ***Project Specific Agreements***

Following commitment by the Australian and State Government to the Project either party may request a Project Specific Agreement (PSA), Memoranda of Understanding or similar Project document. Such documents will:

- Apply to select Projects on the NPA schedule and generally appended to the Schedule (for example a PSA may not be attached if it contains commercial in confidence information).
- Be negotiated between the Australian Government and the relevant State on a case by case basis for the relevant Project.
- Apply to high priority Projects that have the potential to deliver broader outcomes, are of high strategic or financial value, and/or are associated with high levels of complexity or risk.
- Specify the additional requirements and outcomes the Project is seeking to deliver consistent with, but in addition to, the NPA. The additional outcomes are likely to extend beyond transport outcomes and may relate to: alternative funding or financing opportunities, housing, population management, urban renewal, economic growth and development.

Project Specific Agreements and Memoranda of Understanding are not intended to be legally enforceable. However, this does not lessen the Parties' commitment to these agreements.

#### ***Business Cases***

For business cases where the Australian Government has committed funding, the Australian Government expects States to provide it with timely information on business case development and that the States will consult the Australian Government on decisions on key elements, such as scope options, alignments and issues impacting the Project cost. State decision-making should have due regard to the Australian Government's interests, objectives and desired outcomes.

Draft and subsequent final business cases funded by the Australian Government are to be provided to the Australian Government in a timely, transparent and comprehensive manner.



The Australian Government or State government may request the establishment of a joint Project team for Projects that receive Australian Government Business Case funding. The roles and responsibilities of Australian Government representation on Project teams will be discussed and agreed on case by case basis.

## 3.2 Financial Governance

### ***Early cost estimates***

The Australian Government's contribution to the final Project cost will be consistent with its commitment and drawn from the overall program allocation. For projects where a P90 cost estimate is not yet fully developed, or the delivery contract has not yet been awarded the Australian Government's funding contribution will not be capped.

### ***Post Procurement/ Cost Schedule updates***

The Department requires up-to-date information on estimated Project costs and proposed Project delivery schedules. When a major component of the work is awarded to a contractor, Funding Recipients must inform the Department of the agreed contract price, including contingency and escalation factors, and provide an updated overall Project cost estimate (including Base Estimate, P50 and P90 Project Estimates and P50 and P90 Outturn Costs). Milestones may be varied to reflect the contractor's delivery schedule.

For Projects with an Australian Government funding commitment of \$100 million or above, the Department may undertake a formal cost estimation review following award of the major construction contract. Where it has been determined that the Project can be delivered for lower than the original estimate based on the contract price, the Australian Government may, in consultation with the State, adjust its allocation to reflect the updated estimated cost. Any savings identified through this review may be reinvested in that State with the agreement of the Australian Government.

### ***Variable and Fixed Scope Project Funding***

For projects with a fixed scope (such as the delivery of a bypass, interchange upgrade etc.) the Australian Government will commit funding at the agreed P90 level. For projects receiving an Australian Government contribution of \$25 million or greater, funding will be released at the agreed P50 level up to the Australian Government's agreed proportion of the overall Project P50 Outturn Cost outlined in the PPR. Additional funding, up to the maximum of Committed Funding outlined in the NPA Schedule (generally P90), will only be approved and released on a demonstrated needs basis. For projects receiving less than \$25 million, funding will be released at the P90 level.

Where it is agreed funding up to the P90 level is unlikely to be required to complete the project, the committed funding can be reduced, with savings then available for reallocation within the states program.

However, for projects where there is a fixed commitment, such as a package of works along a corridor, where the objective is to upgrade as much road as possible within the committed funding, the Australian Government will approve funding up to the amount committed and not generally require estimates at P50 / P90 level.

## Reporting

Funding Recipients must submit the following reports according to the following timelines:

Report	Guidance	Due date
Monthly Progress Report	<a href="#">Appendix C1</a>	13th of each month
Cash Flow Projections Report	<a href="#">Section 3:2</a>	Biannually (generally on 28th February and 15th August)
Post Completion Report	<a href="#">Appendix C2</a>	Within 12 months of Project Completion unless otherwise agreed
Annual Financial Statement and Audit Report	<a href="#">Appendix C3</a>	After Project completion and within six months of the next financial year

The Department maintains its discretion over the right to request additional specific information about a Project and the right to change the timing and requirement of certain reports, with the exception of the Annual Financial Statement and Audit Report which is a legislative requirement.

## Cash Flow Projections

Funding Recipients must provide the Department with Cash flow projection reports on the 28th of February and the 15th of August each year or biannually as requested. The Funding Recipient is expected to input the information into templates provided by the Department that set out milestone payment profiles for Projects listed in the NPA schedule.

For each Project Funding Recipients are required to identify between 2-4 milestone payments per annum, noting that the number of payments will vary between Projects. In any given year the sum of the milestone payments should endeavour to match Project funding allocations for that year, noting funding requirements will change on some projects due to a range of factors.

Additionally, Funding Recipients are expected to provide milestone payment profiles for the period of the forward estimates based on a total annual funding allocation for the relevant Project.

Any changes to Cash flow profiles across financial years will require approval by the Australian Government.

## Making Payments

In order for the Australian Government to make a payment against a Project the Funding Recipient must submit a claim through the Monthly Progress Report process. A Monthly Progress Report template will be available for Funding Recipients to generate in IMS from the 1st to the 13th of each month or as requested. The Monthly Progress Report template will show if a Project is eligible to claim payment that month, based on previously agreed Milestones.

If the Department is satisfied that the Funding Recipient has met the Milestone the funding will be paid out in the month after the claim for payment was accepted by the Department.

Non-payment of a scheduled Milestone will trigger a Milestone variation as outlined below.

## ***Variations to Projects***

The Department recognises that certain circumstance can lead to changes to the approved Project. In accordance with section 57 and 58 of the NPA, all significant variations to a Project must be agreed in writing between the parties. This includes, but is not limited to, variations to:

- Total Project cost, including the funding contributions of all parties;
- Scope;
- Timelines; or
- Other circumstances subject to a condition.

A formal request for variation must be submitted to the Department with supporting information. Funding Recipients should discuss the potential variation with the Department at the earliest possible instance as the nature of the variation will determine the type and amount of supporting information required.

The Department may seek to review and validate cost estimates used to justify any request for changes to the amount of either approved or committed funding.

Where the proposed Project variation will result in a change to the schedule of Milestones, the Project variation must be agreed first and the Milestones then varied as outlined immediately below.

## ***Variations to Milestones***

Variations to the timing or payment of a Milestone for a particular Project may be requested by either the Department or Funding Recipient. Request for variations must involve formal communication and agreement, by letter, email or through IMS for example, between the Department and the Funding Recipient before the update being processed through IMS.

Where the requested changes to Milestones are the result of a Project variation, the Project variation must be agreed in writing before requesting variation of Milestones.

Requests for variations to Milestones can only be submitted in IMS between the 14th and the end of each month, subject to these restrictions:

- A request to vary a Milestone cannot be made in the same month as the Milestone is due (for example, a request for variation to Milestones due in January 2019 cannot be made in January 2019);
- The sum of all Milestone payments within a financial year cannot exceed the amount allocated for that financial year, without consultation with the Department; and
- The sum of all funding paid and all future Milestones payments cannot exceed the Approved Funding for the Project.

## ***Management of Program funding***

Funding Recipients may request approval from the Australian Government to reallocate under and over spends within the State's program. In seeking approval to reallocate over and underspends Funding Recipients will provide the following information to the Department:

- The rationale for the under or overspend;
- The quantum of funds to be reallocated and the timing of the movement of funding;
- The implications of the movement of funds for other projects and the State's overall program funding; and
- Any other information the Department may require to consider and seek approval for the proposed change.

The Australian Government will consider the application for the proposed reallocation of funding on a case by case basis and advise the Funding Recipient of the outcome of the application.

Request for reallocation of funding must involve formal communication and agreement, by letter exchange for example, between the Department and the Funding Recipient before the update being processed through IMS.

### ***Interest earned on payments in advance***

States are required to estimate the interest earned on payments in advance. The method of calculation is to be agreed between the Department and relevant state on a case by case basis.

In the absence of agreement to an alternative arrangement, the Australian Government weighted average costs of borrowing will be applied as the basis for the estimate. The weighted average cost of borrowing is estimated by the Australian Government biannually for MYEFO and the Australian Government Budget and reported in Statement 7: Debt Statement, Assets and Liabilities. The Department will notify Funding Recipients of the Australian Government weighted average cost of borrowing, which States will apply to estimate the interest earned on payments in advance.

The Department and States will work collaboratively to estimate the interest earned on payments in advance biannually to the Department at the time of the Budget and MYEFO.

Note interest requirements relate specifically to payments made in advance of normal milestone payment arrangements. Funding recipients are not required to account for interest on funding paid under normal milestone payment processes.

## **3.3 Risk and Assurance Program**

Projects listed in the NPA Schedules are subject to assessment through the Department's Risk and Assurance Program.

The purpose of the Risk and Assurance Program is to provide assurance that the Australian Government's significant investment in infrastructure is being delivered in accordance with legislative and other requirements.

Each financial year a selection of projects will be identified by the Department for assessment under the Risk and Assurance Program.

The Funding Recipient and any subcontractor must bear their own costs of complying with the requirements of the Risk and Assurance Program.



## 4 Project Completion

This chapter outlines the activities that must occur after a Project is complete in order for the Project to be officially closed.

### 4.1 Post Completion

Once a Project has reached physical completion it enters the Post-Completion Phase. The Post-Completion Phase lasts for up to 12 months unless a request demonstrating why an extension is required is submitted to and approved by the Department. During the Post-Completion Phase the Funding Recipient must prepare and submit to the Department:

- A Post-Completion Report (Appendix C2);
- A statement from the Chief Executive Officer of the Funding Recipient, or their delegate, that amounts expended from funding payments have been, or will be, wholly expended on Approved Purposes in relation to funded Projects; and
- A payment request for the Final Milestone.

During the Post-Completion Phase the Department will:

- Undertake an initial evaluation of Project outcomes, reviewing costs and outstanding expenditure items, and the performance of the asset against its objectives, with reference to agreed performance indicators;
- Ensure Indigenous participation requirements have been met, including that the Funding Recipient has provided all necessary documentation and publicly reported on performance against any agreed Indigenous targets;
- Ensure the state has provided a copy of its Local Industry Participation Plan or an Australian Industry Participation Plan for projects receiving more than \$20 million in Australian Government funding; and
- Match the Committed Funding to the Approved Funding for the Project.

In particular, the Final Milestone will be adjusted to include the Australian Government's unpaid share of Approved Purposes on the Project to date, and the Australian Government's agreed estimated share of outstanding Approved Purposes that may extend beyond the date of payment of the Final Milestone (e.g. noise monitoring contracts, final landscaping contracts, land acquisition settlements).

Note: The cost estimate for the whole Project at the conclusion of the Post Completion phase includes the actual costs from the Scoping, Development and Delivery phases, noting that some residual property- related costs may have to be handled separately.

### 4.2 Project Closure

Upon payment of the Final Milestone, a Project is deemed to be closed. Funding Recipients must report this payment in their next Annual Financial Statement and Audit Report (Appendix C3).

Once closed, Funding Recipients can no longer claim funding from the Australian Government for the Project and no longer have to provide Project Monthly Progress Reports.

Funding Recipients are still required to abide by the Project Evaluation requirements, and must notify the Australian Government by way of the Annual Financial Statement and Audit Report if it sells or disposes of an interest in land that was acquired using all or part of a funding payment.

## 4.3 Project Evaluation

The Funding Recipient agrees to cooperate in the evaluation of projects to facilitate Project performance reviews and continuous improvement of investment decision making.

The Department may conduct an evaluation, to determine the extent to which Project transport outcomes have been achieved and review the accuracy of demand forecasts and cost estimates used to assess the Project.

Funding Recipients may be required to provide information to assist in this evaluation for a period of time, as agreed.

If a Funding Recipient conducts a Project evaluation without involving the Department, they must provide a copy of the evaluation report to the Department.

## 5 Public Recognition

This chapter outlines the Australian Government's requirements for the development and use of promotional material on projects funded under the NPA.

### 5.1 Rights of the Australian Government

The Australian Government reserves the right to publicise and report on the funding it commits or approves to a Funding Recipient. This can include publicising the Funding Recipient's name, the amount of the funds given to the Funding Recipient, the name of the Project, a description of the Project, maps of the Project's location, or any other information the Australian Government deems appropriate.

The Government may do this by:

- Including information about the funding in traditional and social media
- In general announcements and speeches
- In annual reports and Budget documents
- On the Department's website or websites belonging to any Australian Government Minister
- By any other method.

### 5.2 Funding Recipient Obligations

A Funding Recipient must acknowledge the financial support they have received from the Australian Government, and must consult with the Australian Government prior to releasing any promotional and advertising materials, public announcements and media activities in relation to a Project.

Where public recognition of a Funding Recipient's Budget or forward program for land transport infrastructure funding includes funding provided by the Australian Government, a full acknowledgement of the Australian Government's funding contribution in total and in respect of individual Projects must be made.

The Australian Government expects equal access to products States obtain in the development of promotional material including but not limited to Project data and benefits, and all raw project footage and images.

### 5.3 Australian Government and State jointly funded projects

Where a Project is funded jointly, with approximately equal funding contributions, all public recognition for that Project is required to be jointly agreed with both parties receiving equal prominence. Public recognition for a Project stating, requiring or implying a funding commitment by the Australian Government must not be finalised without first agreeing with the Department.

Where any public recognition is proposed, the Funding Recipient must provide reasonable opportunity for the Australian Government to contribute to all communication strategies and announcements, have equal representation at events, and work cooperatively with the Department to provide:

- Adequate notice of the proposed public recognition (particularly with ceremonies), of dates, of plaques to be made and of any attendance by Members of Parliament that has to be arranged;
- Appropriate opportunity to ensure that the proposed public recognition meets Australian Government expectations; and
- Access to all products obtained for use in the development of promotional material including but not limited to Project data and benefits, and all raw project footage and images.

When installing Project signage, including Commemorative Plaques, Funding Recipients must also comply with the Australian Government's Signage Guidelines, available from the Department's website [http://investment.infrastructure.gov.au/about/resources/signage\\_guidelines.aspx](http://investment.infrastructure.gov.au/about/resources/signage_guidelines.aspx).

Operational announcements related to the Project, such as Notices relating to night works do not require Departmental approval.

## 5.4 Additional requirements for majority Australian Government-funded Projects

In addition to the above requirements, where the Australian Government is a majority funder of a Project, promotional material and public recognition must provide major prominence to the Australian Government's contribution, set out in the Australian Government Signage Guidelines. This applies to all promotional material, announcements, launches and events in connection with a Project.

### ***Recognising the contribution of local Indigenous Communities on projects***

Where a local Indigenous community, particularly in Remote Australia, has made a significant contribution to delivery of a project funded under the NPA, the Funding Recipient, in consultation with relevant Indigenous stakeholders and the Department, may consider highlighting their contribution on project signage, where appropriate. This signage is considered an approved purpose under section 2.4 above (Identifying Approved Purposes for Funding).



## 6 National Land Transport Network Maintenance

This chapter sets out the requirements relating to maintenance payments for the National Land Transport Network.

### 6.1 Allocation

The Australian Government contribution towards maintenance of the road component of the National Land Transport Network will be provided as an annual allocation to each State. The Minister approves maintenance allocations annually under Section 9(1) and 17(1) of the NLT Act. The annual allocation to each State will be determined by a formula. The formula is based on three components of non-tolled National Land Transport Network roads in each State, which are given equal weighting for:

- Lane length;
- Total average daily vehicle distance travelled; and
- Total average daily heavy vehicle distance travelled (using equivalent standard axles as the measure).

Each State's allocation from the Australian Government's maintenance budget will be determined by its proportion of each component relative to the total for all non-tolled roads in the National Land Transport Network. Each State is to provide, by 31 December each year, the data necessary to enable the Australian Government to allocate this funding according to the formula. Section 6.5 details the data required.

Annual road maintenance funding is only to be spent on non-tolled roads on the National Land Transport Network.

### 6.2 Approval

Each State's maintenance allocation is approved by the Minister as a Project eligible under Section 10(b) and appropriated under Section 11(b) of the NLT Act.

As a Project approved under Part 3 of the NLT Act, the conditions in Part 3, Division 3, of the NLT Act apply where appropriate.

### 6.3 Maintenance standard

Australian Government road maintenance funding is provided as part of a partnership with States to assist maintain the National Land Transport Network to a standard consistent with each State's maintenance policies and practices and in consideration of the appropriate level of service for each road based on its classification by the respective State.

The appropriate level of service may need to be revised to take into account relevant service level standards agreed as part of the Council of Australian Governments (COAG) Land Transport Market Reform.

## 6.4 Road maintenance reporting

Each year, these road maintenance reports are required:

Report	Guidance	Due date
Road Maintenance Formula Data Report	<a href="#">Section 6.5</a>	31 December
Annual Financial Statement and Audit Report	<a href="#">Appendix C3</a>	31 December
Maintenance Performance Report	<a href="#">Section 6.6</a>	30 September

## 6.5 Road Maintenance formula data

This table shows the data required for the road maintenance allocation formula:

Corridor Name						
Link	Link Length (km)	Lane Length (km)	AADT (average over link)	*ESA show % by each Austroads class and ESA per class	Veh.kmt	ESA.kmt
Total						

\*A traffic section based value of Equivalent Standard Axle (ESA) per vehicle class is to be used in accordance with Austroads recommendations.

## 6.6 Maintenance performance report

These are the Australian Government's requirements for the annual Maintenance Performance Report:

### A. *Provision of data*

- a. Data is to be provided electronically with geo-referencing; and
- b. On dual carriageways, condition data is required for both carriageways, with each carriageway individually referenced.

### B. *Road characteristics data*

The following road characteristics data is required:

- a. Roughness – International Roughness Index (IRI) for the latest year available;
- b. Surfacing age, or if not applicable – with reason supplied (for example, concrete pavements);
- c. Target surfacing age or n/a if not applicable;
- d. Seal width; and
- e. Speed limit.

Road characteristics data should be provided for short, convenient road lengths of about one kilometre.

### C. *Road use data*

The following road use data is required:

- a. Annual Average Daily Traffic (AADT) with year recorded or derived; and
- b. Percentage of heavy vehicles.

Road use data should be provided at the most detailed level held by the State agency.

### D. *Maintenance expenditure*

The following maintenance cost data is required:

- a. Total annual maintenance expenditure, indicating Australian Government and State contributions (including rehabilitation and/or reconstruction) for each road link for the previous financial year, showing pavement and off-pavement expenditure
- b. Planned pavement maintenance budget (including rehabilitation and/or reconstruction) in the current financial year for each link to achieve proposed condition outcomes, together with the estimated cost of off-pavement maintenance (that is, the estimated total maintenance expenditure).

### E. *Maintenance indicators*

The Australian Government uses two indicators—the Preventative Maintenance Indicator (PMI) and the Riding Quality Indicator (RQI)—to monitor road conditions under the NPA.

The Australian Government uses the data provided in the Maintenance Performance Report to calculate the Preventative Maintenance Indicator and the Riding Quality Indicator and assess the overall condition of each link. Refer to [Appendix E](#).

## 6.7 Maintenance milestones

The maintenance allocation will be paid on Milestones. There will be two maintenance Milestones a financial year.

Milestone	Activity	Payment
Milestone 1*	Acceptance by the Department of the Road Maintenance Formula Data Report from all States	25% of the allocation
Milestone 2	Acceptance by the Department of the Maintenance Performance Report	75% of the allocation

\*It is intended that Milestone 1 will be raised in IMS for August.

### ***Milestone variations***

Maintenance Milestone variations will follow the process in Section 3.2.

### ***Unclaimed Milestones***

Maintenance Milestones unclaimed within a financial year will not be carried over into the next financial year.

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## Appendix A – Funding Conditions

Projects are subject to funding conditions set out in the NPA and from these sources:

- A1: The NLT Act (see <https://www.legislation.gov.au/Details/C2018C00226>)
- A2: Compliance with other laws; and
- A3: Indigenous Employment and Supplier- Use Infrastructure Framework.

### Appendix A1 Funding conditions under the *National Land Transport Act 2014*

The following mandatory conditions apply to funding payments for Projects and are set out in the NLT Act (Subdivision B – The Mandatory Conditions). Not all Projects are required to abide by all conditions. This table summarises the conditions each type of Project must abide by:

NLT Act mandatory conditions (as described below)								
PROJECT TYPE	A1.1	A1.2	A1.3	A1.4	A1.5	A1.6	A1.7	A1.8
Projects contained in the NPA Schedules	✓	✓	✓	✓	✓	✓	✗	✓
Maintenance Projects	✓	✓	✓	✓	✗	✗	✗	✓
Black Spot Projects	✓	✓	✓	✓	✗	✗	✓	✓

#### **A1.1 Funding payment must be expended on the funded Project**

The funding payment must be wholly expended on Approved Purposes in relation to the funded Project.

#### **A1.2 Funding Recipient must give Minister audited financial statements**

The NLT Act requires Funding Recipients to submit audited financial statements to the Minister. In particular, an Annual Financial Statement and Audit Report must be submitted (template at [Appendix C3](#)).

#### **A1.3 Funding Recipient must allow inspections by authorised persons**

The Funding Recipient must, at all reasonable times, permit a person authorised by the Minister to inspect any work involved in carrying out a funded Project and to inspect and make copies of documents relating to the Project.

#### **A1.4 Funding Recipient must provide information on request**

The Funding Recipient must, as and when requested by the Minister, provide information relevant to the progress of the funded Project or the operation or condition of the National Land Transport Network.

This could include information about the progress of an approved Project, which may be sought by way of the reports identified in Section 3.2 and Section 6.4 of the Notes.

### **A1.5 State Funding Recipient must call for public tenders for certain work**

States and authorities of a State should, as a matter of policy, use public tender processes for Projects. This obligation can be satisfied in some cases by selecting contractors under a pre-existing panel arrangement, where it can be demonstrated that the pre-existing panel arrangement was the result of a public tender process.

If the Funding Recipient is a State or an authority of a State, the Funding Recipient must call for public tenders for all work on funded Projects, other than on work that:

- a. is maintenance of a road or railway; or
- b. is carried out by a public utility; or
- c. the Minister has, by written exemption relating to the Project, exempted from this condition because, in the Minister's opinion the work:
  - i. is urgently required because of an emergency; or
  - ii. is of such a minor nature that the invitation to tenders for the work would involve undue additional cost; or
  - iii. is of a kind for which it is not practicable to prepare adequate tender specifications; or
  - iv. is of a kind for which competitive tenders are unlikely to be received; or
  - v. will contribute to employment in a region; or
  - vi. costs less than an amount determined by the Minister by legislative instrument.

The Department acknowledges that early planning, options analysis and preliminary designs works will generally be undertaken within state agencies and that tender exemption requirements do not relate to these internal activities.

### **A1.6 Obligations following the sale or disposal of interests in land**

If a State sells or disposes of an interest in land acquired using all or part of the funding payment, the State must pay the Australian Government an amount proportionate to the Commonwealth contribution to the land acquisition using this formula set out under Section 25(1) of the NLT Act:

$$\text{Amount due} = \text{Value} \times (\text{Commonwealth contribution} / \text{Acquisition cost})$$

The Act defines Commonwealth contribution as: 'so much of the funding payment as was used to meet the acquisition cost'.

States must calculate the Commonwealth contribution using this formula:

$$\begin{aligned} \text{Commonwealth contribution} = \\ \text{Acquisition cost} \times (\text{Commonwealth total contribution to the Project} / \text{Total Project cost}) \end{aligned}$$

Alternatively, the State may, with the written approval of the Minister, spend an amount equal to the amount determined by the formula on Approved Purposes for another Project. Submissions should be made in writing to the relevant Department contact and are subject to approval by the Minister.

Section 25(1A) of the NLT Act states that a State must, as soon as practical after selling or disposing of an interest in land acquired using all or part of the funding payment, notify the Minister of the sale or disposal.

Funding Recipients must report the sale or disposal of an interest in land acquired using Australian Government funding in the Annual Financial Statement and Audit Report ([Appendix C3](#)).

***A1.7 Funding Recipient must maintain records relating to motor vehicle crashes***

The Funding Recipient must maintain, and make available as required, records relating to the nature and frequency of motor vehicle crashes involving death or personal injury occurring at the site of the funded Project.

***A1.8 Other funding conditions determined by the Minister***

The NLT Act allows for the Minister to create, vary or revoke other conditions to be applied to Australian Government funding where there is no funding agreement in place.



## Appendix A2 Compliance with other laws

Funding Recipients are required to comply with other laws, as applicable, as a condition of Australian Government funding.

### ***A2.1 Funding Recipients must ensure the use of WHS accredited builders where applicable***

Where applicable and as a condition of Australian Government funding, Funding Recipients may only contract builders accredited under the Australian Government Building and Construction WHS Accreditation Scheme. This condition may be satisfied by providing written assurance to the Department.

The WHS Accreditation Scheme applies to construction Projects directly funded by the Australian Government with a value of \$4 million or more.

The WHS Accreditation Scheme also applies to construction Projects indirectly funded by the Australian Government where the:

- Value of the Australian Government contribution to the Project is at least \$6 million and represents at least 50 per cent of the total construction Project value; or
- Australian Government contribution to a Project is \$10 million or more, irrespective of the proportion of Australian Government funding; and
- Head contract(s) which include building work is/are valued at \$4 million or more.

For further information on the Australian Government Building and Construction WHS Accreditation Scheme refer to <https://ablis.business.gov.au/service/ag/australian-government-building-and-construction-workplace-health-and-safety-accreditation-scheme/301>.

### ***A2.2 Funding Recipients must ensure compliance with the Building Code 2016***

Where applicable, Funding Recipients must ensure that compliance with the Code for the Tendering and Performance of Building Work 2016 (Building Code 2016) is made a condition of tender for all contractors and subcontractors who tender for the work. This condition may be satisfied by providing written assurance to the Department.

The Code applies to building work that is being undertaken by or on behalf of the Funding Recipient irrespective of the value of the Project. The Code also applies to construction contracts for Projects indirectly funded by the Australian Government where its contribution is:

- At least \$5 million and represents at least 50 per cent of the total construction value; or
- \$10 million or more irrespective of the proportion of total Project funding.

### ***A2.3 Funding Recipients must adhere to Australian Government environment and heritage legislation***

For most Projects, the relevant legislation will be the *Environment Protection and Biodiversity Conservation Act 1999* and its subsidiary regulations and agreements. Funding Recipients should refer to the relevant bilateral environmental assessments and approvals agreement for their State for guidance on processes required to satisfy this condition. These bilateral agreements are accessible at <http://www.environment.gov.au/epbc/state-federal-government-working-together>.

Funding Recipients must advise how they are addressing Australian Government environment and heritage requirements. Construction cannot proceed until Funding Recipients have demonstrated that these obligations have been met. This may include collecting compliance evidence, such as environmental impact assessments and reports.

The Department strongly recommends that, before starting an environmental study for a Project, Proponents contact the Commonwealth Department of Agriculture, Water and the Environment <http://www.environment.gov.au/epbc/index.html>. This Department provides advice about Australian

Government requirements and ensures that the study properly addresses the Government's legislative requirements. This will reduce the likelihood of additional cost and time delays obtaining environmental approval.

#### ***A2.4 Funding Recipients must use a Local Industry Participation Plan or equivalent***

Where applicable, Funding Recipients must develop a Local Industry Participation Plan (LIPP), consistent with Australia's international trade commitments, for any Projects that has an Australian Government funding contribution of \$20 million or more. If States do not have a Local Industry Participation policy in place, the Australian Government's Australian Industry Participation Policy should be used.

LIPPs should be provided to the Department as part of the PPR process or upon receipt from the successful tenderer. More information on what should be included in a LIPP and the Australian Industry Participation Plan's template can be found at: [www.industry.gov.au/aip](http://www.industry.gov.au/aip).

The Department requires Funding Recipients to provide a copy of a Projects LIPP as part of the Project's governance process and for onward forwarding to the Commonwealth Department of Industry, Science, Energy and Resources and the Department of Foreign Affairs and Trade who will review and provide feedback as appropriate.

#### ***A2.5 Funding Recipients must meet other statutory requirements***

In addition to Australian Government environmental and heritage legislation, Funding Recipients must also meet other statutory requirements where relevant. These may include, but are not limited to:

- Native Title legislation
- State government legislation — such as environment and heritage requirements
- Local government planning approvals.

The Department requires written confirmation that relevant requirements have been met. This may include evidence of compliance, including reports, where appropriate.

## Appendix A3 Indigenous Employment and Supplier-Use Infrastructure Framework (Framework)

### Important

The purpose of Appendix A3 of the Notes on Administration is to set out the Framework's implementation and administrative requirements for Funding Recipients. If any inconsistencies arise between the originally drafted Framework, and any part of the Notes on Administration with regard to Indigenous participation requirements, the requirements contained in A3 will prevail. The full version of the Framework, which sets out the Commonwealth's policy intent and strategic context can be accessed on [investment.infrastructure.gov.au](https://investment.infrastructure.gov.au).

The Framework applies to construction projects receiving \$7.5 million or more in Australian Government contributions and in some circumstances for projects below \$7.5 million with strong potential to support Indigenous participation. For more detail on Project Thresholds and Exemptions see A3.8.

### Summary of requirements

Funding Recipients must submit an Indigenous Participation Plan or similar for each applicable project. It must include the following key elements:

- A participation target comprising either, or both an employment component and supplier-use component
- An engagement plan outlining engagement with relevant Indigenous stakeholders, and supply-side support providers, and
- A plan for public reporting on performance to promote transparency and accountability.

Where State governments have existing Indigenous participation policies or plans that meet or exceed the Australian Government's requirements, the Australian Government will consider accepting the State's plan, on a project-by-project basis. More information on Alternatives to developing an Indigenous Participation Plan is at A3.2.

### A3.1 Indigenous Participation Plans

Funding Recipients are required to develop Indigenous Participation Plans for transport infrastructure projects receiving \$7.5 million or more in Australian Government contributions through the major road and rail investment program under the NPA. The requirements apply to projects where construction stage funding is formally approved under the *National Land Transport Act 2014* and that are publicly tendered from 1 July 2019 (requirements will not be applied retrospectively to projects where construction stage funding was approved and works were publicly tendered prior to 1 July 2019).

The Plans should set out the anticipated opportunities for Indigenous participation, including specific targets for Indigenous employment and supplier-use in the delivery of projects (see *Calculation of targets* below). The Plan should address how targets will be met, how opportunities will be communicated to the community, and how the longer-term participation of Indigenous employees and suppliers will be facilitated (for example through capability development).

It is expected that Funding Recipients will address these requirements through their procurement processes and the approach to Indigenous participation will be negotiated with the successful contractor. Funding

Recipients should look favourably on proposals that promote long-term and sustainable Indigenous participation.

The Funding Recipient is required to submit the Indigenous Participation Plan at the time of providing their Project Proposal Report to the Department of Infrastructure, Transport, Regional Development and Communications (the Department), which occurs before formal approval of Australian Government funding and States going out to tender. The Department will assess the Plan's approach and rationale supporting proposed targets, and may request further information from States or request changes to the Plan.

Funding Recipients will need to set out the Indigenous participation requirements in tender documents to ensure industry has visibility prior to bidding for work. Should there be significant variation to the Plan (i.e. contractors are unable to satisfactorily address the proposed requirements set out in the agreed Plan), the Funding Recipient should consult with the most appropriate Indigenous representative body (for example a Land Council), and come back to the Department for further discussions before awarding the contract.

Funding Recipients should engage early with the National Indigenous Australians Agency (NIAA) and/or the Commonwealth Department of Education, Skills and Employment State Office Network on the development of their Plans. In terms of geographic reach, on-the-ground presence and knowledge of local Indigenous communities, the regional offices are well-placed to connect up appropriate supports with the specific needs of individual projects and communities. This will also allow for early and ongoing identification of any gaps in supply-side supports.

Agreement from the Australian Government minister with responsibility for transport infrastructure to the proposed Plan is required prior to the construction contract being awarded. The Department may seek advice from other relevant agencies in developing advice to the Minister.

### ***A3.2 Alternatives to developing an Indigenous Participation Plan***

Where a State has developed a detailed Indigenous participation plan for a specific project, the Department may agree to accept the State's plan in lieu of completing an Indigenous Participation Plan. This will be considered on a case-by-case basis.

This option would only apply where the State's plan has been developed for a specific project and provides sufficient detail for the Department to assess whether it addresses all of the Framework's requirements, including with regard to setting targets, appropriate engagement with supply-side support providers and Indigenous bodies, and public reporting on performance.

This approach is intended to recognise proactive efforts by States to develop ambitious and high-quality Indigenous participation plans for transport projects and avoids duplication of effort.

States would need to seek prior agreement in writing from the Department to their proposed plan. In line with the process for agreeing Indigenous Participation Plans, the agreement of Australian Government minister with responsibility for transport infrastructure will also be required.

### ***A3.3 Calculation of targets***

Indigenous participation targets are to be set to reflect the local Indigenous working age population, with Funding Recipients able to put forward adjustments to targets (up or down), supported by appropriate States, taking into consideration:

- the local employment market, including in terms of the number of Indigenous businesses, workers and job seekers, and their relevant skills, capabilities, qualifications and training; and
- the scale, value and location of the project, and skills and capabilities required to deliver the project; and
- the availability of supply-side services to support the meeting of any targets and assist build the capacity of Indigenous businesses and job-seekers to take up opportunities; and
- existing State policies and/or targets.

Information on the local Indigenous working age population can be sourced from the Australian Bureau of Statistics or from an equivalent State agency. Any queries about setting the target can be referred to the Department in the first instance.

Targets can be met through any combination of employment or supplier-use across the supply chain (see below).

- Employment is to be measured in terms of number of full time equivalent (FTE) employees (not head count).
- Supplier-use is to be measured by percentage of contract spend, calculated at the project level.

Funding Recipients need to specify the proportion of both employment and contract spend and how each component contributes to the overall target.

Where a Funding Recipient proposes to use alternative metrics to calculate targets, including in accordance with their own State policy, this should be explained in the Indigenous Participation Plan.

Indigenous participation targets can be met over the life of a project, allowing varying levels of labour requirements and supplier engagement during the project phases. Once targets are agreed, any variation to targets, for example where there is a change to the scope or size of the project which impacted on Indigenous participation, requires agreement from the Australian Government.

As the capability of the Indigenous workforce and business sector increases, and additional supply-side supports are implemented, and readiness of employers/contractors to take on increased numbers of Indigenous workers and contracted suppliers increases, it is expected that there will be less need for flexibility in setting targets.

#### ***Weighting of Indigenous participation requirements***

State governments have primary responsibility for the procurement, construction and maintenance of infrastructure projects, and the majority also have their own Indigenous employment and procurement policies. The Framework is intended to provide States with flexibility to procure and manage projects effectively and efficiently, while still meeting the Australian Government's Indigenous participation requirements.

On this basis, the Framework does not specify a weighting for Indigenous participation requirements in the award of contracts. Instead, the procuring agency has discretion to consider the strength of the Indigenous participation component in the context of the proposal as a whole.

This will ensure that contractors' capability to deliver the required works on a value for money basis remains the prevailing consideration in the award of contracts by State governments.

### **A3.4 Verifying Indigeneity**

To ensure that Indigenous Australians are the genuine beneficiaries of the Framework, it is important to apply a consistent approach to verifying Indigeneity of businesses and individuals.

It is noted, however, that seeking to verify Indigeneity, particularly of individuals, poses both cultural and administrative complexities. Some job-seekers and businesses may be unwilling to identify as Aboriginal or Torres Strait Islander due to fear of discrimination. There are also cultural sensitivities associated with governments or businesses asking Indigenous Australians to "prove" their cultural heritage, which may cause offence and in some cases documentation may not be readily available.

In addition, it is important to be mindful of the administrative burden for contractors associated with additional pre-employment checks.

To the extent possible, the proposed approach to verifying Indigeneity aligns with established and accepted practices for other Indigenous policies and programs, such as the Australian Government's Indigenous Procurement Policy (IPP).



For the purposes of verifying that a business meets the definition of an **Indigenous business**:

- Businesses listed on Supply Nation's register are accepted as an Indigenous business.
- If a business says it is Indigenous owned and is not listed with Supply Nation, the procuring officer must take steps to assure themselves that the business is 50 per cent or more Indigenous owned. This may include:
  - confirming registration with an Indigenous Chamber of Commerce,
  - seeking a statutory declaration or a letter of Indigeneity from organisations such as Land Councils.
- Indigenous corporations registered with Office of the Registrar of Indigenous Corporations ORIC ([www.oric.gov.au](http://www.oric.gov.au)) are accepted as an Indigenous business.

The definition recognises that in some family businesses just one member of a couple is Indigenous and that private sector investment is critical to support growth of the Indigenous business sector.

For the purposes of verifying that a business meets the IPP definition of an **Incorporated Indigenous joint venture**:

- They must be registered with Supply Nation; and
- Be at least 50% Indigenous owned and demonstrate 50% Indigenous involvement in the management and control of the joint venture; and
- Additionally, as part of this registration they must have in place:
  - A strategy to build the capability of the Indigenous business partner.
  - An Indigenous workforce strategy.

**Individuals** would be required to sign and provide a statutory declaration or a confirmation of Indigeneity to the employer stating they:

- are of Aboriginal descent and/or Torres Strait Islander descent
- identify as an Australian Aboriginal and/or Torres Strait Islander
- are accepted as an Australian Aboriginal and/or Torres Strait Islander in the community in which they live or have lived
- are aware that under the Criminal Code Act 1995 (Cth) section 137.1 giving false or misleading information is a serious offence
- have documentary evidence to support information contained in the declaration.

Funding Recipients should communicate these requirements to contractors as part of the tender process.

Where a Funding Recipient determines that this approach would not be suitable for their specific circumstances, they may apply a different approach to verifying Indigeneity, provided they can satisfy themselves as to the level of genuine Indigenous participation in projects.

### **A3.5 Sectors in the supply-chain**

Indigenous participation requirements apply to roles and industry sectors that primarily relate to infrastructure construction, in line with the Approved Purposes or eligible project costs stipulated in the National Land Transport Act 2014 and in the Notes on Administration. These include roles spanning across the infrastructure construction supply chain, for example but not limited to: project management; engineering design; financial services; environmental management; traffic management; supply-chain logistics; construction of roads; rail; bridges; tunnels and retaining walls.

However, where a Funding Recipient or contractor identifies an opportunity for Indigenous participation in an aspect of project delivery not specifically identified in the Notes on Administration, this may be considered in consultation between the Australian Government and the relevant State governments. This provides additional flexibility to meet any Indigenous participation requirements.

### **A3.6 'Local first' principle**

The Framework is intended to result in tangible economic and social benefits for local Indigenous people living in surrounding communities. To this end, ideally employees and contractors required for a project should be first sourced from within the local area, then from the wider region and beyond, where local capacity is unable to meet the participation requirements.

There may be circumstances where this approach is neither practical nor cost-effective. Where necessary and culturally appropriate, contractors may need to rely on Indigenous employees or contracted businesses from outside of the local area. As such, 'local first' should be regarded as a principle, rather than a requirement of the Framework.

Stakeholders have indicated that there are a range of definitions for 'local' being used in the different States and that definitions are dependent on the context of specific projects. On this basis, local should be defined in terms of what makes sense for a specific project, based on but not limited to:

- the needs and values of the local community, including Indigenous connections to land and country
- formal definitions such as local government area
- proximity to the project.

A rationale for this definition and the approach forward should be clearly outlined in the Indigenous Participation Plan.

### **A3.7 Supply-side supports**

The success of the Framework will rely on the availability and whole-of-government coordination of appropriate supply-side supports to ensure an increase in the demand for Indigenous labour and business services is able to be met by a suitably skilled and qualified workforce.

This includes support for Indigenous job seekers and businesses for the training required to develop skills and obtain necessary qualifications; support for contractors to identify suitably skilled Indigenous job-seekers and businesses; and better visibility of project opportunities to enable time for upskilling. This is likely to involve a range of agencies across levels of government.

#### ***Support for job-seekers***

Employment service providers deliver support to Indigenous job seekers and work with employers to support better opportunities for job seekers. Given adequate notice of industry projects, they can be leveraged to encourage Indigenous job seekers to upskill and seek relevant employment or apprenticeship opportunities.

Complementing Indigenous specific supply-side measures are a range of mainstream employment services in metropolitan and regional areas managed by the Commonwealth Department of Education, Skills and Employment. These mainstream employment services include:

- Jobactive – the Australian Government's mainstream employment program
- Transition to Work – which provides intensive pre-employment assistance to young people aged 15-21 who have disengaged from the labour market
- ParentsNext – which is an early intervention program for recipients of Parenting Payment who have young children
- New Enterprise Incentive Scheme – which provide individualised support to help job seekers to start their own business.

Indigenous specific services such as the Community Development Programme (CDP), Vocational Training and Employment Centres (VTECs) will work with contractors to prepare job-seekers for specific roles. Flexible employment grants such as Tailored Assistance Employment Grants (TAEG) are also available to directly support hiring action by employers.

### ***Support for businesses***

Existing and emerging Indigenous businesses will be supported by the Australian Government's:

- Indigenous Entrepreneurs Fund which includes regionally-based business advisers and grants for capacity-enhancing plant and equipment for start-ups and growing remote and regional Indigenous businesses.
- Indigenous Business Sector Strategy which is rolling out Indigenous Business Hubs, an Indigenous Entrepreneurs Capital Scheme and a doubling of the footprint of microfinance services.

The Australian Government will consider partnering with relevant agencies in the States to establish employment/business project hubs in strategic locations, where there is a business case for this, in order to help with the coordination of support services.

Staff in the NIAA regional offices will also play a role in tailoring supply-side strategies for projects as necessary.

This investment will be maximised if the Australian Government and the States work to coordinate and tailor existing programs and services. Indigenous participation will be increased with sufficient lead-time for effective planning and implementation of supply-side strategies.

## **A3.8 Project Thresholds and Exemptions**

### ***Thresholds***

The Framework applies to projects receiving \$7.5 million or more in Australian Government contributions.

For projects below the \$7.5 million threshold, the State's own Indigenous policy would apply. In some circumstances, the Australian Government or the relevant State government may identify a project with strong potential to support Indigenous participation but where the Australian Government contribution is below \$7.5 million, such as locations where there is a high proportion of Indigenous people within the population. These projects may also require an Indigenous Participation Plan.

The Framework will apply to all projects funded under the Australian Government's Roads of Strategic Importance in Northern Australia regardless of the level of Commonwealth contribution.

### ***Exemptions***

States may seek an exemption to Indigenous participation requirements for a specific project, where there is strong justification. This will be considered by exception only and requires agreement from relevant Australian Government ministers.

In addition, the IIP sub-programs are not covered by the Framework. Where relevant, the State's own Indigenous participation policy will apply. The sub-programs not covered by the Framework include:

- Black Spot;
- Bridges Renewal Program;
- Heavy Vehicles Safety and Productivity Program; and
- Roads to Recovery.

States, through both their relationships with local governments and their State procurement policies, are also well-placed to play a role in encouraging and supporting greater Indigenous participation in the delivery of smaller, local projects, including those funded under the Roads to Recovery and Black Spots sub-programs.

Projects funded under the Northern Australia Roads programs are covered by a separate Indigenous participation framework created in response to the Government's White Paper on Developing Northern Australia.

## **A3.9 Accountability**

The Australian Government recognises that the Framework's success will depend on an effective partnership between governments and industry.

The Framework seeks to leverage the goodwill and effort demonstrated by State governments and industry.

That said, it is important that governments and industry are accountable for Indigenous participation commitments – this has been particularly emphasised by Indigenous stakeholders.

States will be required to keep effective records on the performance of contractors against their Indigenous participation requirements. States should review contractors' performance (such as if they have met the target or not, and whether appropriate justification was provided where targets were not met) at the completion of each project and this would be a factor in consideration for the award of future contracts. This creates a clear incentive for contractors to meet Indigenous performance requirements in order to win future contracts.

### **A3.10 Reporting**

#### ***Business-as-Usual Reporting Requirements***

For individual projects, States will be required to report on progress against Indigenous Participation Plans or the State's own Indigenous participation plan accepted by the Department (as outlined in A3.2) as part of the standard monthly reporting process in place for the Infrastructure Investment Program. Where practical, reporting should cover:

- the target (per the agreed Indigenous Participation Plan)
- progress against the target, including (where available):
  - number of FTE Indigenous employees
  - value of contracts awarded to Indigenous businesses, as a proportion of the total project cost
  - qualitative information, including the type of roles in the supply chain filled by Indigenous persons and certifications obtained on the job.

Where actual participation rates vary from targets proposed in the Indigenous Participation Plan, States should provide advice on the circumstances influencing the outcomes and should seek to address any issues in consultation with the Australian Government.

Transparent reporting from the States throughout the project life cycle will also assist the Australian Government to provide the necessary supply-side supports that are required to achieve the best Indigenous participation outcomes over the long-term.

At the conclusion of a project, States will be required to provide information on Indigenous participation, including performance against targets, as part of the Post Completion Report.

#### ***Public Reporting Requirements***

COAG agreed at its February 2018 meeting to report publicly on Indigenous employment and business outcomes annually. As part of this commitment, COAG has established online performance reporting for priority policies of the Closing the Gap Refresh, at the national and State government level.

Under the Framework, States will be required to report publicly on Indigenous participation on a project-by-project basis, including performance against targets for all projects.

At a minimum, performance against targets must be reported publicly upon completion of a project, however, States may report more frequently at their discretion and in line with their own policies.

As a guide, public reporting on projects underway should include the participation target pursued for the project, and indicate the progress to date (on-track, not on-track, or met, not met):

- For projects that have met or exceeded participation targets, include key achievements, the factors that contributed to meeting targets, and where appropriate share lessons learnt.
- For projects where target are not on track or not met, a brief explanation of the reason(s) for targets not being met should be included.

This is intended to promote accountability and transparency, as well as consistency in reporting across all States so that progress can be measured effectively. It is up to States to decide the most appropriate channel to

publicly report this information, for example on the relevant government agency website or through their respective COAG channels, noting States may already have reporting requirements in place under their own policies.

Prior to public reporting, States should undertake appropriate consultation with relevant Indigenous stakeholders and contractors, and observe the principles of respect and appropriateness, and protect the privacy of individuals.

As part of the Post Completion Report, Funding Recipients will be required to confirm that public reporting requirements have been met.

### **A3.11 Review**

An interim review of the Framework will be undertaken two years after the Framework's implementation (expected around mid 2021) and a substantive review at around the three-four year mark (expected to commence late 2022), to feed into the development of the next NPA.

A review of the Framework will seek to test:

- its effectiveness in delivering increased Indigenous employment and supplier-use, including whether targets are becoming higher or more ambitious over time
- lessons learned and how these could be incorporated into future design of the Framework
- any implications in terms of project delivery including value for money
- adequacy and efficiency of monitoring, reporting and accountability arrangements
- adequacy of supply-side supports in place to enable governments and industry to meet targets.

The outcomes of the review should inform the need for any changes to the design and implementation of the Framework, and the need for any additional or different supply-side supports. The review provides an opportunity for evidence-based analysis of the Framework's impacts in terms of benefits and any costs, drawing on actual project data.

The review would be led by the Australian Government, in consultation with State governments, industry and Indigenous representative bodies, such as the Prime Minister's Indigenous Advisory Council, peak land councils and Indigenous businesses and associations.



## Appendix B – Project Proposal Report Templates

<a href="#">Road Project Proposal Report Template</a> .....	43
<a href="#">Rail Project Proposal Report Template</a> .....	64
<a href="#">Indigenous Participation Plan</a> .....	84

*For road projects receiving a total Australian Government contribution up to \$7.5 million, but with the total estimated project cost not exceeding \$25 million, a Small Road Project Proposal Report Template is available for use at: [https://investment.infrastructure.gov.au/about/resources/notes\\_on\\_administration.aspx](https://investment.infrastructure.gov.au/about/resources/notes_on_administration.aspx)*

## Road Project Proposal Report Template

<i>Project Name</i>	
<i>Version Number</i>	
<i>Date submitted to the Department</i>	

## GUIDANCE NOTES

The purpose of the Road Project Proposal Report (PPR) template is to set out the information required by the Department of Infrastructure, Transport, Regional Development and Communications (the Department) to support funding processes for proposed infrastructure investments.

Project proponents are to complete each section of the PPR to the extent possible and where possible the PPR template is to be completed in full. Noting that PPRs can be received at different stages of a project's development the minimum information requirements for projects based on Phase of development is set out below.

Scoping Phase	<ul style="list-style-type: none"> <li>• The investigation of options available (including the option to do nothing) to address an identified transport problem/opportunity, such as route selection for a bypass.</li> <li>• This Phase produces a preferred option and an estimated total Project cost.</li> <li>• For Scoping Phase PPRs the following questions are not mandatory: D2-D5; E4; G3; H2-H5.</li> </ul>
Development Phase	<ul style="list-style-type: none"> <li>• The refinement and further development of a specific Project including detailed planning, environmental approvals and community consultation, in order to bring a project to 'construction ready'.</li> <li>• This stage can include pre construction works such as land acquisition and ground clearing.</li> </ul>
Delivery Phase	<ul style="list-style-type: none"> <li>• The construction and delivery of a complete project.</li> </ul>

## A. PROJECT OVERVIEW

This section provides a snapshot of the Funding Recipient and the Project to be assessed.

### Proponent Details

#### A1 Entity Name

#### A2 Primary Project Contact

*Name:*

*Phone:*

*Position:*

*Email:*

*Postal Address:*

#### A3 Project Partners

*Identify Federal, State or Local Government and/or private organisations making a financial or in-kind contribution to the project. .*

### Project Details

#### A4 Project Name

*Project name must be used consistently across future stages of PPRs.*

#### A5 Project Identification (ID)

*Project ID is assigned by the Department. Project ID must be used consistently across future stages of PPRs.*

#### A6 Project Summary

*A project summary should be prepared with potential publication on the Department's website in mind. The summary should be a maximum of 500 words in length and should cover the Project's:*

- *Rationale/ objectives*
- *Location*
- *Key benefits*
- *Progress to date*

#### A7 Geographical Coordinates in Shapefile format if available (.shp, .shx, .dbf)

*Provide geographical coordinates of the project location or area under investigation.*

#### A8 Corridor and section of the National Land Transport Network (if applicable)

*Provide details of the National Land Transport Network's coverage of the Project location.*

*The National Land Transport Network is defined by the National Land Transport Network Determination 2020 ) available at: <https://www.legislation.gov.au/Details/F2020L00851> .*

*If not applicable mark n/a.*

**A9 Related Projects**

*Provide details of other works, projects or studies related to the proposed Project (please provide web links to studies where applicable).*

*This may include works related to the Project that are not considered 'Approved Purposes' under Section 2.1.3.2 of the NLT Act.*



## B. PROJECT SCOPE

This section details how the problem or opportunity was determined, why it is eligible for Australian Government funding and the options the Funding Recipient explored before settling on the final Scope.

### B1 Problem/ Opportunity Statement

*Please describe the problem/ opportunity as a succinct statement that clearly identifies the cause and effect of the problem/ opportunity. Please include evidence and data to demonstrate the scale of the problem/opportunity and the need for Australian Government funding to address the problem and/or make the most of the opportunity.*

### B2 Options Evaluation

*What options are being considered/ were considered? These could include:*

- *Mode;*
- *Alignment; and*
- *Capital intensive vs non-capital intensive options.*

*Please also explain:*

- *The process for evaluating the options and determining the preferred option*
- *How public participation helped inform the preferred option?*
- *Assumptions made in comparing options; and*
- *If the project with the highest Net Present Value was not selected, explain why.*

*Note: If the Project is Scoping Phase and seeking funding for studies such as Options Analysis and/or Business Case development that will include an investigation of the options this should be noted here with further detail provided in B3.*

### B3 Scope of Project Phase

*Please outline, in as much detail as possible, and in conjunction with the advice on phases, outlined below, the Scope of the project, Scope could include:*

- *Type of work being undertaken (duplication, widening, sealing, intersection upgrades etc.);*
- *Kilometres of road being upgraded/constructed;*
- *Flood immunity standard for Project;*
- *Type of report that will be produced – Study, Business Case, Options Analysis; and*
- *How safe system principles will be built into the Project.*

*Note: Funding will only be approved for the scope related to the current Phase.*

*Description and specific information required for each specific phase:*

#### Scoping Phase

*Scoping Phase should outline at a high level the proposed Project that will be developed further as part of this Phase.*

*Scoping Phase may outline in detail how a Business Case or Options Analysis will be undertaken, including a high level explanation of the multiple options being considered (including a 'do nothing' option) to best address an identified problem/ opportunity.*

*Scoping Phase may also include requests for funding for land acquisition if the land acquired is common to all options being considered as part of the analysis.*

#### Development Phase

*Development Phase should include detailed Project design works, including whether the Project is an*

*upgrade or new, type of work being undertaken, kilometre length and axillary works to support the Project (such as environmental measures). Development phase may also outline steps still needed in order to get the Project 'delivery ready'. This could include Environmental Impact Assessments, early earth works, service relocations, geo-technical investigations or design refinement.*

**Delivery Phase**

*The Delivery Phase should build on the work undertaken in the Development Phase and outline a detailed delivery plan for the construction of the Project.*

*Note: if the Project has a fixed cost but a variable scope (such as package of road sealing works along a corridor) please outline the works is expected to be completed within the available funding envelope as well as staged scope increases that could be done if savings are identified.*

#### **B4 Eligibility under the National Land Transport Act 2014**

*Please indicate which part(s) of the Act are relevant to Project approval.*

*National Land Transport Act 2014, Part 3, Section 10:*

*A project is eligible for approval as an Investment Project if the project is for one or more of the following:*

- (a) the construction of an existing or proposed road that is in a State or Indian Ocean Territory;*
- (b) the maintenance of an existing or proposed road that is included in the National Land Transport Network;*
- (c) the construction of an existing or proposed railway that is in a State or Indian Ocean Territory;*
- (d) the maintenance of an existing or proposed railway that is included in the National Land Transport Network;*
- (e) the construction of an inter-modal transfer facility in a State or Indian Ocean Territory;*
- (f) the acquisition or application of technology that will, or may, contribute to the efficiency, security or safety of transport operations in a State or Indian Ocean Territory.*

*Note: The definition of 'construction' in Section 4 of the NLT Act covers some kinds of work on an existing road, railway or inter-modal transfer facility (hence the references above to the construction of an existing road, railway or inter-modal transfer facility).*

## C. PROJECT COSTS

This section considers project cost information and includes a summary of the data required in the Project Cost Breakdown Template. This section is to be completed in as much detail as possible based on current Project Phase.

- C1 Complete the jurisdiction-specific Project Cost Breakdown Template provided by the Department

*A probabilistic Cost Estimation process must be used for Projects with a total anticipated Outturn cost (including contingency) exceeding \$25 million unless otherwise approved by the Commonwealth. Projects with a total anticipated Outturn cost (including contingency) under \$25 million may use a deterministic methodology, however the Department recommends using a probabilistic cost estimation method where possible.*

*The Department provides detailed guidance on cost estimation on its webpage [http://investment.infrastructure.gov.au/about/funding\\_and\\_finance/cost\\_estimation\\_guidance.aspx](http://investment.infrastructure.gov.au/about/funding_and_finance/cost_estimation_guidance.aspx).*

- C2 Provide details of the Total Outturn Cost breakdown in the summary table.

**Overall Project Cost Summary Table**

	P50 (\$m AUD)	P90 (\$m AUD)
<b>Base Cost Estimate</b>	0	0
<b>Contingency</b>	0	0
<b>Total Project Cost Estimate</b>	0	0
<b>Escalation</b>	0	0
<b>Total Outturn Cost Estimate</b>	0	0

- C3 Provide a budget profile for the Project in the table below

*The budget profile should outline the Australian Government and State Government funding contributions for the overall Project per financial year at P50 Outturn Costs for projects that have an Australian Government contribution of \$25 million or more. For projects that have an Australian Government contribution of under \$25 million, P90 Outturn Costs should be used.*

*If the Project has a fixed committed amount but a variable scope (such as a package of road sealing works along a corridor) please provide a budget profile for the Project outlining the Australian and State funding contributions for the overall Project per financial year at the total committed amount. The totals and cash flows must be consistent with the populated Project Cost Breakdown template and the NPA schedule.*

**Financial Year Forecast Milestone Requirement \***

P50/P90 Outturn (or Actual as appropriate)		FY (\$m)	FY (\$m)	FY (\$m)	FY (\$m)	FY (\$m)	Balance of Commitment** (\$m)
	Australian Government contribution	0	0	0	0	0	0
	State Government contribution	0	0	0	0	0	0
	Other contribution (provide detail)	0	0	0	0	0	0
	Total						

\*Payment of Australian Government funding will be subject to the achievement of Project milestones determined in consultation between Commonwealth and state officials.

\*\*To be made available on demonstrated need.

- C4 What is the status of the State Government funding outlined above? Please state if the funding is committed in budget forward estimates, announced but not yet committed in the budget or yet to be confirmed.

## D. BENEFITS

This section provides the Department with qualitative and quantitative data that will be used to highlight the benefits of the Project.

### D1 Provide a summary of the expected positive outcomes and benefits to be delivered by the Project:

*This section should include a description of the benefits to be delivered by the Project. Examples may include (but not limited to):*

- the number of traffic lights avoided
- active transport measures
- additional kilometres of public space available for community amenity
- greater access for high productivity freight vehicles
- increased flood immunity
- enhanced regional connectivity
- social impacts, such as visual amenity/ liveability
- cultural impacts
- biodiversity and environmental measures

### D2 Provide a summary of the BCR in the tables below:

*The proponent should estimate Project benefits in line with their own standard practice and aligned with guidance provided by Infrastructure Australia and the Australian Transport Assessment and Planning (ATAP) Guidelines. Standard definitions for Benefit Areas and examples of best practices for the collection and collation of benefits data are available on the following websites:*

- Infrastructure Australia: <https://www.infrastructureaustralia.gov.au/submission-guidelines> (refer to the Assessment Framework-Section D- Technical Guidance)
- ATAP Guidelines: <https://atap.gov.au/>

*Where practicable, provide details of the Benefit Cost Ratio (BCR) using a discount rate of 4per cent and 7 per cent for both the P90 and P50 cost of the Project. If not practicable to do so, please outline reasons why.*

*Definitions of the benefit categories:*

- Standard benefits: core transport economic benefits are per the ATAP guidelines and set out in the table at D4.
- Wider Economic Benefits (WEBS): includes agglomeration benefits as specified in ATAP guidelines
- Other benefit categories: transport economics is evolving to include new benefit areas that may not yet be formally recognised in transport guidelines such as city shaping benefits. Where analysis on broader benefit categories has been undertaken please include it as a separate line item in the table below.



**Summary Measures (P50)**

		4% Discount rate	7% Discount rate
<b>Present Value Cost</b>			
<b>Present Value Benefits</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		
<b>Benefit Cost Ratio</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		

**Summary Measures (P90)**

		4% Discount rate	7% Discount rate
<b>Present Value Cost</b>			
<b>Present Value Benefits</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		
<b>Benefit Cost Ratio</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		

**D3 Please complete the Benefit Indicators table below.**

*The Department will undertake a detailed review of the benefits used to calculate the Project BCR. All costs and benefits contained within the benefits indicator table sheet should be in the metrics listed below. Unless otherwise specified indicators are to be annual averages over the appraisal period. Fill in as many data fields as possible.*

**Benefits indicator table**

Benefit Area	Benefit indicator and units	Value
Reliability/ amenity	Public Transport reliability (standard deviation hours per annum)	
	Journey time reliability (standard deviation hours per annum)	
Safety	Number of avoided crashes (average annual)	
	Number of avoided serious injuries (average annual)	
	Number of avoided fatalities (average annual)	
Active transport benefits	Additional kilometres of walk and cycle paths (kilometres)	
	Increased walking and cycling activity (number of trips by mode and average kilometres per annum)	

Commuter time savings (daily commute to work)	Minutes saved by commuters on their daily commute to work based on a sample of commutes along the relevant corridor (average annual)	
	Average number of commuter trip (annual)	
Leisure time savings	Average time savings for people on trips for leisure activities (minutes)	
	Average number of leisure trips (annual)	
Freight / business time savings	Average time savings for business trips, including freight (minutes)	
	Average number of business and freight trips (annual)	
Vehicle Operating Costs	Average change in vehicle operating costs for freight and business operators (annual)	
	Average change in vehicle operating costs for passengers (annual)	
Freight and Business Productivity	Average annual value of the sum of reduced vehicle operating costs, time savings and travel time reliability for freight and business users	
Construction Jobs	Number of jobs supported by the Project during the construction phase of the Project (average per annum FTE)	
Operations Jobs	Number of jobs supported by the Project during the operational phase of the Project (average per annum FTE)	

D4 Please complete the Benefit Net Present Value (NPV) table below.

*Descriptions of benefit component table columns:*

- **Present value of all benefits:** Represents the present value of the Project (in millions of dollars). Enter figures only into the cells shaded blue.
- **Year 10 benefits in \$m:** Represents the benefits of the Project forecasted to be achieved during Year 10 (in millions of dollars). If no Year 10 forecast is available, replace with projections from a different year that reflects the projects "steady state". Enter figures only into the cells shaded purple.
- **Year 10 benefits as percentage of total benefits:** Represents the forecasted Year 10 benefit for a specific line item as a percentage of the total Year 10 benefit.

Please refer to D2 for guidance on the standard benefits, WEBS and other benefits. Where other benefits are greater than 5% please specify in the benefits area and provide an overview of the approach used to estimate the benefit area.

Benefit Component		Present Value of all Benefits (\$m)	Year 10 Only:	
			Year 10 Benefits in \$m (10 years after construction complete)	Year 10 Benefits as a percentage of total benefits
Travel Time Savings	Passenger (existing/ new users)			
	Business (existing/ new users)			
	Freight (existing/ new users)			
	Total Travel Time Savings			
Reduced Vehicle Operating Costs (resource costs)	Passenger (existing/ new users)			
	Business (existing/ new users)			
	Freight (existing/ new users)			
	Total Reduced Operating Costs			
Crash Reduction	Passenger (existing/ new users)			
	Business (existing/ new users)			
	Freight (existing/ new users)			
	Total Crash Reduction			
Environmental Benefits	Reduced Greenhouse Emissions			
	Reduced Local Pollution			
	Reduced Noise			
	Other (i.e. Biodiversity)			
Reduced Maintenance Costs	Total Environmental Benefits			
	Routine (Annual)			
	Periodic			
	Rehabilitation			
Other standard benefits (reliability, crowding, tolls/fare box)	Total Reduced Maintenance Costs			
TOTAL STANDARD BENEFITS*				
Wider Economic Benefits	Agglomeration Benefits			
	Other Wider Economic Benefits			
	Total Wider Economic Benefits			
	(add category as required: such as heavy vehicle productivity)			
Other Benefits (i.e. City shaping)	(add category as required)			
	Total Other Benefits			

\*Total Standard Benefits should equal sum of total benefits.

- D5 Please complete the traffic and use assumptions table below. For public transport projects please complete the table by mode (new public transport investment and mode of transport from which traffic will be induced from).

*Transport model data to be provided to the extent possible in accordance with the table below. If peak travel time data is available please provide. Data is to be provided for passenger trip numbers and Vehicle Kilometres Travelled (VKT).*

Description of Traffic and use assumptions rows

- Users of existing infrastructure in Base Case: refers to use of the infrastructure in the future under a "no project" scenario – that is, if the Project did not go ahead.
- User of new upgraded infrastructure in Project Case: refers to the use of the new or upgraded infrastructure under the Project scenario – that is if the Project goes ahead.
- Users diverted from the rest of the road network: refers to the users of the new/upgraded infrastructure that otherwise would have used alternative roads
- Users diverted from other transport modes: refers to the users of the new/upgraded infrastructure that otherwise would have used alternative modes of transport
- Generated trips: refers to induced demand – i.e. trips that were non-existent anywhere on the network without the project. Include only those generated trips that will utilise the project.

		First year after Project completion	10 years following Project completion	30 years following Project completion
<b>Users of existing infrastructure in Base Case</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>User of new/ upgraded infrastructure in Project Case</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>Users diverted from the rest of the highway network</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>Users diverted from other transport modes (where possible).</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>Generated trips</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			

## E. FINANCING AND PROCUREMENT

This section is to provide the Department with a narrative as to why a particular financing and/or procurement method was chosen and details on how that procurement method will be managed.

- E1 If the total estimated project cost greater than \$50 million, please outline the process for considering alternative funding and/or financing opportunities and the outcome of the considerations.

*If NO – go to E2*

*Proponents must provide details of how this exploration was carried out and whether there is scope for private sector financing or alternative funding. Consideration should be given to the following:*

- *What will be covered? Core versus non-core services;*
- *The capacity and appetite of the market to be able to deliver this kind of Project;*
- *Public interest;*
- *Long term sustainability;*
- *Value for money;*
- *Value capture opportunities; and*
- *Opportunities for private sector contributions*

*Please attach a copy of the formal assessment.*

- E2 If the estimated Project cost is less than \$50 million was private funding or financing investigated proportional to the size of the project. If so, please provide a summary of how it has been considered and the outcome of the considerations?

*Noting that the Project is less than \$50 million are there are Project characteristics that warrant consideration of private sector funding or financings. For example, does the Project significantly benefit specific private sector operators?*

- E3 What is the preferred procurement method for the Project? Please outline the specific details of the contracting method (design and construct for example) and why it was chosen. If over \$50 million, how was a Public Private Partnership considered in line with the National Public Private Partnership Guidelines?

*Funding recipients should consider the different procurement methods available to deliver the Project including, traditional contracting, alliance contracting and Public Private Partnerships. For major projects, this should take the form of robust, careful procurement options analysis. The Australian Transport Assessment Planning Guidelines provide a comprehensive framework to support decision making for transport infrastructure and serves as a national standard. It can be found at <https://atap.gov.au/>.*

*If a Public-Private Partnership is proposed, provide details of the structure and funding method (user charges, availability payments) proposed. The Department provides guidelines on and instruction on Public Private Partnerships in its National PPP Guidelines which can be found at <https://infrastructure.gov.au/infrastructure/ngpd/files/National-PPP-Policy-Framework-Oct-2015.pdf>.*

*Note: The preferred procurement method may only be a prospective preference at this stage.*



**E4 Is a tender exemption being sought?**

*A tender exemption excuses the funding recipient from having to take the Project to market for delivery. For a project to be eligible for a tender exemption it must meet at least one of the requirements under Section 24(1) (c)i to vi of the NLT Act.*

*If eligible a tender request must include the following detail:*

- *Category under which the exemption is being sought – Section 24(1) (c)i to vi of the NLT Act;*
- *How the proposed procurement strategy will ensure value for money;*
- *Scope of work for which the exemption is being sought;*
- *Value of the works;*
- *Intended entity to undertake the work;*
- *Supporting reasons for the exemption.*

**E5 Project Timeline**

*Include the expected timing of high-level Project activities, including those on the critical path, and estimated completion date of the Project (i.e. the complete Project for an investigative study would typically be the study itself).*

*Please list and describe the assumptions underpinning the schedule set out above, including if the Project is dependent on the delivery of other projects, planning approvals or environmental studies by other bodies or agencies.*

Activity	Timeline

## F. RISK AND SUSTAINABILITY

This section outlines major risks associated with the Project, where the responsibility for managing these risks lies, and how sustainability can be built into the Project to increase its overall benefit.

- F1 Identify the major risks, and proposed mitigation strategies to successfully deliver this Project.

*Proponents should explain the risk identification process, including the use of risk workshops, to be undertaken as part of the Project. Please also list the most significant risks to successful delivery and provide details of the mitigation strategies proposed, including requesting increased Australian Government involvement where appropriate.*

*This information may be supported by an attached summarised risk register table.*

- F2 Identify the major dis-benefits of the projects and how the Project may impact the community and environment.

*Proponents should explain major dis-benefits and negative externalities associated with the Project including social, cultural and environmental impacts. This should include information such as the number and type of property resumptions, any increase to noise or pollution levels, a-flux issues and/or environmental considerations such as clearing and habitat removal should be included.*

- F3 Detail any sustainability strategies that will be adopted

*Environmentally sustainable strategies could include the reuse of dug out dirt as prefill, innovative tarmac solutions, solar panelling for ITS equipment etc.*

*Animal protection policies could include animal underpasses, overhead 'bridges' and the redevelopment of animal habitat in the area.*

## G. STAKEHOLDER ENGAGEMENT

This section outlines the steps the Funding Recipient will take to ensure that the public and other relevant stakeholders are engaged and actively managed throughout the Project.

- G1 Provide details on how public and stakeholder participation will be facilitated during this phase, and the Project overall.

*Factors that should be considered when determining the appropriate level of public and stakeholder participation may include:*

- *Potential for conflict over the Project;*
- *Potential for major social, environmental or economic impacts; and*
- *Relevant legislative requirements.*

- G2 Please complete the stakeholder consultation table below.

*Provide information on completed or planned consultations including the type of consultation the relevant stakeholders involved as well as a brief description of the issues raised and a plan to manage those issues.*

Date	Type of Consultation (stakeholders invited i.e. industry, community)	Issues raised	Management plan

- G3 Provide a comprehensive public recognition signage plan

*The plan should set out the proposed signage for the Project in line with the Signage Guidelines available from the Department's website at*

*[https://investment.infrastructure.gov.au/about/resources/signage\\_guidelines.aspx](https://investment.infrastructure.gov.au/about/resources/signage_guidelines.aspx).*

## H. COMPLIANCE

This section provides the Department assurance that the Funding Recipient understands their responsibilities with regard to both State and Commonwealth legislation and regulation and has taken steps to actively comply.

### H1 List Commonwealth or State legislation triggered by the Project.

*As an example, legislation that may be triggered by the Project could include the Commonwealth's Environment Protection and Biodiversity Conservation Act 1999 or the Queensland Government's Aboriginal Cultural Heritage Act 2003 and the Torres Strait Islander Cultural Heritage Act 2003.*

*For the Scoping Phase, it is necessary only to highlight foreseen legislation issues.*

### H2 Does the Building Code 2016 apply to this Project? If so, please confirm compliance.

YES/ NO

*YES – please confirm compliance.*

*NO – please explain why.*

*See Appendix A2 for more information.*

### H3 Does the Australian Government Building and Construction WHS Accreditation Scheme apply to this Project? If so, please confirm compliance.

YES/ NO

*YES – please confirm compliance.*

*NO – please explain why.*

*See Appendix A2 for more information.*

### H4 If the Project has an Australian Government funding contribution of equal to or greater than \$7.5 million, has an Indigenous Participation Plan been attached?

YES/ NO

*YES – plans will assessed by the Department for compliance.*

*NO – please explain why.*

*See Appendix A3 for more information.*

*See Appendix B3 for the Indigenous Participation Plan Template*

### H5 If the Project is more than \$20 million, a Local Industry Participation Plan or an Australian Industry Participation Plan must be provided to the Department.

YES/NO

*YES – please send, once complete, for forwarding to the Commonwealth Department of Industry, Science, Energy and Resources ([aip@industry.gov.au](mailto:aip@industry.gov.au)) for compliance.*

*Note: final milestones will not be paid out for a Project until a LIPP is provided.*

*See Section 2.3 of the Notes on Administration for more information.*

- H6 Is the proposed Australian Government contribution \$250 million or greater. If yes, has the Business Case been submitted to Infrastructure Australia for review?

YES/NO

*YES – provide date and status of IA assessment (if known).*

*NO – please provide advice on expected timing of submission to IA.*

*See Section 2.2 of the Notes on Administration for more information.*

## I. SIGN OFF

*The Project should be signed and dated by the appropriate officer, as per each jurisdiction's in-house approval process.*

X

/ /20



## **J. ATTACHMENTS**

This section is where information that was used to help complete the PPR will be attached as Appendices.

If a Business Case (including strategic or preliminary Business Cases) or Options Analysis was undertaken on the Project the Department requires a copy be attached to the PPR.

Released under FOI Act 1982 by High Speed Rail Authority

## J1 Supporting Information

*Supporting information should only include documents that have been referred to in the body of the PPR, for example:*

- *GIS data / shape files;*
- *Photographs;*
- *Locality and/or topographical plans and maps;*
- *Demand forecasts;*
- *Safety audits;*
- *Historical crash statistics;*
- *Engineering plans;*
- *Environmental, cultural and social studies;*
- *Risk assessment reports;*
- *Other descriptive information.*

*Documents in relation to cost estimates that must be provided include:*

- *Completed Project Cost Breakdown spreadsheet;*
- *Cost Estimate Report explaining how the cost estimate was developed, which must include:*
  - *background and context for the Project;*
  - *outline scope for the Project;*
  - *details of the risk workshop/s undertaken, and subject matter experts consulted;*
  - *copy of the Risk Register underpinning the contingency included in the Project costings (where a probabilistic cost estimation process has been used this will be the source of much of the Cost Estimation Tool risk input data);*
  - *details of the person/firm preparing the cost estimate; and*
  - *evidence that Project costs have been comprehensively reviewed and authorised in accordance with the Proponent's published guidelines.*

*For projects equal to or over \$25 million in total Outturn Cost or where a probabilistic cost estimation process has been used, the following information must be provided:*

- *Cost Estimation Tool (for example, @RISK and Crystal Ball) Output Report files, which must at a minimum include charts showing the non-Outturned Project Cost probability distribution and associated cumulative probability distribution ('S' Curve), Simulation Summary Details (that is, sampling type, number of iterations, Random Number Generator a Tornado diagram and accompanying Regression and Rank Information Table, and Summary Statistics for the Project Cost, including the Project cost estimate (unescalated) at 5 per cent intervals from 5 per cent to 95 per cent confidence).*
- *Cost Estimation Tool input data files in spreadsheet format that includes sufficient information to permit the Department or its contractors to re-run the probabilistic cost estimation simulation.*
- *Bibliography of all documents consulted by the cost estimator in preparing the cost estimate (including version number/date, proper title, document format and author). Note: It is a requirement that the Proponent maintains a digital library of all documents consulted in preparing the cost estimate.*

*Projects with cost estimates prepared using a deterministic estimation process must provide, when requested:*

- *Underpinning documentation explaining the derivation of the Base Estimate and the approximate P50 and P90 values (both Non-Outturned and Outturned).*

## Rail Project Proposal Report Template

<i>Project Name</i>	
<i>Version Number</i>	
<i>Date submitted to the Department</i>	

## GUIDANCE NOTES

The purpose of the Rail Project Proposal Report (PPR) template is to set out the information required by the Department of Infrastructure, Transport, Regional Development and Communications (the Department) to support funding processes for proposed infrastructure investments.

Project proponents are to complete each section of the PPR to the extent possible and where possible the PPR template is to be completed in full. Noting that PPRs can be received at different stages of a project's development the minimum information requirements for projects based on Phase of development is set out below.

Scoping Phase	<ul style="list-style-type: none"> <li>• The investigation of options available (including the option to do nothing) to address an identified transport problem/ opportunity, such as route selection for a bypass.</li> <li>• This Phase produces a preferred option and an estimated total Project cost.</li> <li>• For Scoping Phase PPRs the following questions are not mandatory: D2-D5; E4; G3; H2-H5.</li> </ul>
Development Phase	<ul style="list-style-type: none"> <li>• The refinement and further development of a specific Project including detailed planning, environmental approvals and community consultation, in order to bring a project to 'construction ready'.</li> <li>• This stage can include pre construction works such as land acquisition and ground clearing.</li> </ul>
Delivery Phase	<ul style="list-style-type: none"> <li>• The construction and delivery of a complete project.</li> </ul>

## A. PROJECT OVERVIEW

This section provides a snapshot of the Funding Recipient and the Project to be assessed.

### Proponent Details

#### A1 Entity Name

#### A2 Primary Project Contact

*Name:*

*Position:*

*Phone:*

*Email:*

*Postal Address:*

#### A3 Project Partners

*Identify Federal, State or Local Government and/or private organisations making a financial or in-kind contribution.*

### Project Details

#### A4 Project Name

*Project name must be used consistently across future stages of PPRs.*

#### A5 Project Identification (ID)

*Project ID is assigned by the Department. Project ID must be used consistently across future stages of PPRs.*

#### A6 Project Summary

*A project summary should be prepared with potential publication on the Department's website in mind. The summary should be a maximum of 500 words in length and should cover the Project's:*

- *Rationale/ objectives*
- *Location*
- *Key benefits*
- *Progress to date*

#### A7 Geographical Coordinates in Shapefile format if available (.shp, .shx, .dbf)

*Provide geographical coordinates of the project location or area under investigation.*

#### A8 Corridor and section of the National Land Transport Network (if applicable)

*Provide details of the National Land Transport Network's coverage of the Project location.*

*The National Land Transport Network is defined by the National Land Transport Network Determination 2020 ) available at: <https://www.legislation.gov.au/Details/F2020L00851>.*

*If not applicable mark n/a.*



**A9 Related Projects**

*Provide details of other works, Projects or studies related to the proposed Project (please provide web links to studies where applicable).*

*This may include works related to the Project that are not considered 'Approved Purposes' under Section 2.1.3.2 of the NLT Act.*

## B. PROJECT SCOPE

This section details how the problem or opportunity was determined, why it is eligible for Australian Government funding and the options the Funding Recipient explored before settling on the final Scope.

### B1 Problem/ Opportunity Statement

*Please describe the problem/ opportunity as a succinct statement that clearly identifies the cause and effect of the problem/ opportunity. Please include evidence and data to demonstrate the scale of the problem/opportunity and the need for Australian Government funding to address the problem and/or make the most of the opportunity.*

### B2 Options Evaluation

*What options are being considered/ were considered? These could include:*

- *Mode;*
- *Alignment; and*
- *Capital intensive vs non-capital intensive options.*

*Please also explain:*

- *The process for evaluating the options and determining the preferred option*
- *How public participation helped inform the preferred option?*
- *Assumptions made in comparing options; and*
- *If the project with the highest Net Present Value was not selected, explain why.*

*Note: If the Project is Scoping Phase and seeking funding for studies such as Options Analysis and/or Business Case development that will include an investigation of the options this should be noted here with further detail provided in B3.*

### B3 Scope of Project Phase

*Please outline, in as much detail as possible, and in conjunction with the advice on phases, outlined below, the Scope of the project, Scope could include:*

- *Type of work being undertaken (extensions, level crossing removals, station upgrades etc.);*
- *Kilometres of rail being upgraded/constructed;*
- *Flood immunity standard for Project;*
- *Type of report that will be produced – Study, Business Case, Options Analysis; and*

*Note: Funding will only be approved for the scope related to the current Phase.*

*Description and specific information required for each specific phase:*

#### Scoping Phase

*Scoping Phase should outline at a high level the proposed Project that will be developed further as part of this Phase.*

*Scoping Phase may outline in detail how a Business Case or Options Analysis will be undertaken, including a high level explanation of the multiple options being considered (including a 'do nothing' option) to best address an identified problem/ opportunity.*

*Scoping Phase may also include requests for funding for land acquisition if the land acquired is common to all options being considered as part of the analysis.*

#### Development Phase

*Development Phase should include detailed Project design works, including whether the Project is an upgrade or new, type of work being undertaken, kilometre length and axillary works to support the*

*Project (such as environmental measures). Development phase may also outline steps still needed in order to get the Project 'delivery ready'. This could include Environmental Impact Assessments, early earth works, service relocations, geo-technical investigations or design refinement.*

**Delivery Phase**

*The Delivery Phase should build on the work undertaken in the Development Phase and outline a detailed delivery plan for the construction of the Project.*

*Note: if the Project has a fixed cost but a variable scope (such as package of level crossing removals) please outline the works is expected to be completed within the available funding envelope as well as staged scope increases that could be done if savings are identified.*

#### **B4 Eligibility under the National Land Transport Act 2014**

*Please indicate which part(s) of the Act are relevant to Project approval.*

*National Land Transport Act 2014, Part 3, Section 10:*

*A project is eligible for approval as an Investment Project if the project is for one or more of the following:*

- (a) the construction of an existing or proposed road that is in a State or Indian Ocean Territory;*
- (b) the maintenance of an existing or proposed road that is included in the National Land Transport Network;*
- (c) the construction of an existing or proposed railway that is in a State or Indian Ocean Territory;*
- (d) the maintenance of an existing or proposed railway that is included in the National Land Transport Network;*
- (e) the construction of an inter-modal transfer facility in a State or Indian Ocean Territory;*
- (f) the acquisition or application of technology that will, or may, contribute to the efficiency, security or safety of transport operations in a State or Indian Ocean Territory.*

*Note: The definition of construction in Section 4 of the NLT Act covers some kinds of work on an existing road, railway or inter-modal transfer facility (hence the references above to the construction of an existing road, railway or inter-modal transfer facility).*

#### **B5 Supply chain analysis (freight rail only)**

*Provide a summary of the potential supply chain impacts, including consideration of how the Project may impact:*

- *the volume and value of current and future freight demand by commodity type;*
- *community and industry opportunities and any anticipated structural changes;*
- *industry competitiveness; and*
- *links to intermodal hubs and ports; and*
- *alignment with national key freight routes.*

## C. PROJECT COSTS

This section considers project cost information and includes a summary of the data required in the Project Cost Breakdown Template. This section should be completed in as much detail as possible based on current Project Phase.

- C1 Complete the jurisdiction-specific Project Cost Breakdown Template provided by the Department

*A probabilistic Cost Estimation process must be used for Projects with a total anticipated Outturn cost (including contingency) exceeding \$25 million unless otherwise approved by the Commonwealth. Projects with a total anticipated Outturn cost (including contingency) under \$25 million may use a deterministic methodology, however the Department recommends using a probabilistic cost estimation method where possible.*

*The Department provides detailed guidance on cost estimation on its webpage*

*[http://investment.infrastructure.gov.au/about/funding\\_and\\_finance/cost\\_estimation\\_guidance.aspx](http://investment.infrastructure.gov.au/about/funding_and_finance/cost_estimation_guidance.aspx).*

- C2 Provide details of the Total Outturn Cost breakdown in the summary table.

**Overall Project Cost Summary Table**

	P50 (\$m AUD)	P90 (\$m AUD)
<b>Base Cost Estimate</b>	0	0
<b>Contingency</b>	0	0
<b>Total Project Cost Estimate</b>	0	0
<b>Escalation</b>	0	0
<b>Total Outturn Cost Estimate</b>	0	0

- C3 Provide a budget profile for the Project in the table below.

*The budget profile should outline the Australian Government and State Government funding contributions for the overall Project per financial year at P50 Outturn Costs for projects that have an Australian Government contribution of \$25 million or more. For projects that have an Australian Government contribution of under \$25 million, P90 Outturn Costs should be used.*

*The totals and cash flows should be consistent with the populated Project Cost Breakdown template and the NPA schedule.*

**Financial Forecast Milestone Requirement\***

P50/P90 Outturn (or Actual as appropriate)		FY (\$m)	FY (\$m)	FY (\$m)	FY (\$m)	FY (\$m)	Balance of Commitment** (\$m)
	Australian Government contribution	0	0	0	0	0	0
	State Government contribution	0	0	0	0	0	0
	Other contribution (provide detail)	0	0	0	0	0	0
	Total						

\*Payment of Australian Government funding will be subject to the achievement of project milestones determined in consultation between Commonwealth and state / territory officials.

\*\*To be made available on demonstrated need.

- C4 What is the status of the State Government funding outlined above? Please state if the funding is committed in budget forward estimates, announced but not yet committed in the budget or yet to be confirmed.

- C5 Provide details of the escalation rate(s) used in the table below:

*Please provide details of the escalation rate(s) used and the source and justification for those rates.*

	FY	FY	FY	FY	FY
Escalation Rate (%)					



## D. BENEFITS

This section provides the Department with qualitative and quantitative data that will be used to highlight the benefits of the Project.

### D1 Provide a summary of the expected positive outcomes and benefits to be delivered by the Project:

*This section should include a description of the benefits to be delivered by the Project. Examples may include (but not limited to):*

- *improved on time running*
- *reductions to over-crowding*
- *enhanced regional connectivity*
- *social impacts, such as visual amenity/ liveability*
- *increased flood immunity*
- *cultural impacts*
- *Biodiversity and environmental measures*

### D2 Provide a summary of the BCR in the tables below:

*The Proponent should estimate Project benefits in line with their own standard practice and aligned with guidance provided by Infrastructure Australia and the Australian Transport Assessment and Planning (ATAP) Guidelines. Standard definitions for Benefit Areas and examples of best practices for the collection and collation of benefits data are available on the following websites:*

- *Infrastructure Australia: <https://www.infrastructureaustralia.gov.au/submission-guidelines> (refer to the Assessment Framework-Section D- Technical Guidance)*
- *ATAP Guidelines: <https://atap.gov.au/>*

*Where practicable, provide details of the Benefit Cost Ratio (BCR) using a discount rate of 4per cent and 7 per cent for both the P90 and P50 cost of the Project. If not practicable to do so, please outline reasons why.*

*Definitions of the benefit categories:*

- *Standard benefits: core transport economic benefits are per the ATAP guidelines and set out in the table at D4.*
- *Wider Economic Benefits (WEBS): includes agglomeration benefits as specified in ATAP guidelines*
- *Other benefit categories: transport economics is evolving to include new benefit areas that may not yet be formally recognised in transport guidelines such as city shaping benefits. Where analysis on broader benefit categories has been undertaken please include it as a separate line item in the table below.*

**Summary Measures (P50)**

		<b>4% Discount rate</b>	<b>7% Discount rate</b>
<b>Present Value Cost</b>			
<b>Present Value Benefits</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		
<b>Benefit Cost Ratio</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		

**Summary Measures (P90)**

		<b>4% Discount rate</b>	<b>7% Discount rate</b>
<b>Present Value Cost</b>			
<b>Present Value Benefits</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		
<b>Benefit Cost Ratio</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		

**D3 Please complete the Benefit Indicators table below.**

*The Department will undertake a detailed review of the benefits used to calculate the Project BCR. All costs and benefits contained within the benefits indicator table sheet should be in the metrics listed below. Unless otherwise specified indicators are to be annual averages over the appraisal period. Fill in as many data fields as possible.*

**Benefits indicator table**

<b>Benefit Area</b>	<b>Benefit indicator and units</b>	<b>Value</b>
Reliability / amenity	Crowding penalty (average hours per annum)	
	Public Transport reliability (standard deviation hours per annum)	
	Journey time reliability (standard deviation hours per annum)	
Mode shift	Reduced car use (annual average trips and VKT)	
Safety on roads due to mode shift	Number of avoided crashes (average annual)	
	Number of avoided serious injuries (average annual)	
	Number of avoided fatalities (average annual)	
Active transport benefits	Additional kilometres of walk and cycle paths (kilometres)	
	Increased walking and cycling activity (number of trips by mode and average kilometres per annum)	
Commuter time savings (daily commute to work)	Minutes saved by commuters on their daily commute to work based on a sample of commutes along the relevant corridor (average annual)	
	Average number of commuter trips (annual)	
Freight time savings	Average time savings freight (minutes)	
Freight and Business Productivity	Average annual value of the sum of reduced vehicle operating costs, time savings and travel time reliability for freight and business users	
Frequency of service	Peak and off-peak service frequency	
Public Transport Access	Number of additional dwellings within 400 metres of public transport stations/stops	
Construction Jobs	Number of jobs supported by the Project during the construction phase of the Project (average per annum FTE)	
Operations Jobs	Number of jobs supported by the Project during the operational phase of the Project (average per annum FTE)	

D4 Please complete the Benefit Net Present Value (NPV) table below.

Descriptions of benefit component table columns:

- Present value of all benefits: Represents the present value of the Project (in millions of dollars). Enter figures only into the cells shaded blue.
- Year 10 benefits in \$m: Represents the benefits of the Project forecasted to be achieved during Year 10 (in millions of dollars). If no Year 10 forecast is available, replace with projections from a different year that reflects the projects "steady state". Enter figures only into the cells shaded light purple.
- Year 10 benefits as percentage of total benefits: Represents the forecasted Year 10 benefit for a specific line item as a percentage of the total Year 10 benefit.

Please refer to D2 for guidance on the standard benefits, WEBS and other benefits. Where other benefits are greater than 5% please specify in the benefits area and provide an overview of the approach used to estimate the benefit area.

Benefit Component		Present Value of all Benefits (\$m)	Year 10 Only: Year 10 Benefits in \$m (10 years after construction complete)	Year 10 Benefits as a percentage of total benefits
Journey Time Savings	Commuter/ Leisure (existing/ new users)			
	Business (existing/ new users)			
	Freight (existing/ new users)			
	Total Travel Time Savings			
Reduced Vehicle Operating Costs (resource costs)	Commuter/ Leisure (existing/ new users)			
	Business (existing/ new users)			
	Freight (existing/ new users)			
	Total Reduced Operating Costs			
Crash Reduction	Commuter/ Leisure (existing/ new users)			
	Business (existing/ new users)			
	Freight (existing/ new users)			
	Total Crash Reduction			
Environmental Benefits	Reduced Greenhouse Emissions			
	Reduced Local Pollution			
	Reduced Noise			
	Other (i.e. Biodiversity)			
Reduced Maintenance Costs	Total Environmental Benefits			
	Routine (Annual)			
	Periodic			
	Rehabilitation			
Tolls/ Fare Box Revenue	Total Reduced Maintenance Costs			
	Total Tolls/ Fare Box Revenue			
Other standard benefits (reliability, crowding etc.)				
TOTAL STANDARD BENEFITS*				
Wider Economic Benefits	Agglomeration Benefits			
	Other Wider Economic Benefits			
	Total Wider Economic Benefits			
	(add category as required)			
Other Benefits (i.e. City shaping)	Total Other Benefits			

\*Total Standard Benefits should equal sum of total benefits.

- D5 Please complete the traffic and use assumptions table below. For public transport projects please complete the table by mode (new public transport investment and mode of transport from which traffic will be induced from).

*Transport model data to be provided to the extent possible in accordance with the table below. If peak travel time data is available please provide. Data is to be provided for passenger trip numbers and Vehicle Kilometres Travelled (VKT).*

Description of Traffic and use assumptions rows

- Users of existing infrastructure in Base Case: refers to use of the infrastructure in the future under a “no project” scenario – that is, if the Project did not go ahead.
- User of new upgraded infrastructure in Project Case: refers to the use of the new or upgraded infrastructure under the Project scenario – that is if the Project goes ahead.
- Users diverted from the road network: refers to the users of the new/upgraded infrastructure that otherwise would have used alternative roads
- Users diverted from other transport modes: refers to the users of the new/upgraded infrastructure that otherwise would have used alternative modes of transport
- Generated trips: refers to induced demand – i.e. trips that were non-existent anywhere on the network without the project. Include only those generated trips that will utilise the project.

		First year after Project completion	10 years following Project completion	30 years following Project completion
<b>Users of existing infrastructure in Base Case</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>User of new/ upgraded infrastructure in Project Case</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>Users diverted from the rest of the highway network</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>Users diverted from other transport modes (where possible).</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>Generated trips</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			



## E. FINANCING AND PROCUREMENT

This section is to provide the Department with a narrative as to why a particular financing and/or procurement method was chosen and details on how that procurement method will be managed.

- E1 If the total estimated project cost greater than \$50 million, please outline the process for considering alternative funding and / or financing opportunities and the outcome of the considerations.

*If NO – go to E2*

*Proponents must provide details of how this exploration was carried out and whether there is scope for private sector financing or alternative funding. Consideration should be given to the following:*

- *What will be covered? Core versus non-core services;*
- *The capacity and appetite of the market to be able to deliver this kind of Project;*
- *Public interest;*
- *Long term sustainability;*
- *Value for money;*
- *Value capture opportunities; and*
- *Opportunities for private sector contributions*

*Please attach a copy of the formal assessment.*

- E2 If the estimated Project cost is less than \$50 million was private funding or financing investigated proportional to the size of the project. If so, please provide a summary of how it has been considered and the outcome of the considerations?

*Noting that the Project is less than \$50 million are there are Project characteristics that warrant consideration of private sector funding or financings. For example, does the Project significantly benefit specific private sector operators?*

- E3 What is the preferred procurement method for the Project? Please outline the specific details of the contracting method (design and construct for example) and why it was chosen. If over \$50 million, how was a Public Private Partnership considered in line with the National Public Private Partnership Guidelines?

*Funding recipients should consider the different procurement methods available to deliver the Project including, traditional contracting, alliance contracting and Public Private Partnerships. For major projects, this should take the form of robust, careful procurement options analysis. The Australian Transport Assessment Planning Guidelines provide a comprehensive framework to support decision making for transport infrastructure and serves as a national standard. It can be found at <https://atap.gov.au/>.*

*If a Public-Private Partnership is proposed, provide details of the structure and funding method (user charges, availability payments) proposed. The Department provides guidelines on and instruction on Public Private Partnerships in its National PPP Guidelines which can be found at <https://infrastructure.gov.au/infrastructure/ngpd/files/National-PPP-Policy-Framework-Oct-2015.pdf>.*

*Note: The preferred procurement method may only be a prospective preference at this stage.*

**E4 Is a tender exemption being sought?**

*A tender exemption excuses the funding recipient from having to take the Project to market for delivery. For a project to be eligible for a tender exemption it must meet at least one of the requirements under Section 24(1) (c)i to vi of the NLT Act.*

*If eligible a tender request must include the following detail:*

- *Category under which the exemption is being sought – Section 24(1) (c)i to vi of the NLT Act;*
- *How the proposed procurement strategy will ensure value for money;*
- *Scope of work for which the exemption is being sought;*
- *Value of the works;*
- *Intended entity to undertake the work;*
- *Supporting reasons for the exemption.*

**E5 Project Timeline**

*Include the expected timing of high-level Project activities, including those on the critical path, and estimated completion date of the Project (i.e. the complete Project for an investigative study would typically be the study itself).*

*Please list and describe the assumptions underpinning the schedule set out above, including if the Project is dependent on the delivery of other projects, planning approvals or environmental studies by other bodies or agencies.*

Activity	Timeline

## F. RISK AND SUSTAINABILITY

This section outlines major risks associated with the Project, where the responsibility for managing these risks lies, and how sustainability can be built into the Project to increase its overall benefit.

- F1 Identify the major risks, and proposed mitigation strategies to successfully deliver this Project.

*Proponents should explain the risk identification process, including the use of risk workshops, to be undertaken as part of the Project. Please also list the most significant risks to successful delivery and provide details of the mitigation strategies proposed, including requesting increased Australian Government involvement where appropriate.*

*This information may be supported by an attached summarised risk register table.*

- F2 Identify the major dis-benefits of the projects and how the Project may impact the community and environment.

*Proponents should explain major dis-benefits and negative externalities associated with the Project including social, cultural and environmental impacts. This should include information such as property resumptions, any increase to noise or pollution levels, a-flux issues resulting from flood immunity and/or environmental considerations such as clearing and habitat removal should be included.*

- F3 Detail any sustainability strategies that will be adopted

*Environmentally sustainable strategies could include the reuse of dug out dirt as prefill, innovative tarmac solutions, solar panelling for ITS equipment etc.*

*Animal protection policies could include animal underpasses, overhead 'bridges' and the redevelopment of animal habitat in the area.*

## G. STAKEHOLDER ENGAGEMENT

This section outlines the steps the Funding Recipient will take to ensure that the public and other relevant stakeholders are engaged and actively managed throughout the Project.

- G1 Provide details on how public and stakeholder participation will be facilitated during this phase, and the Project overall.

*Factors that should be considered when determining the appropriate level of public and stakeholder participation may include:*

- *Potential for conflict over the Project;*
- *Potential for major social, environmental or economic impacts; and*
- *Relevant legislative requirements.*

- G2 Please complete the stakeholder consultation table below.

*Provide information on completed or planned consultations including the type of consultation the relevant stakeholders involved as well as a brief description of the issues raised and a plan to manage those issues.*

Date	Type of Consultation (stakeholders invited i.e. industry, community)	Issues raised	Management plan

- G3 Provide a comprehensive public recognition signage plan

*The plan should set out the proposed signage for the Project in line with the Signage Guidelines available from the Department's website at*

*[https://investment.infrastructure.gov.au/about/resources/signage\\_guidelines.aspx](https://investment.infrastructure.gov.au/about/resources/signage_guidelines.aspx).*

## H. COMPLIANCE

This section provides the Department assurance that the Funding Recipient understands their responsibilities with regard to both State and Commonwealth legislation and regulation and has taken steps to actively comply.

### H1 List Commonwealth or State legislation triggered by the Project.

*As an example, legislation that may be triggered by the Project could include the Commonwealth's Environment Protection and Biodiversity Conservation Act 1999 or the Queensland Government's Aboriginal Cultural Heritage Act 2003 and the Torres Strait Islander Cultural Heritage Act 2003.*

*For the Identification Phase, it is necessary only to highlight foreseen legislation issues.*

### H2 Does the Building Code 2016 apply to this Project? If so, please confirm compliance.

YES/ NO

*YES – please confirm compliance.*

*NO – please explain why.*

*See Appendix A2 for more information.*

### H3 Does the Australian Government Building and Construction WHS Accreditation Scheme apply to this Project? If so, please confirm compliance.

YES/ NO

*YES – please confirm compliance.*

*NO – please explain why.*

*See Appendix A2 for more information.*

### H4 If the Project has an Australian Government funding contribution of equal to or greater than \$7.5 million, has an Indigenous Participation Plan been attached?

YES/ NO

*YES – plans will assessed by the Department for compliance.*

*NO – please explain why.*

*See Appendix A3 for more information.*

*See Appendix B3 for the Indigenous Participation Plan Template.*

### H5 If the Project is more than \$20 million, a Local Industry Participation Plan or an Australian Industry Participation Plan must be provided to the Department.

YES/NO

*YES – please send, once complete, for forwarding to the Commonwealth Department of Industry, Science, Energy and Resources ([aip@industry.gov.au](mailto:aip@industry.gov.au)) for compliance.*

*Note: final milestones will not be paid out for a Project until a LIPP is provided.*

*See Section 2.3 of the Notes on Administration for more information.*

### H6 Is the proposed Australian Government contribution \$250 million or greater. If yes, has the Business Case been submitted to Infrastructure Australia for review?

YES/NO

*YES – provide date and status of IA assessment (if known).*

*NO – please provide advice on expected timing of submission to IA.*

*See Section 2.2 of the Notes on Administration for more information.*



**I. SIGN OFF**

*The Project should be signed and dated by the appropriate officer, as per each jurisdiction's in-house approval process.*

**X**

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**/ /20**

## J. ATTACHMENTS

This section is where information that was used to help complete the PPR will be attached as Appendices.

If a Business Case (including strategic or preliminary Business Cases) or Options Analysis was undertaken on the Project the Department requires a copy be attached to the PPR.

### J1 Supporting Information

*Supporting information should only include documents that have been referred to in the body of the PPR, for example:*

- GIS data;
- Photographs;
- Locality and/or topographical plans and maps;
- Demand forecasts;
- Safety audits;
- Historical crash statistics;
- Engineering plans;
- Environmental, cultural and social studies;
- Risk assessment reports;
- Other descriptive information.

*Documents in relation to cost estimates that must be provided include:*

- Completed Project Cost Breakdown spreadsheet;
- Cost Estimate Report explaining how the cost estimate was developed, which must include:
  - background and context for the Project;
  - outline scope for the Project;
  - details of the risk workshop/s undertaken, and subject matter experts consulted;
  - copy of the Risk Register underpinning the contingency included in the Project costings (where a probabilistic cost estimation process has been used this will be the source of much of the Cost Estimation Tool risk input data);
  - details of the person/firm preparing the cost estimate; and
  - evidence that Project costs have been comprehensively reviewed and authorised in accordance with the Proponent's published guidelines.

*For projects equal to or over \$25 million in total Outturn Cost or where a probabilistic cost estimation process has been used, the following information must be provided:*

- Cost Estimation Tool (for example, @RISK and Crystal Ball) Output Report files, which must at a minimum include charts showing the non-Outturned Project Cost probability distribution and associated cumulative probability distribution ('S' Curve), Simulation Summary Details (that is, sampling type, number of iterations, Random Number Generator a Tornado diagram and accompanying Regression and Rank Information Table, and Summary Statistics for the Project Cost, including the Project cost estimate (unescalated) at 5 per cent intervals from 5 per cent to 95 per cent confidence).
- Cost Estimation Tool input data files in spreadsheet format that includes sufficient information to permit the Department or its contractors to re-run the probabilistic cost estimation simulation.
- Bibliography of all documents consulted by the cost estimator in preparing the cost estimate (including version number/date, proper title, document format and author). Note: It is a requirement that the Proponent maintains a digital library of all documents consulted in preparing the cost estimate.

*Projects with cost estimates prepared using a deterministic estimation process must provide, when requested:*

- Underpinning documentation explaining the derivation of the Base Estimate and the approximate P50 and P90 values (both Non-Outturned and Outturned).

# Indigenous Participation Plan

PROJECT NAME:

PROJECT NUMBER:

FUNDING RECIPIENT:

This Plan will be submitted to the Australian Government prior to commencing the formal tender process.

**Before you begin:**

*This Plan should be developed in conjunction with the requirements under the Indigenous Employment and Supplier-Use Infrastructure Framework (the Framework) at Appendix A3.*

## Scope for Indigenous participation (mandatory)

*The Australian Government requires Funding Recipients to identify a range of potential opportunities to Indigenous job-seekers and businesses across the infrastructure construction supply chain.*

1. Provide an overview of the project phases and project delivery roles (i.e. primary roles, skills and capabilities) targeting Indigenous Participation in the delivery of this project.

***[E.g. Indigenous participation will target the delivery of earthworks to prepare the project site for the development of an intersection between the Bruce Highway and the Bajool Port Alma Road. The primary roles targeting Indigenous participation to deliver this phase include the servicing and operation of heavy machinery and entry-level traffic management positions to divert traffic flows from the project site. These roles require on the job work experience and license to operate and/or service heavy machinery and equipment.]***

**'Local first principle':**

*Funding Recipients are encouraged to offer employment and business opportunities to the Indigenous Australians local to the area.*

*In determining 'local' and 'locality' Funding Recipients may consider Indigenous communities' connection to land and country, formal local government definitions and proximity to the project.*

*Determining the 'Local Indigenous working age population'*

## Setting an Indigenous participation target (mandatory)

*In order to have funding formally approved and released, the Australian Government requires that an Indigenous participation target is set with reference to the local Indigenous working age population figure for the relevant region/project locality, and consistent with the 'local first principle' of the Framework.*

2. What is the definition of 'local' for this project phase?
3. Using the ABS Census data (or equivalent), determine the local Indigenous working age population figure for the project, and set the Project's Indigenous participation target (*double click on the excel table to open, click anywhere on document to exit*)

Once 'local' has been defined for the project, the local Indigenous working age population is the number of Indigenous peoples aged between 15-64 years of age as found by the Australian Bureau of Statistics (ABS) most recent Census data available – look for Indigenous and Torres Strait Islander Peoples' community profiles- refer to Table 103

What is the local Indigenous working age population figure in the locality?

0

What is the total working age population (non-Indigenous and Indigenous) figure in the locality?

0

The Participation Target the Project will aspire to achieve is:

#DIV/0!

**Equation 1 : “Defined Local Indigenous Working Age Population figure” is divided by the “Defined Total Local Working Age Population figure” and is then multiplied by 100 to express it as a percentage.**

**If using an alternative data source, please provide the relevant links or evidence for verification purposes.**

**Adjusting Participation Targets (required if not adopting the target calculated at Question 3, otherwise go to Question 6).**

*Targets can be adjusted up or down depending on a range of factors, for consideration by the Department of Infrastructure, Transport, Regional Development and Communications. Where the proposed target is significantly lower than the local Indigenous working age population, Funding Recipients must complete this section, and demonstrate through market sounding, research and consultation with relevant government agencies, including written advice from the Regional Network of the National Indigenous Australians Agency, that a lower target is required.*

4. What is the proposed adjusted participation target?
5. Explain the rationale for the adjustment and variations on the Indigenous participation target (calculated at Question 3) with reference to at least one of the factors listed below (as applicable):
  - the local employment market, including in terms of the number of Indigenous businesses, workers and job seekers, and their relevant skills, capabilities, qualifications and training;
  - the scale, value and location of the project, and skills and capabilities required to deliver the project;
  - the availability of supply-side services to support the meeting of any targets and assist in building the capacity of Indigenous businesses and job-seekers to take up opportunities; or
  - existing state and territory policies and/or targets.

**[E.g. the Indigenous working age population in the defined local area is 12 per cent. The proposed project is situated in a semi-remote area and the majority of work requires complex and diverse skillsets and tertiary project management qualifications. The skills are not widely available in the local area and supply-side**

supports are limited. It is estimated that an Indigenous participation target of 7 per cent, consisting of 3 per cent FTE positions and 4 per cent contract value for Indigenous businesses would be achievable in this delivery context.

6. Provide the Indigenous participation target for the life of the project<sup>1</sup> and include a breakdown of the employment<sup>2</sup> and supplier-use<sup>3</sup> component towards the target<sup>4</sup>.

***[E.g. a participation target of 10 per cent comprises 3 per cent FTE positions and 7 per cent of total contract value for Indigenous businesses].***

Participation target component	Target	Recommended Metrics (if available)
Employment	[Example 3%]	FTE hours or positions that is anticipated or planned as a proportion of the total FTE hours or positions estimated  <i>i.e. 1.5 FTE of an estimated total 50 FTE positions</i>
Supplier-use	[Example 7%]	For supplier-use % of total contract value that is <b>anticipated or planned*</b> to be awarded to Indigenous Businesses  <i>i.e. \$840,000 of \$12million total project/contract value</i>  *note this can be adjusted (up or down) to reflect market soundings before contracts are awarded.
Total	= [example 10%]  (The Participation target)	

***Note: The target can be met through an employment component, a supplier-use component or a combination of both. There is no specified minimum for either of these components. Where a Funding Recipient proposes to use alternative metrics to calculate targets, including in accordance with their own State policy, this should be explained in the Indigenous Participation Plan.***

7. Explain how the community will be made aware of opportunities under this project, and outline prospects for long-term capability development.

<sup>1</sup> The 'life of the project' timeframe should correspond with the project phases identified at Question 1.

<sup>2</sup> The number of full-time employee (FTE) positions or equivalent hours undertaken by Indigenous employees.

<sup>3</sup> Supplier-use is the percentage of the total contract value to be awarded to Indigenous businesses.



**[E.g. the Funding Recipient will advertise opportunities in the local media and look at opportunities for the Indigenous workforce/businesses to undertake commercial scaffolding, painting and finishing].**

#### Developing a 'supply-side' strategy

The success of Indigenous Participation Plans may rely on the availability and whole-of-government coordination of appropriate supply-side supports to ensure an increase in the demand for Indigenous labour and business services is able to be met by a suitably skilled and qualified workforce.

The Australian Government will consider partnering with relevant agencies in the jurisdictions to establish employment/business project hubs in strategic locations, where there is a business case for this, in order to help with the coordination of support services.

Contact your local **National Indigenous Australians Agency** <https://www.niaa.gov.au/contact-us/regional-network-addresses> for help with tailoring a supply-side strategy for the project.

### Supply side supports and engagement with Indigenous Stakeholders (mandatory)

Achievement against Indigenous participation targets may rely on the availability of appropriate supply-side supports. Funding Recipients should identify the supply-side supports required to meet the project's Indigenous participation requirements and engage early with government agencies. Funding Recipients should consult a representative Indigenous body, for example, an Indigenous land council or an Indigenous advisory council to address any identified barriers to supply-side supports.

8. Outline the supply-side supports required to engage Indigenous job-seekers and businesses in the project locality.

**[E.g. Indigenous Business Australia and Supply Nation portals were used to identify Indigenous businesses that could undertake earthworks to prepare the site for construction. The local job service provider (include name) was contacted to identify Indigenous job-seekers willing to apply for entry-level traffic management roles].**

9. Detail any engagement to date (or expected in future) with the National Indigenous Australians Agency, including its Regional Network Offices,<sup>5</sup> and the Commonwealth Department of Education, Skills and Employment<sup>6</sup>
10. Detail any engagement to date (or expected in future) with other government (e.g. state/territory agencies/service providers) or non-government services (e.g. employment or training providers, and representative Indigenous bodies, including local land councils).

### Risks and mitigation strategies

11. List the key risks and mitigation strategies that may affect the achievement of the Indigenous participation target.

Risk 1	Mitigation or treatment
Risk 2	Mitigation or treatment

<sup>5</sup> The National Indigenous Australians Agency regional networks and contact details are available at: <https://www.niaa.gov.au/who-we-are/contact-us>

<sup>6</sup> The Commonwealth Department of Education, Skills and Employment have a range of employment programs to assist job-seekers and businesses: <https://www.employment.gov.au/>

Risk 3	Mitigation or treatment

# Appendix C – Project Reporting Guidance

## Appendix C1 Monthly Progress Report

The Monthly Progress Report is the key reporting mechanism for the progress of funded Projects. It is also the mechanism for submitting Claims for Payment of Milestones.

The Funding Recipient should use the Department's template when generating the Monthly Progress Report. The template will be available to be generated between the 1st and 13th of each month, and must be completed and submitted into IMS by the 13th of each month, or when requested by the Department.

The Monthly Progress Report requires the following information to be entered into IMS:

- Financial Status;
- Project progress;
- Progress against Indigenous targets; and
- Claims for payment.

### ***Financial Status***

Funding Recipients must provide financial status information on the Project including:

- Total expenditure to date
- Year-to-date expenditure
- Estimated expenditure for the current month
- Estimated expenditure for the upcoming month.

Funding Recipients must also report on the expenditure by each Project contributor.

### ***Project Progress***

*When no Milestone is scheduled for Claim*

Funding Recipients must provide a single, free-text Project status, detailing information on Project progress for the monthly reporting period. This must include, as appropriate:

- Known risks to Project completion and strategies adopted to mitigate these risks
  - Where a Project is to be delivered using a collaborative contracting method (for example, alliance or early contractor involvement), the risks associated with this contracting method should be reported.
- Progress against agreed Milestones
  - Where Projects are combined into a single approved Project, progress against each sub Project should be reported.
- Key events to take place in the next two months (for example, request for an expression of interest, a tender, contract award, an opening, commencement of completion of a key Project stage)
- Details of Building Code breaches.

### ***When a Milestone is scheduled for Claim***

Funding Recipients will be required to provide the following Project status information in a series of free text fields in IMS.

- The Project status in each of these four areas:
  - Financial status. Example: Is the Project on budget? Is there an overspend? Is there an underspend?
  - Scope status. Example: Is the Project proceeding according to the approved scope or does the Project team anticipate that scope changes are required?

- Schedule status. Example: Have events occurred that are likely to delay the Project? Is there potential for acceleration of the schedule?
- Stakeholder status. Example: What impact do stakeholders have on the progress of the Project?
- Strategies adopted to address issues or risks for each of the four areas noted above.
  - Where a Project is to be delivered using a collaborative contracting method (for example, alliance or early contractor involvement), the risks associated with this contracting method should be reported.
  - Where Projects are combined into a single approved Project, progress should be reported against each sub Project.
- Overall Project progress, including:
  - Key events to take place in the next two months (for example, request for an expression of interest, a tender, awarding of a contract, an opening, commencement or completion of a key Project stage.
  - Details of Building Code breaches.
  - Whether the Project is Complete.

### ***Claims for Payment***

Where a Milestone is scheduled for payment in a given month, Funding Recipients may submit Claim for Payment in the Monthly Progress Report. The claim must verify that the Milestone is complete. The Department may request additional information to support verification.

If the Department accepts the Claim for Payment, the Funding Recipient will be paid the agreed amount of funding. If the Department does not accept a Claim for Payment, a Milestone variation will be triggered.

### ***Indigenous Reporting***

Funding Recipients are required to use the Monthly Reporting process to provide reports to the Department demonstrating evidence of progress against the participation targets set out in the relevant Indigenous Participation Plan. While the Indigenous reporting requirements have been incorporated into Monthly Reporting to streamline the process, Funding Recipients need only update the Indigenous component when there is progress to report on. That said, Funding Recipients must advise at the earliest opportunity where targets are not on track to be met, to enable appropriate support to be provided, as needed, in an effort to meet agreed targets.

## Appendix C2 Post-Completion Report

The Post-Completion Report must be submitted with the Claim for Payment of the Final Milestone. The Final Milestone will not be paid until the Department accepts the Post-Completion Report. If required, the Department may ask the Funding Recipient to revise the submitted report before accepting it.

PROJECT:

PROJECT NUMBER:

FUNDING RECIPIENT:

### Scope

Provide details of all material changes to the scope following Project approval<sup>7</sup>. For comparison purposes, including descriptions of the:

1. original Project scope approved
2. scope change
3. rationale for the change.

Original scope	Scope change	Rationale for change

### Schedule

Project Period as agreed on approval of the Delivery Phase		Actual Project Period	
Construction start date	Physical completion date	Construction start date	Physical completion date

Provide details of the rationale for changes to the construction start or physical completion dates and how the impact of these changes was managed

### Cost

Provide a populated Project Cost Breakdown template detailing the actual Project costs. The template is available from the Department.

<sup>7</sup> Unapproved changes to scope and quality will require further investigation by the Department and the Final Milestone will not be paid until this has been achieved



## Performance

Provide information on the progress of the Project in meeting agreed Transport Performance Indicators. Include a table of figures if appropriate.

## Innovation

Provide innovative Project delivery techniques that have resulted in positive economic, safety, social, environmental, integration or transparency outcomes (for example, use of recycled material, techniques to reduce water and energy consumption, Project delivery methods that deliver Project savings, or private funding or financing models.)

## Indigenous employment and business participation targets

Provide:

1. Results against Indigenous participation target
2. Variations
3. Results for Indigenous job seekers
4. Results for Indigenous businesses
5. Supply-side supports
6. Risk mitigation
7. Unanticipated project costs

a. Results against Indigenous participation targets (to be made public)	
<ul style="list-style-type: none"> <li>• Provide the Indigenous participation target outlined in the Indigenous Participation Plan for this project.               <ul style="list-style-type: none"> <li>○ Include a breakdown of the employment and supplier-use component of the target.</li> </ul> </li> <li>• Was the Indigenous participation target met? YES/NO</li> <li>• What is the rationale / justification for progress made against targets?</li> <li>• Has the above information been made public through the States' project reporting processes?</li> </ul>	
b. Variations	
<ul style="list-style-type: none"> <li>• If the Indigenous participation target was not met for this project, explain the variation from the target outlined in the Indigenous Participation Plan.               <ul style="list-style-type: none"> <li>○ Include the planned vs actual results against the target.</li> <li>○ Provide information about the issues faced by the contractor to fulfil the Indigenous employment and supplier-use requirements.</li> </ul> </li> <li>• If the Indigenous target was exceeded, explain the factors that encouraged or allowed the contractor to achieve this.</li> </ul>	

- E.g. a result of supply side support and early engagement with the local community regarding opportunities.
- E.g. a strong Indigenous labour force within the project locality.

### c. Results for Indigenous employees

**Mandatory: What was the number of Full Time Equivalent (FTE) Indigenous positions created for the duration of the project?**

*If available, include details about:*<sup>8</sup>

- The number of Indigenous applicants for available positions.
- The aggregate income of total FTE Indigenous positions created in a local area.
  - Include a definition of the 'local area' (e.g. township, Indigenous nation, local government area, ABS data region).
- Indigenous employees' primary role (i.e. key job responsibilities), gender, age group, cultural group and disability (if relevant to employment).

[Note: the Australian Government recommends obtaining this information in a standard spreadsheet from the principal contractor. The information should de-identify individuals, and any corresponding personal information should not be traceable to an individual].

### 1. Results for Indigenous businesses

**Mandatory: What was the total contract spend on Indigenous businesses in a local area?**

*If available, include details about:*<sup>9</sup>

- Number of certified Indigenous businesses awarded a contract in a local area.
  - Include a definition of the 'local area'.
- Locality of the Indigenous businesses (e.g. office location, where they were sourced from).
- Size of Indigenous businesses contracted in this project (e.g. annual turnover, net income).
- If any new Indigenous businesses were established in response to market demand created by the project.

### 2. Supply side supports

- Type of employment and business support service accessed by Indigenous individuals, and Indigenous and non-Indigenous businesses.
- Type of resource/qualification obtained from the service provider (e.g. finance, capital investment, wage subsidy, cultural awareness training, and certifications).
- Date and duration of service access.

<sup>8</sup> The Australian Government is collecting this information to assess the impact of the Framework on Indigenous economic participation for Commonwealth funded or co-funded investment projects.

<sup>9</sup> The Australian Government is collecting this information to assess the impact of the Framework on Indigenous economic participation for Commonwealth funded or co-funded investment projects.

- Identify any gaps in services or any issues relating to accessing supply-side supports.

[Note: this feedback will be provided to relevant Australian Government agencies]

### 3. Risk mitigation

- Identify any project risks that eventuated as a result of the Indigenous participation requirements for this project and explain how they were managed.
- Were the risk mitigation strategies (including those outlined in the Indigenous Participation Plan) effective in treating these risks?

### 4. Unanticipated project costs

- Provide details of any additional unanticipated project costs resulting from the Australian Government's requirement for Indigenous economic participation, for this project, and how these costs were managed.

### 5. Public reporting requirements

- Please advise location of public reporting on performance against Indigenous participation requirements including targets.

\_\_\_\_\_  
[Name]

\_\_\_\_\_  
Date

\_\_\_\_\_  
Position and organisation

## Appendix C3 Annual Financial Statement and Audit Report

The Chief Executive Officer, or their delegate, is required to submit the Annual Financial Statement and Audit Report to the Department no later than 31 December after the end of the financial year. In accordance with Section 21 or Section 82 of the NLT Act, please note that the information in this report is to be submitted at Project level.

The Report comprises four components a:

1. Financial statement;
2. Statement of disposals of interests in land;
3. Signed written statement by the appropriate auditor; and
4. Signed statement from the Chief Executive Officer.

### 1. Financial statement

The Financial statement should be in the format described below:

Project <sup>10</sup>	Amount <sup>11</sup> brought forward from previous financial year	Amount received year ended 30 June xxxx	Total Amount available for expenditure year ended 30 June xxxx (Total of previous two columns)	Amount expended year ended 30 June xxxx	Amount carried forward

<sup>10</sup> For Black Spots the Financial Statement should be at the programme level and provide information for Columns 2-6

<sup>11</sup> Amount' refers to the amount of Australian Government funding.

## 2. Statement of disposals of interests in land acquired with Australian Government funds<sup>12</sup>

The statement should detail the sale or disposal of interests in land acquired with the use of Australian Government funds in accordance with Section 25 of the NLT Act.

Project	Australian Government Land Interest Contribution Proportion %	Australian Government Land Interest Contribution Amount \$	Land Interest Sale Value Australian Government \$	Amount Owed to Government \$
	%	\$	\$	\$
	%	\$	\$	\$
	%	\$	\$	\$
<b>TOTAL</b>	n/a			

Provide details of disposed land (such as title reference numbers and subdivisions) as an attachment.

## 3. Signed written statement by the appropriate auditor

The signed written statement by the appropriate auditor should certify that the:

- Financial statement is based on proper accounts and records; and
- Financial statement is in agreement with the accounts and records; and
- Amount expended by the Funding Recipient during the year, as shown in the financial statement above, has been spent on the funded Project(s).

According to Section 4 of the NLT Act, an appropriate auditor is:

- d. in relation to a person or body whose accounts are required by law to be audited by the Auditor-General of a State—the Auditor-General of the State; or
- e. in relation to a person or body whose accounts are required by law to be audited by the Auditor-General of the Commonwealth—the Auditor-General of the Commonwealth; or
- f. in relation to any other person or body—a person (other than a director, officer or employee of the person or body) who is:
  - (i) registered as a company auditor or a public accountant under a law in force in a State; or
  - (ii) a member of the Institute of Chartered Accountants in Australia or of the Australian Society of Accountants.

<sup>12</sup> A statement of disposals of interests in land is not required for the Black Spot Programme report.



#### **4. Signed statement from the Chief Executive Officer**

The Chief Executive Officer signs a statement certifying that:

- Amounts expended from funding payments have been wholly expended on Approved Purposes in relation to funded Projects;
- All tenders invited and contracts awarded for Australian Government funded Projects for which there is a tendering requirement have been dealt with in accordance with the NLT Act and Section 2.4 of these Notes
- Signs have been erected in accordance with the agreed signage plan (Section 5.3)
- The Funding Recipient has met the compliance requirements of the Building Code 2016
- Funding Recipients have met the requirements of the Australian Government Building and Construction WHS Accreditation Scheme
- Conditions outlined in the NPA, or any funding agreement with the Australian Government, have been met.

# Appendix D – Black Spot Projects

## Appendix D1 General Requirements for Black Spot Projects

### D1.1 Objective

The objective of Black Spot Projects is to reduce the social and economic costs of road trauma by:

- Identifying and applying cost-effective treatment of locations with a record of casualty crashes;
- Placing significant focus on the need to reduce rural road trauma, in accordance with national road safety policy objectives; and
- Using a proportion of funds to treat sites identified as potential crash locations, and to implement other road safety measures.

Australian Government funding for Black Spot Projects makes an important contribution to reducing the national road toll under its National Road Safety Strategy.

Financial assistance is provided to improve the physical condition or management of sites noted for a high incidence of crashes involving death and injury, termed Black Spots. Black Spot Projects also aim to encourage the implementation of safety-related traffic management techniques and other road safety measures that have proven road safety value. This includes traffic signs, traffic control equipment and street lighting.

### D1.2 Eligibility

Consistent with Section 71 of the NLT Act, a Project is eligible if:

- a. It is for the improvement of road safety of a site (being all or part of any road); and
- b. the site is in a State; and
- c. the nature of the site has contributed to, or is likely to contribute to, serious motor vehicle crashes involving death or personal injury.

In general, sites that do not meet crash history criterion, but are eligible on the basis that the site is likely to contribute to serious motor vehicle crashes involving death or personal injury, will have been the subject of an official road safety audit report or relevant assessment methodology.

Black Spot Projects focus on locations where the highest benefits can be achieved. Works eligible for funding may include safety-related construction, alteration or remedial treatment.

Funding Recipients are not to propose Projects for Black Spots funding where the Project duplicates a Project included in the NPA Schedules.

### D1.3 Approved Purposes

Black Spot Projects funding is available to treat road safety problems at identified sites. Funding may be sought for all or part of the costs directly associated with an approved Black Spot Project, except for parts listed as an Unapproved Purpose (see list below). The Australian Government's funding contribution for each Project will not exceed \$2 million. However, to achieve maximum effect from available funding, emphasis will be on low-cost, high-return Projects.

Direct administrative costs should be a component of the total Project cost submitted for consideration by the consultative panel.

Unapproved Purposes for Black Spot Projects include:

- Purchase of road-building plant or equipment;
- Costs involved in preparing Road Safety Audits or assessments used to support a nomination for Black Spot Projects funding under [D2.2](#) (Proactive Proposals - noting the exception to this in the paragraph below);
- Maintenance costs;
- Speed/red light cameras; and
- Costs incurred after installation.

A design stage road safety audit is not mandatory but may be a requirement in some States. Where a Project Proponent considers that a design stage Road Safety Audit is appropriate, or required by the relevant State road authority, the cost of the audit undertaken as part of a Black Spot Project and approved on the basis of a site's crash history is an Approved Purpose.

#### ***D1.4 Rural and urban Black Spot***

The National Road Safety Strategy 2011–2020 specifically targets inhabitants of rural and remote areas in its strategic objective to improve equity among road users.

In recognition of this, funding will be allocated approximately 50:50 between rural and urban areas in each year where applications allow.

For the purposes of this provision, urban areas are defined, on the basis of Australian Bureau of Statistics statistical divisions, as cities and towns with a population in excess of 100,000. With the agreement of their Black Spot Consultative Panel, States may use boundaries in use for state programs, for example regional office boundaries, to define urban areas.

The urban-rural criterion does not apply to the Australian Capital Territory, Northern Territory or Tasmania.

#### ***D1.5 Administration***

The Department administers Black Spot Projects funding on behalf of the Australian Government. State road and transport agencies manage approved Projects within each State.

Funding Recipients must observe the funding conditions provided in Part 7 of the NLT Act. Appendix A1 summarise these conditions. However, Black Spot Projects are not required to:

- Call for public tenders (Condition A1.5); or
- Declare sales or disposals of interests in land acquired with Australian Government funding (Condition A1.6).

A consultative panel has been established in each State comprising, as appropriate, representatives of the relevant State road and transport agency, local government, and community and road user groups. The panel's purpose is to consider and comment on all nominations for Black Spot treatment within a State. The Minister has appointed a Chair for each panel. The Minister or the Chair may, from time to time, amend panel composition except that it must always include a representative of the relevant State road and transport agency.

Each panel has a Secretariat. These services are provided by the State road and transport agencies. Agencies provide expert input to the consultative panels, particularly with collating and assessing site nominations.

#### ***D1.6 Black Spot Projects undertaken as part of larger works***

Discrete sites or lengths to be treated as part of a larger Project and/or program of works may be nominated for Black Spot Projects funding. Any site or length must meet the eligibility criteria for Black Spot Projects funding and be accompanied by evidence that the crash statistics supporting the nomination relate to the discrete site or length for which funding is sought.

Where possible, Projects to be undertaken as a part of larger works should be identified before approval.

Eligible Project costs, such as design, construction and direct administration, are to be apportioned appropriately where Black Spot Projects-funded works are undertaken as part of a larger Project. For example, where the Black Spot Projects-funded works comprise 10 per cent of the road length treated, then 10 per cent of all eligible Project costs must be apportioned to the Black Spot Project.

#### ***D1.7 Timeframe for Approved Projects***

In general, a Black Spot Project is approved for delivery in a specified financial year and Funding Recipients are encouraged to ensure approved Projects are Complete or are sufficiently advanced to enable payment of approved Australian Government funding.

Where a Project will not be complete within the financial year for which it was approved, Funding Recipients should discuss the circumstances of the delay with their State road authority.

Funding Recipients may nominate a multi-year Project for Black Spot Projects funding. Multi-year Project nominations should be clearly presented as such to the consultative panel and the Minister to enable full consideration of whether the commitment of forward funding is warranted. Multi-year Projects do not include Projects where the final seal or related works cannot be completed within the approved financial year.

## Appendix D2 Black Spot Projects criteria

### ***D2.1 Proposals based on crash history***

Funding is mainly available for the treatment of Black Spot sites with a proven history of crashes. Project proposals of this sort should be able to demonstrate a benefit to cost ratio (BCR) of at least 2.

A discount rate based on current Austroads Guidance should be applied in calculating BCRs, however other rates are allowed. An example of this is where a State uses an alternative discount rate when assessing proposals for State government funding. The discount rate used by the State must be applied when assessing all candidate Projects.

For discrete sites (for example, an intersection, mid-block or short road section) the minimum eligibility criterion will be a history of at least three casualty crashes over five-years.

For road lengths the minimum eligibility criterion is:

- an average of 0.2 casualty crashes per kilometre per annum over the length in question measured over five years; or
- A length that is among the top 10 per cent of locations identified in each State with an identified higher crash rate than other roads.

Notes: Measures of casualty crashes should be provided from the most recently available five-year period.

The road length criterion may only be applied to proposals for the treatment of road lengths of three kilometres or more. This is to ensure that the road length has a crash history similar to that required for a discrete site.

When a site receives project funding under the Black Spot Program it is for the treatment of the crashes that have occurred at the site. This means that, once a site has been nominated and successfully receives funding, that funding is considered to be for the treatment of the crashes that have occurred over the five-year period. Should a site be nominated again, the crash history used for the previous nomination cannot be used again, as those crashes are considered to have been treated by the previous project.

The table of crash reduction potentials for typical treatments, at [D8](#), will assist crash analysts and traffic management engineers. The table is not intended to replace more detailed information and professional judgement available at local level.

More information and guidance on crash location identification and treatment are included in the Austroads Guidelines.

### ***D2.2 Proactive proposals***

In addition to [D2.1](#), up to 30 per cent of Black Spot Projects funds may be used to treat sites that may not meet the above crash history criteria, but that have been recommended for treatment in an official Road Safety Audit or relevant assessment methodology report provided by the Project Proponent.

The Minister may consider proactive Projects above this amount if, in any given year, a Black Spot consultative panel recommends proactive proposals in excess of 30 per cent of available funding.

Austroads publishes a guide outlining a suitable standard for completing a road safety audit. AusRAP or ANRAM assessments of local government roads, or similar assessments as agreed with the Department, may also be used to identify proactive nominations.

Road Safety Audits or equivalent assessments should normally recommend the treatment proposed in the application for Black Spot Projects funding. Where this is not the case, the State road authority should advise the Department that it has assessed the proposed treatment and considers it appropriate.

## Appendix D3 Nomination and Assessment of Project Proposals

### D3.1 Nominations

Nominations of sites are invited from State and local governments, community groups, clubs and associations, road user groups, industry and individuals.

Community nomination and joint funding of Projects is encouraged. Applications that indicate a commitment of funds, labour or materials from other government or community/industry sources for associated works will receive favourable consideration.

All nominations are to be referred to:

#### **The Black Spot Consultative Panel**

c/o State road and transport agency in your State.

(A list of addresses for the State road and transport agency in each State is on the back of the nomination form. This is available for download from the Department's website or by contacting the Department.)

On receipt of a site nomination, the State will assess the eligibility of the nomination against the criteria and undertake a benefit-cost assessment of a treatment proposal. In assessing nominations, States can use the table at [D8](#) or use their own assessment methodology. However, States must ensure that all nominations for a particular year are assessed using the same methodology and the same inputs (such as crash reduction percentages and Project-life assumptions). States may need to provide advice to the Department on their Project assessment procedures and methodology and give an undertaking that all Project assessments are consistent with these procedures.

All nominations will be referred to the consultative panel. However, nominees should be aware that nominations for sites that fail to conform to the criteria will not be considered for approval.

Nominees should note that Australian Government funding for Black Spot Projects will be paid directly to the States. States are responsible for distributing Project funds against each approved Project as appropriate.

### D3.2 Costs used in Project assessments

For nominations based on crash history, the Department recommends that States use the full cost of the Project, including proposed contributions from external sources, when calculating the BCR for the Project.

Funding contributions from other sources may be taken into account by the State consultative panel when recommending nominated Projects for consideration by the Minister. The Minister may consider the extent to which persons other than the Australian Government propose to contribute funding when deciding whether to approve a Black Spot Project.

### D3.3 Consideration by State consultative panel

Each nomination must be submitted to the relevant State consultative panel for consideration against Black Spot Projects criteria. In general, nominations will be ranked by priority, based on the assessment undertaken by the State. The State may include relevant comments arising from the assessment, to assist the panel's consideration of the nomination. Ranking of proposals assessed on crash history should consider the proposal's BCR, but States are also able to priorities eligible proposals using alternative measures such as a calculated Fatal and Serious Injury (FSI) Reduction score. For proactive nominations, the Department supports ranking proposals on the basis of a systematic risk assessment methodology.

Consultative panels will recommend nominated Projects for consideration by the Minister, and comment, where appropriate, on proposals.



### ***D3.4 State submission of Projects recommended by the consultative panel***

State agencies, on behalf of the consultative panel, are invited to forward submissions to the Department for Projects recommended by the consultative panel for consideration by the Minister. State agencies should endeavour to forward submissions within six weeks of the consultative panel meeting.

Preferably, submissions comprising recommended Projects should be provided in electronic format using the template available for downloading from IMS.

### ***D3.5 Minister may nominate Australian Government priorities***

The Minister may consider Black Spot Projects recommended by a State consultative panel. Under Section 73(3) of the NLT Act, the Minister may nominate Australian Government Project priorities at any time and may consider other Projects that meet the eligibility criteria for a Black Spot Project set out in the NLT Act.

## **Appendix D4 Approving a Project Proposal**

### ***D4.1 Consideration by the Minister***

Upon receipt of the Proponent's submission, the Department will prepare the necessary documentation for the Minister's consideration.

Eligible Project proposals will be considered for approval against a range of factors intended to maximise the safety benefits of Black Spot Projects. In assessing which Projects will be approved for funding, the Minister can consider, but is not limited to considering, these factors:

- Relative safety and economic merits of proposals;
- Relative merits of competing Projects for which an official road safety audit report or relevant assessment methodology has been undertaken;
- Australian Government's policy on the mix of Projects between urban and rural areas;
- Recommendations made by the State consultative panel;
- Available funding levels;
- Contributions to the Project from sources other than the Australian Government;
- Whether the Australian Government's funding contribution for each Project exceeds \$2,000,000 with an emphasis on low-cost, high-return Projects; and
- Anticipated completion times of proposals.

### ***D4.2 Minister will issue a Project approval instrument for approved Projects***

The Minister will issue a Project approval instrument for a Black Spot Project or Projects for each State. Section 74(1) of the NLT Act states that the Project approval instrument for Black Spot Projects must:

- a. identify the Project; and
- b. specify the maximum funding amount the Australian Government may contribute to the Project; and
- c. identify the eligible Funding Recipient, being a State or authority of a State, to which funding may be paid; and
- d. if the approval is conditional on a funding agreement being entered into with the eligible Funding Recipient, contain a statement to that effect.

### ***D4.3 Announcement of approval by the Australian Government Minister***

State Ministers will be advised in writing of the outcome of the Minister's decision. The Minister may announce publicly the approval of Projects within a State at the same time as notifying the State.

No public announcement concerning a Black Spot Project or Projects is to be made by a State agency or State Minister before the Minister's announcement.

## Appendix D5 Dealing with Project variations

### ***D5.1 Minister may vary or revoke a Project approval***

The Minister may use Section 76 of the NLT Act to vary or revoke the Project approval instrument for a Black Spot Project.

### ***D5.2 Variation of cost***

Australian Government payment for each Project is limited to the maximum funding amount specified in the approval instrument for that Project. Formal variation of an approved Project must be sought by the Funding Recipient and approved by the Minister.

Formal variation of approvals must be sought before construction starts, where it is known that the cost of an individual Project is subject to an increase of 20 per cent or \$30,000, whichever is the lesser. This is:

- When a Project is subject to an increase of less than 20 per cent but that percentage is greater than \$30,000; or
- Where a Project is subject to an increase of less than \$30,000 but that increase is greater than 20 per cent of the maximum funding amount.

Any request to vary the cost of a Project under this provision must be accompanied by sufficient details explaining the reasons so the Minister can consider the merits of each variation request.

Formal variation of all minor increases in the cost of approved Projects (less than 20 per cent or \$30,000) must be sought as soon as practicable. Such minor variations are expected to be of a routine nature and need not be sought in advance of construction. Funding Recipients are reminded that a payment to cover a minor increase in cost to an approved Project cannot be made until the Minister formally varies the Project's maximum funding amount.

An annual reconciliation of the maximum funding amount with the final cost of completed Projects is expected to be undertaken towards the end of each financial year. However, Funding Recipients may request a variation to reconcile a completed Project or group of completed Projects at any time during the financial year.

### ***D5.3 Variation of scope***

Formal approval for significant changes to the scope of approved Projects must be sought from the Minister before construction begins. A significant change includes additional treatments, omission of approved treatments and changes to the original proposal. Any request to vary the approved scope must be accompanied by sufficient explanation on the reasons for the requested variation.

The Minister's power to vary any Project approval instrument is discretionary.

## Appendix D6 Claiming Payments

### ***D6.1 Mandatory conditions apply to Australian Government funding***

The Mandatory conditions attached to Black Spot Projects funding are outlined in Appendix A1.

### ***D6.2 Reporting requirements of Funding Recipients***

Funding Recipients will provide reports notifying the Department of the financial status of approved Projects and annual performance measures. The NLT Act requires Funding Recipients to provide annual audited financial statements.

#### ***Status Reports***

Status Reports must be provided to the Department in electronic format using the template available for downloading and uploading through IMS. Status reports must be provided quarterly and include the project's start and end dates. The report's purpose is to update the Australian Government on the Project progress and enable payments to the State.

It is expected that Status Reports will also be used, in consultation with the States, to reconcile the maximum funding amount with the final cost of completed Projects. This ensures maximum funds are available for new Projects.

## Annual Statement of Expenditure

Each State is required to submit to the Minister, as soon as practicable after 30 June each year, financial statements giving details of expenditure from amounts paid under the NLT Act.

Guidance on this Annual Financial Statement and Audit report is provided in Appendix D4.

### D6.3 Payment of funding

Payment of funding is on the basis of submission of the Status Reports as outlined in the Table directly below.

Activity	Date due
Submission of the first quarterly Status Report	August
Submission of the second quarterly Status Report	November
Submission of the third quarterly Status Report	February
Submission of the fourth quarterly Status Report	May

The amount of each payment will be determined when the status report is submitted and will be based on the following formula:

Payment due	=	Actual expenditure to date	+	Estimated expenditure for the next two months	-	Payments made previously	-	Any amount above the maximum funding amount
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Under Section 78(3) of the NLT Act, the total amount of funding provided for a Project must not exceed the maximum funding amount specified in the Project approval instrument.

States are reminded that forecast expenditures must be broken down by Project or all forecast expenditure will be excluded from a payment. This level of reporting enables the Department to meet NLT Act requirements.

## Appendix D7 Public recognition and evaluation

Chapter 5 of the Notes cover the Public Recognition and Evaluation requirements which Black Spot Projects must comply with. This Section covers specific requirements or exceptions of Black Spot Projects.

### D7.1 Signposting

Black Spot Projects worth less than \$100,000 are not required to erect permanent signage, but must erect temporary signage while work is underway.

Black Spot Project Signage Guidance is available from the Department.

### D7.2 Evaluation

It is of fundamental importance that Black Spot Projects be accountable for outcome results. To determine actual effect on crashes, a formal evaluation of Black Spot Projects may be conducted from time-to-time.

As set out at 3.2, Funding Recipients must maintain, and make available as required, records relating to the nature and frequency of motor vehicle crashes involving death or personal injury occurring at the site of funded Projects.

## Appendix D8 Treatment/Crash Reduction Matrix

### **APPLICATION OF THE TREATMENT/CRASH REDUCTION MATRIX<sup>13</sup>**

Traffic crashes arise through a combination of factors. Remedies can be sought through a variety of approaches. This matrix focuses on traffic engineering remedies. It provides broad guidance only and does not replace local experience or judgement.

Assuming that sites have been identified for treatment on the basis of a history of crashes or other systematic techniques, then crashes should be analysed for the pattern of crash-types [Definitions for Coding Accidents or DCA code] and consistency of other factors. If road-related factors are relevant to ameliorating crashes at a site, this matrix can be used for guidance as to the influence of particular treatments.

The matrix provides ball-park guidance on the estimated extent of changes in crashes of particular types that might generally be expected from typical treatments. The reductions for treatments are averaged values. The results [percent reduction] that will therefore be observed when a treatment is installed may be greater or less than the value in Table 1 below.

The selection of a treatment depends on factors such as the characteristics of crashes, the expected potential of reducing those crashes, the cost of alternative treatments, and possible wider road network considerations. The Australian Manual of Uniform Traffic Control Devices sets out minimum warrants for a number of treatments.

The treatment/crash reduction matrix is divided into two tables:

- [Table 1](#): Relates to intersections (and intersection-related crashes).
- Table 2: Relates to road sections (and non-intersection-related crashes). This table is spread over two pages [2\(a\)](#) and [2\(b\)](#) for the ease of reading the information.

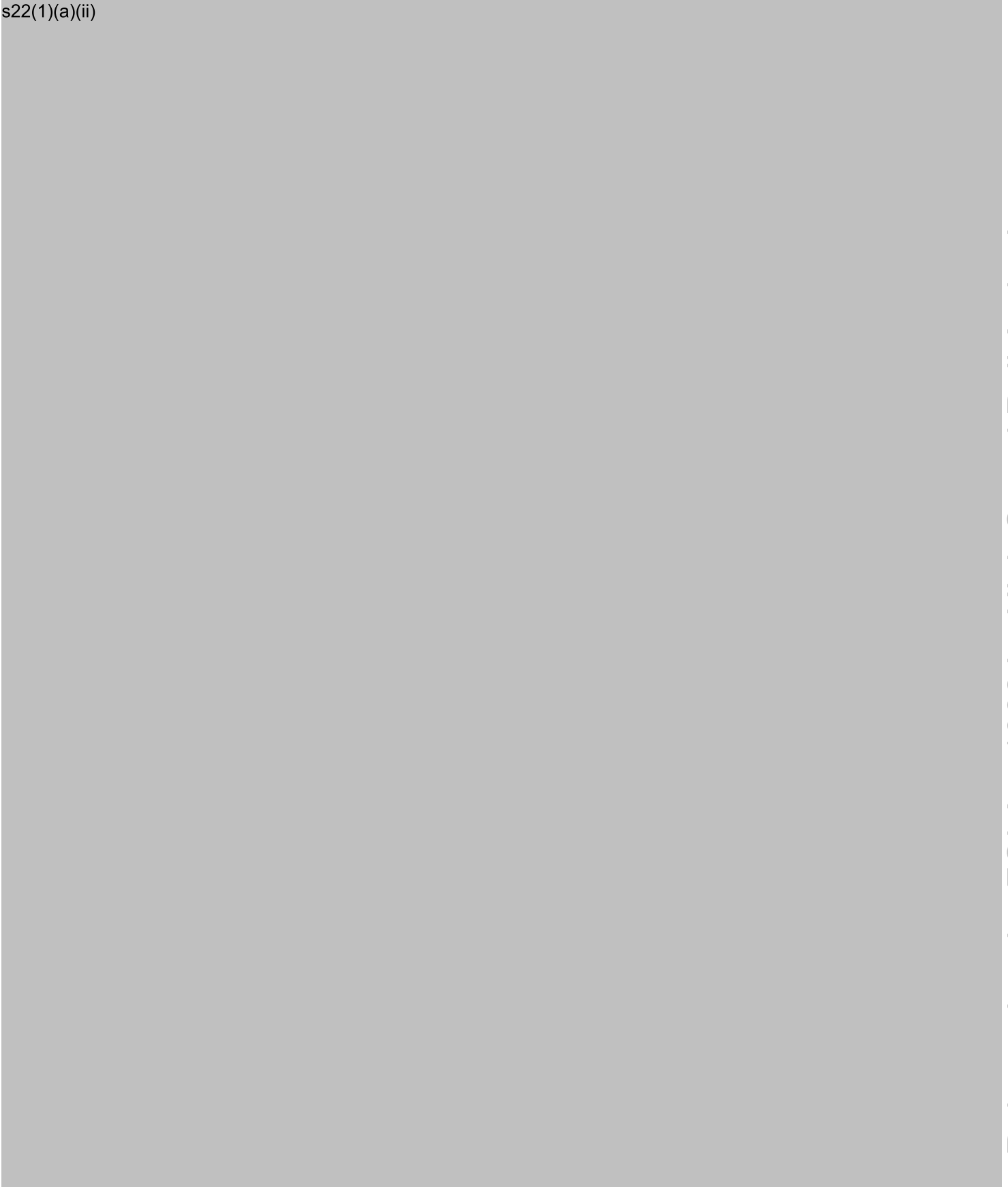
At some locations more than one road feature may be present. On the one hand, for example, with a tee intersection on a curved section of road, crashes of accident-type DCA codes 801 to 804 (run off road types) would generally not relate to the intersection. On the other hand, crashes of DCA codes 101 to 109 would relate to traffic movements at the intersection.

The matrix tables emphasise the importance of the road user movements leading up to the crash when determining appropriate treatments. The average costs per casualty crash have been derived for Australia-wide use and are split by rural and metro' environments. They are based on there being good coding compatibility between the crash data being used and the DCA codes.

The crashes described by the DCA codes and the costs per crash for DCA codes relate to one vehicle and two-vehicle crashes. The vehicles included are all road vehicles (for example, cars, trucks, motor bikes and bicycles). A treatment may be installed to provide for a particular vehicle type (for example, traffic signals for bicycles where a bicycle track crosses an arterial road, or the improvement of lighting at an intersection where there are many bicycles at night and, say, a history of crashes of DCA codes 301 to 304).

<sup>13</sup> This matrix was prepared by Dr David Andreassen of Data Capture Analysis


s22(1)(a)(ii)



Released under FOI Act 1982 by High Speed Rail Authority

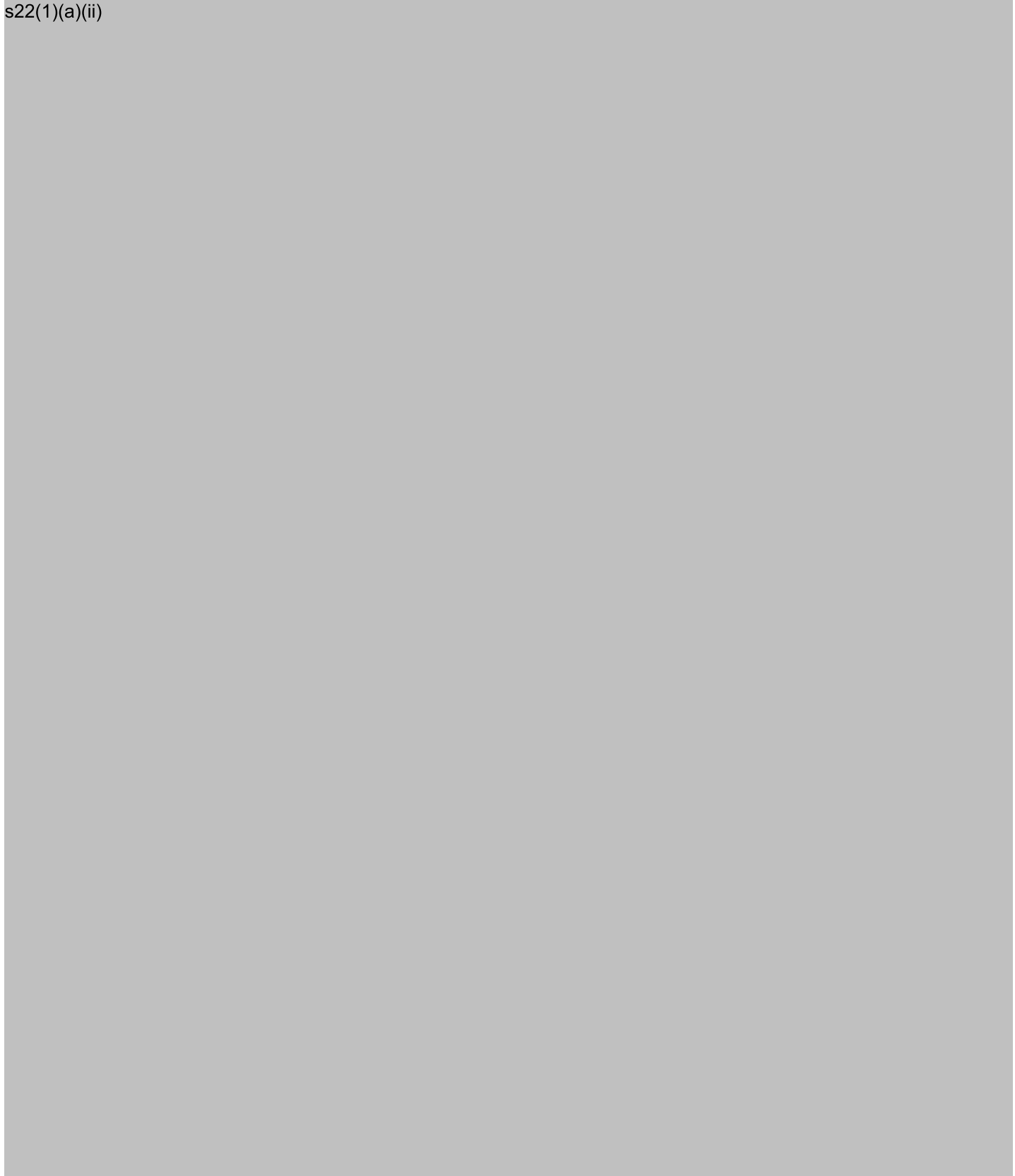


s22(1)(a)(ii)



Released under FOI Act 1982 by High Speed Rail Authority

s22(1)(a)(ii)



Released under FOI Act 1982 by High Speed Rail Authority

## Appendix E – Maintenance Indicator Formulas

The Australian Government uses two indicators—the Preventative Maintenance Indicator (PMI) and the Riding Quality Indicator (RQI)—to monitor road conditions under the NPAs.

### ***Preventative Maintenance Indicator (PMI)***

#### ***Definition***

The age of the pavement's surface compared to the target optimum surfacing age for the section of road as determined by road agency specialists.

#### ***Purpose***

To indicate the extent that preventative or proactive maintenance of road pavements is being adequately undertaken.

#### ***Reporting method***

Target Age (TA) is the optimum surfacing age as determined by road agency specialists, generally the time when the road should be resealed to minimise whole-of-life costs. The PMI is categorised as being:

Good: actual age < TA;  
 Mediocre:  $TA \leq \text{actual} < 1.3 \times TA$ ;  
 Poor:  $1.3 \times TA \leq \text{actual} < 1.6 \times TA$ ; and Very poor:  $\text{actual} \geq 1.6 \times TA$   
 Or N/A (for example, if concrete pavement).

The report should show the length in each category for each link. To facilitate comparisons, PMI will also be reported as a single percentage, known as PMhealth— between 0% (for a very poor seal  $\geq 1.6 \times TA$ ) and 100% (for a new seal).

$$\text{PMhealth} = 100 * [1 - (\text{actual age} / (1.6 \times TA))]$$

### ***Riding Quality Indicator (RQI)***

#### ***Definition***

The riding quality of the road, considering its traffic volume, percentage of heavy vehicles and speed environment.

#### ***Purpose***

To indicate the adequacy of a road's riding quality to meet its transport objectives based on the road's roughness.

#### ***Calculation***

Heavy vehicles are weighted by a factor of 4 compared to light vehicles. The weighted Average Annual Daily Traffic (modAADT) becomes:

$$\text{modAADT} = \text{AADT} * (1 + 3 * \text{HV} / 100)$$

Where AADT is the Average Annual Daily Traffic and HV the percentage of Heavy Vehicles.

The 'good' roughness limit for a high speed road is varied according to its traffic volume (modAADT) and is between a minimum of 500 and a maximum of 8,000 using this formula:

$$IRI_{gb} = 7.1 * (\text{modAADT})^{-0.11} + 0.05 \text{ (for a 110km/h road)}$$

The 'good' roughness limit is then modified to take account of speed using this equation:

$$IRI_{good} = IRI_{gb} * (110 / SL)^{0.5}$$

Where SL is the speed limit with a maximum value of 110 km/h.

### ***Reporting method***

The RQI can be categorised as being:

Good: actual roughness <  $IRI_{good}$ ; Mediocre:  $IRI_{good} \leq \text{actual} < 1.3 \times IRI_{good}$ ; Poor:  $1.3 \times IRI_{good} \leq \text{actual} < 1.6 \times IRI_{good}$ ; Very poor:  $\text{actual} \geq 1.6 \times IRI_{good}$ .

The report should show the length in each category for each link.

To facilitate direct comparisons, the RQI will also be reported as a single percentage, known as RQhealth, between 0% (for a pavement with roughness greater or equal to the maximum for its function) and 100% (for a newly constructed pavement).

The roughness of a newly constructed pavement shall be taken as 1.558 IRI (40 NRM).

Maximum roughness (RufMax) shall be calculated according to the formula:

$$RufMax = 1.558 + [2 \times (IRI_{good} - 1.558)].$$

$$RQhealth = 100 * [1 - ((IRI_{actual} - 1.558) / (RufMax - 1.558))].$$

Where  $IRI_{actual}$  = measured roughness between a roughness value of 1.558 IRI and RufMax.







The user of this sheet only has to populate the fields highlighted in colour. Green is for estimated costs/comments and blue is for actual costs, i.e. the remainder of the values on this sheet, which are locked to the user, will be automatically calculated based on the user's input.

included inside each new envelope. *Test this on a dummy. Do not do it on your real card.*

And, once we have applications or inquiries...

SCRATCH PAD

[illegible]

Table 3: OVERALL PROJECT SUMMARY TABLE (excl. sunk costs)

	PMO	PMO	PMO
BASE ESTIMATE	\$0	\$0	\$0
CONTINGENCY	\$0	\$0	\$0
PMO ESTIMATE	\$0	\$0	\$0
ESCALATION	\$0	\$0	\$0
TOTAL COST	\$0	\$0	\$0

Table 3: OVERALL PROJECT SUMMARY TABLE (excl. sunk costs)

	PAID	PAID
BASIS STATE	50	50
CONTINUITY	50	50
PRODUCT IS MAIN	50	50
ISCAADON	50	50
OUTLINE COST	50	50

Table 3: OVERALL PROJECT SUMMARY TABLE (excl. sunk costs)

	1990	1991
All Funding Sought	50	50
Indications Core Had been	50	50
Total	50	50
Percentage Funding Sought		0.10%

<p>Please provide details of cost estimation approach used below if required (particularly where a mix of approaches were used):</p>
<p>Additional notes/clarification relating to any aspect of this cost estimate.</p>











## ISSUE: WHAT ARE THE NATIONAL FASTER RAIL AGENCY'S PRIORITIES AND PROJECTS?

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### BACKGROUND:

- s22(1)(a)(ii) .
- Faster, fast and high speed rail are all part of the same concept along a train speed range that develops over time. One can progressively lead to the other as corridors are upgraded.
- Faster rail is a foundation for high speed rail because faster rail upgrades to existing corridors provide a stepping-stone to fast rail and high speed rail as new and better alignments become available.
- The former government committed \$6 billion to faster rail, with the following commitments in the 2022-23 Budget:
  - \$1.0 billion for the Sydney to Newcastle faster rail upgrade (Tuggerah to Wyong)

s22(1)(a)(ii)

### CURRENT SITUATION:


s22(1)(a)(ii)

- The review found that the \$20 million Sydney to Central Coast Planning project was not required due to the \$500 million election commitment to begin the corridor acquisition, planning and early works for the high speed corridor between Sydney, Central Coast and Newcastle.
- The following projects were deferred by one year:
  - Sydney to Newcastle (Tuggerah to Wyong faster rail upgrade)

s22(1)(a)(ii)


**SUGGESTED SPEAKING POINTS:**

s22(1)(a)(ii)



- The Government has confirmed nearly all of the previous commitments to faster rail projects in the October Budget. The only exception is \$20 million for the Sydney to Central Coast fast rail planning. However, the Government has included \$500 million in the Budget for its election commitment to begin corridor acquisition, planning and early works for the high speed rail corridor between Sydney, Central Coast and Newcastle.

s22(1)(a)(ii)



s22(1)(a)(ii)

**From:** s22(1)(a)(ii)  
**Sent:** Friday, 3 March 2023 11:30 AM  
**To:** s22(1)(a)(ii)  
**Subject:** FW: FYI: New min corro (MC23-029131) - no action required [SEC=OFFICIAL]  
**Attachments:** Information Only [SEC=OFFICIAL]; FastrackAustralia High Speed Rail and Regionalisation Report; Two Fastrack emails to s22(1)(a)(ii)

OFFICIAL

Hi guys, pls familiarise yourselves with this when you get a chance

OFFICIAL

**From:** WHALEN Greg  
**Sent:** Monday, 27 February 2023 1:57 PM  
**To:** s22(1)(a)(ii) k  
**Subject:** FW: FYI: New min corro (MC23-029131) - no action required [SEC=OFFICIAL]

OFFICIAL

s22(1)(a)(ii)

Attached for your reading over the next week, is a copy of the Fastrack proposal we discussed last week.

Regards,

Greg

OFFICIAL

**From:** s22(1)(a)(ii) <[s22\(1\)\(a\)\(ii\)@NFRA.gov.au](mailto:s22(1)(a)(ii)@NFRA.gov.au)>  
**Sent:** Friday, 24 February 2023 12:07 PM  
**To:** BROE Barry <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>; WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>  
**Subject:** FYI: New min corro (MC23-029131) - no action required [SEC=OFFICIAL]

OFFICIAL

Barry/Greg

The MO received the attached new corro from Mr Glazebrook. It has been marked FYI – no action is required, so I will close the record in PDMS.

FYI

s22(1)(a)(ii) (part time: Mon, Tue, Thu, Fri)

Executive Assistant to Barry Broe, CEO

Executive Assistant to Greg Whalen, General Manager, Policy & Projects

National Faster Rail Agency

GPO Box 594, Canberra ACT 2601

02 s22(1)(a)(

s22(1)(a)(ii) [@nfra.gov.au](mailto:nfra.gov.au) | [www.nfra.gov.au](http://www.nfra.gov.au)

OFFICIAL

Released under FOI Act 1982 by High Speed Rail Authority

s22(1)(a)(ii)

**From:** teamfastrackaustralia@gmail.com  
**Sent:** Tuesday, 21 February 2023 3:01 PM  
**To:** Minister.King.MO; s22(1)(a)(ii) @pm.gov.au  
**Subject:** Two Fastrack emails to s22(1)(a)(ii)

**Copies of previously sent Fastrack emails:**

**From:** s47F @bigpond.com>  
**Subject:** Re: High Speed Rail and Regionalisation  
**Date:** 14 February 2023 at 6:00:07 pm AEDT  
**To:** s22(1)(a)(ii) @pm.gov.au  
**Cc:** Minister.King@mo.infrastructure.gov.au, s47F @gmail.com

Dear s22(1)(a)(ii),

Just a quick follow up on my earlier email of 24 January.

I just thought I would mention that s47F and I will be discussing our report with the Guardian tomorrow, where we will mention the need for decentralisation of our future population growth, and the role that high speed rail could play in that.

In that context, it seems that infrastructure priorities, and how to fund them, is becoming a significant issue in the current NSW election campaign.

From recent announcements and press conferences, the State Government is promising another four metro lines in Western Sydney. This is in addition the three metros currently under construction, as well as Westconnex and other large urban road projects. The NSW State infrastructure budget for the next four years is over \$100 billion, most of which will go to transport projects in Sydney.

This highlights the likely very large costs which will be needed in coming decades in our capital cities for transport as a result of a return to high population growth in Australia post COVID. Transport infrastructure in our capital cities is especially expensive given that much of it has to be underground, but high land values means other infrastructure such as schools and hospitals are also more expensive than in smaller cities.

As is well known, this population concentration in our major capitals also gives rise to a range of other issues, including un-affordable housing, road congestion, and concerns at over-development.

COVID had a number of impacts on housing preferences, work patterns and travel behaviour. These included a shift by some people to regional cities. However these changes in population distribution are unlikely to persist without a change in the accessibility to the major capitals by people moving to those regional cities. We believe the staged development of high speed rail in south-East Australia will create this change in accessibility, and will be pivotal in enabling this trend to decentralisation to become more established. Simply building more highways won't create such a change, as travel times from regional cities to the capitals are too long to make it viable for people to maintain convenient connections with work, education, family and specialist services.

All of this suggests that the time might be ripe for a reassessment of the need for a better distribution of our population, and ways to achieve this. This debate is perhaps something the national government could facilitate.

Clearly a range of policies, such as encouraging more overseas students to study in regional universities, or measures to attract doctors and other medical staff to regional centres, will be needed. And good regional planning will also be essential to avoid simply transferring our existing capital city problems to regional cities.

But we believe high speed rail will turn out to be a necessary (though not sufficient) condition to making decentralisation a reality. And while high speed rail will undoubtedly be expensive, so will the alternatives, as demonstrated by the transport infrastructure spend within our capital cities.

These topics may well be of interest to your State-based colleagues, and as mentioned earlier, we plan to forward our paper to the Shadow Minister for Transport in NSW shortly.

Yours sincerely,

s47F

On 24 Jan 2023, at 7:03 pm, s47F <[s47F@bigpond.com](mailto:s47F@bigpond.com)> wrote:

Dear s22(1)(a)(ii)

You may recall that I contacted you around a year ago in relation to a high-speed rail seminar. I would like to congratulate the Government on successfully enacting the legislation to establish a High-Speed Rail Authority, which represents a major step forward in this important initiative.

In the last few months my colleague s47F, who was also involved in the seminar, and I have developed an Implementation Plan for HSR in Australia (attached). A pre-release copy has also been sent to Catherine King as the relevant minister (see separate email also copied to you). We also plan to share this with s22(1)(a)(ii) at the Treasurer's Office, and note that she suggested we speak first with you.

We are aiming to forward the plan to relevant people in the Federal Opposition, in Government and Opposition in NSW and Victoria, and in the ACT in a week or so, and to publicly launch it a few weeks after that on the Fastrackaustralia website (**Error! Filename not specified.** [www.fastrackaustralia.net](http://www.fastrackaustralia.net)).

### The HSR Plan

In summary, the plan:

- Provides evidence of why high-speed rail in the East Coast can help



decentralisation and regional development

- Indicates some of the developments of both passenger and freight rail overseas which can be utilised in Australia
- Outlines a detailed five-stage program for implementing high speed rail between Sydney, Canberra and Melbourne, covering infrastructure, service patterns and rolling stock
- Suggests that an early priority should be to build the "Wentworth Deviation" between Campbelltown and Mittagong, followed by a high-speed link to Canberra from the vicinity of Gunning
- Notes the need and opportunity for upgrading both freight and passenger rail capacity through this strategy, and indicates how this can be achieved.

### **Making an Early Start**

The purpose of the plan is to facilitate the implementation of high speed rail in Australia. We are aware that the currently announced priority for high-speed rail is the Sydney - Newcastle corridor, reflecting its significance and high passenger volumes. However this corridor has challenging geography, making it relatively time-consuming and expensive to construct. Given the extensive tunnelling required, we believe the first actual high-speed trains on this corridor would be unlikely to operate before the early 2030's.

We therefore believe that high-speed rail could be accelerated by beginning with the Sydney - Melbourne corridor, whilst the Sydney - Newcastle corridor is being further refined and detailed design studies completed. Once this is finished, work could continue in parallel on both corridors.

In doing so, we propose that the Sydney-Canberra-Melbourne corridor be built in five stages, as an upgrade to the existing conventional rail line (similar to rollout of dual carriageways on the highway network). This approach supports both passenger and freight traffic, provides economic benefit to connected regional centres, and the benefit of travellers to centres beyond the upgraded sections of line.

There has already been extensive investigation of much of this corridor. We believe that actual construction of the first stage between Macarthur and Mittagong could commence within three years, and that the first high-speed capable trains could commence operation by the late 2020's, along with accelerated freight and passenger services in the corridor. In terms of staging:

- The first stage implements the 'Wentworth Bypass'. This section would cut travel times for both passenger and intermodal freight trains, and is a high priority for the improvement of freight traffic according to the ARTC. It opens the opportunity for increased urban development in the Wilton and Southern Highlands areas. Work by NIEIR and SGSEPS indicates it will have a high benefit-cost ratio due to the wider economic benefits derived by diverting population growth away from Sydney. It also provides the beginning of a potential high-speed line between Wollongong and Western Sydney.
- The second stage implements a new section of high speed line out of Canberra, along with the addition of a more direct, higher speed line between Goulburn and Yass (another high priority section according to the ARTC). This will open the opportunity for increased urban development to the north of Canberra, which will generate a high benefit-cost ratio, and further cut travel times.
- The third stage implements a new section out of Melbourne following the same rationale as the first two stages. It also includes the implementation of a high speed

line between the Southern Highlands and Goulburn, completing the high speed line between the outskirts of Sydney through to Canberra. This will allow the introduction of genuine high speed trains, and a positive benefit-cost ratio through its associated travel time savings.

- The final two stages will complete high-speed rail line between Sydney and Melbourne. In combination with the existing, slower route, this will provide capacity for high-speed inter-capital, regional and commuter passenger trains, fast intermodal freight trains, local passenger trains and conventional freight trains serving industries along the line, enabling a tripling of total rail capacity in the corridor. Depending on availability of finance and other factors, this could be achieved over a 25-30 year period.

### **Recommended Early Steps**

Given the potential problems from urban development alienating the corridor, and of land speculation, we suggest that the Government take steps to have the key corridors defined and protected, and that the Government complete business cases for the first three stages, as a matter of urgency.

We suggest that these should be backed by a strategic framework study designed to examine the “big picture” and long-term issues arising from the potential of HSR to restructure population settlement patterns in Eastern Australia. These include benefits such as reducing congestion, housing affordability problems and urban infrastructure needs in the main capitals, as well as from improving access to employment, education, health and other services in regional cities and towns. It will also include wider environmental and other benefits from shifting part of the current and future air and road transport demand to rail.

We would also suggest that the Government develop the strategic framework and individual business cases through the HSRA (instead of funding business cases to be developed by state governments). We have attached an outline of the Case For HSR which provides more detail.

We also recommend that the Federal Government should examine establishing its own train operating company to use carbon-neutral trains to provide fast commuter services out of Canberra to Goulburn and Yass, as well as long-distance passenger services from Canberra to Sydney and Melbourne. This provides an opportunity to further enhance the sustainability of rail transport and to accelerate the transition to green electricity / hydrogen power.

### **Opportunity for a Briefing**

We would appreciate the opportunity to provide you with a briefing on the approach if possible, and can be contacted by email or by phone s47F

We are very glad that the Government is taking the initiative on high speed rail, and look forward to seeing how it progresses.

Yours Sincerely,

s47F

s  
4  
Administrator  
s47F

**Fastrack Australia: Advocating for an implementation plan for High Speed Rail (HSR) in the Melbourne - Sydney corridor**

Released under FOI Act 1982 by High Speed Rail Authority

s22(1)(a)(ii)

**From:** s47F  
**Sent:** Tuesday, 21 February 2023 2:43 PM  
**To:** s47F; Minister.King.MO  
**Cc:** s47F  
**Subject:** FastrackAustralia High Speed Rail and Regionalisation Report  
**Attachments:** HSRA Final 20th Jan 2022.pdf; ATT00001.htm; Case for HSR Final.pdf; ATT00002.htm

Hi Catherine, s47F

I submitted this report to Catherine King's office on 24 January (see attached). I have copied Elias on this email as I believe the office didn't recognise me as co-author with s47F. Nor had I used FastrackAustralia in the email which would have made it easier.

Thanks

s47F

Begin forwarded message:

**From:** s47F <s47F@gmail.com>  
**Subject:** High speed rail and regionalisation  
**Date:** 24 January 2023 at 6:45:24 pm AEDT  
**To:** Catherine King <Minister.King@mo.infrastructure.gov.au>  
**Cc:** s22(1)(a)(ii) <s22(1)(a)(ii)@pm.gov.au>, s47F <s47F@bigpond.com>

Hi Catherine,

Further to my earlier email on the HSRA Board, I would like to congratulate you and the Government for passing the High Speed Rail Authority Act, which marks an important step to achieving high speed rail in Australia.

Since contacting you, my colleague s47F and I have developed an Implementation Plan for High Speed Rail in Australia, which we would be happy to present to the HSRA when it is established. A pre-release copy of our paper is attached for your information. Our intention is to release the report to the public and are working towards this goal.

The purpose of the document is to provide the reasons why high speed rail is essential, and to outline a staged implementation approach that connects the Sydney-Canberra-Melbourne corridor. We also outline governance arrangements and associated regional development initiatives required to maximise the benefits from implementing high speed rail. The paper also suggests why a line out of Canberra could be used as the foundation for a new high speed rail network across the south east of Australia.

We believe that the biggest constraint to implementing high speed rail is the public's uncertainty of its benefits, due to the conflicting viewpoints of various experts on the viability of high speed rail in Australia. We therefore think that it would be useful if the HSRA developed a strategic business framework for evaluating the long-term benefits of high speed rail. This will need to consider the effects on the long-term population distribution of high speed rail, and its benefits from improving housing affordability, reducing congestion and limiting infrastructure costs in the major capitals, and from improving access to employment, health, education and other services in regional cities and towns. It will also need to consider the environmental benefits from shifting part of road and air transport demand to rail.

This framework can then be used to inform individual business cases on key sections of the high speed line. The purpose of these business cases is to demonstrate:

- The regional economic benefits that will flow from faster rail connections; and
- The ability to progressively implement sections of high speed line, each with its own positive business case, to incrementally build a network eventually encompassing all of south east Australia.

This recommendation is detailed in the Case For HSR, which is also attached.

Our objective is to give you a heads-up so you can consider the issues raised in our paper. We would appreciate the opportunity to provide you and/or your advisers with a briefing if possible. We have also forwarded a copy of this report to Phoebe Drake in the Prime Ministers Office, given the Prime Minister's very public interest in the topic.

We are very glad that you are taking the initiative on high speed rail, and look forward to seeing how it progresses. We can be contacted by email, or you can contact me on s47F [REDACTED].

Best Regards

s47F [REDACTED]



# AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL IN THE SYDNEY-MELBOURNE CORRIDOR



*The staged implementation of high speed rail can power the growth of Australia and its economy. Countries around the world have typically upgraded existing conventional rail networks with high speed rail to increase connectivity that promotes regional growth and economic development.*

*This paper examines the Sydney-Melbourne corridor to develop an approach that progressively unlocks regional economic benefits through the staged implementation of sections of high speed track along with the rollout of new rolling stock.*

*Appropriate governance arrangements need to be put in place and coordination with other regional development initiatives are essential to maximise the benefits.*

*The "Wentworth Deviation" between Sydney and Mittagong, and the section of high speed rail out of Canberra are considered the best starting points for the upgrades to rail infrastructure. They will produce immediate benefits, and can become the foundation for a national rail network across Australia's south east.*

s47F



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## HIGH SPEED RAIL IS ESSENTIAL FOR AUSTRALIA'S FUTURE

Previous attempts to justify high speed railways in Australia have focused on shifting passengers from air and road travel onto rail, particularly between Brisbane, Sydney and Melbourne. These have failed to produce a viable business case due to the very high cost of implementing high speed rail over large distances, along with benefits (passenger numbers) that only start kicking in when the full line has been implemented. This results in payback periods of over 50 years, which is too long even for long-term government investment. As a result, the widespread opinion is that Australia's major cities are too far apart and its population density is too low to justify the investment in high speed rail.

### REMOVE CRIPPLING ASSUMPTIONS

Our approach is based on two principles that take a wider view of the economics of high speed rail, and its role in connecting communities. These principles rectify two key assumptions that have crippled the business case for high speed rail.

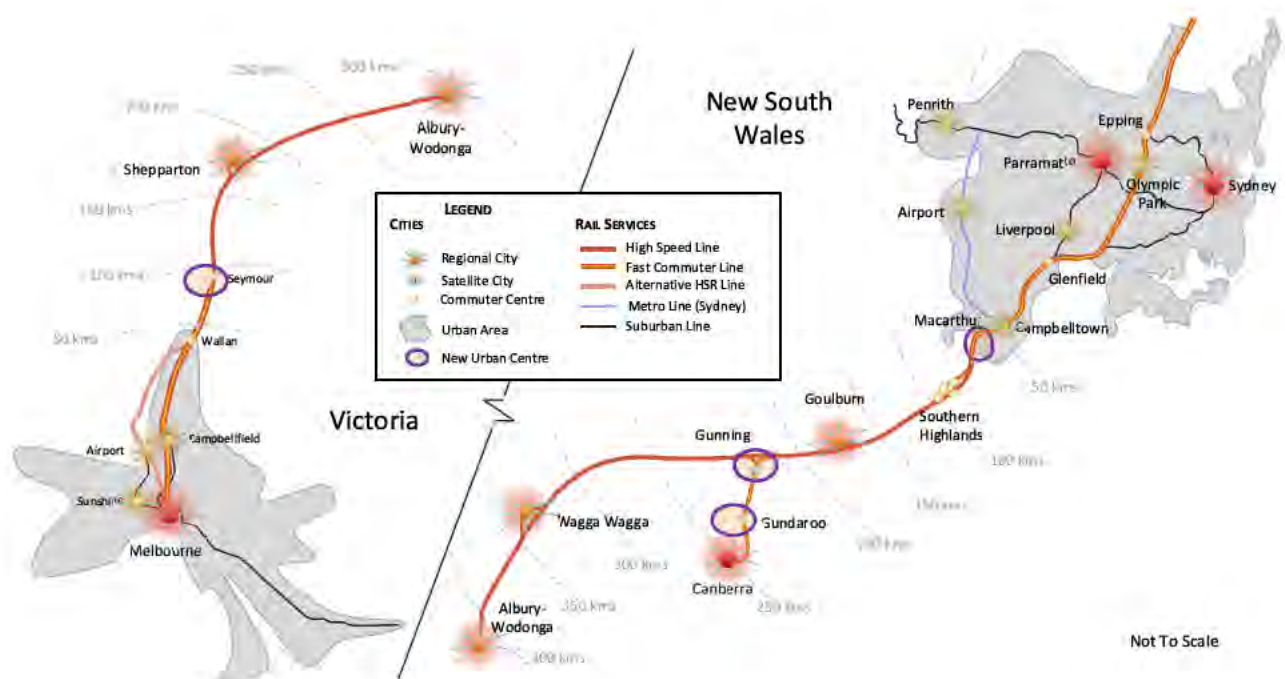
The first principle is that high speed rail is a key **enabler of regional economic growth**, not just an alternative to air and road transport. Since the early 2000s, there has been increasing evidence that faster rail connections increase the economic activity between cities, resulting in population shifts and regional economic growth. As a result, there has been a dramatic growth in high speed rail lines implemented since about 2010, especially by developing countries seeking to boost their economic growth (such as Morocco, Turkey, Laos, India and Indonesia)

The second principle is that high speed rail needs to be considered as **an upgrade to the existing rail network**, and not as a separate standalone system. Faster connections are needed to places where people live, which are largely dictated by the existing rail network. Therefore faster connections must supplement and enhance the mix of services including long distance and local passenger services, as well as bulk, container and fast freight services. High traveller demand will justify the separation of high speed and conventional lines, such as between capital cities. But other lines should not be ignored. Spur lines carrying all types of services including faster passenger trains need to be considered (even if the average speed is less than genuine high speed passenger services).

### STAGE IMPLEMENTATION FOR MAXIMUM BENEFIT

Based on these principles, the primary objective of implementing high speed rail between Sydney, Canberra and Melbourne is to create stronger economic connections between these capital cities and the regional cities in the corridor.

### Creating economic connections by shrinking the distance between regional cities



## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

One significance of removing the previous assumptions is that high speed rail can be implemented in stages, progressively connecting regional cities along the line (in the same way that the national highway network continues to be rolled out, progressively linking more regional cities with dual carriage highways). This enables the benefits to be accrued as each section of the line opens. This in turn means that each section can be managed as a separate project with its own business case, which progressively accumulate for the full high speed line.

The new approach to implementing high speed rail between Sydney and Melbourne is based on:

- Progressively upgrading the existing line with new sections of high speed capable main line parallel to the existing line.
- Introducing innovative new high speed passenger and fast freight trains. These would operate on both the new high speed sections (where available) and the existing main line (where new sections were not yet available).
- Progressively expanding and accelerating both passenger and freight services, as new sections of high speed line are commissioned.
- Introducing very fast trains (top speeds above 250 km/h) only when the first full corridor is completed and electrified (Sydney – Canberra). However all new high speed sections would be designed from the outset to accommodate these trains.
- Continuing to operate local passenger and slower industrial freight trains on the existing main line. This would enable continued provision of passenger service to existing stations in intermediate cities, as well as freight service to industrial sidings and yards between Sydney and Melbourne.

### START NOW

The timing of the proposed high speed rail network will depend on the availability of finance, growth rates in population and the economy, future technology developments, the need to decarbonise Australia's transport sector, and other factors. However, it should be possible to complete the Sydney – Melbourne corridor between 2022 and 2050, and the Sydney – Brisbane corridor between 2030 and 2060.

Stage 1 of the Sydney – Melbourne plan (the Wentworth Deviation to straighten the alignment between Macarthur and Mittagong) is recommended as the logical place to start. Provided there was a sense of urgency, construction of the new rail infrastructure could commence as soon as 2024-5, and be completed by 2028-30. This provides time for the acquisition of the complementary rollingstock and other steps required to launch new services.

Considerable investigation of this part of the corridor has already been undertaken. However, planned urban development in the vicinity of Picton threatens to create difficulties, unless the corridor is protected without further delay.

The important issue is to make a start with concrete “no regrets” investments which can demonstrate a pathway forward. This is how many countries have implemented high speed rail and reaped the benefits. It should not be beyond Australia's imagination or capability.

### RECOMMENDATIONS

The High Speed Rail Authority:

- Immediately start the planning for the staged introduction of high speed rail in the Sydney – Melbourne corridor as outlined in this report.
- Accelerate the necessary corridor protection measures needed to ensure rail access into the capital cities, particularly the entry into Sydney from the South-West. This is essential if high speed services between Sydney and Melbourne and also between Sydney and Wollongong are to become a reality.
- Continue to examine the Sydney – Newcastle corridor. Previously identified as the highest priority for investment, it should proceed when sufficient funds are available. However, meaningful investment in this corridor is likely to involve a tunnel from Sydney (probably Olympic Park) to the Central Coast (probably Gosford). When funded, this project could proceed in parallel with the proposed Stage 1 of the Sydney – Melbourne corridor.



## FASTER RAIL CONNECTIONS PROMOTE GROWTH

### PROMOTE REGIONAL CITY GROWTH

Implementing faster connections to regional cities will increase regional settlement. More people will be attracted to them for better liveability and lifestyle compared with Australia's capital cities (particularly Sydney and Melbourne).

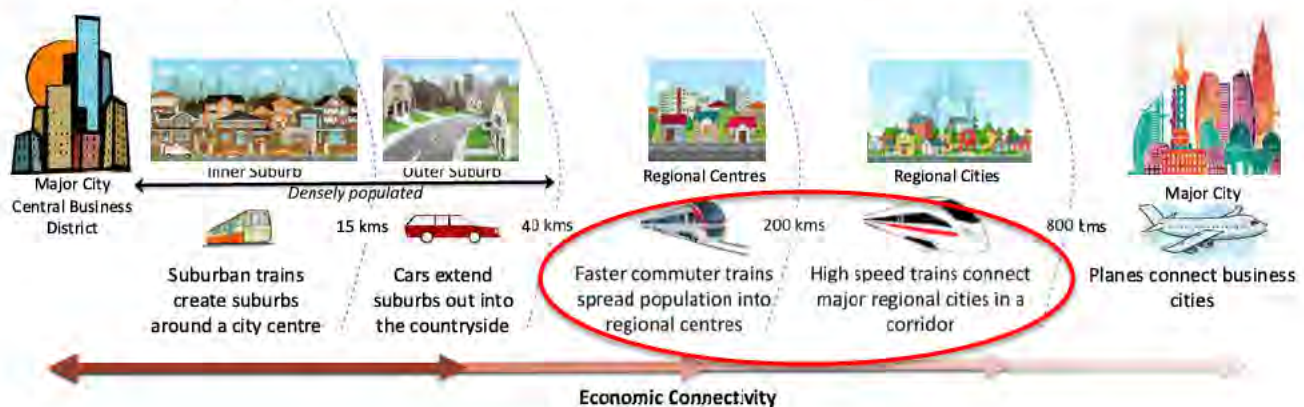
Australia is one of the most urbanised, or strictly speaking suburbanised, countries on earth. This has led to Australia being one of the wealthiest countries in the world with one of the highest standards of living. But we are now facing growing problems of congestion and housing affordability in our capital cities, and growing disparities in educational, health and other opportunities between urban and regional Australia.

These trends have continued, and indeed accelerated, in recent decades, with the growing global dominance of "world cities". In Australia's case, Sydney and Melbourne and even Brisbane are now linked in many ways more closely to the world economy than to our own national economy. Paradoxically, the rapid growth of communications technology, which some thought would lead to the decline of major cities, has reinforced this trend.

As a result, our largest cities have generally increased their share of national population, while smaller cities and towns have in many cases grown very slowly or not at all, despite Australia's overall high population growth rate.

This has led many to seek a better way. Can we divert the predicted growth of our population out of our major cities and into regional cities? Clearly this will reduce the problems of congestion and housing affordability in our major cities. But is it achievable?

#### **Rolling out faster train services will accelerate the growth of regional cities**



Faster rail connections promote regional growth and development along the corridors they serve. If Australia wants to divert its population growth into regional cities, then it must invest in faster rail services to connect regional cities to their nearest capital cities.

In 2013, AECOM<sup>1</sup> looked at the broader impact of high speed rail on regional development when its High Speed Rail study for the Australian Government. It found that the implementation of high speed rail would substantially improve accessibility for the regional centres that it serves, providing the opportunity for increased regional economic development. However the emerging international evidence at that time was insufficient to support the inclusion of regional benefits in its economic assessment.

Since then, more reliable evidence has been obtained, initially from China, and subsequently from other countries across the world. The World Bank<sup>2</sup> has observed that high speed rail in China has triggered significant agglomeration benefits, increased

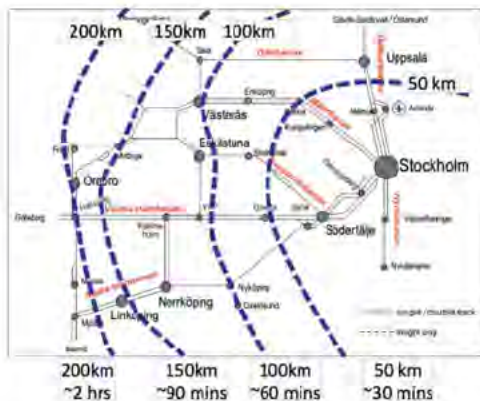
<sup>1</sup> AECOM (2013), High Speed Rail Study Phase 2 Report

<sup>2</sup> World Bank (2019): China's High speed Rail Development



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tourism to regional attractions, and has been instrumental in re-distributing jobs along the HSR rail corridors in China. More recent studies have confirmed that implementing faster rail lines has boosted regional economies and reduced the economic disparities between regions.



### Stockholm has distributed its population growth with fast regional commuter rail

#### Observed regional impacts:

- Immediate increase in passengers from regional cities
- Strong population and jobs growth in the larger cities
- Station and precinct redevelopment follows
- Central location and local public transport is critical

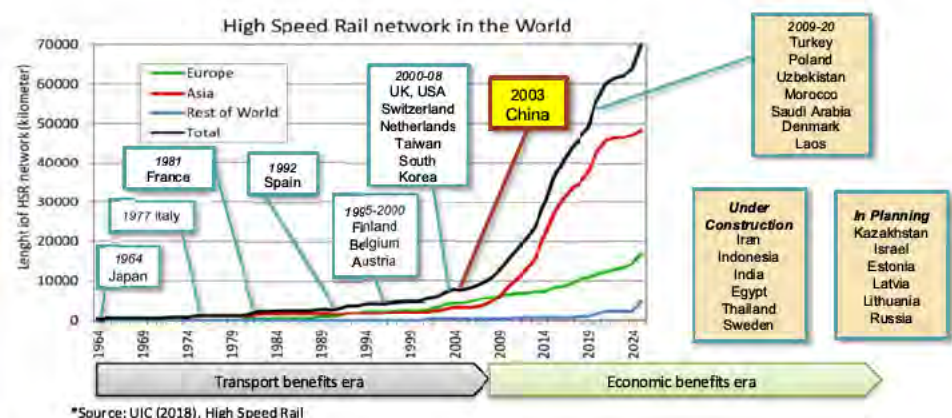
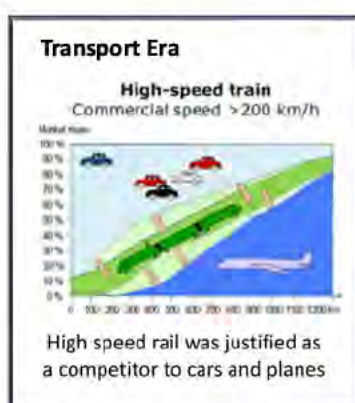
\*Source: Bayley (2012), Master Thesis - Regional development via high-speed rail

This effect has been observed on a small scale in Victoria. Cities like Geelong, Ballarat, Macedon Ranges and Bendigo saw increased growth when faster rail services were introduced by the Regional Fast Rail project in 2005, compared with cities like Shepparton, La Trobe and Wangaratta that did not get faster services. Cities within 150 kilometres of central Melbourne on the project corridors showed average growth rates of about 2% population, and up to 3% – compared with the average growth rate of 1.5% per annum for all regional cities in Victoria. On the other hand, other cities, and those between 150 kilometres and 250 kilometres from central Melbourne, had growth rates about 0% to 1% per annum. Similarly, total employment growth in the project cities outperformed other regional cities often by a factor of two and sometimes three. Plus growth in jobs associated with knowledge-based industries was much stronger for the project cities than other cities.

## CREATE AN INTEGRATED ECONOMIC MEGAREGION

Implementing a fast rail network connecting the capital and regional cities in the south east of Australia will create a megaregion with a stronger, integrated economy better able to compete in international markets.

Since 2010, high speed rail has been implemented to stimulate regional economic development



The OECD says that faster rail services are essential to grow the population and economies of regional cities. It says that transport infrastructure must be provided as part of an integrated approach to regional development<sup>3</sup>. Similarly, the UN Cities Alliance

<sup>3</sup> OECD (2009): Policy Brief: How Regions Grow

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says that connectivity within systems of secondary cities is crucial to lifting the performance, prosperity, and development of regions and nations across the world<sup>4</sup>.

Cities are becoming increasingly interlinked and dependent upon each other to boost trade, investment and local economic development. Systems of secondary cities are exerting a greater influence upon the economic development of nations and larger geographic regions. This is why megaregions are increasingly becoming the focus for planning and co-ordination of economic development and settlement policy.

The Cities Alliance argues that governments should support the development of systems of cities. A secondary city's performance is largely shaped by the level, quality and global orientation of its connectivity with other cities. Therefore, strengthening a city's connections supports the development of the local regional economy by facilitating the trade of goods and services within regional and international value chains.

Economic modelling by NIEIR<sup>5</sup> shows that implementation of faster rail connections in Victoria will lead to a 5% increase economic activity. This study confirms that growth in a 'system of cities' outperforms growth concentrated in a single megacity (Melbourne), primarily because urban sprawl creates a drag on economic growth in the megacity.



Source: SGS Economics and Planning, 2015

SGS Economics<sup>6</sup> argues that creating an Australian Eastern Seaboard Megaregion would enable Australia to respond to growing global competition and managing a growing population. A megaregion is a set of cities integrated with each other and their surrounding hinterlands, where labour and capital can be moved around at a very low cost.

Forming a south east Australia megaregion will boost our economic productivity and innovative capacity, and enable us to better-compete in international markets. It would allow population dispersion to relieve our congested cities, help regional activation, improve housing affordability, reduce inequality, promote economic growth and job creation, and improve liveability.

The economic benefits of regionalisation in Australia will only be achieved if regional cities are well-connected, particularly to the capital cities in each state. Attracting people and businesses to regional cities is very dependent on the city's accessibility to the larger population and markets in capital cities.

## INCREASE CONNECTIVITY

As the economic connectivity between regional cities grows, there will be more demand for people to commute to work in major cities, for tourists to access regional attractions, and for business travel to sites in the region. In addition, there will be more demand for local travel for shopping, access to services and gatherings.

High speed lines increase economic activity at intermediate stops along the line, stimulating growth in population and services, making them more attractive places to live. In turn, this creates demand for local and long-distance travel services, particularly commuting services to the main centres on the line. A well-developed "feeder" network extends the benefits into the surrounding area, becoming an important factor for local development within regional areas.

<sup>4</sup> Cities Alliance (2019), Connecting Systems of Secondary Cities, UNOPS

<sup>5</sup> NIEIR (2020), National Institute of Economic and Industry Research: Economic impact assessment of fast regional rail on Victoria.

<sup>6</sup> SGS Economics & Planning (2020), Reimagining Australia's South-East: Prepared for The Committee for Melbourne



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This effect was best exemplified when the new direct high speed line was opened for Eurostar services between London and the channel tunnel in the UK. The new high speed line allowed faster commuter trains to operate into regional cities within Kent (called domestic high speed services). This drew the Kent economy into the greater London economy, driving increased demand for commuting, tourist and business travel into Kent.

How HS1 expands the areas in Kent that are within a 1 hour train commute of London



### The Kent economy has grown after HS1 increased access to London

Domestic high speed services divert off the HS1 to provide fast commuter services into London

Passenger journeys nearly doubled in 6 years

- Increased commuters due to increasing employment
- More visitors because of the high speed service
- Growing market for business trips into Kent
- Increased investment and housing has followed

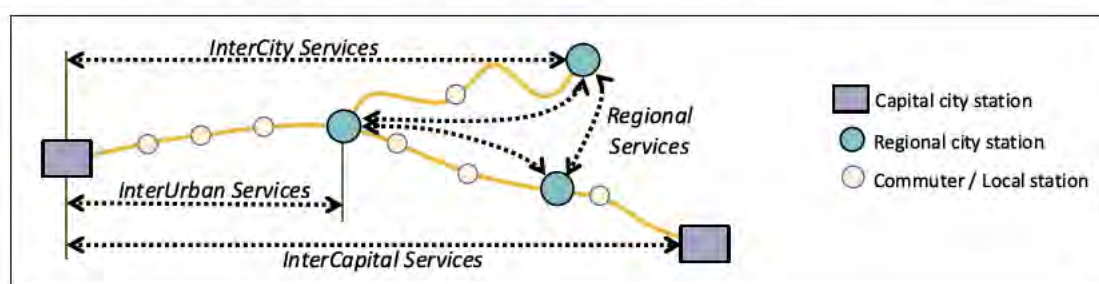
\*Source: Steer (2019), Delivering for Kent: The Economic impact of HS1

Note that "commuting" does not necessarily mean the old pattern of five days a week commuting into the office. As demonstrated by post-COVID experience, it is much more likely to mean less frequent commuting by people living in regional cities to offices in the major capitals. Faster connections will allow the regional workforce to spend more time (and money) in their regional cities. This will be attractive to many people currently forced to live in the capital cities because of where their jobs are located.

In addition, the availability of high speed lines in Europe is also stimulating a return to longer distance fast (but not very fast) overnight train travel, with people arriving in their destination in the morning, fresh for business or pleasure activities. These services utilise the high speed lines which are otherwise underutilised at night.

It can therefore be predicted that demand for new types of rail passenger services will emerge:

### Growing demand for new types of passenger service



SERVICE	DEMAND
InterUrban	Fast commuter services to a capital city from nearby regional cities and intermediate centres
Local	Local services stopping at intermediate towns between regional cities
InterRegional	Long distance services between regional cities stopping at intermediate regional centres
InterCity	Fast long distance services between a capital city and regional cities beyond the commuter belt
InterCapital	High speed services between capital cities with stops only at large intermediate regional cities

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Internationally it is now recognised that high speed rail dominates travel over distances between 150 km and 800 km (up to four hours travel time), where it has clear advantages over car and air travel. It then competes with air travel for distances up to about 1200 km, after which air travel dominates. Significantly reducing the need for air travel will reduce the demand for additional airports, for example in Melbourne and Brisbane.

It is expected that high speed rail has the potential to dominate regional travel demand in Australia. The majority of regional cities are more than 150kms from a capital city, and many are more than 150kms from their nearest regional city. If faster rail connections were available, then it is highly likely that rail will become the preferred travel option to regional cities, especially for these longer trips. This will reduce the need to upgrade highways, which are currently the only viable option for most of these trips currently.

Therefore the rollout of high speed rail should be planned with this eventuality in mind. This suggests that high speed rail should supplement the existing conventional rail network. It should be rolled out in stages that progressively connect regional cities with faster services to capital cities, in much the same way as the national road network has been upgraded with multi-lane dual carriage motorways.



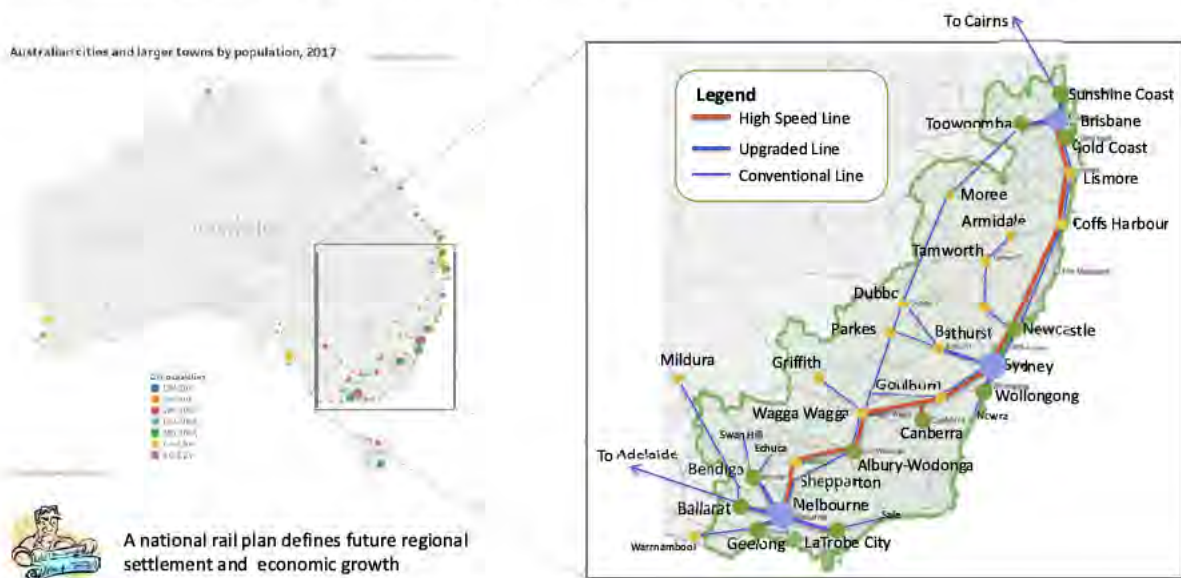
## UPGRADE THE EXISTING RAIL NETWORK

High speed rail needs to be considered as an extension of the existing rail network, and not as a separate standalone system. High speed rail supplements travel services where there is sufficient demand, which is typically dictated by a settlement pattern that was driven by the existing rail network. Therefore, where possible, countries integrate high speed rail into their existing rail networks to provide faster and a broader range of services to their existing set of services.

## BUILD ON THE EXISTING SETTLEMENT PATTERN

The most expedient way of boosting the population and economies of regional areas is to build on the existing settlement pattern. Much of this settlement has largely occurred as a result of the rail networks created in the 19<sup>th</sup> century. This means that faster rail connections should be implemented to supplement and enhance the existing rail network.

### Build on the existing settlement pattern by enhancing the existing rail network



The ultimate goal has to be to link every regional and capital city into a national rail network that provides effective passenger and freight services to each city. This can be achieved by implementing a high speed line between Brisbane, Sydney and Melbourne to form the backbone of a faster passenger network. This faster network should be extended to major regional cities surrounding Brisbane, Sydney and Melbourne by upgrading the existing lines for faster passenger rail services. Other regional cities should be connected by conventional lines that support both passenger and freight services. These can be upgraded to support higher speeds for passenger services where practical.

This approach contrasts with the previous concept for a high speed rail in Australia, which was for a completely separate, standalone, passenger-only line, electrified throughout and cleared for speeds up to 350 km/h.

Instead, implementation of high speed rail should be approached as an upgrade to the existing conventional freight and passenger network. Initially short sections between regional centres should be implemented to support faster passenger services, especially where hilly terrain currently means slow, circuitous routes, and where sufficient demand exists. Over time these sections of track will be connected to form a dual carriageway of double-tracked lines, one primarily for faster passenger services that can be progressively upgraded to support very fast passenger services – a truly “high speed” line.

Eventually it will create an integrated rail network consisting of:

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- New, separate high speed lines between Brisbane-Sydney-Melbourne, with high speed links to Canberra, the Gold Coast and Wollongong. These would handle high speed passenger inter-capital and inter-regional passenger trains, as well as fast freight trains which would operate mainly at night.
- The existing slower-speed conventional rail lines between Brisbane-Sydney and Sydney-Melbourne, used primarily for heavy freight trains and regional passenger trains;
- Mixed passenger and freight lines to connect regional cities away from the main corridor, such as to the Hunter Valley, Toowoomba, Ballarat, Bendigo, Griffith etc;
- Dedicated freight lines for the bulk carriage of goods and material to terminals or ports; and
- Passenger-only suburban heavy rail and metro lines in the capital cities for high-intensity passenger movements.

## CREATE AN INTEGRATED NETWORK

High speed rail lines should integrate with existing lines where advantageous to provide greater operational flexibility. This allows high speed trains to extend their coverage by continuing on the conventional rail network. It allows a mix of passenger and freight services to use the high speed line with cross-overs to the conventional line. And it opens the possibility of new types of services, such as fast freight that cross-over from the conventional line to use the high speed line between cities.

## INCORPORATE HIGH SPEED RAIL INTO THE EXISTING NETWORK

Japan was the first country to introduce a new era of passenger rail transport, when it opened its first Shinkansen line between Tokyo and Osaka in 1962. France was the next country to introduce high speed rail in 1984. Since then around 20 countries have embraced or are introducing this new approach to rail. This includes countries with much lower per capita incomes than Australia (like Turkey, China, India, Indonesia and Morocco) and those with lower populations and smaller cities than Australia, like Finland, Portugal and Denmark.

Japan's existing rail system in the 1960's was an antiquated, narrow gauge (three foot six inch gauge) network. Consequently, Japan opted for a separate, standard gauge system for its first high speed line. The network has since been extended in a number of stages to about 3000 km.

## Expansion of Japan's Shinkansen Network



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"Mini-Shinkansen" trains have a narrower loading gauge allowing services to extend to former narrow-gauge lines, although at lower speeds<sup>i</sup>



Kawasaki has developed an experimental Shinkansen train which can switch between standard and narrow gauges<sup>ii</sup>

While a few countries (e.g. Taiwan) have built completely separate high speed systems, the more common approach, has been to integrate high speed rail to varying extents with their existing regional or long-distance rail networks. This includes countries like France, Spain, Germany, Italy, the UK, and now in Japan. High speed trains in these countries typically utilise existing tracks to access stations in major cities, and to reach destinations beyond the high speed rail networks. These trains have therefore been designed to operate with multiple signalling and electrical power supply systems, switching seamlessly between them as required.

Spain has gone even further, building dual-powered high speed trains which can operate both on electrified and non-electrified tracks, and even change gauge between standard and broad-gauge tracks without stopping. Even Japan has utilised such approaches to extend its Shinkansen network to narrow gauge lines.



Cologne Main Station, showing a mix of high speed trains in the foreground, and local and regional trains in the background<sup>iii</sup>



Alstom's new 250 km/h high speed trains for Sweden will also be able to operate on existing rail lines in Sweden, Denmark and Norway<sup>v</sup>



Talgo 250 Dual in Spain  
Note the supplementary diesel power behind the electric locomotive<sup>iv</sup>



Spain's latest High speed Rail project in Extremadura is part of a multi-stage corridor upgrade<sup>vi</sup>



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This flexible approach has allowed such countries to add sections of high speed alignment, and to progressively accelerate services as new sections are added. It also cuts the costs of accessing city terminals, reduces the need for passengers to change trains, and maximises utilisation of valuable track assets.

### IMPROVE PASSENGER SERVICES

As the high speed rail infrastructure is rolled out, the rolling stock will have to be upgraded to provide improved services.

### Rolling stock upgrades will improve speed and performance of services

ROLLING STOCK	CURRENT TRAIN	FAST COMMUTER TRAIN	HIGH SPEED TILT	HIGH SPEED EMU	VERY FAST TRAIN
Example	 VLocity - Australia	 Alstom iLint - Germany	 Talgo Dual 250 - Spain	 Hitachi 802 EMU - UK	 Alstom Pendolino - Italy
Speed	Standard (160km/h)	Fast (up to 200km/h)	Fast (up to 250km/h)	Fast (up to 250km/h)	Very Fast (>300km/h)
Power	Diesel	Electric, Hydrogen, Battery or Hybrid	Electric, Hydrogen, Battery or Hybrid	Electric, Hydrogen, Battery or Hybrid	Electric
Services	Regional	Commuter	Long Distance	Long Distance	Long Distance
Stops	Regional towns on route	Intermediate centres on route	Regional cities and centres on route	Regional cities and centres on route	Express or major regional cities on route

Regional services are currently delivered by diesel-powered Alstom VLocity trains in Victoria and XPT and Explorer trains in NSW. The NSW trains are due to be replaced in the shortly by hybrid (1500V DC plus diesel) trains. Given the long lifetime typical of rail rollingstock, all of these trains are likely to be retired by 2050-2060. These are all non-tilting trains capable of top speeds in the range of 150 km/h and can be progressively re-deployed to provide local and inter-regional services as the rail infrastructure is upgraded.

However as the high speed rail network is rolled out, it is expected that other types of rolling stock will be needed, including:

- **Fast Commuter Trains.** These trains may be double-deck trains (as currently used in New South Wales) and would be designed to provide high-capacity commuter – type services, able to operate at up to 180 – 200 km/h on high speed lines where 25 kV AC power is available (such as on the proposed high speed lines out of Sydney, Melbourne and Brisbane in the longer term).
- **High Speed Tilt Trains:** These are loco-hauled trains designed to get passengers to long distance destinations in comfort and style. They would be capable of up to 250 km/h on electrified tracks, and perhaps 180 km/h on non-electrified tracks. They would incorporate tilting technology to improve speeds where the current infrastructure is circuitous. Initially they would provide intercapital services and intercity services. Later they would be cascaded to inter-regional services, especially to cities off fully electrified routes.
- **High Speed EMU Trains:** These are Electrical Multiple Unit trains designed to get passengers to long distance destinations in comfort and style. They would be capable of up to 250 km/h on electrified tracks, and perhaps 180 km/h on non-electrified tracks. They would replace high speed tilt trains to provide intercity services on major routes.
- **Very Fast Trains:** These trains are designed to get passengers to their destination in the fastest time possible and with exacting levels of comfort. They would be capable of over 320 km/h on electrified tracks. They would be introduced when the high speed line between Sydney and Canberra is fully implemented and electrified, and would be extended over time to other inter-capital routes, including Sydney – Melbourne, Canberra – Melbourne, and eventually Sydney – Brisbane and Sydney – Gold Coast Services.
- **Special Overnight Sleeper Trains.** These are making a comeback in Europe for longer haul travel. They are about to be abandoned between Sydney and Melbourne. However suitably designed overnight trains can be an attractive and more sustainable option than air travel for both business and recreational travel. They could initially operate between Sydney and Melbourne, but other routes (Melbourne – Adelaide, Sydney – Brisbane, Brisbane – Canberra, Melbourne – Newcastle, and eventually Melbourne – Brisbane / Gold Coast could be added as more sections of high speed lines are



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added, allowing average speeds to be increased over time. These would have speeds comparable to fast intermodal freight trains, and operate primarily at night, thus avoiding conflicts with the faster high speed and very fast trains. They could share motive power with fast freight trains, which would be hybrid, renewable locomotives capable of utilising 25 kV AC power where available, and hydrogen plus rechargeable battery power where not.

### MIX FREIGHT AND PASSENGERS

In many European countries it is also common to mix freight trains with both conventional and high speed trains on the same tracks. Typically, passenger trains operate at up to 200 km/h on such shared tracks, with freight trains operating up to 130 km/h or even faster. Only where traffic densities are very high are completely separate high speed tracks justified. The integration of freight and passenger services occurs even on the newest lines, such as the Gotthard Base Tunnel in Switzerland.



The Gotthard Base Tunnel has been designed to handle high speed trains, regional passenger services and up to 260 freight trains per day<sup>vii</sup>

### ENHANCE FREIGHT SERVICES

Whilst passenger trains capture the attention, it is freight that “pays the bills” for most railways. Rail freight tended to lose mode share to trucks as roads have improved and trucks have increased in size and axle-weight. However, rail freight is now beginning to benefit from significant innovation, including:

- Automated shunting and automated uncoupling in yards;
- Automated loading / unloading of containers, such as in Sydney’s new Moorebank Intermodal terminal;
- Bi-mode locomotives, such as the Eurog000, which can operate on both electrified and non-electrified lines, and new locomotives powered by batteries / hydrogen;
- New types of trains which carry trucks on specialised rollingstock which can allow whole trainloads to be loaded and unloaded in as little as 45 minutes; and
- High speed freight trains which utilise high speed lines at night and carry high-value parcels and other freight.



A new “Rolling Motorway” route using French Modalohr wagons opens between Montpellier and Paris<sup>viii</sup>



Germany’s Cargo-Beamer is building a plant to produce 500 of its specialised wagons p.a. as new intermodal routes open in Europe, such as Rostock – Kaldenkirchen<sup>ix</sup>

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Stadler "Eurodual" Locomotive has 2800 KW using diesel, and up to 7,000 KW using electric power<sup>x</sup>



Digital Automatic Coupling systems are being developed in Europe, along with driverless shunting engines, to reduce terminal costs<sup>xi</sup>

These innovations can potentially cut costs in terminals as well as transit times by rail, making it more competitive with trucks for high-value and time-sensitive freight, such as the overnight freight market between Sydney and Melbourne. For example, Swiss National Railways has begun trials with automated uncoupling as a way to reduce "last mile" costs for rail freight.

### ADAPT TO AUSTRALIAN CONDITIONS

While the distances between our major cities (Sydney – Melbourne; Sydney – Brisbane) are relatively long compared to inter-city distances common in Europe, Japan and some other countries, our topography is generally less challenging than in countries such as Switzerland, Italy, Japan, Taiwan, Turkey etc, all of which have all implemented significant high speed rail networks.

Australia also generally has relatively low train densities compared to the situation in Europe or countries like Japan. This means it makes sense to operate rail as a mixed service accommodating both passenger and freight traffic on the same tracks where possible. There are however a number of places where this can be difficult:

- Sydney, Melbourne and Brisbane all have extensive suburban rail and metro systems which can make access for longer distance passenger and freight trains an issue.
- There are also some sections of main lines with relatively high freight traffic densities, for example the Main South Line between Macarthur and Moss Vale, or the Main Northern Line between Port Waratah and Maitland.

Fortunately, some improvements have already been made to overcome these potential conflicts, for example with dedicated freight lines into Sydney. In addition, conflicts in the entry to Sydney's Central Station from the south-west (the route for trains from Canberra and Melbourne) will be reduced with completion of the metro line to Bankstown, which will free-up track capacity between Wolli Creek and Redfern. The rail approach to Brisbane's Roma Street station from the South will also be freed up with completion of the Cross-River Rail project.



Some simple track work near Erskineville Station will allow high speed trains to enter Central Station when the metro to Sydenham is completed<sup>xii</sup>



The new Cross-River Rail project will relieve congestion on the Merivale Bridge, allowing future high speed trains to enter Brisbane CBD<sup>xiii</sup>

## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

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Ultimately some enhancements to access routes into Sydney and Melbourne will be needed to accommodate higher volumes of high speed trains and new high speed rail stations. As explained later, this will mean some tunnels into a new Sydney high speed station (probably at Olympic Park) and a new tunnel into Melbourne's Southern Cross station. However, these investments will not be needed initially. Instead the key will be to begin by upgrading the main lines between the cities, to provide both faster alignments and in some cases, added capacity.

Released under FOI Act 1982 by High Speed Rail Authority



## THE SYDNEY-MELBOURNE CORRIDOR

The greatest demand for faster rail services is in the Sydney-Melbourne corridor. Therefore the rest of this paper focuses on this corridor. This section provides an overview of the current conventional rail line and an outline of the proposed high speed line.

### THE EXISTING CONVENTIONAL RAIL LINE

#### CURRENT ALIGNMENT

The current main interstate line is double-tracked between Sydney and Melbourne, except for the section between Junee and Albury. Current train volumes are within capacity limits.

Philip Laird's paper to the recent Ausrail conference<sup>7</sup> provides an outline of the history of the current Sydney – Canberra – Melbourne railway, and its current condition. The original line was modified mostly in the early 20<sup>th</sup> century to reduce gradients, which had become an impediment to the steam engines of the day. This involved making the line wind around a large number of tight radius curves, for example in climbing from Sydney to Mittagong, crossing the main Dividing Range between Goulburn and Yass, or overcoming the hills between Cootamundra and Junee by using the Bethungra Spiral.

At the time rail transport was far more advanced than road transport, and rail was able to haul much heavier loads and still be far faster than road. However, in the decades since then rail investment was neglected. In contrast, the Federal Government effectively subsidised the creation of the modern, dual carriageway Hume Highway between Sydney and Melbourne, enabling driving time between the two capitals to be reduced to nine hours, and providing a shorter and faster route for trucks than for trains.

Despite numerous studies and reports over the years, including the 2001 ARTC national track audit and the 2013 AECOM High Speed Rail study, nothing significant has been done to address the steam era alignments on our most important interstate rail corridor. As a result, travel times by rail for both passenger and freight trains have barely improved since the extension of standard gauge tracks from Albury to Melbourne some 60 years ago.

The rail line to Canberra is similarly disadvantaged by poor alignments, both between Menangle and Goulburn and between Goulburn and Canberra. The average speed achieved is only 70km/h, making rail significantly slower than driving or coach transport.



The route through Molonglo Gorge may be scenic, but it means trains between Sydney and Canberra are extremely slow and uncompetitive with other options

While air transport has greatly expanded in the last half-century, this mainly benefits residents of Sydney and Melbourne, our two largest cities, and does little for those living in other cities and towns in the corridor. Furthermore, new airport capacity (new

<sup>7</sup> Philip Laird (2022): "Bringing the Melbourne to Sydney Railway up to Standard", Ausrail Conference, December 2022.

## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

airports or additional runways) in Melbourne and Brisbane will be needed in the future unless rail is significantly upgraded to take a meaningful role in interstate passenger travel.

Similarly, while road transport has improved, it is unlikely to improve much in the future and in contrast will suffer from increasing traffic congestion. As a result, the over-concentration of our population in our two largest cities will continue to worsen, with significant economic, social and environmental consequences. If improved rail infrastructure is not built, the only alternative to more highway congestion would be to duplicate the existing Hume and Pacific Highways, a massively expensive and environmentally damaging alternative.



Truck volumes have increased notably on the Hume and Pacific Highways with adverse safety and environmental consequences



Sydney's second airport will increase the need additional airport capacity in Brisbane and Melbourne if the rail system is not upgraded

However, upgrading rail to a similar standard now found overseas would significantly improve the accessibility of other cities and towns in South-East Australia, facilitating a more sustainable population distribution in the long term and improving the economics generally of inter-city transport. It will also reduce the need for more airports and highways. The challenge is to find a way to achieve this over three decades, just as the Hume Highway was progressively turned from a goat track to a motorway.

### CURRENT RAIL SERVICES

It is important to understand the current use of the existing rail network, as well as the potential for growth, before proposing upgrades.

#### Current Passenger Services

Whilst the number of longer-distance passenger services on the main interstate corridor south of Sydney has declined from previous times, there have been increases in local services from both Sydney and Melbourne. Current passenger services include:

- Twice daily Melbourne – Sydney XPT services in each direction, one during the day and one at night. These both make numerous stops to service local cities and towns on the route, and consequently are relatively slow (11 hours between the capitals, compared to around 9 hours driving time and 1.5 hours flying time terminal to terminal, or 3 hours city centre – city centre). These services are due to be replaced with new rollingstock but service patterns will be little changed.
- Three-times daily Sydney – Canberra services in each direction, taking between 250 – 270 minutes for the nominal 300 km trip. These are significantly slower and less frequent than current bus and car travel times (180 – 220 minutes; hourly or better bus services) or air services (18pprox.. 30 – 45 minutes flying time; 120 minutes city centre – city centre).
- Around 20 daily Sydney-Moss Vale local passenger services in each direction (with a couple of services extending beyond to Goulburn or southern NSW). These services are again very slow compared to driving, and involve a change at Campbelltown/Macarthur to suburban electric services.
- Approximately 4 daily Melbourne – Albury return services. These have recently been upgraded to standard gauge Vlocity trains. They take around 4 hours for the 300km journey, somewhat slower than driving (3-4 hours from Melbourne CBD depending on traffic).
- Additional services between Melbourne, Seymour, Wangaratta and Shepparton, the latter branching off at Seymour. These are also being upgraded with new Vlocity trains.



## Current Freight Services

- Interstate intermodal trains (e.g. Sydney – Melbourne; Sydney – Adelaide / Perth; Melbourne – Brisbane). There are around 4-5 of these daily in each direction in the northern part of the corridor (between Sydney and Cootamundra), somewhat fewer south of that point as the trains for Adelaide and Perth divert off the main south. Most are long (up to 1800m in length), heavy (up to 5,000 tonnes) container trains, but with some non-container traffic such as automobiles carried in specialised wagons. They are typically powered by 2-3 high-power modern diesel-electric locomotives capable of 115 km/h and operate on reasonably fast schedules given the current track conditions, typically taking 12-13 hours between Sydney and Melbourne terminals. However, they are not time competitive with interstate trucks, which take around 9 – 10 hours. These trains carry international and domestic containers, and generally convey somewhat less time-sensitive freight than that carried by road, which handles almost all of the overnight freight market.
- Domestic intermodal trains serving intermediate terminals such as the Ettamogah Rail Hub near Albury, or various other locations such as Griffith and Goulburn. These generally convey either general containerised freight, or specialised containerised freight, such as Barley from southern NSW to the Brewery at Minto in SW Sydney; or export timber from Goulburn to Port Botany.
- Interstate steel trains between major steel product production centres and specialised terminals. There are typically two of these each way per day between Moss Vale and Melbourne, one which connects to Port Kembla steelworks via the Moss Vale Unanderra link, and one via Sydney.
- Grain trains, including wheat, rice and other grains, mainly from southern NSW and the Riverina to Port Kembla in NSW or to Geelong / Portland in Victoria. Depending on the grain season and time of year this can require up to 5 or more grain trains in each direction daily on parts of the Sydney – Melbourne corridor. There is also some domestic grain hauled by rail to flour mills at Maldon and Enfield.
- Limestone, Mineral and Coal trains. These operate mainly from the limestone mine at Marulan to the cement works at Berrima and Maldon to the Port Kembla steelworks; from gravel mines also near Marulan to various sidings in Sydney; and from the Tahmoor coking coal mine to Port Kembla steelworks.
- Cement, waste and other industrial trains. These include cement and clinker daily trains from Berrima to Sydney and Maldon and return, as well as thrice daily in each direction containerised waste trains from Sydney (Clyde) to the waste disposal site at the Woodlawn Mine at Tarago on the Goulburn – Canberra line. Other industrial traffic includes timber hauled south from the Albury area to Melbourne.

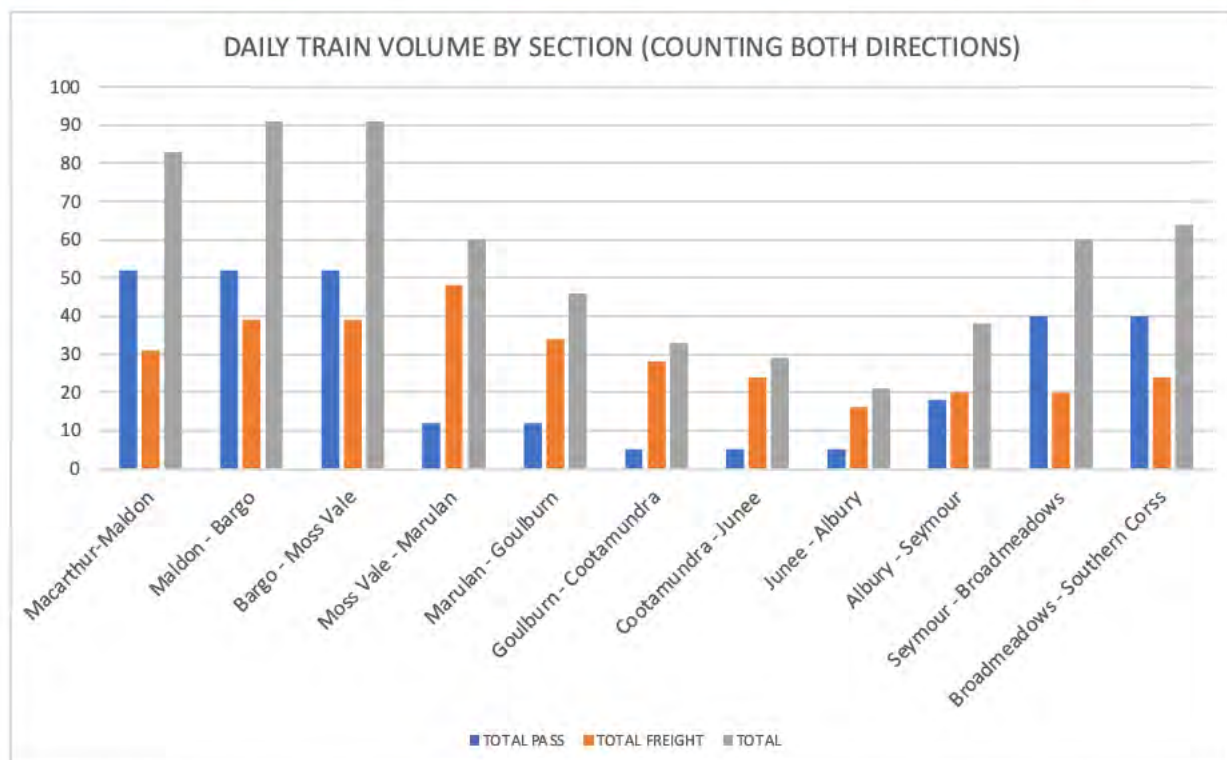
## CURRENT TRAFFIC PATTERNS

Total rail traffic therefore varies significantly in composition and volume both at different places along the main interstate route; at different times of day/night; and at different times of the day, week and year.

The Maldon to Moss Vale section in NSW is the most critical part of the corridor as it:

- has the highest overall volume of trains (approximately 90 per day)
- includes a wide mix of traffic types from slow industrial freight trains through to express passenger trains
- has continuous 1.3% gradients against southbound trains
- includes industrial sidings and junctions to the cement works and Flour mill at Maldon; the Tahmoor coal mine; the cement works and grain silos at Berrima and the junction to the Moss Vale – Unanderra line at Moss Vale.

## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL



The chart above shows the estimated volume of trains on different sections of the main line between Sydney and Melbourne on a typical weekday during the main wheat season.

### POTENTIAL FOR IMPROVEMENT

The ARTC National Track Audit examined options to upgrade the Sydney – Melbourne Main Rail Line in 2001. Phillip Laird suggests that another look should be taken at significantly improving alignments on three key sections<sup>8</sup> - from Macarthur to Mittagong (48km) (a.k.a. the "Wentworth Deviation"), Goulburn to Yass (68 km), and Bowring to Cootamundra (77km)<sup>9</sup>. He says these upgrades are still viable options to improve passenger services until genuine high speed services replace them.

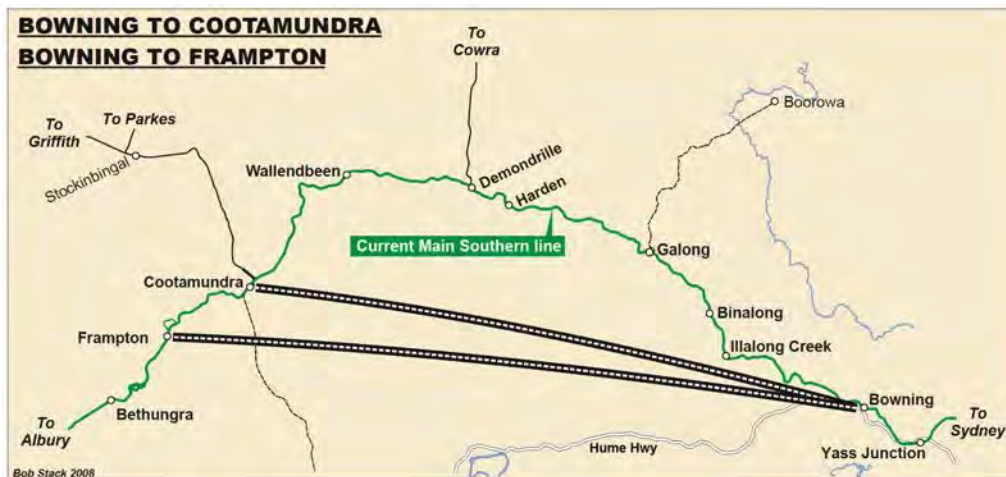


The "Wentworth Deviation" between Menangle and Mittagong has long been considered essential to reduce the tortuous route via Picton, and is the obvious first step to improving our interstate rail network.

<sup>8</sup> <https://theconversation.com/more-than-ever-its-time-to-upgrade-the-sydney-melbourne-railway-187169>

<sup>9</sup> Laird, P, Michell M and Adorni-Braccesi G (2002), "Sydney - Canberra - Melbourne high speed train options", Australasian Transport Research Forum, Canberra

## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL



The proposed deviation from Bowning to Frampton would also eliminate a very windy section of track and significantly reduce the distance travelled. An alternative via Cootamundra would also benefit Sydney-Perth freight trains.<sup>xiv</sup>

These sections include some of the slowest and most winding sections of the existing line. The planned deviations would reduce the rail distance between Sydney and Melbourne from 960km to 900km, and enable significantly higher speeds for both passenger and freight. These initial sections are also seen as the potential first stages in the creation of a new high speed railway between Sydney, Canberra and Melbourne.

Laird has also proposed the introduction of tilt trains will further speed up longer distance passenger services on this route. A tilt train – a train designed to negotiate curves more quickly – could travel at more than 200 km per hour between Sydney and Melbourne on an upgraded alignment.

#### POTENTIAL FOR GROWTH

There is substantial potential for growth in rail volumes, both freight and passenger, especially if measures are undertaken to reduce travel times by rail to be competitive with road (in the near term) and even with air travel on some corridors in the longer term. For example:

- The completion of the Ettamogah Rail Hub near Albury and the commencement of operations at the Sydney Moorebank Intermodal Terminal (with fully automated loading / unloading of containers) is leading to increased volumes of rail freight in the corridor. For example, Qube has recently announced the purchase of an additional 12 high-powered locomotives to increase its Intermodal Sydney – Melbourne services<sup>10</sup>.
- The completion of the Inland Rail between Melbourne and Brisbane is expected to see a significant increase in rail freight between Junee and Melbourne.
- A reduction of rail passenger travel times between Sydney and Melbourne to 9 hours would make it competitive with car or coach travel, and would likely lead to a significant increase in demand.
- A reduction in travel time between Sydney and Canberra to 3 hours would enable rail to be competitive with car and coach travel, and likewise lead to substantially increased demand and the need for more frequent services.
- Further reductions in travel times in the corridor would generate additional demand, enabling additional services to be operated, as well as improvements in efficiency.

<sup>10</sup> <https://www.railjournal.com/fleet/qube-orders-locomotives-from-progress-rail/>



## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL



The Moorebank Logistics and Intermodal Terminal being built on 240 ha with strategic access to major rail and road corridors. It has a capacity 1.5 million domestic and international containers p.a., along with automated container transfer cranes<sup>xv</sup>

Qube has ordered 12 new high-power locomotives to handle interstate intermodal container trains between Sydney and Melbourne

## PROPOSED HIGH SPEED RAIL LINE

The proposed alignment for a new high speed rail line between Sydney and Melbourne is based on the alignment proposed in the 2013 study by AECOM, with some minor adjustments reflecting the changed strategy prioritising regional growth or due to changes to conditions since the study was completed.



The 2013 study proposed an alignment that closely follows the existing conventional line south from Sydney through to the north of Canberra. From the north of Canberra the new line deviates from the existing line to Junee in order to significantly reduce the distance travelled, and then takes a more direct route past Wagga Wagga and then into Albury following the existing line. The new line then takes an alternative route to Seymour via the large regional city of Shepparton, and also avoids the more hilly terrain along the existing line. Finally, the new line closely follows the existing line from Seymour into Melbourne. It also proposed a spur line from Gunning into a station at Civic in Canberra.



## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

The major difference in our proposal is the inter-connection of the new high speed line with the existing conventional line at key regional cities. This allows the use of the existing station in each city, which promotes growth and economic activity in the city. It also allows stages to be successively implemented, enabling trains to continue to use the conventional line until each stage is completed, and for services to be routed on either line depending on requirements and operational demand.

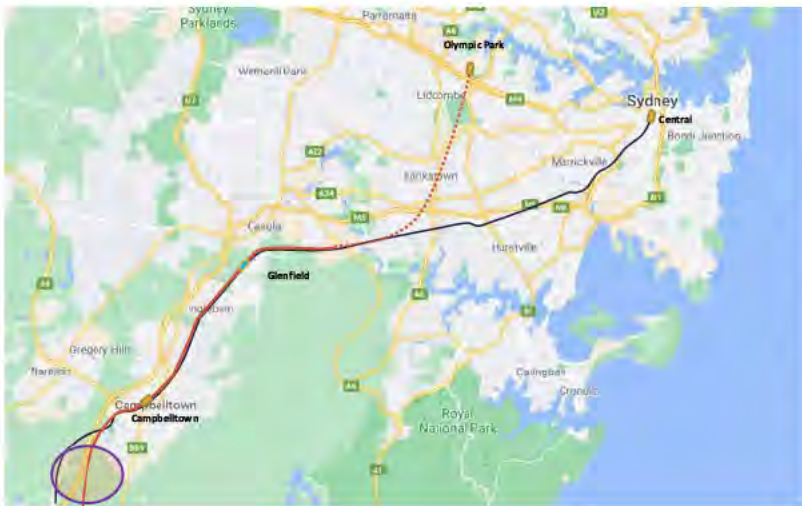
Other significant variations in our proposal include:

- A new station close to the airport in Canberra, removing the need for a tunnel under Mt. Ainslie;
- A tunnel into a new high speed rail station at Olympic Park, integrated with the Metro station currently being built, instead of a tunnel into Central station in Sydney;
- Routing the line along parts of the existing corridor through the urban area of Sydney; and
- Routing the line through Albury instead of bypassing it.

The following outlines the alignment for each section.

### SECTION 1: METROPOLITAN SYDNEY

The 2013 AECOM study envisaged a tunnel from Central station to Glenfield, followed by alignment around Campbelltown to bypass the urban area south of Sydney.

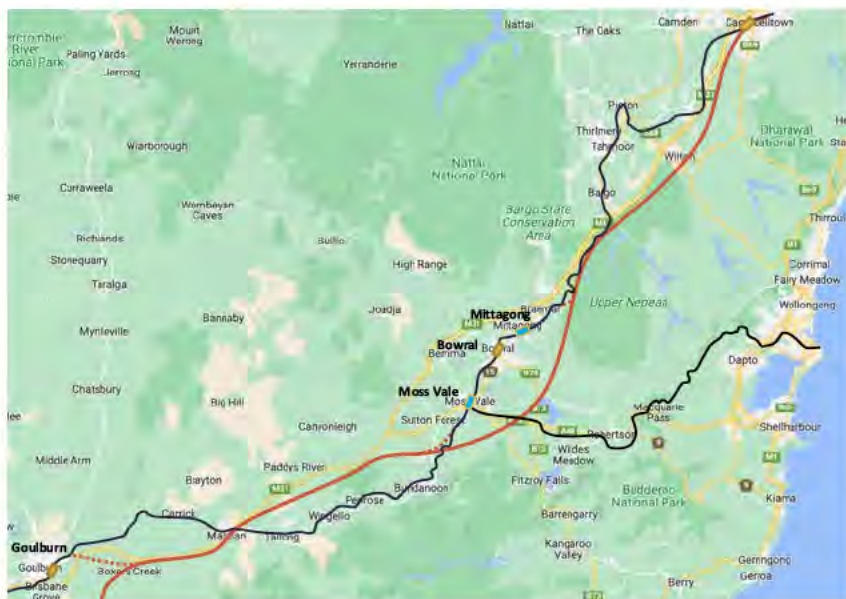


Subsequent to the study, more consideration has been given to a more northerly route connecting Glenfield through to the Newcastle line near Hornsby with a tunnel through Olympic Park.

Trains can use the existing rail lines from Central station to Glenfield until the tunnel is built.

Use of the existing rail corridor (widened to four tracks) has been proposed for the line from Glenfield to Campbelltown, avoiding the environmental impact of a new alignment around the urban area.

### SECTION 2: CAMPBELLTOWN TO GOULBURN



From Campbelltown the proposed line follows the Hume Highway to avoid the circuitous route via Picton. Electrifying this section will allow the use of dual-mode traction engines to handle freight trains at higher speeds up the steeper gradient.

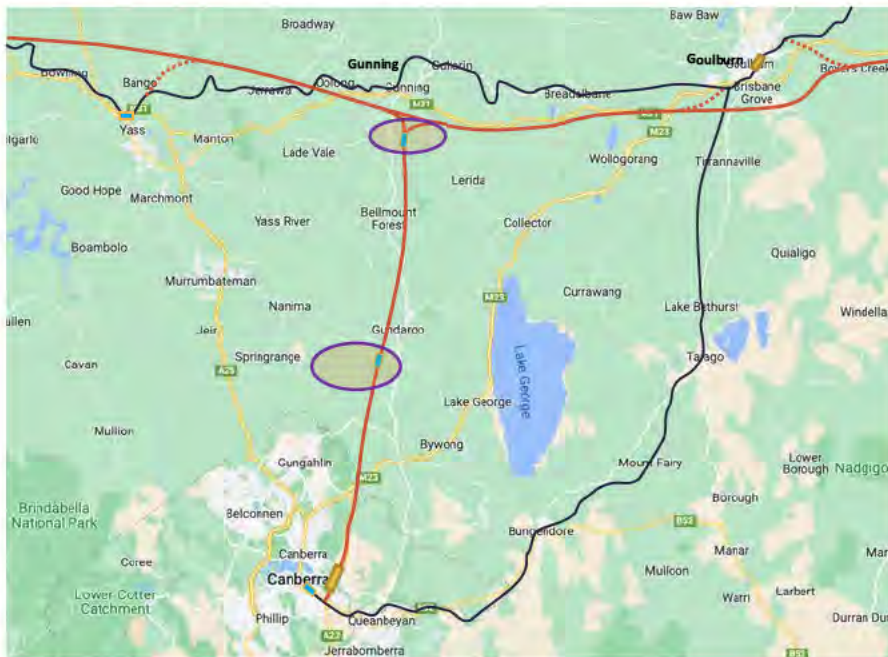
Cross-overs to the north of Mittagong and south of Moss Vale will allow some trains to use the conventional rail line to stop at Mittagong, Bowral and Moss Vale.

The new line then takes a straighter, more direct route tracking the Hume Highway to Goulburn. Cross-overs to the east and west of Goulburn will allow some trains to stop at the existing station in Goulburn.



## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

### SECTION 3: GOULBURN TO YASS AND CANBERRA



The new line continues to take a straighter, more direct route from Goulburn through to a cross-over at Yass.

A new spur line to Canberra is proposed to run from Gunning into a station next to the airport. This line will provide direct entry for long-distance passenger services into Canberra, replacing the very slow route through Molonglo Gorge.

It will also allow fast commuter services to operate from Canberra to Goulburn and Yass, including the new urban centres near Gundaroo and Gunning when they are created.

### SECTION 4: CANBERRA METROPOLITAN AREA

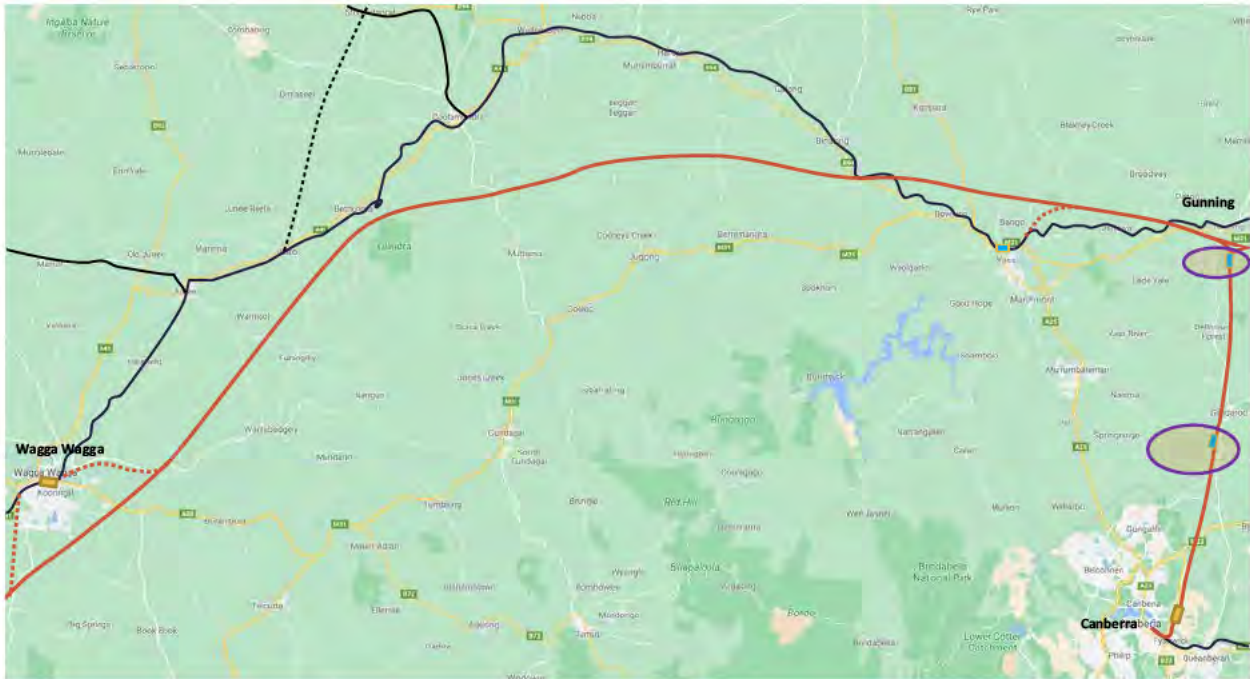


The proposed line will follow the Majura Parkway into a new station between the airport and Duntroon, integrated with the proposed light rail line between Civic and the Airport. This will avoid tunnelling into Civic as proposed in 2013, and create a major mixed transport and business hub for Canberra next to the airport.

The proposed Belconnen to Airport light rail line will provide convenient access from the new station to Civic, Russell, the parliamentary triangle and the rest of Canberra.

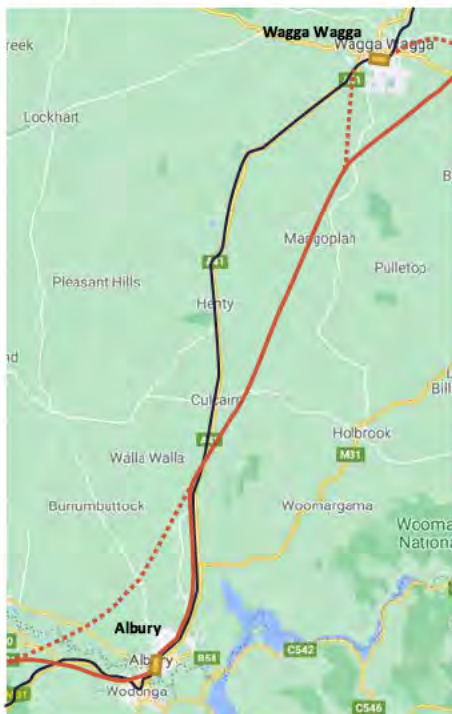
## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

## SECTION 4: YASS TO WAGGA WAGGA



The new line continues its straighter, more direct route west until near Bethungra where it turns to the south to pass by Wagga Wagga. Cross-overs to the east and south of Wagga Wagga will allow some trains to stop at the existing station in Wagga Wagga.

## SECTION 5: WAGGA WAGGA TO ALBURY



From Wagga Wagga, the new line continues its straight and direct route to where it meets the existing conventional line the north of Albury. At this point it is proposed that the new line will use the same corridor as the existing line to enter Albury, and stop at the existing station.

At some time in the future there might be sufficient demand to build a bypass for express services to avoid the deviation and stop at Albury.



## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

## SECTION 6: ALBURY TO SHEPPARTON



## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

## SECTION 8: METROPOLITAN MELBOURNE



The new line uses the same corridor as the existing suburban line through Upfield to Campbellfield, where it enters into a tunnel to connect to Southern Cross station in Melbourne.

A new station has to be built at Campbellfield, allowing connections to services on a future suburban rail loop line running across the north and east of Melbourne.

Trains can use the existing standard gauge corridor through Broadmeadows and Sunshine into Southern Cross until the tunnel is built.

## BUILD IN STAGES TO A MASTER PLAN

A careful assessment of both existing conditions and traffic on the Main South Rail Line, together with an understanding of how high speed has typically been introduced overseas, suggests that a staged approach to high speed rail is needed to meet Australian conditions.

This should begin with selected infrastructure improvements, coupled with the introduction of new types of rollingstock to take advantage of this and to steadily reduce travel times, improve competitiveness, and generate demand for higher frequency services.

This section sets out how this could be achieved. Five stages of the complete upgrade on the Sydney – Canberra – Melbourne corridor are suggested. These will eventually accommodate a trebling of rail traffic in the corridor, and enable the full range of services to operate, from high speed passenger trains and fast freight services, to local passenger services and industrial freight.

A similar approach can be applied for the Sydney – Brisbane corridor, leading to the ultimate completion of a high speed Rail system between Melbourne and Brisbane. High speed connections to the Gold Coast, Canberra and Wollongong, and upgraded connections to the Sunshine Coast, Geelong, Toowoomba, the Hunter Valley and other regions will greatly facilitate both freight and passenger movement in the megaregion.

This in turn will stimulate and support a less concentrated population settlement pattern in South-Eastern Australia, with wider economic, social and environmental benefits that go well beyond the immediate improvements in transport efficiency.

### PROPOSED STAGES

It is proposed that infrastructure enhancements and rollingstock improvements should be combined in five distinct, manageable stages that progressively reduce travel times in the Sydney – Melbourne – Canberra corridor.

#### Staged Infrastructure and Service Enhancements

Stage	Key Infrastructure Enhancements	Key Service Enhancements	Fastest Freight (hrs)*	Fastest Passenger Services (Hrs)		
			Sydney - Melbourne	Sydney - Melbourne	Melbourne - Canberra	Sydney - Canberra
Now			13	11	10.5	4.2
1	Glenfield – Mittagong (Wentworth Deviation)	New High Speed Tilt Trains New Fast Commuter Trains New Sleeper Trains Bi-mode locomotives	12	9	8.5	3.0
2	Goulburn – Yass Gunning – Canberra	First Hybrid Fast Freights Additional Tilt Trains Additional Commuter Trains	11	8	7	2.2
3	Wagga – Albury Duplication Mittagong – Goulburn Broadmeadows – Seymour	Additional Tilt Trains Additional Fast Freights	10	6	5	2.0
4	Seymour – Albury Yass – Junee	First High speed Non-Tilt Passenger Trains Additional Fast Freights	9	5	4	1.7
5	Albury – Junee Melbourne Entry Sydney Entry	Additional High speed Passenger Trains Additional Fast Freights	8	4	3	1.5

(\*) Most of these would operate at night, when high speed passenger services are not operating

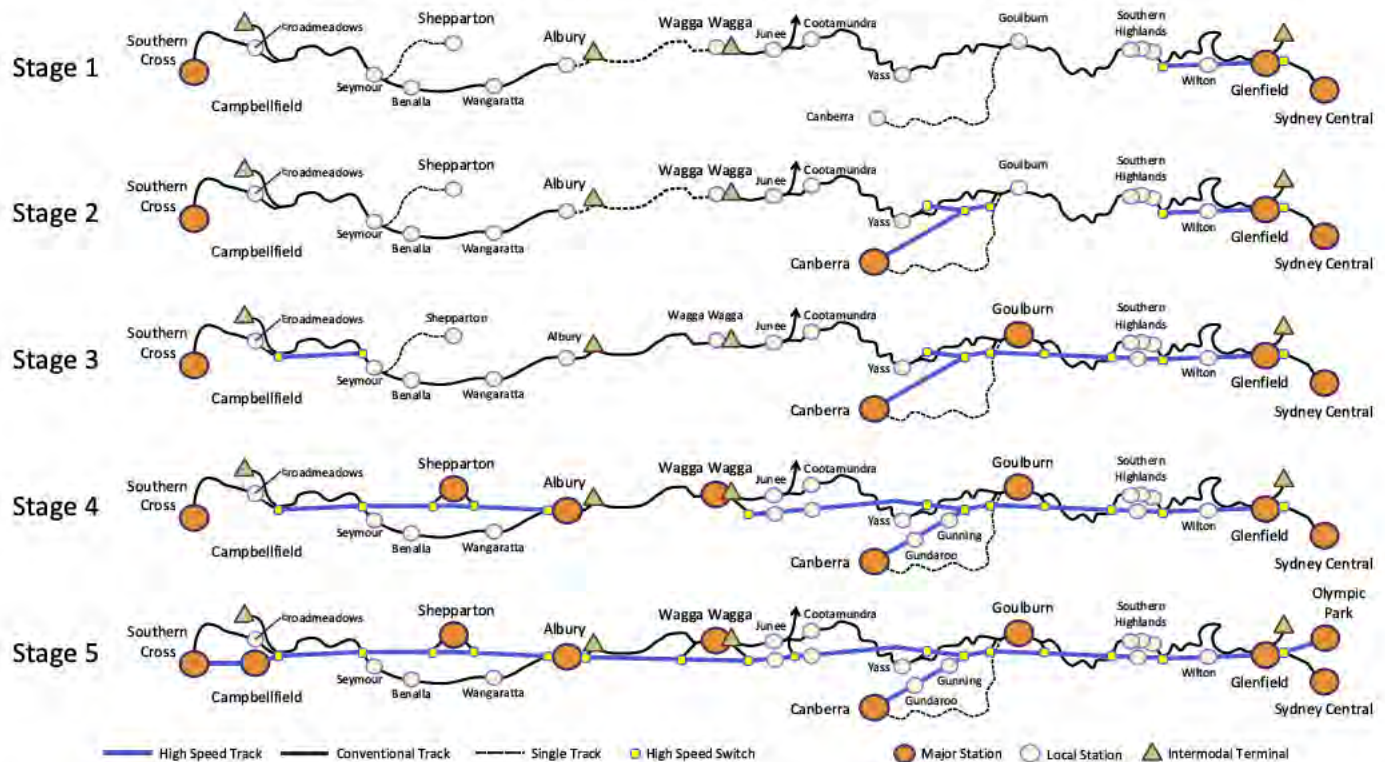


## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

## INFRASTRUCTURE UPGRADES

The diagram below shows how the infrastructure upgrades are undertaken in the proposed stages, including the construction of new high speed track sections parallel to the existing line (but in different alignments), and the addition or upgrading of stations.

## Staging of upgrades in the Sydney-Melbourne corridor



Note that stations on the existing line will be retained, and served by both local services and by long-distance regional services which operate both on high speed sections and the existing main line. For example:

- There will be a number of higher speed services between Melbourne and Wagga Wagga. These would use the existing line between Wagga Wagga and Albury, then the high speed line to Melbourne.
- Similarly, there will be express services between Albury and Melbourne using the high speed line (via Shepparton), as well as local services via Wangaratta and Seymour, which then join the high speed line.
- In New South Wales, in addition to high speed interstate services between Sydney and Melbourne, stopping at South Gunning and Albury, there will be local services from Sydney to Albury, using the high speed line as far as Yass, but then servicing stations on the existing line.
- There will also be local commuter services from Canberra to Yass and Goulburn, using the high speed line between Canberra and South Gunning.
- The Southern Highlands will be served by a variety of services. These will include hourly local services from Moss Vale / Bundanoon to Campbelltown using the existing line and servicing smaller stations such as Burradoo, Bargo, Picton, Douglas park etc, plus peak hour fast commuter services through Moss Vale, Bowral and Mittagong connecting through to Sydney via the high speed line, plus Canberra high speed services stopping at the new Southern Highlands station on the high speed line.

## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

### ROLLINGSTOCK UPGRADES

The table below shows an indicative plan of how new rollingstock should be introduced to support the growing services, and the way in which older rollingstock can be cascaded to other services as additional high speed trains are introduced.

Stage	New Trains (a)	Example of Rollingstock	Allocation	Notes on Re-Allocations
1	5 X Bi-mode High Speed Tilt Trains	Talgo 250 Dual	Used on Sydney – Canberra and Sydney- Melbourne services	NSW Next Gen regional trains re-allocated to additional Sydney-Melbourne day trains and to other routes
	2 X Night Sleeper Trains	Night-Jet Sleeper Trains (Europe)	Shares locomotives with Fast Freights	
	10 X Bi-mode Freight/Pass Locos	Eurodual Electric/Diesel	Allows additional fast Intermodal Freight Trains Daily	Bi-Mode locos included in 3-unit consists with existing diesels, allowing additional industrial / intermodal freight services to be run.
	4 X Fast Commuter Train	Alstom iLint	Sydney-Southern Highland fast commuter services	
2	10 X Bi-mode High Speed Tilt Trains	Talgo 250 Dual	Additional Syd- Canberra, Sydney-Melbourne plus new Canberra – Melbourne Services	Displaced Tilt Trains allocated to additional Sydney – Melbourne Services
	20 X Bi-mode Fast Freight Locomotives	Eurodual or other Bi-Mode Locos	Additional Fast Freight Intermodal Services	Any diesels displaced re-allocated to intermodal / industrial freight services on existing Melbourne – Sydney line, Inland Rail etc
	6 X Fast Commuter Train	Alstom iLint	Canberra-Goulburn/Yass fast commuter services More Sydney-Southern Highlands	
3	5 X Very Fast Trains	Many options available	Replace Tilt Trains and provide increased frequencies on Sydney – Canberra Services.	Tilt Trains previously used on Sydney – Canberra Services re-allocated to Sydney – Southern Highlands, Melbourne – Albury and Melbourne – Shepparton Services
	50 X Hydrogen – Electric Freight Locos	Under Development	Additional Sydney – Melbourne Fast Freight Services	New Hydrogen-Electric Locos would displace diesels in consists, which be re-allocated to a wide variety of conventional freight services
	12 X Fast Commuter Trains	Alstom iLint	Melbourne-Seymour/Shepparton fast commuter services More for existing services	Vlocity Trains re-allocated to other Corridors in Victoria
4	10 X Very Fast Trains	Many Options Available	Melbourne – Albury via Shepparton, additional Sydney – Canberra and Sydney – Junee fast services.	Tilt trains displaced from Victorian services re-allocated to Canberra – Melbourne / Goulburn / Yass and other Services
	10 X High Speed EMU Trains	Many Options Available	Melbourne – Shepparton, Sydney – Southern Highlands Fast Commuter Services	New type of service.
	100 X Hydrogen – Electric Freight Locos	Likely to be various options available	Fast Freight and other Freight Services	Older Diesels would be being retired and replaced
5	10 X Very Fast Trains	Many Options Available	Melbourne – Sydney Interstate Express Services	Tilt Trains re-allocated to Brisbane -Sydney and other corridors
	200 X Hydrogen – Electric Freight Locos	Likely to be various options available	Fast Freight and other Freight Services	Older Diesels would be being retired and replaced

The plan is based on the assumption that older rollingstock would be replaced after typical service lives of 35 years, beginning in the next few years with NSW current fleet of XPT, Endeavour and Xplorer trains and remaining loco-hauled sets in Victoria, followed in the 2030's with retirement of older Vlocity trains in Victoria. Older diesel-electric locos used in freight service would begin to be replaced by Electroduct type locomotives in the next few years, followed by a new generation of hydrogen – electric locomotives, probably from the late 2020's. The objective would be to fully decarbonise rail by 2050 through use of pure electric or hybrid electric power, using green electricity / green hydrogen energy sources.

### SERVICE UPGRADES

The proposed upgrades to the Sydney-Melbourne line will progressively create sections of parallel double-track rail corridors for high speed and conventional services. This will permit the introduction of high speed passenger services, specialised fast freights and sleeper services (running mostly overnight), an increase in lower speed regional and local passenger services, plus more double-stack container and heavy industrial freight trains.

Each new section will increase the range and number of services offered. When the full corridor has been upgraded, the high speed passenger and fast freight services will operate either exclusively or mostly on the high speed tracks. The lower speed existing conventional line will cater mostly for regional passenger services, industrial traffic and heavy double-stack container



## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

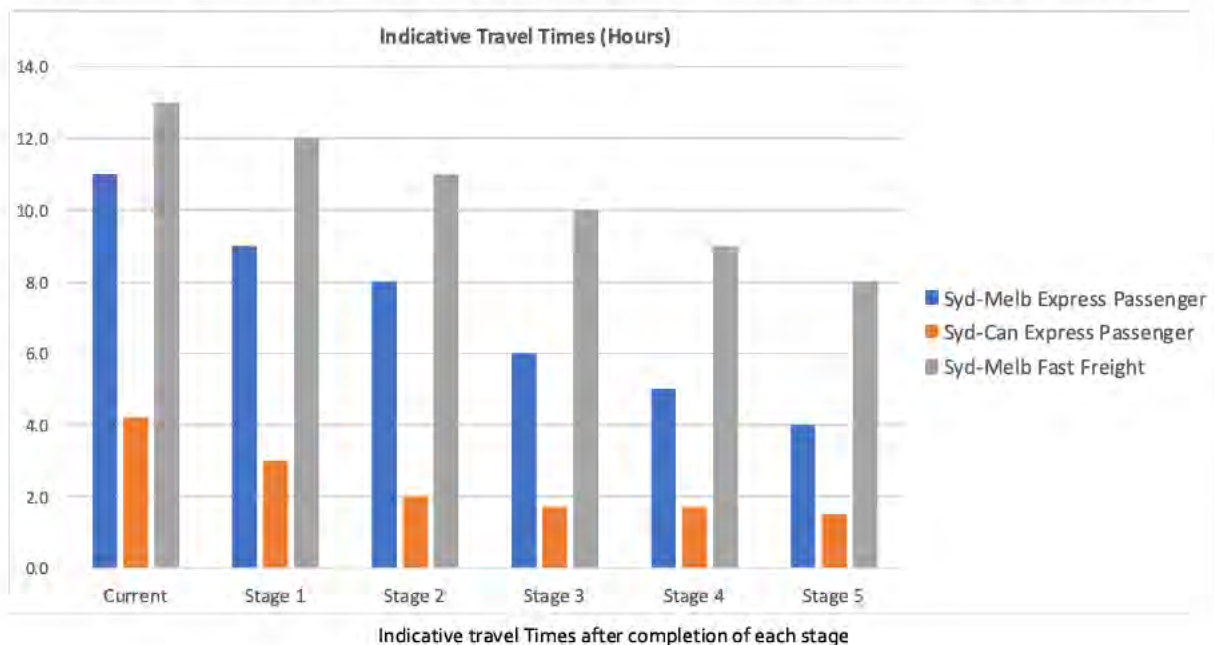
trains. In addition, the availability to run most services on either line will provide a level of operational flexibility and resilience that is not available today.

The table below shows how the potential increase in services could be built up.

Daily Train Volume	Current	Stage 1	Stage 2	Stage 3	Stage 4	Stage 5
Syd-Melb Express	0	4	8	12	18	24
Syd-Melb Regional	4	4	6	6	6	6
Syd-Can Regional	6	10	16	18	20	24
Syd-SH/Glbn Commuter	40	50	54	60	70	80
Can-Melb Regional	0	0	4	6	8	10
Can-Alb Regional	0	2	2	4	4	6
Can-Glbn/Yass Commuter	0	0	6	10	16	20
Shep-Melb Commuter	0	0	0	0	10	12
Alb-Wang-Melb Regional	8	8	10	6	8	10
Alb-Shep-Melb Regional	0	0	0	12	14	16
Shep-Melb Regional	8	10	14	18	20	24
<b>TOTAL PASS</b>	<b>66</b>	<b>88</b>	<b>120</b>	<b>152</b>	<b>194</b>	<b>232</b>
Fast Intermodal Freight	0	4	8	12	16	20
Other Intermodal Freight	10	12	14	16	18	20
Industrial Freight	38	40	44	48	52	52
Melb - Inland Rail Freight	0	8	12	16	20	24
<b>TOTAL FREIGHT</b>	<b>48</b>	<b>64</b>	<b>78</b>	<b>92</b>	<b>106</b>	<b>116</b>
<b>TOTAL</b>	<b>114</b>	<b>152</b>	<b>198</b>	<b>244</b>	<b>300</b>	<b>348</b>

As can be seen, the benefits apply to both freight and passengers. Careful design is needed to ensure compatibility of design standards and safety, but such integrated railways exist commonly around the world, especially in Europe.

The following chart shows how travel times for both passenger and freight will be reduced in each of the stages.

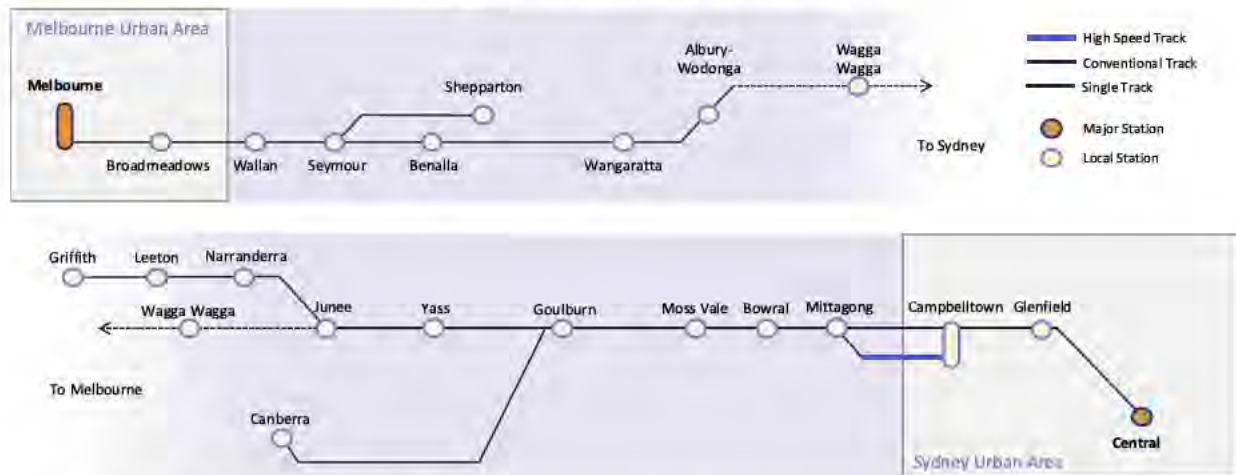




## OVERVIEWS OF EACH STAGE

## STAGE 1: WENTWORTH DEVIATION AND TILT TRAINS

## Stage 1: Wentworth Deviation



The combination of a better alignment south of Sydney and the introduction of new rollingstock would enable travel times of 3 hr for the five-times daily Sydney – Canberra services; 9 hours for the daily Sydney – Melbourne express services; 10.5 hours for the twice daily Sydney – Melbourne regional stopping services; and 10 hours for the overnight sleeper service.

- **Construction of the Wentworth Deviation** between Macarthur and Mittagong, which would create a high speed (250 km/h) route bypassing the current circuitous route via Picton, Bargo etc. The new route would be engineered for future high speed trains. However, it would immediately reduce travel times for both existing long-distance passenger trains and for intermodal freight trains by around 25-30 minutes. The route would have maximum gradients of 2.2% and would be electrified at 25 KVAC.
- **Utilisation of the new Macarthur – Mittagong Line.** The new line would accommodate Sydney – Melbourne, Sydney – Canberra and Sydney – Southern Highlands fast passenger services. It would also carry some interstate and potentially intrastate intermodal freight services. The new high speed line is expected to have a ruling gradient of 2.5%, and analysis of existing 1800m superfreighters - typically three modern high-powered diesels with gross train weight of 5,000 tonnes - would be able to handle those gradients. In future bi-mode high-powered freight locomotives similar to the Eurogooo would be able to utilise the 25 KVAC power on the line to climb it at significantly higher speeds.
- **Utilisation of the existing Macarthur – Mittagong Line.** The relocation of current long-distance passenger services as well as Interstate Intermodal services from the existing main south line between Macarthur and Mittagong will reduce the volume of traffic on this section of the line, currently the most heavily used on the main South. This will enable higher reliability for remaining local passenger and industrial freight services, and could also allow for additional local passenger services to accommodate the significant population growth expected around Marulan and Picton.
- **Introduction of new, high speed tilt trains** between Sydney, Melbourne and Canberra. These would be bi-mode electric / diesel or electric / hydrogen, able to operate on both 1500V DC and 25 KVAC, with a design maximum of 250 km/h on electrified, and 180 km/h on non-electrified track. (Such trains already exist – the Talgo 250 Dual). By utilising tilt technology and high-power, such trains would further reduce travel times on remaining sections of the Sydney – Canberra route by 30 minutes, and on remaining sections of the Sydney – Melbourne route by 90 minutes, in the latter case for express services which would reduce the number of stops from the current eighteen to at most four (Moss Vale; Goulburn; Wagga and Albury).
- **Introduction of a daily overnight sleeper service** between Sydney and Melbourne, with a travel time of around 10 hours and up to 6 stops. All up there would be a doubling of daily services between Sydney and Melbourne from two per day each way to four per day each way. Services between Sydney and Canberra would increase from three per day each way to five per day each way.

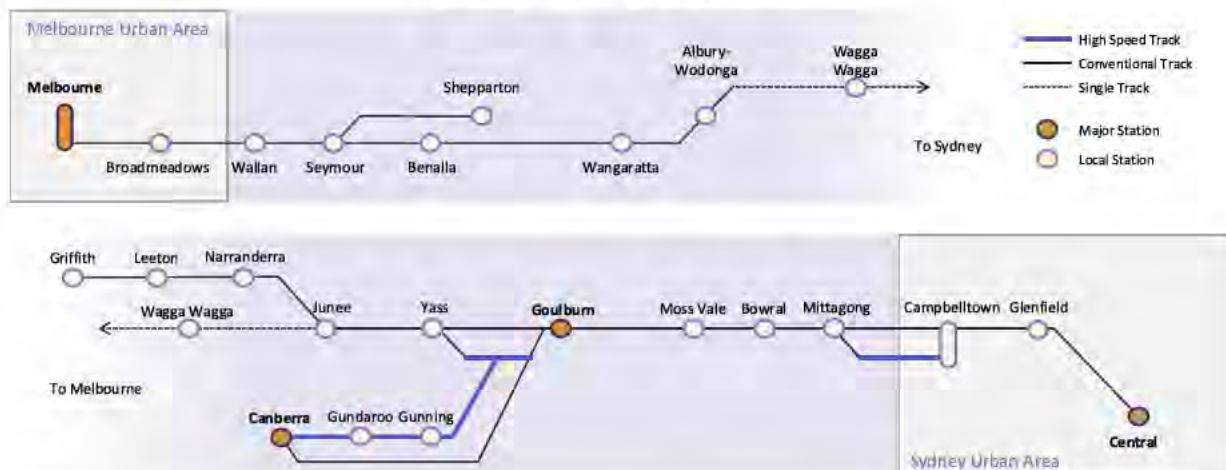


## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

- **Bi-Mode passenger locomotives.** The new services (Tilt Train Expresses to Canberra and Melbourne and the Overnight Sleeper (non-tilting) service to Melbourne) would all utilise the same fleet of bi-mode locomotives, allowing some efficiencies in operation. As mentioned, examples of such locomotives already exist in commercial operation (e.g. the Talgo 250 Dual locomotives), but there are expected to be additional options in future from other manufacturers.
- **Introduction of fast commuter trains** providing services between Sydney and Mittagong, Bowral and Moss Vale in the southern highlands plus a new station at Wilton when completed.
- **Re-allocation of existing rollingstock.** The new regional trains currently on order by Transport for NSW for Sydney – Melbourne and Sydney – Canberra services would be utilised as follows:
  - The sets expected to replace the twice daily current XPT services between Sydney and Melbourne would continue to provide a twice-daily stopping service between Sydney and Melbourne, but operating during daylight hours, one with an early morning departure from each capital (and late afternoon arrival); the other with a late morning departure and late evening arrival time).
  - The sets intended for Sydney – Canberra services would be re-allocated to provide a new fast Commuter service between Sydney and the Southern Highlands / Goulburn. The reduction of about 25 minutes in travel times would make such services significantly more attractive than the current slow services provided via the existing line, which are uncompetitive with driving times to Sydney. Subject to further assessment, it is expected that this would enable up to 5 such fast commuter services daily in each direction, of which a couple would continue beyond Moss Vale to service Exeter, Bundanoon and other small stations as far as Goulburn.

## STAGE 2: FIRST HIGH SPEED LINE

## Stage 2: First High Speed Line



The implementation of new track built to support high speed services between Goulburn and Yass, and to Canberra, would reduce travel times for express passenger services to 8 hours between Sydney and Melbourne; 6 hours between Canberra and Melbourne; and 2.5 hours between Sydney and Canberra.

- **Construction of a new high speed line between Goulburn and Yass,** further reducing travel times for long-distance passenger and interstate intermodal freight services by at least 30 minutes. This line also provides the entry point near Gunning) for the new high speed line to Canberra.
- **Construction of a new high speed line between Gunning and Canberra.** This line will follow the broad alignment outlined in the 2013 AECOM high speed rail study, and would be engineered for speeds up to 300 km/h (to utilise the second generation of high speed trains). The new line would also be designed to incorporate future stations at each of the new town developments north of Canberra. This section (and the Goulburn-Yass section) would most likely be electrified at 25 KVAC for commuter trains and future very fast trains to Sydney when stage 3 is completed.
- **Introduction of fast commuter services into Canberra.** These would be either battery- or hydrogen-electric trains with 2 or 3 cars operating to Goulburn and Yass from Canberra station.



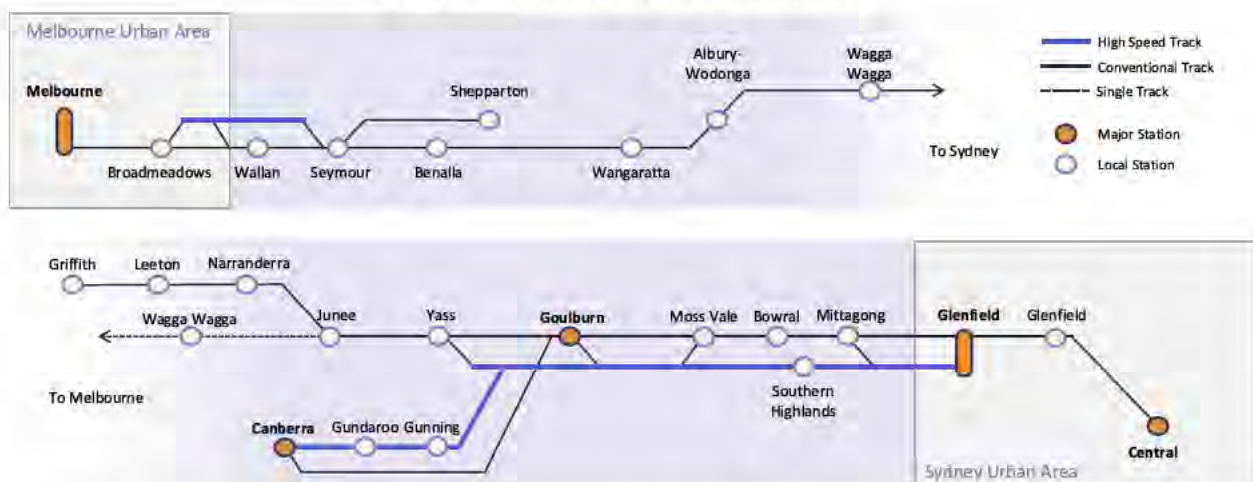
## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

- **New Canberra HSR station.** It is proposed that Canberra's high speed rail station located between Canberra Airport and Duntroon, adjacent to Majura Parkway (the alignment for the high speed line), located directly above the light rail link between Civic and Canberra Airport.
- **New town development.** It is proposed that new urban centres should be created north of Canberra, one just north of Gungahlin, and another south of Gunning, near the junction of the line with the high speed line to Melbourne.
- **Integration with the Light Rail system.** This location would avoid the cost and disruption of tunnelling under Mt Ainslie and into Civic. Instead the connection to Civic would be via the light rail line already planned for the next stage of Canberra's light rail network (Stage 3A). This can provide a fast and high frequency connection to Russell, Civic, Northbourne Avenue and the Parliamentary Triangle as well as Woden (via Light Rail stage 2, currently under construction), with other planned extensions in the future to Belconnen (Light Rail Stage 3b).
- **Additional passenger services.** It is envisaged that:
  - there would be a very substantial increase in rail travel demand between Sydney and Canberra, justifying perhaps 8 trains per day in each direction (subject to further assessment).
  - in addition, direct Canberra – Melbourne tilt trains services could be introduced once the infrastructure works in Stage 2 were completed, together with an additional Sydney – Melbourne express day service in each direction.
- **High speed rail servicing centre.** The creation of this corridor would also enable the establishment of a high speed rail servicing facility parallel to Majura Parkway and north of the proposed station. In the long term it may also be feasible to extend the corridor south to Cooma (and even beyond, to Melbourne via Gippsland) and protection of this corridor should be undertaken by the High Speed Rail Authority in conjunction with the ACT Government.
- **Light rail to Queanbeyan.** The replacement of the existing (very slow) rail service through Queanbeyan to Kingston by the new high speed service then enables the former rail corridor to be converted to light rail as part of Canberra's growing light rail network, allowing fast and frequent connections between Queanbeyan (and Bungendore beyond) and the Parliamentary Triangle, Civic, Woden etc.

## STAGE 3: MAIN LINE IMPROVEMENTS

The implementation of new track built to support high speed services between Southern Highlands and Goulburn, plus between Broadmeadows and Seymour, would reduce travel times for express passenger services to 6 hours between Sydney and Melbourne; 5 hours between Canberra and Melbourne; and 2.0 hours between Sydney and Canberra.

## Stage 3: Main Line Improvements



- **A new high speed line between Mittagong and Goulburn.** This section of the main line is the most heavily trafficked. The new high speed line will provide increased capacity overall as well as travel time savings for the long-distance passenger and freight services using the new line. Local passenger services as well as fast commuter services to the Southern Highlands towns of Mittagong, Bowral, Moss Vale, Exeter and Bundanoon as well as industrial freight services would continue to use the existing line, with the fast commuter services using the Wentworth Deviation from Mittagong



## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

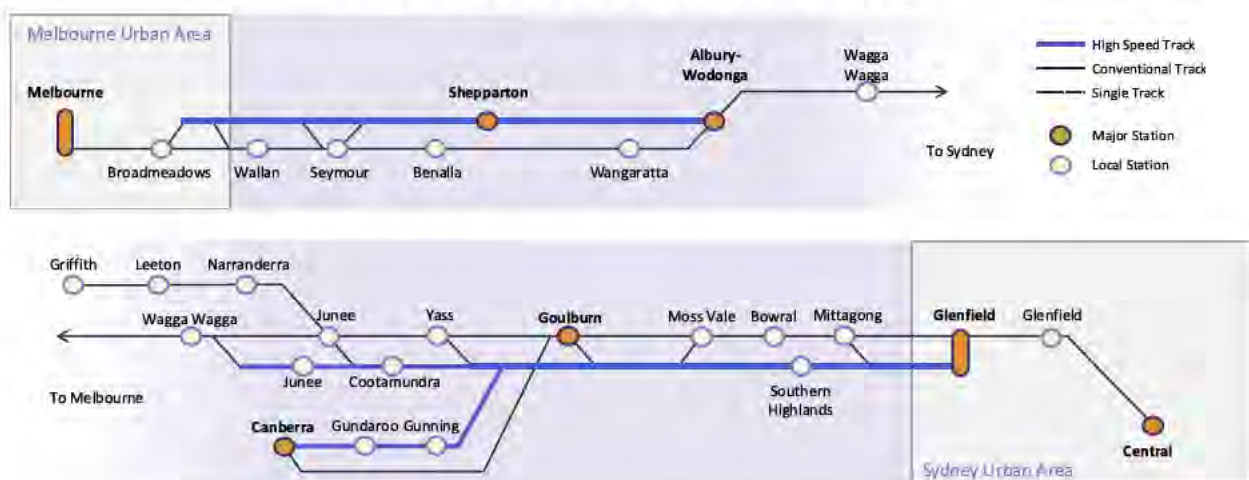
to Sydney. This would be electrified at 25 KVAC to allow very fast, purely electric (dual voltage 25 kV AC / 1.5 kV DC) trains to operate between Sydney and Canberra.

- **Duplication of the main line between Junee and Albury.** Traffic on this line will be increasing both because of the additional traffic between Sydney and Melbourne, and because of the additional double-stack container trains between Melbourne and Brisbane using the Inland Rail. This section would not be electrified given the need for clearances for double-stack containers. It is generally straight and suitable for relatively fast speeds for passenger trains and so would be the last section to have its own dedicated high speed line.
- **New high speed line between Broadmeadows and Seymour.** This part of the Main South is relatively windy and slow, and significant travel time savings will be possible with the new fast line. This is also expected to be needed to cope with increased volumes of freight on the existing line. This section could be electrified at 25 KVAC for faster train operations, but is not needed until very fast trains are introduced after the full line between Melbourne and Yass is completed.
- **First Very Fast Train services.** With the completion of the new high speed sections all the way from Macarthur to Canberra, it will be possible to introduce the first services using the fastest non-tilting high speed trains. These will probably have a top speed in the vicinity of 300-320 km/h, well within existing high speed rail capabilities (which are up to 400 km/h, and currently 350 km/h in commercial service in China).
- **Additional fast passenger services** between Sydney and Melbourne, and between Canberra and Melbourne. These Express Services would now have travel times between the capital cities of 6 hours.
- **Additional freight services.** The duplication of the Junee-Albury line and the new high speed line between Broadmeadows and Seymour will permit a significant increase in freight services, both between Melbourne and Brisbane via the Inland Rail Line, and between Melbourne and Sydney. This will be assisted by the introduction of new Bi-Mode Freight Locomotives, able to use 25 KV AC on electrified portions of the line (in particular the steep climbs between Sydney and Mittagong, and between Broadmeadows and Seymour) and high power hydrogen / battery propulsion in non-electrified sections.
- **New commuter and long-distance passenger services.** The reduced travel times due to the new high speed line in Victoria will facilitate significantly increased services to Seymour, Shepparton, Wangaratta and Albury, as well as more services on the long-haul routes to Sydney and Canberra.

## STAGE 4: FIRST VERY HIGH SPEED SERVICES

The implementation of new track built to support high speed services between Seymour and Albury, plus between Yass and Wagga Wagga, would reduce travel times for express passenger services to 5 hours between Sydney and Melbourne; 4 hours between Canberra and Melbourne; and 1.7 hours between Sydney and Canberra.

## Stage 4: First Very High Speed Services



- **A new high speed section on the main line between Yass and Junee.** This would cut a further 45 minutes travel time between Sydney and Melbourne for passenger services and a similar improvement for fast intermodal freight services.



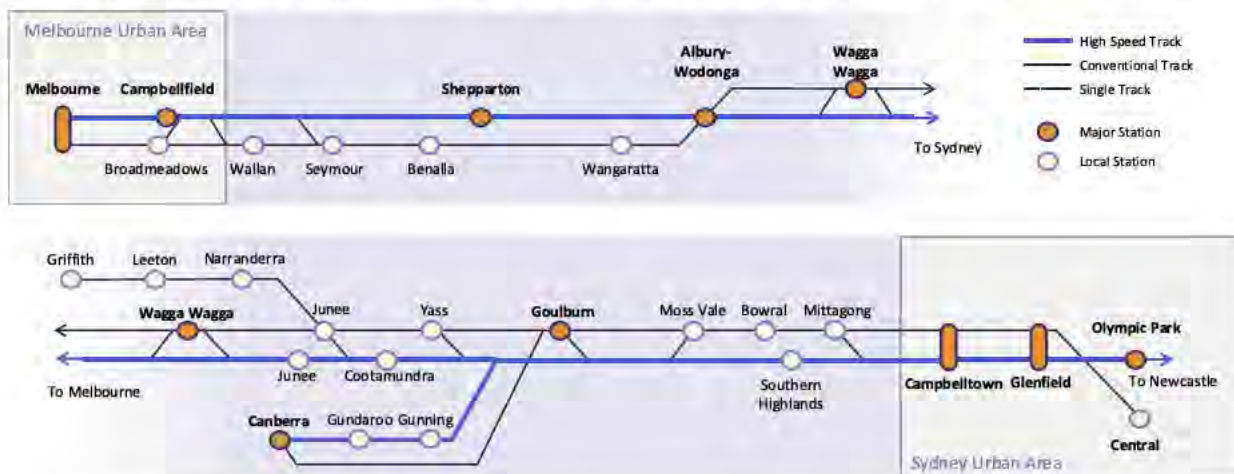
## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

- **A new high speed line between Seymour and Albury.** The high speed line is expected to go through (or close to) Shepparton, leaving the existing line between Seymour and Albury via Wangaratta for an increasing volume of freight trains, especially those between Melbourne and Brisbane via the Inland Rail.
- **New town developments.** Pressure on the existing settlements in the Southern Highlands is likely to create demand for a new town. This should be planned in conjunction with a new station on the high speed line. Additional urban development around Goulburn and Gunning is also expected.
- **Additional services.** The new high speed sections above will allow further expansion of both passenger and freight services. With travel times in particular coming down below two hours for Sydney-Canberra, it is likely that rail will take a significant share of airline traffic on that corridor, and higher frequency services to Canberra will be needed. In addition, there are likely to be increased local commuter services between Canberra, Goulburn and Yass as populations in new towns as well as existing towns north of Canberra expand.
- **Cascading of Canberra's Tilt trains.** As new non-tilting rollingstock is introduced for Sydney-Canberra and Sydney-Southern Highlands services, the older tilting sets can be cascaded to provide additional services, for example between Sydney and Melbourne and Canberra and Melbourne.

## STAGE 5: COMPLETION OF HIGH SPEED SYDNEY-CANBERRA- MELBOURNE

The completion of new track built to support high speed services between Albury and Wagga Wagga, plus entries in Sydney and Melbourne high speed stations, would reduce travel times for express passenger services to 4 hours between Sydney and Melbourne; 3 hours between Canberra and Melbourne; and 1.5 hours between Sydney and Canberra.

## Stage 5: Completion of the High Speed Line Sydney-Canberra-Melbourne



- **Entry into Sydney's HSR Station.** Assuming a HSR Station in Sydney is to be located in Olympic Park, there will need to be an entry to that station from the south-west. An option could be a full four-track corridor from Macarthur to Glenfield and on as far as about East Hills on the surface, with two of the four tracks reserved for high speed services (Passenger with some fast freight during the day; mostly freight at night plus any overnight sleeper services), and the remaining two tracks for local suburban and also industrial freight services. Beyond East Hills a separated high speed line in tunnel would be needed all the way to Olympic Park, potentially under Bankstown, with an interchange station with Bankstown station. This station would be the only one between Glenfield (Sydney's southern HSR Station) and Olympic Park. It is accepted that this option would be slower than other options involving a completely underground entry to Sydney's high speed station from somewhere in the vicinity of Glenfield (as in the 2013 AECOM study) or even further out past Campbelltown. However, connectivity between high speed rail and existing suburban rail and metro lines is critical to maximise the catchment and convenience of high speed rail, and is likely to be more beneficial than any travel time cost due to an interchange station at Bankstown. However, this aspect would need further study.
- **Entry into Melbourne.** The 2013 AECOM study proposed an underground entry to Southern Cross station from the vicinity of Campbellfield, and this appears the most sensible. It will produce significant travel time savings compared to the current indirect entry via Sunshine. A four-platform arrangement at Southern Cross with at least two long platform faces would be needed to accommodate high speed rail trains north to Sydney, Canberra, Wagga Wagga, Albury,

## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

Shepparton and Wangaratta. The northern Melbourne HSR station at Campbellfield would allow connections to other stations on the suburban line as well as destinations such as Melbourne Airport via the Suburban Rail Loop.

- **A new high speed line between Albury and Junee.** Together with the entries into Sydney and Melbourne, this will complete the whole corridor between the two capitals.
- **Complete electrification of the high speed line.** Any sections of the line not electrified would have this completed, allowing operation by purely electric trains (though these would have dual voltage 25 kV AC / 1.5 kV DC capability).
- **New Very Fast Train services.** New, fully electric trains capable of perhaps 320 km/h top speeds (or above) can be introduced between Sydney and Melbourne when the full corridor is completed and electrified at 25 KVAC (except for some tracks into Melbourne and Sydney). The hybrid trains previously used on this line would be cascaded to other lines (such as Sydney – Brisbane, Sydney – Orange etc).



## MAXIMISE THE BENEFIT OF HIGH SPEED RAIL

There are two key factors that will measure the success of the implementation of high speed rail – a smooth transition into operations and an increase in regional growth. The success of the transition into operations will depend largely on establishing the right bodies with the right skills to manage and operate services on high speed lines. The success of the implementation of the high speed line as a lever of regional growth and economic development can be greatly enhanced by coordinating regional development in combination with the opening of new sections of the high speed line.

## ESTABLISH APPROPRIATE GOVERNANCE ARRANGEMENTS

Key to the success of high speed rail in Australia will be the development of the capabilities to design, build and operate high speed lines in Australian conditions. The experience from Spain (see appendix) suggests strongly that high speed rail can work in Australia provided:

- The concept is well-designed, adopting both local experience and international experience as relevant
- Appropriate governance arrangements are in place. This will mean a single, national, government owner of the track and related infrastructure assets which can provide clear interfaces with any operator(s) of high speed trains
- Appropriate use of the latest engineering techniques to minimise construction costs. This includes the latest tunnelling techniques, use of pre-cast viaducts where possible, concrete embedding of tracks to reduce maintenance, 25 kV AC supplied from green energy suppliers, in-cab signalling, high-quality maintenance and safety regimes etc.

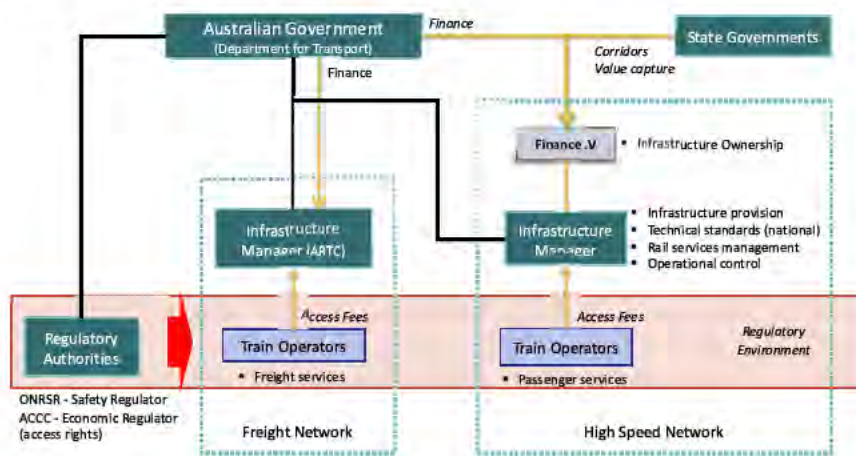
This is similar to Australia's development of the Snowy Mountains Scheme, what was then one of the biggest engineering projects in the world. After establishing the appropriate intergovernmental agreements and governance mechanisms, the scheme drew on the experience of the world experts in dams and hydro power (at that time mostly in the USA). It went on to pioneer many safety and other innovations, including being one of the first organisations in the world to demand safety belts in vehicles.

A similar level of excellence will be required to establish high speed rail in Australia. In this case, the leading experts are far more likely to come from Japan, France, Spain, Germany or Italy than from English-speaking countries like the US or UK, which lag well behind world's best practice.

## PROPOSED ARRANGEMENTS

The proposed high speed line will be new rail infrastructure, and often in new land reservations. It will also be built to new standards within Australia for groundworks, civil engineering, rail infrastructure, signalling and rolling stock. It is therefore recommended that the governance of high speed rail be separated from the existing governance of the conventional Inland Rail Network.

The current governance arrangements for the Inland Rail Network provide a guide that can be utilised for design of the governance of the high speed network.



## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

### FUNDING AND STRATEGIC DIRECTION

The Australian Government has to provide the strategy and predominant funding of the capital costs of high speed rail. Some funding will come from States and the ACT Government, and rail operators should be able to fund their own rollingstock.

The objective is to use high speed rail as a lever to increase the population and economic performance of regions outside the major capital cities. The intention is to balance growth between regional and capital cities, rather than continue to grow our capital as mega-cities on a global scale. Only the Australian Government can provide the leadership and strategic planning to implement this vision.

It is expected the new High Speed Rail Authority (HSRA) will provide lead the strategy and planning for high speed rail. The high speed rail network will become national infrastructure, which means that the HSRA has to manage the planning and implementation of the network and services. This includes specifying services to be delivered; balancing investment across the states and nation; ensuring services are safe, secure and sustainable; and promoting a transport network that is efficient and productive.

Redirecting growth into regional areas has to be a federal policy supported by the relevant state and territory governments. High speed rail is essential infrastructure for regional cities which will benefit all Australians, but requires massive investment that only the Australian Government can provide. In addition, a long-term commitment to the success of regionalisation is required. The economic viability of high speed rail in Australia is based on the benefits of regionalisation, which means that the investment will take a long time to recoup.

### SEPARATION OF OWNERSHIP, INFRASTRUCTURE MANAGEMENT AND RAIL OPERATIONS

Given the high capital cost of rail infrastructure, it is generally agreed that the "below rail" fixed infrastructure should be in public hands, and that the rolling stock and operations should be in private hands or some form of Public Private Partnership. The 2013 AECOM study adopted this principle in its recommendations for the governance of a future high speed rail system:

#### Infrastructure Ownership Joint Ventures

While it is recognised that the bulk of the funds for high speed rail infrastructure will have to come from the Australian Government, the state governments have a role to play in providing the land for the rail corridor and in capturing land value uplift resulting from rail infrastructure investment.

It is therefore recommended that a joint financing arrangement be entered into for each section of high speed track. The relative equity in the joint venture should reflect the relative equity provided by each partner, which may vary over time depending on future investment requirements.

The funding would be provided to the Infrastructure Manager to build the rail infrastructure. Operating returns from the Infrastructure Manager to the financing joint venture would then be split between the partners based on their relative equity in the financing joint venture.

#### Infrastructure Management

It is proposed the railway track and infrastructure for the new network should be managed by a new government agency. It is critical that a high standard of track quality is built and maintained in order to support high speed services. This means that management of the network's infrastructure (which crosses state borders) should be under the control of a single national agency.

The Infrastructure Manager will also be responsible for the technical standards for high speed rail. Technical compatibility between the existing rail system and the high speed rail system will be required to allow trains and services to operate on both networks.

As this is a new network, the agency should be responsible for building and maintaining the network from the outset. It should enter access arrangements for use of land easements from state governments. It would also be responsible for the control of trains using the network. This includes managing the scheduling, timetabling, pathing and control of trains using its network.

## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

One option is to extend the role of Australian Rail Track Corporation (ARTC) to include ownership and management of the new network. The ARTC already provides a single point of access for the Interstate Rail Network, the standard gauge interstate track across Australia, which it either owns or leases from state governments. The Interstate Rail Network is predominantly used by freight services), along with some long-distance and regional passenger services.

However it is recommended that a new government-owned body be established. Australia does not have a depth of experience in building and operating high speed rail. Therefore the agency will have to draw on experience from countries running high speed rail networks. Building and operating high speed rail is also very different from the conventional rail network. Therefore separation of roles between the two networks will allow the high speed infrastructure manager to establish itself without the constraints of simultaneously managing a conventional rail network.

### Train Operators

Train operators are licensed to provide services using the rail network infrastructure. Train Operators should have complete control of their business and train operations within the standards and operational constraints of the high speed network.

It is expected that there will be three train operators offering passenger services using high speed rail, and potentially others offering specialised services.

- It is recommended that the Australian Government establish a government-owned carrier to offer fast commuter and long-distance services using the high speed line (and the conventional line during the construction of the various stages of the high speed line). This carrier would own and operate new high speed rolling stock purchased for these services.
- It is expected the current state operators will use the high speed line within their home state, with some services continuing out of their home state.
- It is possible private sector operators may offer specialised services e.g. long distance sleeper services.

In addition it is likely that freight operators could use some sections of the high speed line.

### REGULATORY AUTHORITIES

Train Operators should be subject to the economic, safety and customer service regulations set by the existing regulatory authorities for rail services.

### Safety

The Office of the National Rail Safety Regulator (ONRSR) is the current body that has responsibility for regulatory oversight of rail safety in every Australian state and territory. Its objectives are to encourage and enforce safe railway operations and promote and improve national rail safety. The new high speed line would come under the responsibility of this body.

### Access Rights and Access Charges

The Australian Competition and Consumer Commission (ACCC) is the national body with responsibility for access to the Interstate Rail Network nationally and the Hunter Valley Network in NSW. It is proposed the new high speed line should fall under the ACCC. This means the new high speed line should be a "declared service" under current regulatory arrangements for rail infrastructure.

The issue of Access Charges is a critical one. It is not expected that above rail operators would be able to generate sufficient profits to pay for the expensive below rail infrastructure, and there are relatively few rail lines in the world where this occurs. The same is true for highways, where road users receive the benefits of enormous government investment in what is considered national infrastructure.

Rail access charges need to be realistic or they will quickly make any rail services uneconomic, and hence nullify the whole objective of the investment. Access charges are a contentious issue, even in Europe with much higher population densities and greater history of using rail, especially for passenger services. The EU has taken the view that governments have a major role in developing a balance between road and rail modes. This has been critical for economic development of Europe, and will be in Australia. Therefore a realistic approach to access charges will be needed in Australia.



## COORDINATE WITH REGIONAL DEVELOPMENT

There are a range of development opportunities that should be undertaken in conjunction with the rollout of high speed rail to a regional city. The World Bank<sup>11</sup> has identified a number of key factors in maximising the benefits of high speed rail:

- The station should be located close to the city centre, preferably close to established business activities.
- The station should become a city transport hub with good local, sub-regional and regional services.
- Creating a station with signature architecture will enhance its image and sense of place.
- Land should be released for mixed-use development, including offices, residential, conference facilities, public services and open space.
- Using a mix of public and private sector investment will optimise the value for the government.
- Establish a development corporation to manage collaborative public-private real estate development in the station precinct.

The OECD<sup>12</sup> argues that regional cities must leverage their competitive advantages, and not rely on national subsidies. Greater growth occurs when cities are able to mobilise their own local assets and resources, rather than depend on support from the national government.



But most of these opportunities need state or federal government assistance to be realised. Therefore it is recommended that the three levels of government should form an accord outlining what projects will be undertaken and the funding or other contributions to be made by each government.

### A BUSINESS AND TRANSPORT HUB

Stations for high speed services should become major urban activity hubs in their own right.

They will be the key transport hub for the city and its immediate region, playing a role somewhat akin to an airport. They need to become an integrated transport hub, connecting regional and local public transport to the high speed rail. And they will need to offer food and retail facilities for travellers, including local residents simply using the station as a transport hub.

They will also become major complexes and a focus for business within the regional city. They should provide meeting facilities and work spaces for business travellers who may need them for short or extended periods, or even co-working and distributed office spaces for more regular arrangements. Larger stations should include a hotel to accommodate travellers to the city or passing through.

### CENTRAL CITY REVITALISATION

New or upgraded stations in regional cities will drive urban renewal and economic activity. International experience shows that well integrated, thoughtfully designed and strategically located stations serve as a catalyst for urban renewal and mixed-use development in their surrounding precinct. It suggests the station should be located close to the city centre, preferably close to established business activities. Land should be released for mixed-use development, including offices, residential, conference facilities, public services and open space.

<sup>11</sup> World Bank (2014), Regional Economic Impact Analysis of High Speed Rail in China

<sup>12</sup> OECD (2009), Policy Brief: How Regions Grow



## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

It is recommended that large-scale precinct development should be undertaken by a development authority with the power to plan and manage the renewal project.

### NEW URBAN DEVELOPMENT

The purpose of implementing high speed rail is to attract more people to live in regional cities. This requires planning and development of new urban areas in or around a regional city with a high speed station. Planning schemes need to be prepared in readiness for release in line with the expected increase in growth of the city.

### ENHANCED LOGISTICS CAPABILITIES

Shifting freight from road to rail could have a major impact on regional economies. The high speed rail network will allow the replacement of point-to-point distribution by long haul trucks with the hub and spoke movement by rail freight services and local distribution by truck. This assumes major regional cities have inter-modal terminals capable of quickly moving trailers between rail and trucks (cabs). This will make the movement of goods more efficient, opening opportunities to attract more manufacturing into regional cities. New types of trains, such as the Modalohr trains in France or the CargoBeamer trains in Germany, may make this a much more viable prospect than in the past.

### ECONOMIC INCENTIVES

Consideration needs to be given to the provision of economic incentives to coincide with the opening of a high speed rail line into a regional city. The opening of the line will make the city a more attractive place to live. This could be enhanced by the provision of additional incentives to attract people, businesses or facilities, such as major hospitals or university campuses, to relocate the city. The attraction of new businesses is particularly important to provide jobs for new residents. This will require longer planning and potentially coordination across all levels of government.

### LAND VALUE UPLIFT

It is well-known that land near a railway station attracts a premium. One study in China has shown that the development of an HSR station contributes to about 3–13% of land value increase of the nearby area, and the effect is stronger if the land is closer to the HSR station. As a result, China's municipal governments have raised significant fiscal revenues through land sales to real estate developers. They put the new HSR station in an undeveloped area, and bundle it with an urban development plan called an "HSR new town". There are at least 139 cities with at least one "HSR new town" in China.

Capturing the uplift in land values is a state government responsibility. They should use their relevant infrastructure contributions tax to capture the uplift in urban and precinct land values when the high speed rail is connected to a regional city. These funds should be hypothecated to the station and high speed line infrastructure. However these arrangements need to be put in place as soon as possible to prevent land speculation and the loss of any land value uplift to private individuals.

## USE CANBERRA AS THE FOUNDING STONE

Implementation of the high speed rail section out of Canberra to Goulburn and Yass should be given high priority. It is a standalone project that will facilitate regional growth and development as well as upgrades to the existing rail network. In addition, it requires all elements for the provision of high speed rail services in Australia to be addressed. Therefore it is best placed to serve as an early foundation for a national high speed rail network in Australia.

Construction of the Wentworth Deviation takes precedence in the proposed stages because it is a "no regrets" project bypassing very circuitous track with the most traffic on the line. It will benefit all travel on the main line and requires less preliminary work to start.



### SCOPE

The Canberra section of the high speed rail line is largely a self-contained project that is worth doing in its own right. It can be treated as a "no regrets" project. It has sufficient benefits that its success will not be determined by the addition of future stages, and is not dependent on the completion of the full Sydney-Melbourne high speed line. However it will establish faster passenger (commuter) services and demonstrate the regional benefits that implementation of later stages will rely on.

This section of line is essential infrastructure to open the potential for dramatic growth of the population of Canberra. The line opens two new areas for expansion of the urban area north of Canberra that need faster rail connections to be considered as suburbs of Canberra. It also frees the existing rail line to Bungendore, allowing Canberra's light rail network to be expanded to support a third proposed urban renewal area (Kowen) as well as connecting the nearby town of Bungendore. It is expected that these benefits will justify the implementation of this section of high speed line as a standalone project.

### PROOF OF CONCEPT

This project contains the two elements needed to prove the validity of the two hypotheses that underpin our approach to the implementation of high speed rail in Australia. Many economists consider the distances too long and our population too dispersed to make the implementation of high speed rail economic in Australia. Therefore the implementation of high speed rail in Australia has to overcome two key challenges:

- That high speed rail is a key enabler of regional economic growth, not just an alternative to air and road transport.
- That high speed rail needs to be considered as an upgrade to the existing rail network, and not as a separate system.

## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

While studies can support or dispel these hypotheses, they cannot be completely proven until tested with the actual implementation of high speed rail. This creates a tremendous challenge when the benefits are largely dependent on connecting Sydney and Melbourne, as in the approach adopted by the 2013 study.

This project encompasses both aspects needed to show that high speed rail (faster connections) promotes regional growth and that it has to be implemented as an upgrade to the existing network:

- The new high speed track connects both Goulburn and Yass to Canberra, creating the opportunity for growth and development in each city.
- This limited section of high speed track will be integrated with the existing network in order to add new services (including ones that will extend beyond this track) and also improve the performance of existing services operating between Goulburn and Yass.

### NATIONAL INFRASTRUCTURE

The high speed line crosses the border between NSW and the ACT, which makes it national infrastructure. In fact, it is unlikely to proceed without federal leadership, backed by both the ACT and NSW governments.

The primary justification for this section of line will be regional economic benefits from the growth of Canberra, but a significant portion of its cost will be the rail infrastructure in NSW, and the primary source of funds will be the federal government. It is therefore an opportunity for the Australian Government to lead the planning and implementation of this line. This would give the Australian Government a similar role for national passenger services as it already has for national freight services.

### NATIONAL RAIL CARRIER

Similar to the rail infrastructure, the new services using this line will cross state borders, opening the opportunity to create a national rail carrier.

It is proposed that this new carrier should offer commuter services (between Goulburn and Yass to Canberra) and long distance passenger services (to Sydney and also Melbourne) when the new line opens. The proposed long distance services would use the conventional line to operate services to Sydney and Melbourne, and other major regional cities on the line.

New services from a national carrier will also enable improved rail technologies to be adopted. In particular, it is recommended that new tilt trains using hydrogen fuel cells or batteries alone should be acquired. This will leverage the proven ability for tilt trains to improve the performance of services on this route, plus seed the transition to renewable energy in the rail industry.

### GOVERNANCE ARRANGEMENTS

Despite being a small project, it requires a completely new high speed line to be built across two states. This creates the need for new governance arrangements for passenger rail in Australia.

It is proposed the new high speed line should be owned and built by the Australian Government through land reservations owned by the relevant state/territory governments. This arrangement is achieved by creating new financing joint ventures for each section of track. It also creates the need for a new authority to build and manage the high speed rail infrastructure. This requires skills and expertise that are not readily available in Australia. Therefore this section of line creates the need for new governance arrangements to be put in place, that will carry on for all future stages.

### RAIL STANDARDS

This section will ultimately carry very fast Canberra-Sydney and Canberra-Melbourne services, potentially operating at up to 350km/h. Therefore the track should be built to the appropriate standards to support these services. Not only does this require the establishment of an Infrastructure Manager with the appropriate capabilities, but it is probable that the standards set for this section of track will continue to be applied across all future sections when they are implemented.

## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

### REGIONAL CITY DEVELOPMENT

This paper argues there is a range of development opportunities that should be undertaken in conjunction with the rollout of high speed rail to a regional city. Goulburn and Yass can be used to explore and test ideas relevant for Australia's regional cities. These could then be used as a template for the development of other regional cities as they are connected to the high speed network.

### TRANSPORT INTEGRATION

One of the objectives of this project is to create a mixed business and transport hub at the new high speed rail station in Canberra. This will require precinct planning to establish the precinct and transport planning to integrate the station with the airport and Canberra's light rail network. Canberra already sets a very high standard for urban planning. This is an opportunity to build on its existing structure to establish a major activity centre that will be core to Canberra's long term growth.



## CASE STUDY - HIGH SPEED RAIL IN SPAIN

Spain provides an interesting comparison with Australia in the context of high speed rail from a number of perspectives:

- With a population of 47 million spread across an area of 505,000 sq. km, its population density is comparable with South - East Australia (18 million across approximately 200,000 sq.km. in the corridor between the Sunshine Coast and Geelong, with 16 million of those living in the 20 largest urban centres.)
- A fairly urbanised population distribution. In Spain's case, Madrid (population 3.2 million) and Barcelona (pop 1.6 million) are the two largest cities, but there are 20 cities with 2022 populations above 250,000 people. In contrast, South-East Australia is more dominated by Sydney, Melbourne and Brisbane, but with a further 7 cities with populations over 250,000.
- Distances in Spain are significant, and the topography is actually more challenging than in South-East Australia.
- Spain had a moderate-sized rail system, complete with a gauge problem like Australia when talk of high speed rail began around 1990, about the time Australia was beginning to discuss the Speedrail proposal for high speed rail in Australia.



Spain's Population Distribution (2022).<sup>13</sup>

COUNTRY/CITY	POP ('000)	%	COUNTRY/CITY	POP ('000)	%
SPAIN	47,615		AUSTRALIA	25,700	
Madrid	3,256	6.8%	Sydney	4,857	18.9%
Barcelona	1,622	3.4%	Melbourne	4,779	18.6%
Valencia	814	1.7%	Brisbane	2,485	9.7%
Sevilla	703	1.5%	Gold Coast	707	2.8%
Zragoza	674	1.4%	Newcastle-Maitland	510	2.0%
Malaga	568	1.2%	Canberra	482	1.9%
Murcia	437	0.9%	Sunshine Coast	356	1.4%
Palma	401	0.8%	Central Coast	340	1.3%
Las Palmas	381	0.8%	Wollongong	306	1.2%
Bilbao	354	0.7%	Geelong	289	1.1%
Alicante	334	0.7%	Toowoomba	144	0.6%
Cordoba	328	0.7%	Ballarat	112	0.4%
Valladolid	318	0.7%	Bendigo	103	0.4%
Vigo	297	0.6%	Albury-Wodonga	98	0.4%
Gijon	277	0.6%	Melton	77	0.3%
Eixample	266	0.6%	Coffs Harbour	74	0.3%
L'Hospitalet	257	0.5%	Wagga Wagga	57	0.2%
Latina	256	0.5%	Shepparton	54	0.2%
Carabanchel	254	0.5%	Port Macquarie	50	0.2%
<b>LARGEST 20 CITIES</b>	<b>11,797</b>	<b>24.8%</b>		<b>15,880</b>	<b>61.8%</b>

(a): <https://worldpopulationreview.com/countries/cities/spain>

(b): Estimated Resident Population, June 2021 (ABS)

Comparison of Population in Spain (2022) and South-East Australia (2021)

However, unlike Australia, Spain decided to proceed with high speed rail. Its first line, from Madrid to Seville, a distance of 471km, was opened in 1992. As Murray Hughes<sup>14</sup> notes "The AVE line to Seville was born out of a need to cut journey times to Andalusia. Any train travelling from Madrid to Cordoba had to negotiate a single-track bottleneck dominated by a long climb over the steeply graded Despenaperros pass, where sharp curves restricted speeds to no more than 100 km/h or sometimes just 70 km/h". This is reminiscent of the situation in Australia, where trains leaving Sydney need to negotiate slow, winding alignments whether headed north, west, south or south-west.

Like Australia, Spain also now has an extensive motorway network, and the usual airport infrastructure found in modern countries. But unlike Australia, Spain has built a network of high speed rail lines over the last 32 years, at an average of around 100km. It now totals over 3,000 km, the second largest network in the world.

As a result, rail travel times are significantly different between Spain and South-East Australia. For example, one can travel from Barcelona in the north-east to Cadiz in the south-west, a distance of 1100km, in under 7 hours by train (160 km/av speed), much faster than driving even on an excellent motorway network, whereas it takes 11 hours for the g60 rail journey from Sydney to Melbourne (average speed 87 km/h), two hours longer than by car.

Several features of the approach in Spain to high speed rail are worth noting:

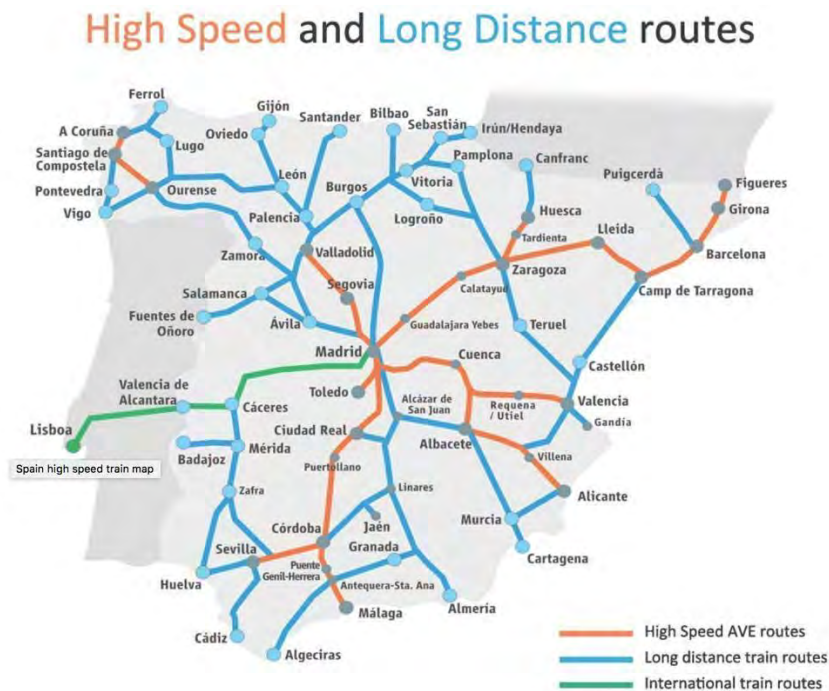
- The current system was the result of an ambitious, but well-executed plan.
- The high speed rail elements connect with and utilise the existing rail network, which was initially mostly broad-gauge. Initial high speed lines were also built as broad gauge, but later lines are being built as standard gauge, or able to be converted easily to standard gauge when required.

<sup>13</sup> <https://worldpopulationreview.com/countries/cities/spain>

<sup>14</sup> Murray Hughes (2020): "The Second Age of Rail – A History of High speed Trains". The History Press.

## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

- The initial high speed lines radiated out from Madrid, but later lines are forming a network of cross-regional links. For example current projects are extending the high speed network down the Mediterranean coast, and are also extending towards Portugal and to France.



And the network and range of services are still growing. For example, in the last six months:

- Passenger services began using an upgraded 193 km mixed-traffic route between Plasencia and Badajoz in Extremadura on July 2022, following the inauguration of three sections of new alignment totalling 146 km by King Felipe VI the previous day. In the longer term, the line is intended to form part of a high speed corridor linking Madrid with Extremadura and potentially Lisboa in Portugal.
- Passenger services on a 75 km high speed line between Burgos and a junction with the Madrid – Valladolid – León line at Venta de Baños began on July 2022, the day after a formal inauguration by King Felipe VI. It is planned that this will eventually form part of a high speed corridor to the French border<sup>15</sup>.
- In November 2022, a third high speed rail operator, IRYO, announced it would begin operations in Spain in December, with the aim of gaining 30% of the high speed market during 2023 with services to multiple cities<sup>16</sup>. This operator is using similar trains to those operating in Italy. These will join French trains operated by Ouigo (a subsidiary of France's SNCF), and a wide variety of Spanish high speed trains operated by RENFE, the national rail operator in Spain.
- In December 2022 high speed services began using the latest 16km extension to the city of Murcia. A high speed line is planned from a junction at El Reguerón to Cartagena. This will complete the Levante high speed network as originally envisaged in the early 2000s, linking Madrid with Albacete, València, Alacant, Murcia and Cartagena<sup>17</sup>.

## INNOVATIVE APPROACHES

Another feature of Spain's high speed rail system is its innovation. As mentioned this includes:

- Tilt Trains to overcome the many speed restrictions on existing lines due to curvature.
- Dual voltage trains to be able to utilise the international standard 25 kV AC 50 hertz as well as the Spanish broad-gauge standard of 3 KV DC supply.
- Hybrid locomotives to extend high speed services to non-electrified tracks.
- Gauge-changing trains to overcome the change-of-gauge problem.

<sup>15</sup> <https://www.railwaygazette.com/high-speed/high-speed-line-to-burgos-opens/62183.article>

<sup>16</sup> <https://www.railwaygazette.com/high-speed/iryo-brings-italian-style-to-spanish-high-speed-rail-services/63016.article>

<sup>17</sup> <https://www.railwaygazette.com/high-speed/spanish-high-speed-network-extended-to-murcia/63212.article>

## AN IMPLEMENTATION PLAN FOR HIGH SPEED RAIL

- Light-weight, low-floor high speed trains, which have the highest energy efficiency of any such trains in the world.
- Innovative engineering to overcome some of Spain's topographical challenges, including some massive bridges and lengthy tunnels.
- Progressive introduction of services, with sometimes only a few high speed services per day in each direction initially. Services are then ramped up to match demand.
- Agreement for multiple train operators to use the same tracks. This allows competition based on services, but maximises utilisation of the fixed assets.
- Extension beyond Spain's borders into France and Portugal, with international services due to operate between Paris and Madrid, and between Rome and Madrid (6-7 hour journey times). These are expected to be popular and demonstrate that rail is attractive well beyond the artificial 3-hour limit sometimes thought to be a barrier.

As a result, a wide variety of rollingstock from a variety of manufacturers (including Talgo, Siemens, Alstom, and Bombardier) now utilises Spain's high speed network, with some extending onto the existing non-high speed network. Most secondary lines also include freight as well as passenger trains, including high speed trains (operating at less than full speed).



Talgo-built (left) and Siemens-built (right) high speed trains in Spain



Alstom Double-deck High Speed Train in Spain on Paris – Madrid service. Operator Ouigo is due to extend services to other Spanish cities in 2023.

It is interesting as well that Portugal has now decided to commence building high speed lines, no doubt inspired by the success in Spain.

The Spanish experience suggests strongly that high speed rail can work in Australia provided:

- The concept is well-designed, adopting both local experience and international experience as relevant
- Appropriate governance arrangements are in place. This will mean a single, national, government owner of the track and related infrastructure assets which can provide clear interfaces with any operator(s) of high speed trains
- Appropriate use of the latest engineering techniques to minimise construction costs. This includes the latest tunnelling techniques, use of pre-cast viaducts where possible, concrete embedding of tracks to reduce maintenance, 25 kV AC supplied from green energy suppliers, in-cab signalling, high-quality maintenance and safety regimes etc.

Australia once had the engineering capability to build what was then one of the biggest engineering projects in the world (the Snowy Scheme) after establishing the appropriate intergovernmental agreements and governance mechanisms and drawing on the experience of the world experts in dams and hydro power (at that time mostly in the USA). The Snowy Scheme went on to pioneer many safety and other innovations, including being one of the first places in the world to mandate safety belts in vehicles.

A similar level of excellence will be required to establish high speed rail in Australia. In this case, the leading experts are far more likely to come from Japan, France, Spain, Germany or Italy than from English-speaking countries like the US or UK, which lag well behind world's best practice. We could do well to follow the example of Spain given some of the parallels to our situation.

## AUTHORS

Dr Garry Glazebrook	Garry is a retired transport and urban planner with over 40 years' experience in government, consulting and academia. He has recently formed Fastrack Australia to raise awareness of the potential for higher speed rail in South-East Australia.
Dr Ross Lowrey	Ross is a retired consultant and member of the Town and Country Planning Association in Victoria with a passionate interest in regionalisation. He has conducted extensive research into the importance of high speed rail for regional growth and development.

**Fastrack Australia** is a not for profit website to promote the development of high-speed rail in South-East Australia, to address issues such as congestion and unaffordable housing in our major cities, by enabling a more balanced pattern of population and economic growth.

<https://www.fastrackaustralia.net/>

## PICTURE SOURCES

- <sup>i</sup> [https://commons.wikimedia.org/wiki/Trains\\_of\\_Japan#/media/File:E3-2000\\_L67\\_Akayu\\_Tsubasa\\_128\\_20150905.jpg](https://commons.wikimedia.org/wiki/Trains_of_Japan#/media/File:E3-2000_L67_Akayu_Tsubasa_128_20150905.jpg)
- <sup>ii</sup> [https://i.ytimg.com/vi/1WW\\_rUHC3qE/maxresdefault.jpg](https://i.ytimg.com/vi/1WW_rUHC3qE/maxresdefault.jpg)
- <sup>iii</sup> <https://paliparan.com/wp-content/uploads/2022/10/cologne-hbf.jpg>
- <sup>iv</sup> <https://www.railwaypro.com/wp/talgo-a-rolling-stock-technological-headlight>
- <sup>v</sup> [https://www.alstom.com/sites/alstom.com/files/styles/gallery/public/2022/04/05/SJ250\\_Sunset\\_High\\_Speed\\_Sweden.jpg?itok=pcmzr5SR](https://www.alstom.com/sites/alstom.com/files/styles/gallery/public/2022/04/05/SJ250_Sunset_High_Speed_Sweden.jpg?itok=pcmzr5SR)
- <sup>vi</sup> <https://www.railwaygazette.com/high-speed/extremadura-high-speed-line-inaugurated/62142.article>
- <sup>vii</sup> [https://www.railwaypro.com/wp/wp-content/uploads/2018/04/Giruno-tren\\_AD2B9632\\_2.jpg](https://www.railwaypro.com/wp/wp-content/uploads/2018/04/Giruno-tren_AD2B9632_2.jpg)
- <sup>viii</sup> <https://www.dekra-solutions.com/2016/12/gotthard-road-tunnel-through-the-heartland-of-the-alps/?lang=en>
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- <sup>x</sup> <https://www.railwaygazette.com/freight/cargobeamer-launches-dedicated-germany-france-train-for-dfds/61253.article>
- <sup>xi</sup> <https://www.ferrovie.it/portale/images/articoli/11093101.jpg>
- <sup>xii</sup> <https://railway-news.com/sbb-cargo-launches-autocouplers>
- <sup>xiii</sup> <https://infrastructuremagazine.com.au/2022/11/22/nsw-govt-commits-a-further-180m-to-modernise-central-station-rail-network/>
- <sup>xiv</sup> [https://en.wikipedia.org/wiki/Merivale\\_Bridge#/media/File:River\\_views\\_of\\_Brisbane\\_CBD\\_seen\\_from\\_the\\_top\\_of\\_135\\_Coronation\\_Drive,\\_in\\_March\\_2019,\\_10-2.jpg](https://en.wikipedia.org/wiki/Merivale_Bridge#/media/File:River_views_of_Brisbane_CBD_seen_from_the_top_of_135_Coronation_Drive,_in_March_2019,_10-2.jpg)
- <sup>xv</sup> See Philip Laird: "Rebuilding the Main South Line", Railway Digest, February 2009
- <sup>xvi</sup> [https://simta.com.au/wordpress/wp-content/uploads/2016/05/20160720\\_Precinct-Diagram-for-DPE-NewsletterC-724x1024.jpg](https://simta.com.au/wordpress/wp-content/uploads/2016/05/20160720_Precinct-Diagram-for-DPE-NewsletterC-724x1024.jpg)
- <https://www.micl.com.au/the-project1>
- <https://assets.primecreative.com.au/imagegen/max/cr/625/-/assets/atnau/2022/04/07/Misc/NSW-intermodal-terminal.jpg>





# USE HIGH SPEED RAIL TO SPREAD SETTLEMENT INTO REGIONAL AREAS

*Australia is returning to a high rate of immigration as it exists the covid pandemic. Many, such as the Business Council of Australia, want permanent migration to be set as a percentage of the total population. While this will be good for Australia's economy, the negative effects of rapidly increasing settlement in our capital cities are well-known, and likely to produce the same push-back that was evident before the covid pandemic. Diverting a significant proportion from capital cities into regional areas will help defray the negative sentiment towards population growth.*

*Faster rail connections are known to promote regional settlement. There are many examples from around the world where governments have built faster rail connections to spread settlement into regional areas. A relatively recent economic analysis of Victoria with and without faster rail connections has shown that there will be increased regional settlement if faster regional rail connections are built. Notably, the study showed that productivity will be 5% greater, and that the regional economic benefits alone are sufficient to justify the cost of the faster rail connections.*

*A faster rail network progressively connecting all regional cities to a high speed backbone between Sydney, Melbourne and Brisbane will spread Australia's population growth into regional areas. Most Australian's will be better off, with greater choice of lifestyle and liveability, that will only be available through the implementation of a faster rail network. Initial feasibility studies should focus on sections in the Sydney-Canberra-Melbourne corridor to demonstrate the positive regional growth and wider economic benefits that arise from individual stages of the network. These will provide the evidence to support the vision for an integrated network, especially given the already positive view most Australians have about high speed rail.*

Dr. Ross Lowrey

Dr. Garry Glazebrook

January 2023

## ESTABLISHING THE CASE FOR HIGH SPEED RAIL

The latest population statement released in early January this year showed that we have returned to the same trajectory as before the covid pandemic. It predicts that the national population will reach 30 million in 2033, only slightly delayed by the pandemic. The Australian Government has commissioned a review of the migration system. Many, such as the Business Council of Australia, are calling for increased migration, suggesting that it be capped as a percentage of Australia's population instead of a fixed number.

Clearly there are many benefits from increased migration, but the negative impacts need to be managed. Increasing migration is a topic that many people have negative views based on personal experiences of traffic jams and unaffordable housing prices.

Diverting a significant proportion of population growth from capital cities into regional areas would help. There is clear evidence that faster rail services shift population growth away from major cities into regional areas, and promote economic growth at key centres along the line. Increased connectivity stimulates economic activity between centres on the line, causing increased growth in population and services. Well-developed "feeder" networks further extend these benefits into the surrounding areas.

Faster rail connectivity has therefore become an important factor for the economic development of regions. Most countries have embraced this new principle in their decision to implement high speed rail. This includes countries with much lower per capita incomes than Australia (like Turkey, China, India, Indonesia and Morocco), and those with lower populations and smaller cities than Australia (like Finland, Sweden, Portugal and Denmark).

It is predicted that this principle will apply in Australia. The highly respected National Institute of Economic and Industry Research (NIEIR) has examined the economic impact of faster rail connections in Victoria. Their study showed that simply building faster rail connections will shift population into regional areas, and increase Victoria's GDP by 5%. In fact, the study observed that the economic benefits were more than sufficient to justify the investment a faster rail project.

A similar study for a high speed rail network in the south east of Australia (covering most of NSW, Victoria and SE Queensland) would show similar outcomes, with regional economic growth justifying investment in the network. The Committee for Melbourne has already proposed that the south east of Australia should be connected into a megaregion. It could be connected with a Brisbane-Sydney-Melbourne high speed rail backbone, plus faster spur lines to other major regional cities. This would allow population dispersion to relieve our congested cities, help regional activation, improve housing affordability, reduce inequality, promote economic growth and job creation, and improve liveability.

It is expected that such a study would produce similar regional growth and economic outcomes as the Victorian study (which is a sub-region of the megaregion). And it is reasonable to expect the economic benefits will be sufficient to justify the investment in the high speed rail network.

Perhaps more importantly, the study would show that high speed rail is a lever for regional settlement and national economic growth. It would show that a national high speed rail network is needed to divert population growth away from capital cities into regional areas (and conversely, without it, regional growth will not happen). It will also demonstrate that regional growth will increase Australia's productivity, meaning most people will be better off, with a higher standard of living and the lifestyles they want to lead.



The evidence from this study would reinforce Australians' support for high speed rail. Most Australians say they would like high speed trains in Australia. Many have travelled on high speed trains in a wide range of countries across the world. They love the ability to travel long distances quickly, with more comfort and convenience than with air travel. And they have a natural appreciation of its benefits. It would encourage many to consider relocating to regional cities for a better lifestyle. And it would provide businesses with more options to base their operations.

And most importantly, it would allay concerns about increased migration. Increased migration is needed to grow Australia's economy. High speed rail will divert a significant proportion of that growth into regional areas, defraying the negative impacts that would otherwise have occurred in our capital cities.

Therefore, it is recommended an economic assessment of high speed rail on the south east of Australia should be undertaken by the Australian Government. This would need to examine issues such as housing affordability, congestion costs, and the costs of urban transport and other infrastructure required to support continued rapid population growth in our capital cities, and how these could be alleviated by an alternative population distribution with more growth in regional cities and less in the major capitals, as supported by a high speed rail network. An example of alternative population distributions, and the rationale for this is included in a paper "Population Trends and Decentralisation Options" ([www.fastrackaustralia.net](http://www.fastrackaustralia.net)).

The overall strategic study would also need to look at the costs of upgrading capital city airports and interstate highways if high speed rail is not implemented, as well as the environmental benefits of shifting some of the transport (freight and passenger) demand from air and road to rail.

Such a study can then provide the strategic framework, together with detailed parameters, for including in more detailed business cases on specific sections of the High Speed Line. These specific business cases will focus on upgrading sections of the Sydney-Canberra-Melbourne corridor. They will draw on the overall results of the strategic study, noting that many of the benefits of high speed rail will be cumulative and will take some time to materialise.

For example business case studies will need to be conducted to assess the benefits of implementing new high speed lines from the outskirts of Sydney, Canberra and Melbourne. This will allow the introduction of new faster commuter services to support urban growth in regional areas outside each city. The studies will demonstrate that diverting population growth into regional areas will increase economic activity and productivity sufficient to justify the investment in high speed rail. They will turn the discussion about high speed rail away from its raw cost benefit ratio towards its importance for regional settlement and state economic growth.

Another business case study should look at the connecting the new high speed lines out of Sydney and Canberra to create a high speed line connecting Sydney to the National Capital. This will allow the introduction of high speed passenger services to support the connectivity between Sydney and Canberra, as well as faster services to support the connectivity with regional cities in the corridor to Melbourne. It will also allow faster freight services to operate at night, more frequent local regional services to centres on the conventional line, and operational flexibility by interchangeably using both the high speed and conventional lines. This study will show the economic benefits that increased connectivity between regional cities will bring to regional areas.

Together, these studies will show that the high upfront cost to implement the full high speed rail network can be ameliorated through staged rollout of sections that facilitate the progressive growth of regions across the country. High speed rail will still be a massive national investment with very long payback period, but its long-term value for the future of Australia will be understood.



## ECONOMIC BENEFITS OF FASTER RAIL IN VICTORIA

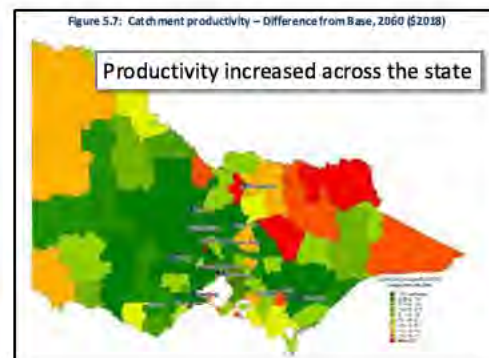
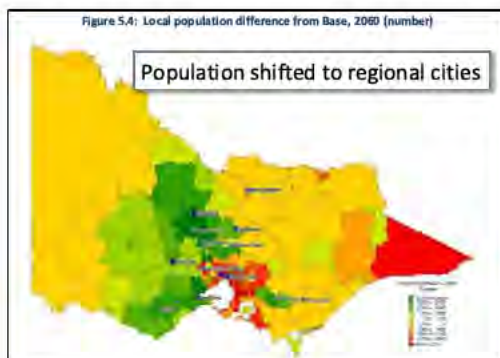
A study of faster rail connections by the highly respected National Institute of Economic and Industry Research (NIEIR)<sup>1</sup> has shown that faster rail connections are essential for regional settlement and economic growth. Without them, all growth is concentrated in Melbourne and its urban areas.

NIEIR used its comprehensive economic model of the Australian economy to predict Victoria's economic growth under two scenarios – a base case where population growth continues the current trajectory, compared with an alternative case where faster (200kph) rail commuter connections are rolled out in the key corridors to Geelong, Ballarat, Bendigo, Shepparton and Traralgon.

The study compared the results between the faster rail case and the base case. In the base case, almost all the population and economic growth occurred in Melbourne and its growth areas. In the faster rail case, there was a population shift to regional areas, and overall increased productivity especially in the rail corridors.



"A project which yields a 5% increase in Victoria's GDP, has a 10 per cent internal rate of return, and reduces regional inequality, cannot be lightly disregarded" - NIEIR 2020



### Settlement Redistribution

The implementation of faster regional rail lines attracts people to live in the corridors. As a result, productivity along the rail corridors increases rapidly compared to the no rail case, with an increase of about 15% after 30 years.

The two most important observations are:

1. **Simply building a faster rail network will increase Victoria's GDP by 5%.** That is, Victoria's productivity will be 5% greater if more people and businesses move into regional areas because of faster rail connections, compared with more growth and development in Melbourne without faster rail connections.
2. **The economic benefits were more than sufficient to justify the investment in the faster rail project.** In other words, a project to implement faster rail connections would have a positive business case, even if there was no demand for services. Clearly the reality is that there will be strong demand for services, but travel time savings are not needed to produce a positive business case.

<sup>1</sup> NIEIR (2020), National Institute of Economic and Industry Research: Economic impact assessment of fast regional rail on Victoria



s22(1)(a)(ii)

**From:** BROE Barry  
**Sent:** Monday, 26 September 2022 2:53 PM  
**To:** WHALEN Greg  
**Subject:** FW: HSR requirements? [SEC=OFFICIAL:Sensitive]

OFFICIAL:Sensitive

Copy for u only

Regards

**Barry Broe**

Chief Executive Officer  
National Faster Rail Agency (NFRA)  
GPO Box 594, Canberra ACT 2601  
ph 02 6274 6428; m 0448744699  
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*The department proudly acknowledges the Traditional Owners and Custodians of Australia, and their continuing connections to the land, waters and communities. We pay our respects to them and to their Elders past, present and emerging.*

OFFICIAL:Sensitive

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**From:** BROE Barry  
**Sent:** Monday, 26 September 2022 2:52 PM  
**To:** s22(1)(a)(ii)  
**Subject:** RE: HSR requirements? [SEC=OFFICIAL:Sensitive]

OFFICIAL:Sensitive

Hi s22(1)(a)(ii)

Its been done but the basic problem is I don't have any authority to define such a strategic element so Im not sure it would help you much. It was probably ambitious to suggest it

It could change in the future so how could you use it?

Its based on international standards and practice for HSR, mostly consistent with 2013 study and the BC, but those two reports only defined some parameters

Until the HSRA is established I'm not sure how far discussions on all this can be progressed. It'd be great to discuss both projects and for us to know what you propose and its scope, eg what safeguarding means

Maybe at your end the Min can contact ours to see how far we can take things?

Regards

## Barry Broe

Chief Executive Officer  
National Faster Rail Agency (NFRA)  
GPO Box 594, Canberra ACT 2601  
ph 02 6274 6428; m 0448744699  
w: [www.nfra.gov.au](http://www.nfra.gov.au)

*The department proudly acknowledges the Traditional Owners and Custodians of Australia, and their continuing connections to the land, waters and communities. We pay our respects to them and to their Elders past, present and emerging.*

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**From:** s22(1)(a)(ii) <[REDACTED]@transport.nsw.gov.au>  
**Sent:** Monday, 26 September 2022 12:49 PM  
**To:** BROE Barry <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>  
**Cc:** WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>; s22(1)(a)(ii) <[REDACTED]@transport.nsw.gov.au>  
**Subject:** HSR requirements?

Hi Barry

I understood from our last catch up that you would be able to share some key / high level 'HSR requirements', to help us inform any potential future proofing considerations.  
Are you able to send this through?

Chrs

s22(1)  
(a)(ii)

s22(1)(a)(ii)

A/Program Director  
Fast Rail Program  
Regional and Outer Metropolitan  
**Transport for NSW**

*I work flexibly. Unless it suits you, I don't expect you to read or respond to my emails outside of your normal work hours.*

M s22(1)(a)(ii) <[REDACTED]@transport.nsw.gov.au>  
E s22(1)(a)(ii) <[REDACTED]@transport.nsw.gov.au>  
20-44 Ennis Rd, Milsons Point NSW 2061



I acknowledge the traditional owners and custodians of the land in which I work and pay my respects to Elders past, present and future.

**OFFICIAL: Sensitive – NSW Government**

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Released under FOI Act 1982 by High Speed Rail Authority

s22(1)(a)(ii)

**From:** s22(1)(a)(ii)  
**Sent:** Monday, 20 June 2022 11:34 AM  
**To:** s22(1)(a)(ii)  
**Cc:** BROE Barry; WHALEN Greg; s22(1)(a)(ii)  
**Subject:** FW: IID is meeting with Minister King next week | NFRA content [SEC=OFFICIAL]  
**Attachments:** NFRA input to IID top 20 projects by state 17 Jun 2022\_FINAL.xlsx

OFFICIAL

Hi s22(1)(

The tables we just discussed are attached.

Please let me know if you need anything further, happy to help as needed.

Cheers, s22(1)(a)(ii)

OFFICIAL

**From:** s22(1)(a)(ii)  
**Sent:** Friday, 17 June 2022 6:36 PM  
**To:** s22(1)(a)(ii)  
**Cc:** s22(1)(a)(ii); BROE Barry; WHALEN Greg; s22(1)(a)(ii)  
**Subject:** IID is meeting with Minister King next week | NFRA content [SEC=OFFICIAL]

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Evening s22(1)(a)(ii) (and all)

I've attached our CEO cleared content for next week's Top 20 briefing with Minister King.

As agreed amongst the team today, we've included all of our projects across VIC, NSW, QLD and WA, noting that these will be rationalised amongst the other IID led projects to compile the final lists. Noting this, we haven't included fact sheets for all the projects but are ready to do so once we have confirmation about which projects they're required for.

I'll loop back to you on Monday to confirm further details and hope you have a lovely weekend in the meantime.

Cheers, s22(1)(a)(ii)

s22(1)(a)(ii)

Director – Business Case and Projects  
 GPO Box 594, Canberra ACT 2601  
 Ph: (02) s22(1)(a)(i) (m) s22(1)(a)(ii)  
 s22(1)(a)(ii) @nfra.gov.au | www.nfra.gov.au



Australian Government  
 National Fast Rail

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Released under FOI Act 1982 by High Speed Rail Authority

s22(1)(a)(ii)

**From:** s22(1)(a)(ii)  
**Sent:** Tuesday, 19 July 2022 5:30 PM  
**To:** WHALEN Greg; BROE Barry  
**Subject:** FW: QTB HSRA [SEC=OFFICIAL]  
**Attachments:** QB22-000322.docx

OFFICIAL

Fyi – QTB for HSRA

OFFICIAL

**From:** s22(1)(a)(ii)  
**Sent:** Tuesday, 19 July 2022 2:25 PM  
**To:** s22(1)(a)(ii)  
**Cc:** BLEICH Andreas ; s22(1)(a)(ii)  
**Subject:** QTB HSRA [SEC=OFFICIAL]

OFFICIAL

Hi s22  
 (1)(a)

Good to see you today. Please find attached the QTB for HSRA, and thank you for sharing the NFRA QTB.

Regards

s22(1)(a)(ii)  
 Director • Market and Delivery Policy Section/Investment Advisory & Business Improvement Branch • Infrastructure Investment Division  
 s22(1)(a)(ii) @infrastructure.gov.au  
 a)(ii) s22(1)(a)(ii) • M +61 s22(1)(a)(ii)  
 GPO Box 594 Canberra, ACT 2601

**Department of Infrastructure, Transport, Regional Development, Communications and the Arts**  
**CONNECTING AUSTRALIANS • ENRICHING COMMUNITIES • EMPOWERING REGIONS**

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*I would like to acknowledge the traditional custodians of this land on which we meet, work and live.  
 I recognise and respect their continuing connection to the land, waters and communities.  
 I pay my respects to Elders past and present and to all Aboriginal and Torres Strait Islanders.*

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## **Establishment of the High Speed Rail Authority**

### **Issues/Possible Question:**

**QUESTION: What is the Government doing to deliver the High-Speed Rail it has promised?**

**ANSWER:**

The Australian Government has committed to establish the High Speed Rail Authority (HSRA), as a high priority, to oversee the development of a High Speed Rail (HSR) network and to advise on Australia's current and future HSR needs.

**QUESTION: Will the High Speed Rail network cover all of Australia?**

**ANSWER:**

The HSRA will focus on the delivery of an HSR network on the East Coast of Australia; connecting Melbourne, Canberra, Sydney and Brisbane. Other corridors may be considered in the future.

As a first step, the Australian Government has committed \$500 million to commence early works, including securing corridors, for an HSR connection between Sydney, the Central Coast and Newcastle. The HSRA will work collaboratively with the NSW Government to determine the best way to deliver this project.

**QUESTION: How will the Government ensure buy-in from the states to deliver the HSR?**

**ANSWER:**

The HSRA will work collaboratively with the state and territory governments to determine the best way to deliver the project and secure corridors, building on existing strong relationships between jurisdictions in the construction, operation, and maintenance of other railway assets.

**QUESTION: Will High Speed Rail actually have benefits? why doesn't the Australian Government just invest in Faster Rail?**

**ANSWER:**

HSR will be an economic game-changer for regional centres along the route between Melbourne and Brisbane.

On 5 August 2010 the then Minister for Infrastructure and Transport, the Hon Anthony Albanese MP, committed \$20 million for a strategic study on the implementation of an HSR network on the east coast of Australia.

In 2013 the *Moving Forward with High Speed Rail* final report into HSR was released with the study indicating a return of around \$2.30 on every \$1.00 invested, showing that the benefits will greatly outweigh the costs. The HSRA will update relevant business cases to ensure they provide decision-makers with up-to-date advice and options.

While HSR will revolutionise travel and have economic and social benefits, it is not the right solution for all rail needs in Australia. The Government will continue to invest in and monitor delivery of alternative rail options (such as faster rail), where these options' design principles and application make sense.

**QUESTION: How long will it take to deliver High Speed Rail?**

**ANSWER:**

The Australian Government has committed to establishing the HSRA as a high priority. HSR is a long-term project and the first step is to secure the corridor. The Government has already committed \$500 million to commence early works and secure corridors.

The challenges in Australia are greater than in countries where routes are shorter, however there are significant opportunities for Australia's economic and regional development. HSR recognises the importance of the prosperity of regions, which can be improved by enhancing connectivity between regional centres and major population centres and international gateways.



**Background:**

- The NSW Government's projections show the population of the Central Coast and the Hunter Valley growing by an estimated 200,000 by 2040 making timely, efficient and fast transport a necessity.
- The regions' prosperity can be improved by better connectivity between regional centres and from the major population centres and international gateways. Fast rail connections will also offer people more of a choice of where to live and work.
- A key commitment of the Australian Government during the election was to establish the HSRA as a high priority and to ensure the timely delivery of the HSR network.
- The current commitment is for the HSRA to identify and acquire corridors of land that would accommodate either an initial fast rail line that could eventually be upgraded to high-speed rail, or move directly to build high-speed rail itself.
- The Government has committed \$500 million to start corridor acquisition, planning and early works.
- On 5 August 2010 the then Minister for Infrastructure and Transport, the Hon Anthony Albanese MP, committed \$20 million to undertake a strategic study on the implementation of a HSR network on the east coast of Australia.
- The two-part study, "Moving Forward with High Speed Rail," informs the Australian Government, the ACT and state governments' consideration of next steps for HSR in Australia. The study was undertaken in two phases.
- The Phase 1 report was released on 4 August 2011 and focussed on identifying corridors, station locations and potential patronage. It also provided an indicative estimate of the cost to build a HSR network. Phase 2 of the study commenced late in 2011 and the HSR Study Phase 2 report was released on 11 April 2013. It refined many of the Phase 1 estimates, particularly the demand and cost estimates.
- After the release of the Phase 2 report, a High Speed Rail Advisory Group was established to advise the Government on key industry and community issues arising from the report (the Group was abolished in November 2013). The Group's August 2013 Report found that HSR had the potential to be an integral part of Australia's future and consultations revealed that generally people were supportive, with most wanting HSR delivered cheaper and much sooner than proposed.

**Contact:**

- s22(1)(a)(i) Director, Investment Advisory and Business Improvement, s22(1)(a)(ii) .
- Andreas Bleich, A/g Assistant Secretary, Investment Advisory and Business Improvement, 02 6274 7934 and 0418 585 267.

s22(1)(a)(ii)

**From:** s22(1)(a)(ii)  
**Sent:** Wednesday, 15 February 2023 3:28 PM  
**To:** WHALEN Greg  
**Subject:** FW: NSW fast rail money [SEC=OFFICIAL]

OFFICIAL

Hi Greg,

Jacqui has confirmed the budget envelope below.

Cheers, s22(1)(a)(ii)

OFFICIAL

**From:** s22(1)(a)(ii)  
**Sent:** Wednesday, 15 February 2023 3:14 PM  
**To:** s22(1)(a)(ii)  
**Subject:** NSW fast rail money [SEC=OFFICIAL]

OFFICIAL

[Rob Stokes MP to Minster King regarding high-speed rail.pdf](#)

\$95.0 million in capital expenditure (\$274.5 million over four years) to continue planning of the Fast Rail program to deliver faster connections between Sydney, Canberra, Bomaderry, Newcastle, the Central Coast and the Central West which is NSW and Commonwealth funded (NSW Budget 22-23– Transport and Infrastructure Cluster Statement pg 9-10)  
[2022-23 Budget-Paper-No-2-Outcomes-Statement-Transport-Cluster.docx \(live.com\)](#)

s22(1)(a)(ii)

Assistant Director – Business Cases and Projects  
 GPO Box 594, Canberra ACT 2601

Ph: (02) s22(1)(a)(ii)

s22(1)(a)(ii) [@nfra.gov.au](mailto:s22(1)(a)(ii)@nfra.gov.au) | [www.nfra.gov.au](http://www.nfra.gov.au)



Australian Government  
 National Fast Rail Authority

OFFICIAL

FOI Act 1982 by High Speed Rail Authority

s22(1)(a)(ii)

**From:** BROE Barry  
**Sent:** Tuesday, 6 September 2022 9:47 PM  
**To:** s22(1)(a)(ii)  
**Subject:** Fwd: NSW Transport Strategy [SEC=OFFICIAL]

OFFICIAL

Thanks s22(1)(a)  
 Very useful summary and timely

Kind regards

Barry Broe  
 CEO  
 NFRA  
 0448744699

OFFICIAL

**From:** "s22(1)(a)(ii)" <s22(1)(a)(ii)@MO.infrastructure.gov.au>  
**Date:** Tuesday, 6 September 2022 at 8:38:10 pm  
**To:** "BROE Barry" <barry.broe@nfra.gov.au>, "s22(1)(a)(ii)" <s22(1)(a)(ii)@MO.infrastructure.gov.au>  
**Subject:** RE: NSW Transport Strategy [SEC=OFFICIAL]

OFFICIAL

Thanks Barry.  
 Regards,  
 s22(1)(a)(ii)  
 Deputy Chief of Staff | Office of the Hon Catherine King MP  
 M: s22(1)(a)(ii)  
 E: s22(1)(a)(ii) <s22(1)(a)(ii)@mo.infrastructure.gov.au>

OFFICIAL

**From:** BROE Barry  
**Sent:** Tuesday, 6 September 2022 10:30 AM  
**To:** s22(1)(a)(ii) ; s22(1)(a)(ii)  
**Subject:** NSW Transport Strategy [SEC=OFFICIAL]

OFFICIAL

s22(1)(a)(ii)

NSW released their transport strategy, in the media today. Key fast rail elements are summarised below

As discussed, focussed on fast rail and their priority section Sydney to the Central coast  
 Weve searched the document and the term high speed rail is not used once

**Key stats of the NSW Future Transport Strategy**

Dedicated Fast Rail will transform train services between metropolitan cities in the Six Cities Region to ensure 30-minute access to key destinations 24/7 in each of the six cities.

Transport has identified four key corridors that will benefit from Fast Rail connections They are the:

- Northern route including the Central Coast and Newcastle
- Southern Coastal route, including Wollongong and Nowra/Bomaderry
- Central West route, including Lithgow, Bathurst, Orange and Parkes
- Southern Inland route, including Goulburn and Canberra.

Fast Rail will cut travel times by about 50%, for example:

- Sydney to Newcastle will reduce to about one hour

- Sydney to Gosford will reduce to about 25 minutes
- Sydney to Wollongong will reduce to about 45 minutes.

Key interchanges at Epping and Campbelltown-Macarthur between the new Fast Rail lines and the Greater Sydney transport network will provide improved links between Sydney and regional NSW. Given the scale of the task, Transport will take an incremental approach, developing Fast Rail in sections over two to three decades.

The Fast Rail line between the Central Coast and Greater Sydney will be the first major project for construction. This will improve connectivity and capacity along the fastest growing corridor in NSW and provide greater housing choice and better access to jobs, education, health, and medical services. Complementary place making, economic development and industry attraction activities will provide an opportunity to strengthen the role of Gosford.

A Fast Rail hub in the Central River City will further accelerate growth opportunities while providing easy access to employment centres and world-class health and education precincts.

Regards

**Barry Broe**

Chief Executive Officer

National Faster Rail Agency (NFRA)

GPO Box 594, Canberra ACT 2601

ph 02 6274 6428; m 0448744699

w: [www.nfra.gov.au](http://www.nfra.gov.au)

*The department proudly acknowledges the Traditional Owners and Custodians of Australia, and their continuing connections to the land, waters and communities. We pay our respects to them and to their Elders past, present and emerging.*

**OFFICIAL**



**BRIGGS, Aaron**

---

**From:** BROE Barry  
**Sent:** Tuesday, 28 June 2022 1:30 PM  
**To:** s22(1)(a)(ii); BLEICH Andreas  
**Cc:** WHALEN Greg  
**Subject:** HSR Project and HSR Authority [SEC=PROTECTED]  
**Attachments:** previous legislation hsr.doc.pdf; HSR project and HSR authority.doc.docx

PROTECTED

s22(1)(a)(ii) & Andreas

Many thanks for your time today and sharing with us and discussing.

Attached is the paper I mentioned, very happy to chat through any time.

Also attached are summary tables of the previous Acts introduced.

Separate from the discussion with the Min on the authority itself and legislation that you are arranging, any assistance you can give getting a slot for us to brief the Min on faster, fast and high speed rail, including Sydney-Newcastle, would be appreciated. Dave said this would be coming up.

Regards

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## The Planning Authority

s22(1)(a)(ii)

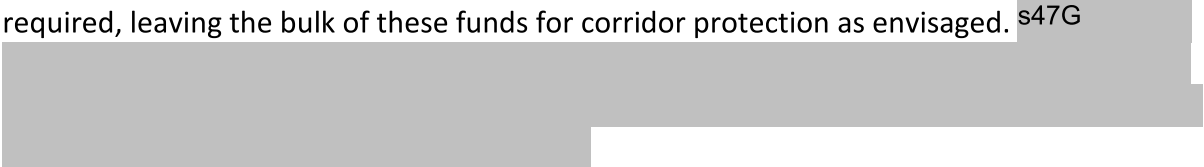


The authority can be located in Canberra but could move longer term, eg to Sydney should the Sydney-Newcastle corridor be the priority focus and the first stage of construction.


s22(1)(a)(ii)



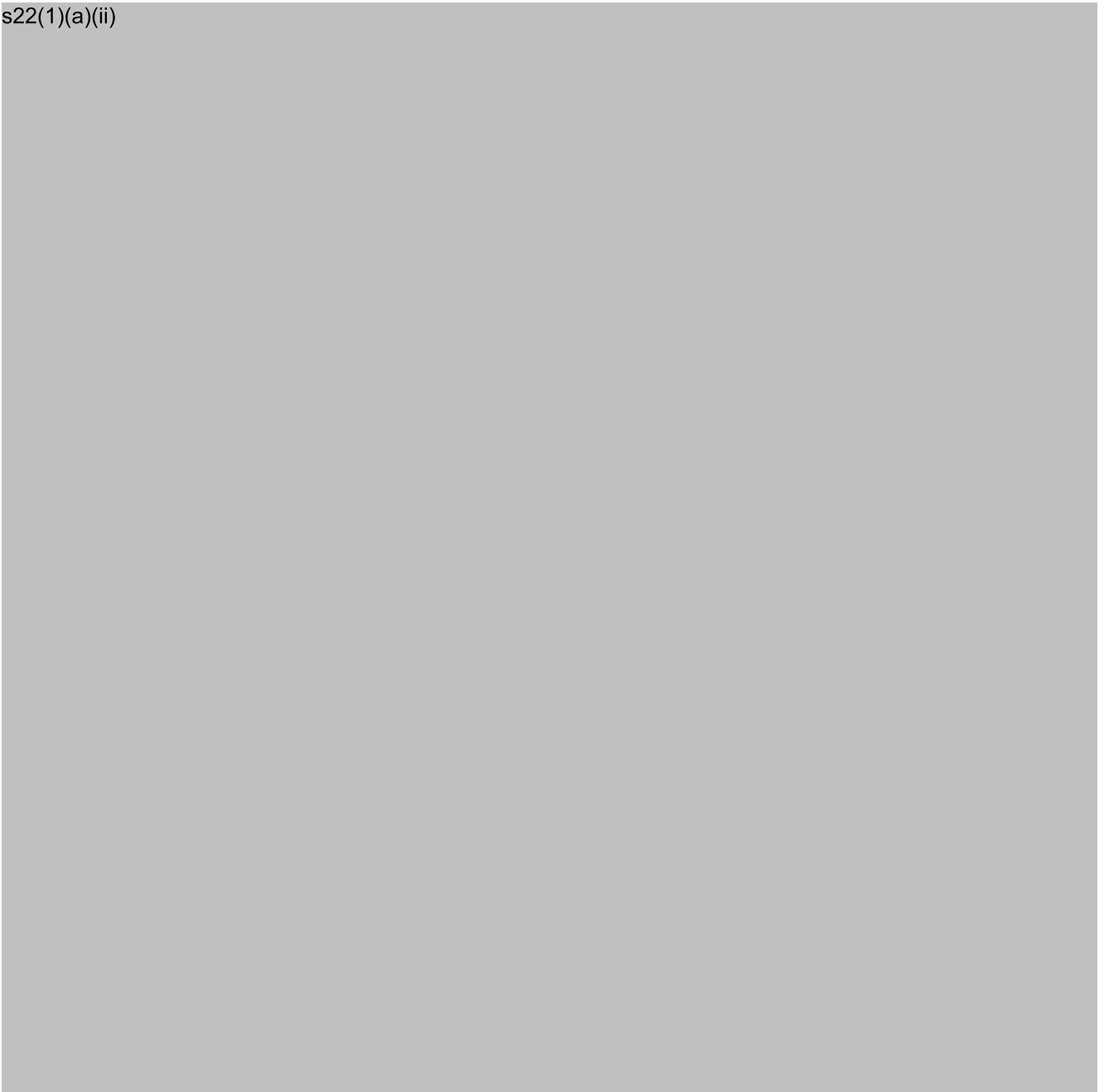
Budget and resourcing would need to be confirmed as early as possible. Part of the ALP's \$500m commitment could be used to establish and run the authority, and fund the planning required, leaving the bulk of these funds for corridor protection as envisaged. s47G



s22(1)(a)(ii)




s22(1)(a)(ii)




### **Faster to Fast to High speed**

Faster, fast and high speed are all part of the same type of concept along a train speed spectrum over time. One leads to the other. The ALP's policy statement says that the first step would be fast rail for Sydney-Newcastle.

s22(1)(a)(ii)




s22(1)(a)(ii)



- NFRA business cases have looked at HSR corridor options, especially the Sydney-Newcastle corridor that investigated options for HSR consistent with the 2013 ECHSR Report in terms of the route and station locations.


s22(1)(a)(ii)






**PART B - Establishing the project****Project development**

s22(1)(a)(ii)

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The focus would be to progress Sydney-Newcastle first with the NSW government, given the ALP's \$500m commitment to Sydney-Newcastle. Another reason for its priority is that NSW has been the jurisdiction most supportive of fast rail and high-speed rail options, as evidenced by their fast rail network strategy and the HSR options investigated in the Sydney-Newcastle business case.

s22(1)(a)(ii)

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s22(1)(a)(ii)

The 2013 ECHSR Report recommended the following construction staging based on cost, demand and economic returns.

- Sydney – Melbourne (with stage 1 Sydney-Canberra)
- Sydney-Newcastle
- Newcastle-Gold Coast
- Brisbane-Gold Coast

s22(1)(a)(ii)

## 2. *Priority HSR Planning - Sydney – Newcastle and Sydney - Wollongong*

In parallel with or closely following the full corridor study, planning for sections of the corridor could be undertaken to progress staging and delivery. A two-pronged approach could be adopted - working to the north and south of Sydney. Sydney is the hub for the whole HSR system and the new Government's priority is Sydney-Newcastle.

NSW proposes to conduct a detailed business case for a new Sydney-Gosford corridor, a 50km fast rail link designed to achieve speeds of 250kph. This could be advanced as it would be a good start to planning the network in detail and getting a first stage of the HSR corridor proven up. It lines up well with the 2013 ECHSR Report which recommended a second HSR station at Sydney Olympic Park to complement the main station at Central. NFRA has \$20m set aside to contribute to it.

Related work from faster rail planning that can feed into the HSR corridor development includes options looked at for HSR in the Sydney-Newcastle business case. s47G

A decision on the current funding for the Tuggerah-Wyong project would also be needed. The goal was to develop the project to safeguard for future fast rail. It could continue if NSW match the funding and see it as a priority, but is not necessarily as important for the HSR project as the Sydney-Gosford fast rail project mentioned above.

s22(1)(a)(ii)

A business case has also been done for the Sydney-Wollongong corridor. s47G

Hence an approach would be to focus on these two Sydney corridors north and south to start the detailed planning and identify a HSR corridor in NSW, with NSW agreement.

An alternative (or in addition) would be to conduct a detailed business into HSR for the full corridor from Sydney-Newcastle, s47G

These options would form the basis of discussions with NSW to gain agreement. It would be beneficial regardless to look at the fast rail/HSR vision or plan for the full 170km corridor.

s22(1)(a)(ii)

### 3. *Currently funded faster rail projects*

The new Government will need to decide what existing budget commitments it wishes to keep and whether to consider any new ones (in addition to the \$500m). Existing commitments are:

- 2022 Budget – Sydney-Newcastle corridor (Tuggerah-Wyong) \$1bn. This could be part of the HSR corridor

s22(1)(a)(ii)





s22(1)(a)(ii)

**From:** s22(1)(a)(ii)  
**Sent:** Thursday, 20 April 2023 11:51 AM  
**To:** WHALEN Greg  
**Subject:** Fwd: Sydney to Newcastle Funding - Reports [SEC=OFFICIAL]  
**Attachments:** Audit queries - Sydney to Newcastle Fast Rail.xlsx

OFFICIAL

Hi Greg, please see below.

If you're comfortable, please feel free to respond directly with the response s22(1)(a)(ii) has proposed.

Cheers, s22(1)(a)(ii)

OFFICIAL

**From:** "s22(1)(a)(ii)@transport.nsw.gov.au"<s22(1)(a)(ii)@transport.nsw.gov.au>  
**Date:** Thursday, 20 April 2023 at 11:24:44 am  
**To:** "s22(1)(a)(ii)@nfra.gov.au"<s22(1)(a)(ii)@nfra.gov.au>, "s22(1)(a)(ii)@nfra.gov.au"<s22(1)(a)(ii)@nfra.gov.au>  
**Cc:** "s22(1)(a)(ii)@transport.nsw.gov.au"<s22(1)(a)(ii)@transport.nsw.gov.au>  
**Subject:** RE: Sydney to Newcastle Funding - Reports

Hi s22(1)(a)(ii)

I hope you are well.

I would like to follow up on the enquiries from Audit Office attached.

Please let us know if you have any questions or want to discuss further.

Thanks,

s22(1)(a)(ii)

**From:** s22(1)(a)(ii)

**Sent:** Tuesday, 11 April 2023 10:55 AM

**To:** s22(1)(a)(ii)@nfra.gov.au; s22(1)(a)(ii)@nfra.gov.au

**Cc:** s22(1)(a)(ii)

**Subject:** Sydney to Newcastle Funding - Reports

Hi s22(1)(a)(ii),

I hope you are well.

Further to our meeting on 28 February, we have engaged Audit Office to prepare an audit on the financial statements for Sydney to Newcastle project.

The Audit Office would like to have Commonwealth's confirmation on a few queries, as in the attached spreadsheet.

Would you please kindly review and provide your confirmation or advice. Thank you.

Kind regards,

s22(1)(a)(ii)

(ii)

Finance and Performance Manager

Fast Rail Program

Regional and Outer Metropolitan

**Transport for NSW**

M s22(1)(a)(ii)

20-44 Ennis Road, Milsons Point NSW 2061



I acknowledge the traditional owners and custodians of the land in which I work and pay my respects to Elders past, present and future.

**OFFICIAL: Sensitive – NSW Government**

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[illegible]

**BRIGGS, Aaron**

**From:** s22(1)(a)(ii)  
**Sent:** Thursday, 8 September 2022 2:01 PM  
**To:** s22(1)(a)(ii)  
**Subject:** NFRA current projects | relationship with HSR corridor [SEC=PROTECTED, CAVEAT=SH:CABINET]

PROTECTED, SH:CABINET

Hi s22(1)(a) – interested in your comments on the below table.

	National Faster Rail Agency Projects	Inside HSR corridor (Remain with HSRA)	High capacity to influence HSR corridor (Remain with HSRA)	Limited relationship with HSR corridor (Move to IID with engagement from HSRA)
NSW	Sydney to Newcastle Strategic Business Case	Yes	Yes	No
	Sydney to Wollongong Strategic Business Case	Yes	Yes	No

s22(1)(a)(ii)



s22(1)(a)(ii)

Director – Business Case and Projects  
GPO Box 594, Canberra ACT 2601

Ph: (02) s22(1)(a)( (m) s22(1)(a)(ii)

s22(1)(a)(ii) [@nfra.gov.au](mailto:s22(1)(a)(ii)@nfra.gov.au) | [www.nfra.gov.au](http://www.nfra.gov.au)



**Australian G**  
**National Fast**

PROTECTED, SH:CABINET

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s22(1)(a)(ii)

**From:** BROE Barry  
**Sent:** Monday, 22 August 2022 11:59 AM  
**To:** WHALEN Greg  
**Subject:** FW: Sydney to Wollongong business case [SEC=PROTECTED, CAVEAT=SH:CABINET]  
**Attachments:** Sydney to Wollongong sumamry slides.pptx; Sydney to WollongongAttachment C.docx; Sydney to Nowra Factsheet (20 April 2021).docx

PROTECTED, SH:CABINET

Sent this that I collated

PROTECTED, SH:CABINET

---

**From:** BROE Barry  
**Sent:** Monday, 22 August 2022 11:24 AM  
**To:** s22(1)(a)(ii)  
**Subject:** RE: Sydney to Wollongong business case [SEC=PROTECTED, CAVEAT=SH:CABINET]

PROTECTED, SH:CABINET

Hi s22(1)(a)(ii)

Good to talk

A few bits of summary info attached

Feel free to ask any other questions

Barry

PROTECTED, SH:CABINET

---

**From:** s22(1)(a)(ii)  
**Sent:** Monday, 22 August 2022 10:29 AM  
**To:** BROE Barry <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>  
**Subject:** Sydney to Wollongong business case [SEC=OFFICIAL]

OFFICIAL

Hi Barry

I hope this finds you well.

I have had a request for information relating to planning works/business cases for the following NFRA project:

- Sydney to Wollongong

I would appreciate if you could give me a call about this project and a brief discussion on what information is available.

Regards

s22(1)

(a)(ii)

s22(1)(a)(ii)

Adviser • Office of the Hon Catherine King MP

Minister for Infrastructure, Transport, Regional Development and Local Government

s22(1)(a)( [@mo.infrastructure.gov.au](mailto:info@mo.infrastructure.gov.au)

iv) 0s22(1)(a)(

s22(1)(a)(ii)

*I would like to acknowledge the traditional custodians of this land on which we meet, work and live.*

*I recognise and respect their continuing connection to the land, waters and communities.*

*I pay my respects to Elders past and present and to all Aboriginal and Torres Strait Islanders.*

OFFICIAL













s47B

## Sydney to Nowra

### Existing Corridor Facts

- Built in 1887. Standard gauge. 83 kilometres from Sydney to Wollongong and 156 kilometres from Sydney to Nowra.
- Population along the corridor in 2016 was 2.2 million, including 1.7 million in Sydney, 210,000 in Wollongong and 194,000 in other regional centres along the corridor. Employment along the corridor in 2016 was 1.3 million, including 1.1 million in Sydney, 93,000 in Wollongong and 67,000 in other regional centres along the corridor.
- The corridor contributes \$183.8 billion yearly in Gross Regional Product. Key industries along the corridor include business services, administration, retail, tourism, defence, industrial, health and education.
- 9.9 million passenger trips per year. 57 passenger trains per day from Sydney to Wollongong. Passenger trains every 30 minutes during peak periods. 27 passenger trains per day from Kiama to Bomaderry.
- Average rail speed along the corridor is 47 km/h. Poor track condition, sub-standard horizontal and vertical alignment in many sections.
- Current rail travel time is 91 minutes from Sydney to Wollongong and 191 minutes from Sydney to Nowra (that includes a bus connection as there is no rail line from Bomaderry to Nowra)



s47B





Sydney to Wollongong

Attachment C

Corridor Information	
Details:	Built in 1893. Standard gauge. 153 km from Sydney to Bomaderry, 119 km from Sydney to Kiama and 83 km from Sydney to Wollongong.
Population:	Total 1,217,919. South Sydney 802,231. Wollongong 216,071, Shoalhaven/Nowra 199,617 (ABS 2018, LGA Data)
Passengers:	10.1 million passenger trips per year (TfNSW)
Services:	54 passenger trains per day (BITRE)
Travel Time:	2:47 hours from Sydney to Bomaderry, 2:14 from Sydney to Kiama and 1:28 from Sydney to Wollongong.
Speed:	Maximum 140 km/h. Average 55 km/h.

s47B



Infrastructure Australia	
Proponent:	New South Wales Government
Assessment	Priority Initiative
Date:	17 February 2016
Comment:	Sydney to Wollongong Rail Line Upgrades

s22(1)(a)(ii)

**From:** BROE Barry  
**Sent:** Monday, 26 September 2022 11:14 AM  
**To:** BLEICH Andreas  
**Cc:** s22(1)(a)(ii); WHALEN Greg  
**Subject:** RE: HSR Briefing Request from the Minister [SEC=OFFICIAL]

OFFICIAL

It may be she is just as happy to understand what HSR is (and fast rail) and what it could look like for Sydney-Newcastle

Rather than detail and BC specifics (eg costing)

The odd mention of the 2013 study (which is public and highly relevant) may also help

So we should be fine, Ill carry the risk!

Regards

**Barry Broe**

Chief Executive Officer

National Faster Rail Agency (NFRA)

GPO Box 594, Canberra ACT 2601

ph 02 6274 6428; m 0448744699

w: [www.nfra.gov.au](http://www.nfra.gov.au)

*The department proudly acknowledges the Traditional Owners and Custodians of Australia, and their continuing connections to the land, waters and communities. We pay our respects to them and to their Elders past, present and emerging.*

OFFICIAL

**From:** BLEICH Andreas  
**Sent:** Monday, 26 September 2022 11:02 AM  
**To:** BROE Barry  
**Cc:** s22(1)(a)(ii); WHALEN Greg  
**Subject:** RE: HSR Briefing Request from the Minister [SEC=OFFICIAL]

OFFICIAL

Hi Barry,

Thanks for the chat. The Office is comfortable with both NFRA and IID attending and presenting noting the preference that we stick to publicly available information.

I'll let you know when I have a time.

Cheers,  
Andreas

## Andreas Bleich

a/g Assistant Secretary • Investment Advisory and Business Improvement • Infrastructure Investment Division

[Andreas.Bleich@infrastructure.gov.au](mailto:Andreas.Bleich@infrastructure.gov.au)

P +61 2 6274 7934 • M +61 418 585 267

GPO Box 594 Canberra, ACT 2601

Executive Assistant: s22(1)(a)(ii) P +61 2 s22(1)(a)(ii) s22(1)(a)(ii) [@infrastructure.gov.au](mailto:s22(1)(a)(ii)@infrastructure.gov.au)

Department of Infrastructure, Transport, Regional Development, Communications and the Arts  
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[infrastructure.gov.au](http://infrastructure.gov.au)



*I would like to acknowledge the traditional custodians of this land on which we meet, work and live.  
I recognise and respect their continuing connection to the land, waters and communities.  
I pay my respects to Elders past and present and to all Aboriginal and Torres Strait Islanders.*

**Making Flexibility Work** - I work flexible hours and may send emails outside of standard business hours. Unless it's marked urgent, I do not expect you to read or reply until normal business hours.

OFFICIAL

**From:** BROE Barry  
**Sent:** Sunday, 25 September 2022 5:32 PM  
**To:** BLEICH Andreas <[Andreas.Bleich@infrastructure.gov.au](mailto:Andreas.Bleich@infrastructure.gov.au)>  
**Cc:** s22(1)(a)(ii) [@infrastructure.gov.au](mailto:s22(1)(a)(ii)@infrastructure.gov.au); s22(1)(a)(ii) [@infrastructure.gov.au](mailto:s22(1)(a)(ii)@infrastructure.gov.au); s22(1)(a)(ii) [@infrastructure.gov.au](mailto:s22(1)(a)(ii)@infrastructure.gov.au); WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>  
**Subject:** Re: HSR Briefing Request from the Minister [SEC=OFFICIAL]

OFFICIAL

One option would be to use the big map(s) I used in Mins briefing that show the HSR option (and fast rail option) looked at in the BC, and talk to that.

Kind regards

Barry Broe  
CEO  
NFRA  
0448744699

OFFICIAL

**From:** "BROE Barry" <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>  
**Date:** Sunday, 25 September 2022 at 5:08:18 pm  
**To:** "BLEICH Andreas" <[Andreas.Bleich@infrastructure.gov.au](mailto:Andreas.Bleich@infrastructure.gov.au)>, "WHALEN Greg" <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>  
**Cc:** "s22(1)(a)(ii) [@infrastructure.gov.au](mailto:s22(1)(a)(ii)@infrastructure.gov.au)", s22(1)(a)(ii) [@infrastructure.gov.au](mailto:s22(1)(a)(ii)@infrastructure.gov.au),

s22(1)(a)(ii) <[@infrastructure.gov.au](mailto:infrastructure.gov.au)>

**Subject:** Re: HSR Briefing Request from the Minister [SEC=OFFICIAL]

OFFICIAL

Thanks Andreas

Agree another good opportunity to work together

Very happy to help and provide any input and materials if need be

I'm available Wednesday and can attend if it's joint and required

I understand the bill debate scheduled for 2 pm Wednesday is unlikely now anyway

Only issue to consider, as you'd be aware, is that BC not public but it's Mins call how much we can tell her on S-N. I can certainly explain it generally and sufficiently that she would understand work done on HSR in the corridor.

Kind regards

Barry Broe  
CEO  
NFRA  
0448744699

OFFICIAL

**From:** "BLEICH Andreas" <[Andreas.Bleich@infrastructure.gov.au](mailto:Andreas.Bleich@infrastructure.gov.au)>

**Date:** Sunday, 25 September 2022 at 1:34:16 pm

**To:** "BROE Barry" <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>, "WHALEN Greg" <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>

**Cc:** "s22(1)(a)(ii) <[@infrastructure.gov.au](mailto:infrastructure.gov.au)>, s22(1)(a)(ii) <[@infrastructure.gov.au](mailto:infrastructure.gov.au)>, s22(1)(a)(ii) <[@infrastructure.gov.au](mailto:infrastructure.gov.au)>

**Subject:** HSR Briefing Request from the Minister [SEC=OFFICIAL]

OFFICIAL

Hi Barry/s22(1)(

Last week Minister King met with s22(1)(a)(ii) regarding the High Speed Rail bill. The Minister offered a briefing to s22(1)(a)(ii) on the work that has been undertaken so far in the HSR space, specifically in relation to the Sydney-Newcastle route.

This might be a good opportunity for us to work together on a briefing. Are you able to assist and, if so, do you have availability on Wednesday? we will check the logistics/preference on whether both NFRA and the Department can attend, however please send through your availability in the interim.

Cheers,  
Andreas

**Andreas Bleich**

a/g Assistant Secretary • Investment Advisory and Business Improvement • Infrastructure Investment Division

[Andreas.Bleich@infrastructure.gov.au](mailto:Andreas.Bleich@infrastructure.gov.au)

P +61 2 6274 7934 • M +61 418 585 267

GPO Box 594 Canberra, ACT 2601

Executive Assistant: s22(1)(a)(ii) • P +61 2 s22(1)(a)(ii) • s22(1)(a)(ii) <[@infrastructure.gov.au](mailto:infrastructure.gov.au)>

[infrastructure.gov.au](http://infrastructure.gov.au)



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I recognise and respect their continuing connection to the land, waters and communities.  
I pay my respects to Elders past and present and to all Aboriginal and Torres Strait Islanders.*

**Making Flexibility Work** - I work flexible hours and may send emails outside of standard business hours. Unless it's marked urgent, I do not expect you to read or reply until normal business hours.

OFFICIAL

Released under FOI Act 1982 by High Speed Rail Authority



s22(1)(a)(ii)

**From:** BROE Barry  
**Sent:** Wednesday, 7 December 2022 5:54 PM  
**To:** WHALEN Greg  
**Subject:** RE: 221201\_NSW Election Policy Projects List\_Exec Summary\_Print (002) [SEC=OFFICIAL]

OFFICIAL

Well done thanks Greg

Regards

**Barry Broe**

Chief Executive Officer  
 National Faster Rail Agency (NFRA)  
 GPO Box 594, Canberra ACT 2601  
 ph 02 6274 6428; m 0448744699  
 w: [www.nfra.gov.au](http://www.nfra.gov.au)

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OFFICIAL

**From:** WHALEN Greg  
**Sent:** Wednesday, 7 December 2022 5:35 PM  
**To:** BROE Barry  
**Subject:** RE: 221201\_NSW Election Policy Projects List\_Exec Summary\_Print (002) [SEC=OFFICIAL]

OFFICIAL

Barry,

We no longer need to get back to IID on this one.

Given the short amount of time IID had, with a little help from me, they were able to draw sufficient info from existing NSW, Dept, NFRA, and Greater Sydney Commission websites.

In the end s22(1)(a)(ii) was just after some background info on the Western Sydney Leadership Dialogue's paper. This was in case she or the Minister were asked questions by the group when they attend the Western Sydney Boomtown conference over the next couple of days.

Apologies for the multiple emails on this.

Regards,

Greg

OFFICIAL

---

**From:** WHALEN Greg

**Sent:** Wednesday, 7 December 2022 4:58 PM

**To:** BROE Barry <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>

**Subject:** RE: 221201\_NSW Election Policy Projects List\_ExecSummary\_Print (002) [SEC=OFFICIAL]

OFFICIAL

Barry,

In relation to the email below, I tracked down a full copy of the '2023 NSW Election Priorities' (see [link](#)) and it doesn't expand much more on this issue in the main part of the document (p11) see text below.

Regards,

Greg

*Fast Rail*

- *Recommendation – NSW Government to accelerate the corridor and interchange planning for the Central River City Hub of the Fast Rail line.*
- *Recommendation – NSW Government to publish the confirmed full route of the Fast Rail line.*
- *Recommendation – NSW Government to publish a comprehensive Fast Rail strategy. The Fast Rail is a project with region-shaping and nation-building potential. An interchange hub at Parramatta or*

*Olympic Park will be a vital region activator and will encourage increased utilisation of the service as the heart of Greater Sydney is pulled further west over time. The Dialogue welcomes the project being added to the NSW Government's agenda through the GCC's Region Vision paper, especially the intent to begin the project with an intra-state network, rather than the much larger and less viable eastern seaboard.*

*We note, however, that the full fast rail route and delivery strategy has not yet been published, despite the GCC's Region Vision and the NSW Future Transport Strategy both referring to the fast rail corridor and funding already having been allocated from both federal and state governments for planning and corridor preservation.*

OFFICIAL

---

**From:** WHALEN Greg

**Sent:** Wednesday, 7 December 2022 4:45 PM

**To:** BROE Barry <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>

**Subject:** FW: 221201\_NSW Election Policy Projects List\_ExecSummary\_Print (002) [SEC=OFFICIAL]

OFFICIAL

Barry,

IID's Robyn Legg has reached out to us to see if we can help provide some info for s22(1)(a) at the MO (s22(1)(a)(ii) email is attached). The MO is looking for any information the Dept has on projects listed in the attached Western

Sydney Leadership Dialogue's' document '2023 Election Priorities'. Robyn is still clarifying what the MO needs the info for.

The key area in the document Robyn has approached us about is one of the transport priorities: 'Fast Rail – accelerate the corridor & interchange planning for the Central River City [Parramatta], publish the confirmed full route and publish a comprehensive fast rail strategy.'

For your clearance, my proposed response to Robyn is as follows:

- The NFRA has not had any dealings with the Western Sydney Leadership Dialogue, and therefore has no further details of the specific issue they are referring to in the '2023 Election Priorities' document.
- The NFRA is however aware of the following activities associated with the above issue:
  - o On 6 September 2022, the NSW Government released its *NSW Future Transport Strategy*. It includes plans to develop fast rail for a Six Cities Region surrounding Sydney and its surrounding regions via four key corridors including one to Central Coast and Newcastle. On page 32 of the document, there is an image showing proposed fast rail connections to Parramatta. See [link](#).
  - o s47B [REDACTED]
  - o The Australian Government's \$500m project (October 2022-23 Budget commitment) to begin corridor acquisition, planning and early works for the high speed rail corridor between Sydney, Central Coast and Newcastle, s47B [REDACTED]
  - o Further discussions are required between the Australian and NSW Government to settle the scope and funding arrangements for the above projects.

Robyn is aiming to get back to the MO around 5pm. Apologies for the short notice.

Regards,

Greg

OFFICIAL

**From:** LEGG Robyn

**Sent:** Wednesday, 7 December 2022 3:48 PM

**To:** WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>

**Subject:** RE: 221201\_NSW Election Policy Projects List\_ExecSummary\_Print (002) [SEC=OFFICIAL]

OFFICIAL

Thanks Greg – yes from the MO (attached) and no indication that it will be used externally – I will say as much when I go back. But if in doubt – keep v flat.

Robyn

OFFICIAL

**From:** WHALEN Greg  
**Sent:** Wednesday, 7 December 2022 3:45 PM  
**To:** LEGG Robyn <[Robyn.Legg@infrastructure.gov.au](mailto:Robyn.Legg@infrastructure.gov.au)>  
**Subject:** RE: 221201\_NSW Election Policy Projects List\_ExecSummary\_Print (002) [SEC=OFFICIAL]

OFFICIAL

Thanks Robyn. Has the request come from the MO, and if so, do you know what they are going to do with the info (eg. internal or external audience)?

Greg

OFFICIAL

**From:** LEGG Robyn  
**Sent:** Wednesday, 7 December 2022 3:37 PM  
**To:** WHALEN Greg <[Greg.Whalen@infra.gov.au](mailto:Greg.Whalen@infra.gov.au)>  
**Cc:** s22(1)(a)(ii) <[s22\(1\)\(a\)\(ii\)@infrastructure.gov.au](mailto:s22(1)(a)(ii)@infrastructure.gov.au)>  
**Subject:** 221201\_NSW Election Policy Projects List\_ExecSummary\_Print (002) [SEC=OFFICIAL]

OFFICIAL

As discussed Greg – we have been asked for anything we know on the infra projects listed here. The one of relevance to you is snipped below. Grateful for any words to stick in our table.

Thanks

Robyn

### OTHER PROJECTS:

- Western Sydney Airport Rapid Bus Network – Prioritise delivery to opening deadline
- Parramatta Light Rail stage 2 – Fully fund as a priority to allow proj time for Sydney Metro West delivery & provide rapid bus services i
- Fast Rail – Accelerate corridor & interchange planning for the Cent publish the confirmed full route & publish a comprehensive Fast Ra

### Robyn Legg

Assistant Secretary • NSW, ACT and Targeted Roads Branch • Infrastructure Investment Division  
[Robyn.Legg@infrastructure.gov.au](mailto:Robyn.Legg@infrastructure.gov.au)  
 P +61 2 62747670 • M +61 481771910  
 GPO Box 594 Canberra, ACT 2601

Department of Infrastructure, Transport, Regional Development, Communications and the Arts  
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OFFICIAL

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s22(1)(a)(ii)

**From:** BROE Barry  
**Sent:** Monday, 26 September 2022 3:01 PM  
**To:** WHALEN Greg  
**Subject:** RE: HSR requirements? [SEC=OFFICIAL:Sensitive]

OFFICIAL:Sensitive

They probably wont or say much

Regards

**Barry Broe**  
 Chief Executive Officer  
 National Faster Rail Agency (NFRA)  
 GPO Box 594, Canberra ACT 2601  
 ph 02 6274 6428; m 0448744699  
 w: [www.nfra.gov.au](http://www.nfra.gov.au)

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OFFICIAL:Sensitive

---

**From:** WHALEN Greg  
**Sent:** Monday, 26 September 2022 2:55 PM  
**To:** BROE Barry  
**Subject:** RE: HSR requirements? [SEC=OFFICIAL:Sensitive]

OFFICIAL:Sensitive

Thanks Barry. It'll be interesting to see how TfNSW respond.

Greg

OFFICIAL:Sensitive

---

**From:** BROE Barry  
**Sent:** Monday, 26 September 2022 2:53 PM  
**To:** WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>  
**Subject:** FW: HSR requirements? [SEC=OFFICIAL:Sensitive]

OFFICIAL:Sensitive

Copy for u only

Regards

**Barry Broe**

Chief Executive Officer  
National Faster Rail Agency (NFRA)  
GPO Box 594, Canberra ACT 2601  
ph 02 6274 6428; m 0448744699  
w: [www.nfra.gov.au](http://www.nfra.gov.au)

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OFFICIAL:Sensitive

---

**From:** BROE Barry  
**Sent:** Monday, 26 September 2022 2:52 PM  
**To:** s22(1)(a)(ii) [@transport.nsw.gov.au](mailto:s22(1)(a)(ii)@transport.nsw.gov.au)>  
**Subject:** RE: HSR requirements? [SEC=OFFICIAL:Sensitive]

OFFICIAL:Sensitive

Hi s22(1)(a)(ii)

Its been done but the basic problem is I don't have any authority to define such a strategic element so Im not sure it would help you much. It was probably ambitious to suggest it

It could change in the future so how could you use it?

Its based on international standards and practice for HSR, mostly consistent with 2013 study and the BC, but those two reports only defined some parameters

Until the HSRA is established Im not sure how far discussions on all this can be progressed. Itd be great to discuss both projects and for us to know what you propose and its scope, eg what safeguarding means

Maybe at your end the Min can contact ours to see how far we can take things?

Regards

**Barry Broe**

Chief Executive Officer  
 National Faster Rail Agency (NFRA)  
 GPO Box 594, Canberra ACT 2601  
 ph 02 6274 6428; m 0448744699  
 w: [www.nfra.gov.au](http://www.nfra.gov.au)

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**OFFICIAL: Sensitive**

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**From:** s22(1)(a)(ii) @transport.nsw.gov.au>  
**Sent:** Monday, 26 September 2022 12:49 PM  
**To:** BROE Barry <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>  
**Cc:** WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>; s22(1)(a)(ii) @transport.nsw.gov.au>  
**Subject:** HSR requirements?

Hi Barry

I understood from our last catch up that you would be able to share some key / high level 'HSR requirements', to help us inform any potential future proofing considerations.  
 Are you able to send this through?

Chrs

s22(1)  
 (a)(ii)

s22(1)(a)(ii)

A/Program Director  
 Fast Rail Program  
 Regional and Outer Metropolitan  
**Transport for NSW**

*I work flexibly. Unless it suits you, I don't expect you to read or respond to my emails outside of your normal work hours.*

M s22(1)(a)(ii)  
 E s22(1)(a)(ii) n@transport.nsw.gov.au  
 20-44 Ennis Rd, Milsons Point NSW 2061



I acknowledge the traditional owners and custodians of the land in which I work and pay my respects to Elders past, present and future.

**OFFICIAL: Sensitive – NSW Government**

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**BRIGGS, Aaron**

---

**From:** BROE Barry  
**Sent:** Tuesday, 20 September 2022 1:44 PM  
**To:** WHALEN Greg  
**Subject:** RE: Question Time Briefs (QTB) - Minister C King - substitute sitting [SEC=OFFICIAL]  
**Attachments:** QB22-000342(updated post HSRA Bill a.docx)

OFFICIAL

Sorry my mistake  
 Sent u a clean version  
 Try this, ive fixed the collaboration bit

Regards

**Barry Broe**

Chief Executive Officer  
 National Faster Rail Agency (NFRA)  
 GPO Box 594, Canberra ACT 2601  
 ph 02 6274 6428; m 0448744699  
 w: [www.nfra.gov.au](http://www.nfra.gov.au)

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---

**From:** WHALEN Greg  
**Sent:** Tuesday, 20 September 2022 12:09 PM  
**To:** BROE Barry  
**Subject:** FW: Question Time Briefs (QTB) - Minister C King - substitute sitting [SEC=OFFICIAL]

OFFICIAL

Hi Barry,

I have reviewed the version of the QTB you emailed late yesterday (see attached), and apart from my track-changes being accepted, it doesn't appear to include any other edits.

Are you able to forward me copy containing your edits or advise what they were? Were your edits just the ones amending the phrase about `...in collaboration with the Department...`?

Thanks,



Greg

OFFICIAL

---

**From:** WHALEN Greg  
**Sent:** Tuesday, 20 September 2022 9:32 AM  
**To:** BROE Barry <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>  
**Cc:** s22(1)(a)(ii) @NFRA.gov.au>  
**Subject:** RE: Question Time Briefs (QTB) - Minister C King - substitute sitting [SEC=OFFICIAL]

OFFICIAL

Barry,

It hasn't been loaded into PDMS yet so we can put those words back in.

Greg

OFFICIAL

---

**From:** BROE Barry  
**Sent:** Tuesday, 20 September 2022 9:26 AM  
**To:** WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>  
**Subject:** Re: Question Time Briefs (QTB) - Minister C King - substitute sitting [SEC=OFFICIAL]

OFFICIAL

If not too late  
 In hindsight please put back in the words about in collaboration with the department

Where it talks about the HSRA doing faster rail functions

Kind regards

Barry Broe  
 CEO  
 NFRA  
 0448744699

OFFICIAL

---

**From:** "WHALEN Greg" <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>  
**Date:** Tuesday, 20 September 2022 at 9:18:11 am  
**To:** "BROE Barry" <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>  
**Subject:** RE: Question Time Briefs (QTB) - Minister C King - substitute sitting [SEC=OFFICIAL]

OFFICIAL

Thanks Barry.

Greg

OFFICIAL

**From:** BROE Barry  
**Sent:** Monday, 19 September 2022 5:30 PM  
**To:** WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>; s22(1)(a)(ii) @NFRA.gov.au>  
**Subject:** RE: Question Time Briefs (QTB) - Minister C King - substitute sitting [SEC=OFFICIAL]

OFFICIAL

Thanks Greg

See version attached, minor edits

Please submit

Regards

**Barry Broe**

Chief Executive Officer  
 National Faster Rail Agency (NFRA)  
 GPO Box 594, Canberra ACT 2601  
 ph 02 6274 6428; m 0448744699  
 w: [www.nfra.gov.au](http://www.nfra.gov.au)

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**From:** WHALEN Greg  
**Sent:** Monday, 19 September 2022 4:06 PM  
**To:** BROE Barry <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>  
**Cc:** s22(1)(a)(ii) k@nfra.gov.au>  
**Subject:** FW: Question Time Briefs (QTB) - Minister C King - substitute sitting [SEC=OFFICIAL]

OFFICIAL

Barry,

Attached for your clearance is the updated QTB.

It has been updated to reflect the HSRA Bill has now been tabled in the House of Reps. Wording about the Bill has been largely drawn from the Explanatory Memorandum.

The amendments have been done in track changes for ease of review.

For your convenience, I have also attached the version you cleared on 31 Aug.

Regards,

**From:** Question Time Briefs

[illegible]

Good afternoon

As you know the government have announced substitute sitting days on the 26th to 28th September 2022. As such, it is time to start updating your QTBs.

Could you please advise **ASAP** if your Branch/Division/Agency has QTBs that need updating by emailing the following emails:

- [questiontimebriefs@infrastructure.gov.au](mailto:questiontimebriefs@infrastructure.gov.au)
- copy in (CC) the DLO - [dlo.cking@mo.infrastructure.gov.au](mailto:dlo.cking@mo.infrastructure.gov.au)

**All updated QTBs are due to Parliamentary QB no later than 1pm or beforehand on Wednesday 21st, September 2022** . If you have any issues meeting this deadline, please let me know as soon as possible.

Would appreciate it, if I have missed any one from this email if it could please be forwarded on.

## REMINDERS

- Please ensure all existing track changes have been accepted **before** subsequent amendments and updates are made.
- Please ensure any **new/subsequent** amendments and updates are made and kept **in track changes**.
- **Divisions are reminded that if a person is not available to clear QTB updates, alternative arrangements must be made to ensure we meet the Ministers requirements.**
- QTBs are to be assigned to the Parliamentary QB Coordinator in **cleared** status. Please note that file notes stating that the QTB has been cleared will no longer be accepted.
- Please update the **contact details and clearance dates** every time edits and updates are made.

- Please direct all QTB enquires and requests for updates to [questiontimebriefs@infrastructure.gov.au](mailto:questiontimebriefs@infrastructure.gov.au) and copy in the DLO – [dlo.cking@mo.infrastructure.gov.au](mailto:dlo.cking@mo.infrastructure.gov.au)

s22(1)(a)(ii)

Parliamentary Officer Ministerial Accounts  
Question Time Brief (QTB) Coordinator

- **Communication, Ministerial and Parliamentary Services**
- **People, Governance, Parliamentary and Communication Division**

s22(1)(a)(ii) [@infrastructure.gov.au](mailto:@infrastructure.gov.au)  
[mposclientservices@infrastructure.gov.au](mailto:mposclientservices@infrastructure.gov.au)  
[questiontimebriefs@infrastructure.gov.au](mailto:questiontimebriefs@infrastructure.gov.au)

s22(1)(a)(ii)

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Level 3 (West) 111 Alinga Street, Canberra ACT 2600

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I recognise and respect their continuing connection to the land, waters and communities.*

*I pay my respects to Elders past and present and to all Aboriginal and Torres Strait Islanders.*

OFFICIAL

OFFICIAL

## **ISSUE: Progress implementing the Government's \$500m election commitment to develop high-speed rail between Sydney and Newcastle**

---

### **BACKGROUND:**

- In the 2022 Election, the Australian Government committed to establishing a High Speed Rail Authority and promised an initial \$500 million for planning and protecting a high speed rail corridor between Sydney and Newcastle.
- The 2013 East Coast HSR Report estimated the cost to connect high-speed rail from Brisbane to Melbourne to be \$114 billion (\$2012). Perceptions of the relatively high cost of the project have been seen by some commentators as one of the project's key challenges.

### **CURRENT SITUATION:**

- On 8 September 2022, the Australian Government introduced the *High Speed Rail Authority Bill 2022* into the House of Representatives. The Bill establishes the High Speed Rail Authority (the Authority) as an independent body (statutory agency) to advise on, plan and develop the high speed rail network connecting the capital cities between Brisbane, Sydney and Melbourne and some regional centres on the east coast.
- The Australian Government is working with the NSW Government to consider options for developing high speed rail in the Sydney to Newcastle corridor and to identify the next steps in the planning of this project. This will build on the work in the business case already completed.
- The former government committed \$1.0 billion for a Sydney to Newcastle faster rail upgrade (Tuggerah to Wyong) and \$20 million to the next stages of planning for the Sydney to Newcastle corridor, following the business case. The need for these projects and their scope will need to be considered by the Australian Government in the Budget and as part of discussions with the NSW Government about implementing the Australian Government's election commitments to high speed rail.

### **SUGGESTED SPEAKING POINTS:**

- The Government has committed to establishing an east coast high speed rail network from Brisbane to Melbourne, which will be a transformational nation-building project for Australia and an economic game-changer.
- The Government introduced the *High Speed Rail Authority Bill 2022* in the House of Representatives on 8 September 2022 and is awaiting debate.
- The Government is working with the NSW Government to consider options for developing high speed rail in the Sydney to Newcastle corridor and to identify the next steps in the planning of this project. This will build on the work already completed in the business case.
- As with any major project, funding and financing will be a key component of the project's work. The project cost needs to be considered alongside the project's significant benefits.

Prepared by: National Faster Rail Agency

Contact name: Barry Broe, CEO 0448 744 699



Current as of: 19 September 2022

## **ISSUE: What does the Government's commitment to HSR mean for the faster rail projects and the National Faster Rail Agency?**

---

### **BACKGROUND:**

- The National Faster Rail Agency was established in 2019 by the former Government.
- Faster, fast and high speed rail are all part of the same concept along a train speed range that develops over time. One can progressively lead to the other as corridors are upgraded.
- Faster rail is a foundation for high speed rail because faster rail upgrades to existing corridors provide a stepping-stone to fast rail and high speed rail as new and better alignments become available.
- The former government committed \$6 billion to faster rail, with the following commitments in the 2022-23 Budget:
  - \$1.0 billion for the Sydney to Newcastle faster rail upgrade (Tuggerah to Wyong)
  - \$1.6 billion for the Brisbane to Sunshine Coast rail extension (Beerwah to Maroochydore)
  - \$1.12 billion for the Brisbane to Gold Coast faster rail upgrade (Kuraby to Beenleigh)
- These commitments were in addition to earlier commitments of:
  - \$2.0 billion for stage 1 of faster rail between Geelong and Melbourne
  - \$178.1 million for Brisbane to Gold Coast (Kuraby to Beenleigh) pre-construction.
- The former Government also committed \$79 million for 14 faster rail business cases and corridor investigations.

### **CURRENT SITUATION:**

- The *High Speed Rail Authority Bill 2022* tabled in the House of Representatives on 8 September 2022 includes a role for the Authority to deliver on the existing scope and functions of the National Faster Rail Agency (NFRA) in collaboration with the Department of Infrastructure, Regional Development, Communications and the Arts. The Government has decided that the NFRA will cease upon establishment of the Authority.
- In the meantime, the National Faster Rail Agency is continuing to work with state governments on the progression of those faster rail projects that had previous funding commitments from the Australian Government.
- Faster rail capital projects and previous budget commitments are being considered as part of the current review of the Infrastructure Investment Program. The outcomes of this review will inform the Government's decisions on future rail priorities and investment.

### **SUGGESTED SPEAKING POINTS:**

- The *High Speed Rail Authority Bill 2022*, tabled in the House of Representatives on 8 September 2022, includes a role for the proposed

Authority to deliver on the existing scope and functions of the National Faster Rail Agency in collaboration with the Department of Infrastructure, Regional Development, Communications and the Arts. The Government is considering faster rail projects as part of its current review of the Infrastructure Investment Program, and the outcomes will be made public in the context of the October Budget.

- There is a role for both faster rail and high speed rail as they are complementary initiatives. Both approaches have the same objectives – to increase speeds, reduce travel times and generally improve rail infrastructure and services.
- The Government will continue to work closely and productively with all state governments to consider any opportunities to improve rail infrastructure and services.

Prepared by: National Faster Rail Agency

Contact name: Barry Broe, CEO 0448 744 699

Current as of: 19 September 2022

**BRIGGS, Aaron**

---

**From:** BROE Barry  
**Sent:** Wednesday, 22 February 2023 2:15 PM  
**To:** WHALEN Greg  
**Subject:** RE: Western Sydney Transport Infrastructure Panel Meeting no. 5 - Thursday 23 February 2023, 2:30pm-4:30pm [SEC=OFFICIAL]

OFFICIAL

Yes fine thanks

And mixed use if time permits

Regards

**Barry Broe**

Chief Executive Officer  
 National Faster Rail Agency (NFRA)  
 GPO Box 594, Canberra ACT 2601  
 ph 02 6274 6428; m 0448744699  
 w: [www.nfra.gov.au](http://www.nfra.gov.au)

*The department proudly acknowledges the Traditional Owners and Custodians of Australia, and their continuing connections to the land, waters and communities. We pay our respects to them and to their Elders past, present and emerging.*

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---

**From:** WHALEN Greg  
**Sent:** Wednesday, 22 February 2023 2:13 PM  
**To:** BROE Barry  
**Subject:** RE: Western Sydney Transport Infrastructure Panel Meeting no. 5 - Thursday 23 February 2023, 2:30pm-4:30pm [SEC=OFFICIAL]

OFFICIAL

Barry,

This is a big issue, and we can discuss on Monday. In the meantime I will send through answers to some of questions you asked the other day s47B .

You asked me in an email yesterday who was doing the chapter on s47B leading this one. In terms of a scoping paper, he advised me today that he is halfway through it and could provide his complete draft by Friday.

s47B

Are you ok with this topic for the discussion?

Regards,

Greg

OFFICIAL

**From:** BROE Barry <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>

**Sent:** Wednesday, 22 February 2023 12:37 PM

**To:** WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>

**Subject:** RE: Western Sydney Transport Infrastructure Panel Meeting no. 5 - Thursday 23 February 2023, 2:30pm-4:30pm [SEC=OFFICIAL]

OFFICIAL

Ok ta

s47B

Big issue for the project

Any views or key info welcomed, can discuss next Monday

Regards

**Barry Broe**

Chief Executive Officer

National Faster Rail Agency (NFRA)

GPO Box 594, Canberra ACT 2601

ph 02 6274 6428; m 0448744699

w: [www.nfra.gov.au](http://www.nfra.gov.au)

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**From:** WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>

**Sent:** Wednesday, 22 February 2023 9:52 AM

**To:** BROE Barry <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>

**Subject:** RE: Western Sydney Transport Infrastructure Panel Meeting no. 5 - Thursday 23 February 2023, 2:30pm-4:30pm [SEC=OFFICIAL]

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Barry,

Thanks for reviewing and for your edits.

In relation to your question 'are we giving them too much?', I think it is about right. Although s22(1)(a)(ii)'s email asked for a few dot points addressing 'faster Rail/High Speed rail and their interactions, status and next steps', when we phoned her late yesterday she asked if we could include additional info about NSW and AG budget commitments for faster rail and HSR. So they are expecting more info than originally requested.

We will work with s22(1)(a)(ii) this morning to see if she wants to trim it down and we will let you know the final proposed version.

Thanks,

Greg

OFFICIAL

---

**From:** BROE Barry <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>

**Sent:** Tuesday, 21 February 2023 7:28 PM

**To:** WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>

**Subject:** RE: Western Sydney Transport Infrastructure Panel Meeting no. 5 - Thursday 23 February 2023, 2:30pm-4:30pm [SEC=OFFICIAL]

OFFICIAL

Some edits below Greg  
Are we giving her too much?

Regards

**Barry Broe**

Chief Executive Officer

National Faster Rail Agency (NFRA)

GPO Box 594, Canberra ACT 2601

ph 02 6274 6428; m 0448744699

w: [www.nfra.gov.au](http://www.nfra.gov.au)

*The department proudly acknowledges the Traditional Owners and Custodians of Australia, and their continuing connections to the land, waters and communities. We pay our respects to them and to their Elders past, present and emerging.*



OFFICIAL

**From:** WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>

**Sent:** Tuesday, 21 February 2023 6:00 PM

**To:** BROE Barry <[barry.broe@nfra.gov.au](mailto:barry.broe@nfra.gov.au)>

**Cc:** s22(1)(a)(ii) @nfra.gov.au; s22(1)(a)(ii) @nfra.gov.au

**Subject:** FW: Western Sydney Transport Infrastructure Panel Meeting no. 5 - Thursday 23 February 2023, 2:30pm-4:30pm [SEC=OFFICIAL]

OFFICIAL

Barry,

As discussed earlier today, IID has sent us the email below requesting dot points on Faster Rail and High Speed Rail for an upcoming presentation. Robyn Legg is giving a presentation to an expert panel called the Western Sydney Transport Infrastructure Panel on what IID and the Department do in relation to projects. The panel will have a Western Sydney/Greater Sydney Region focus.

Your clearance is sought on the proposed dot points below.

We are aiming to get these to IID early tomorrow (Wed).

Thanks,

Greg

## **Faster Rail & High Speed Rail and their interactions**

### Definitions and roles

- Key definitions:
  - *Faster rail* can broadly be defined as speeds up to 160 km/h.
  - *Fast rail* can broadly be defined as speeds between 160km/h and 250km/h.
  - *High-speed rail* is generally defined as speeds over 250 km/h.
- There is a role for both faster rail and high speed rail as they are complementary initiatives. Both approaches have the same objectives – to increase speeds, reduce travel times and generally improve rail infrastructure and services.
  - Faster Rail networks use existing infrastructure and trains and aim to link cities to regional centres, with stations positioned 1-5km apart and with a mix of services including all-stops.
  - High Speed Rail networks s47B, with a mix of services including inter-city expresses and some city-regional centre services.
  - Fast rail is in between these two but is a new different system also requiring its own corridor, new signalling and power supply
- *National Faster Rail Agency (NFRA)* – The NFRA was established on 1 July 2019 to provide expert advice to the Australian Government on faster rail opportunities and to implement the *20-Year Faster Rail Plan* to deliver faster rail connections between major capital cities and their regional centres.
- *High Speed Rail Authority (HSRA)*
  - On 12 December 2022 the Australian Government's *High Speed Rail Authority Act 2022* received Royal Assent. The Act establishes the HSRA as an independent statutory agency to advise on, plan and develop the high speed rail network.
  - The NFRA will cease upon establishment of the HSRA.

- The Australian Government has committed to continuing to deliver faster rail projects through the HSRA and the DITRDCA, and will continue to work closely and productively with all state governments to consider any opportunities to improve rail infrastructure and services.

#### Australian Government commitments in Greater Sydney Region

- **Faster Rail**
  - In the 2022-23 Budget, \$1.0 billion was committed for the Sydney to Newcastle faster rail upgrade (Tuggerah to Wyong).
  - The Australian Government has also jointly funded business cases with the NSW Government for faster rail services between Sydney and Parkes, Sydney and Newcastle and Sydney and Wollongong. These business cases have been completed.
- **High Speed Rail**
  - The Australian Government's key rail priority in the Greater Sydney Region is its \$500 million commitment to begin planning and early works, and acquiring a high speed rail corridor between Sydney and Newcastle. This is the first stage of the Australian Government's overall commitment to delivery of an east coast high speed rail network between Brisbane, Sydney and Melbourne.

#### NSW Government commitments in Greater Sydney Region

- On 6 September 2022, the NSW Government released its NSW Future Transport Strategy. It includes plans to develop fast rail (160-250 km/h) for a Six Cities Region surrounding Sydney and its surrounding regions via four key corridors including a Central West corridor to the Western Parkland City and a Northern corridor to Newcastle.
- In the NSW 2022-23 Budget, \$274.5 million was committed to undertaking further planning on the above fast rail corridors. The NFRA is currently liaising with NSW Government officials to confirm the scope and timing of this planning work.
- The NSW Government has committed \$500 million to the Sydney to Newcastle faster rail upgrade (Tuggerah to Wyong).

OFFICIAL

**From:** s22(1)(a)(ii) <[redacted]@infrastructure.gov.au>

**Sent:** Monday, 20 February 2023 6:12 PM

**To:** s22(1)(a)(ii) <[redacted]@nfra.gov.au>; s22(1)(a)(ii) <[redacted]@infrastructure.gov.au>; s22(1)(a)(ii) <[redacted]@nfra.gov.au>

**Cc:** LEGG Robyn <Robyn.Legg@infrastructure.gov.au>; BLEICH Andreas <Andreas.Bleich@infrastructure.gov.au>; WHALEN Greg <Greg.Whalen@nfra.gov.au>

**Subject:** FW: Western Sydney Transport Infrastructure Panel Meeting no. 5 - Thursday 23 February 2023, 2:30pm-4:30pm [SEC=OFFICIAL]

OFFICIAL

Hi All,

As you may be aware, the Government established an expert panel to analyse Western Sydney's strategic land transport infrastructure needs. s47B [redacted]

Robyn is presenting "what we do in IID" to the Panel this Thursday and will touch on some of the current projects in Western Sydney, the Budget process etc.

The Panel has requested information about faster Rail/High Speed rail and their interactions. We will be grateful if you could please provide us with a couple of dot points on the current status and next steps (to whatever detail that is appropriate in a public forum), to include on a slide by COB Tuesday 21 February. Alternatively, if you prefer a separate presentation at another time, we can let the Secretariat know and they will contact you directly.

If you would like more context please call me.

Thank you,

Vaishali

s22(1)(a)(ii)

OFFICIAL

---

**From:** s22(1)(a)(ii) <s22(1)(a)(ii)@infrastructure.gov.au>  
**Sent:** Monday, 20 February 2023 12:32 PM  
**To:** LEGG Robyn <Robyn.Legg@infrastructure.gov.au>  
**Cc:** s22(1)(a)(ii) <s22(1)(a)(ii)@infrastructure.gov.au>; s22(1)(a)(ii) <s22(1)(a)(ii)@infrastructure.gov.au>; s22(1)(a)(ii) <s22(1)(a)(ii)@infrastructure.gov.au>; BLEICH Andreas <Andreas.Bleich@infrastructure.gov.au>  
**Subject:** Western Sydney Transport Infrastructure Panel Meeting no. 5 - Thursday 23 February 2023, 2:30pm-4:30pm [SEC=OFFICIAL]

OFFICIAL

Hi Robyn

You have been invited to present at this weeks **Western Sydney Transport Infrastructure Panel Meeting no. 5** (Thursday 23 February, 2:30pm – 4:30pm).

You have been allocated up to 30mins to provide an update on current and future infrastructure investment in Western Sydney, however pending Q&A from the panel you may not need to join for the whole time.

I also wanted to flag that at last week's meeting, the panel questioned how fast and faster rail (and the establishment of the **National Faster Rail Agency High Speed Rail Authority**) interacts with the work the panel are undertaking. David Mackay provided an update on the NFRA more broadly and noted that you may be able to include more info on this as part of your update from the Department at this week's meeting. Understand IID is not responsible for fast and faster rail, however is it possible for you to please include some high level dotted lines on this item?

Lastly, do you intend to send the presentation through to us beforehand and are you comfortable for it to be distributed to members post-meeting? We can arrange to share the presentation through our screen or happy for you to control from your end. Either way works for us.

Please let me know if you have any questions or if we can be of assistance.

Thank you

s22(1)(a)(ii)

**Western Sydney Transport Panel Secretariat**

Assistant Director • Western Sydney City Deal • City and Regional Partnerships Branch

s22(1)(a)(ii) @infrastructure.gov.au

P +61 s22(1)(a)(

GPO Box 594 Canberra, ACT 2601

**Department of Infrastructure, Transport, Regional Development, Communications and the Arts****CONNECTING AUSTRALIANS • ENRICHING COMMUNITIES • EMPOWERING REGIONS**[infrastructure.gov.au](https://infrastructure.gov.au)

*I would like to acknowledge the traditional custodians of this land on which we meet, work and live.*

*I recognise and respect their continuing connection to the land, waters and communities.*

*I pay my respects to Elders past and present and to all Aboriginal and Torres Strait Islanders.*

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OFFICIAL

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s22(1)(a)(ii)

**From:** s22(1)(a)(ii)@transport.nsw.gov.au>  
**Sent:** Tuesday, 20 December 2022 12:51 PM  
**To:** WHALEN Greg  
**Subject:** FW: 23T-0588 Consultation in relation to a request under the GIPA Act for information concerning the NFRA [SEC=OFFICIAL:Sensitive]  
**Attachments:** TfNSW Consult on GIPA Request, 20Dec2022, Signed.pdf

Thanks Greg

I may reach out to you (either this week or in the new year) to discuss further.

Kind regards

**OFFICIAL**

s22(1)(a)(ii)

A/Director  
 Legal, Privacy & Internal Audit  
 Corporate Services  
**Transport for NSW**

T (02) s22(1)(a)(ii) E s22(1)(a)(ii)@transport.nsw.gov.au

[transport.nsw.gov.au](https://transport.nsw.gov.au)

PO Box K659, Haymarket NSW 1240

**Working days** Monday to Friday



Transport  
for NSW



I acknowledge the Aboriginal people of the country on which I work, their traditions, culture and a shared history and identity. I also pay my respects to Elders past and present and recognise the continued connection to country.

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**From:** WHALEN Greg  
**Sent:** Tuesday, 20 December 2022 10:59 AM  
**To:** s22(1)(a)(ii) t  
**Cc:** BROE Barry ; s22(1)(a)(ii)  
**Subject:** RE: 23T-0588 Consultation in relation to a request under the GIPA Act for information concerning the NFRA [SEC=OFFICIAL:Sensitive]



**CAUTION:** This email is sent from an external source. Do not click any links or open attachments unless you recognise the sender and know the content is safe.

**OFFICIAL:Sensitive**

Good morning s22(1)(a)(ii)

Please find attached the National Faster Rail Agency's response to the consultation letter about the GIPA Act request.

Please let me know if you require any further information.

Kind regards,

Greg

**Greg Whalen**

General Manager

GPO Box 594, Canberra ACT 2601

(m) 0419 617 367

[greg.whalen@nfra.gov.au](mailto:greg.whalen@nfra.gov.au) | [www.nfra.gov.au](http://www.nfra.gov.au)



**Australian Government**  
**National Faster Rail Agency**

**OFFICIAL:Sensitive**

**From:** s22(1)(a)(ii) <[s22\(1\)\(a\)\(ii\)@transport.nsw.gov.au](mailto:s22(1)(a)(ii)@transport.nsw.gov.au)>

**Sent:** Friday, 16 December 2022 5:33 PM

**To:** WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>

**Subject:** 23T-0588 Consultation in relation to a request under the GIPA Act for information concerning the NFRA

Good afternoon Greg

Please find **attached:**

- TfNSW consultation letter to the National Faster Rail Agency
- Factsheet explaining this process

Please feel free to contact me should you have any questions about the attached.

Kind regards

**OFFICIAL**

s22(1)(a)(ii)

Senior Manager

Legal, Privacy & Internal Audit

Corporate Services

**Transport for NSW**

s22(1)(a)(ii) [@transport.nsw.gov.au](mailto:transport.nsw.gov.au)

[transport.nsw.gov.au](http://transport.nsw.gov.au)

PO Box K659, Haymarket NSW 1240

**Working days** Monday to Friday



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for NSW



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**Australian Government**  
**National Faster Rail Agency**

Ref: NFRA22/24

s22(1)(a)(ii)

Senior Manager, Information Access  
Transport for NSW  
PO Box K659  
HAYMARKET NSW 1240

via: s22(1)(a)(ii) [@transport.nsw.gov.au](mailto:s22(1)(a)(ii)@transport.nsw.gov.au)

Dear s22(1)(a)

Thank you for your letter of 16 December 2022 in relation to a request to release information relevant to Gallagher Basset's business interests under the NSW Government Information (Public Interest) Act 2009 (GIPA Act) from the Newcastle Herald. The National Faster Rail Agency (NFRA) appreciates the opportunity to state whether or not it objects to Transport for NSW (TfNSW) giving the applicant access to the information as sought:

*'I am seeking access to a report and/or documents by National Faster Rail Agency (NFRA) looking at a faster rail business case for the Newcastle-Central Coast-Sydney line.'*

The NFRA has considered your request to provide advice in relation specifically to the release of the *Fast Rail Sydney to Newcastle Strategic Business Case* and appendices. In accordance with the public interest considerations set out in Section 14 of the GIPA Act, the NFRA objects to the disclosure of this information on the grounds it considers it to be of 'Business and research interests of agencies and other persons'. In particular, the disclosure of this information would give rise to the following effects described in the GIPA Act.

- (a) *Undermine competitive neutrality in connection with any functions of an agency in respect of which it competes with any person or otherwise place an agency at a competitive advantage or disadvantage in any market.*
- (c) *Diminish the competitive commercial value of any information to any person.*

The Fast Rail Sydney to Newcastle Strategic Business Case captures the outcomes of an investigation into the feasibility of fast rail from Sydney to Newcastle, including possible rail service types and corridor and station locations. It contains highly sensitive and commercially valuable material that jointly belongs to the Australian and the NSW governments. The information is not in the public domain and is known only to a limited number of people within the Australian and NSW governments.

The information confers a commercial advantage on the Australian and NSW governments in relation to the future development of rail services and the land surrounding the rail corridor and stations. Disclosing the information would reduce its commercial value for project financing activities such as 'value capture' and prejudice future tendering and contractual processes for the Australian and NSW governments.

If you require further details or explanations of the sensitivity of this information, please let me know.

Yours sincerely

Mr Greg Whalen  
General Manager  
National Faster Rail Agency  
20 December 2022

Released under FOI Act 1982 by High Speed Rail Authority



s22(1)(a)(ii)

**From:** s22(1)(a)(ii)  
**Sent:** Thursday, 23 February 2023 1:39 PM  
**To:** s22(1)(a)(ii)  
**Subject:** FW: Presentation to WSEP - 23 February 2023.pptx [SEC=OFFICIAL]  
**Attachments:** Presentation to WSEP - 23 February 2023.pptx

OFFICIAL

Hi All,

FYI - Final presentation that Robyn will talk to this afternoon.

Thanks

s22(1)(  
a)(ii)

s22(1)(a)(ii)

Director

NSW Urban/NSW, ACT and Targeted Roads

P +61 2 s22(1)(  
a)(ii) • M +61 s22(1)(a)(  
ii)

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Australian Government

Department of Infrastructure, Transport,  
Regional Development, Communications and the Arts

# Infrastructure Investment Division

## NSW/ACT and Targeted Roads Branch

Presentation to Western Sydney Expert Panel

Presented by Robyn Legg

# Our role – Infrastructure Investment Division

- Responsible for managing the project pipeline and delivery of projects under the Infrastructure Investment Program (IIP), on behalf of the Commonwealth.
  - At the October 2022-23 Budget, \$23 billion over 10 years from 2022-23 has been committed to NSW under the IIP.
- Work in partnership with States and Territories under the National Partnership Agreement on Land Transport Infrastructure projects (2019-2024). Work with councils on project delivery.
- Provide advice to Government on project selection
  - Eligibility under legislation (*National Land Transport Act 2014*)
  - Value for money, market conditions
  - Meeting Commonwealth objectives – stimulus, freight, road safety, congestion, resilience.
- Provide input into the Budget process to seek Cabinet approval.
  - While Minister King has some delegations, most decisions must be made by Cabinet or the Prime Minister.
- Manage legislative requirements, including project approvals and instruments
- Undertake project governance – manage scope, delivery, costs and risks.
- Link into other complementary initiatives or programs (e.g. flood mitigations through NEMA, EV policy, use of recycled material, boosting Indigenous participation)

# Roles of Commonwealth vs States/Territories

## Role of the Commonwealth

- Informed by the NPA, the Commonwealth invests in new and existing projects, and provides maintenance funding.
- The Department will assess new projects and project documentation such as Project Proposal Reports (PPRs) to facilitate initial project approval and funding approval by Minister.
- The final alignment is the responsibility of the relevant State/Territory government agency, but the relevant agency is expected to consult with, and take into account advice from, the Commonwealth regarding particular alignment requirements, such as when a Government Business Enterprise is involved.

## Role of the States and Territories

- As the owners of land transport infrastructure assets, state governments have primary responsibility for planning and delivery of infrastructure projects.
- Where a project in their jurisdiction is partly, or fully, funded by the Commonwealth, they must do so in a manner consistent with their obligations under the NLT Act, the NPA and Notes on Administration.
- For NSW, Transport for NSW is responsible for the delivery of projects for which the Commonwealth has made a funding commitment) – except where the Department has agreed that a third party (usually a council) will deliver a particular project.
- The states manage the detailed design, planning and associated approvals, land acquisitions and construction for relevant infrastructure projects; and monitor and report on the progress of the delivery.

## Examples of AG investment in projects in and around Western Sydney

### Construction projects

- Sydney Metro WSA - \$5.25b
- M12 Motorway - \$1.6b
- New Richmond Bridge and Traffic Improvements - \$400m
- Mulgoa Road Upgrade - \$171m
- Dunheved Road Upgrade, Penrith - \$128m
- Heathcote Road Upgrade - \$94m

### Planning projects

- North West Growth Corridor - Planning and Early Works - \$75m
- Finalise Planning and Preparatory Works for Castlereagh Connection - \$50m
- Stacey Street, Bankstown – Planning \$25m

### Packages

- Local Roads Package – \$200m
- Blue Mountains Roads Upgrades - \$12.5m



# Faster Rail commitments in NSW

## Australian Government commitments for Faster Rail in Greater Sydney Region

- In the 2022-23 Budget, \$1.0 billion was committed for the Sydney to Newcastle faster rail upgrade (Tuggerah to Wyong).
- The Australian Government has also jointly funded business cases with the NSW Government for faster rail services between Sydney and Parkes, Sydney and Newcastle and Sydney and Wollongong. These business cases have been completed.

## NSW Government commitments in Greater Sydney Region

- On 6 September 2022, the NSW Government released its NSW Future Transport Strategy. It includes plans to develop fast rail (160-250 km/h) for a Six Cities Region surrounding Sydney and its surrounding regions via four key corridors including a Central West corridor to the Western Parkland City and a Northern corridor to Newcastle.
- In the 2022-23 NSW Budget, \$274.5 million was committed to undertaking further planning on the above fast rail corridors. The National Faster Rail Agency is currently liaising with NSW Government officials to confirm the scope and timing of this planning work.
- The NSW Government has committed \$500 million to the Sydney to Newcastle faster rail upgrade (Tuggerah to Wyong).

## NFRA → HSRA

- *National Faster Rail Agency (NFRA)* – The NFRA was established on 1 July 2019 to provide expert advice to the Australian Government on faster rail opportunities and to implement the *20-Year Faster Rail Plan* to deliver faster rail connections between major capital cities and their regional centres.
- *High Speed Rail Authority (HSRA)*
  - On 12 December 2022 the Australian Government's *High Speed Rail Authority Act 2022* received Royal Assent. The Act establishes the HSRA as an independent statutory agency to advise on, plan and develop the high speed rail network.
  - The NFRA will cease upon establishment of the HSRA.

## High Speed Rail Authority

- Establishing a High Speed Rail Authority (HSRA) is a key commitment of the Australian Government to drive the development of a high speed rail network in Australia.
- The Authority, once established, will first prioritise planning, corridor protection and early works on a Sydney to Newcastle route.
- This work will involve close engagement with the NSW Government and stakeholders, and is backed by a \$500 million Australian Government commitment in the October 2022-23 Budget.
- The HSRA will be established by June 2023 and the Australian Government will shortly be seeking applications for the Board Chair and Members. The Board will oversee the Authority and include expertise from the rail and infrastructure sectors.

## Interaction between Infrastructure Investment Division and Expert Panel's findings

- In providing advice to the Australian Government, IID will take into consideration the synergies between the Expert Panel's findings and the NSW Government's priorities.
- Should any investment projects be identified as part of the Panel's strategic needs analysis, IID, along with the Partnerships and Projects Division, will proceed to seek Minister and Cabinet consideration at an appropriate time – now or in the context of future Budgets.
- This will include checking for eligibility under the NLT Act and consistency with Government objectives and identifying the most appropriate program for the projects to be funded from, which could sit outside of the IIP.

## The Budget Process

- Proposals are considered from States and Territories (or other sources such as the Expert Panel)
- Proposals are included in the Infrastructure Cabinet Submission with estimated cost, benefits, job numbers, implementation timeframe and delivery partner information.
- Cabinet considers proposals taking into account other Budget priorities and objectives.
- Projects are announced in the Budget and included in the State schedules for consideration and agreement by States for co-funding and delivery. In most instances states work closely with the government of the day to deliver the commitments.
- The Department commences the implementation process in consultation with delivery partners.



Questions?

**BRIGGS, Aaron**

---

**From:** s22(1)(a)(ii)  
**Sent:** Wednesday, 5 April 2023 3:30 PM  
**To:** WHALEN Greg  
**Cc:** s22(1)(a)(ii)  
**Subject:** Post Completion reports for TfNSW [SEC=OFFICIAL]  
**Attachments:** PCR Briefing 8 December 2022.docx; Attachment A - notes-on-administration-january-2021.pdf; Attachment B - Email to TfNSW.docx; Attachment C - post-completion-report-template-january-2021.docx; Attachment D - Rail PCB Template 2021-22 .xlsm

OFFICIAL

Hi Greg

As discussed, here is the package to request the PCR's from TfNSW for Sydney to Wollongong and Sydney to Parkes Faster Rail.

Kind regards  
 s22  
 (1)(a)

---

**From:** s22(1)(a)(ii)  
**Sent:** Friday, 9 December 2022 10:48 AM  
**To:** WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>  
**Cc:** s22(1)(a)(ii) <[s22\(1\)\(a\)\(ii\)@nfra.gov.au](mailto:s22(1)(a)(ii)@nfra.gov.au)>  
**Subject:** RE: Completion reports of TfNSW [SEC=OFFICIAL]

OFFICIAL

Hi Greg

Please find a revised pack attached that has incorporated your feedback.

In regards to the letterhead on the template, we have updated the template to show the NFRA letterhead.

It is also worth noting this will be the first PCR reports that NFRA has requested.

Kind regards  
 js22  
 (1)(

OFFICIAL

---

**From:** WHALEN Greg  
**Sent:** Thursday, 8 December 2022 3:46 PM  
**To:** s22(1)(a)(ii) <[s22\(1\)\(a\)\(ii\)@nfra.gov.au](mailto:s22(1)(a)(ii)@nfra.gov.au)>  
**Cc:** s22(1)(a)(ii) <[s22\(1\)\(a\)\(ii\)@nfra.gov.au](mailto:s22(1)(a)(ii)@nfra.gov.au)>  
**Subject:** RE: Completion reports of TfNSW [SEC=OFFICIAL]

OFFICIAL

s22(1),  
(a)(ii)

Thanks for the discussion about these draft docs on the phone this afternoon. As discussed could you please update these to address the following issues and return for my sign-off and release.

- Brief – transfer into an exec minute format with addressee and signature blocks.
- Att A – Covering Email – Check if s22(1)(a)(ii) is the addressee for TfNSW. Revise wording based on your new approach of not semi-populating the Post Completion Report. Review some of the phrases.
- Att B and C – Post Completion Reports – decide what you are going to do with the DITRDCA letterhead.

Thanks,

Greg

OFFICIAL

---

**From:** s22(1)(a)(ii)  
**Sent:** Wednesday, 12 October 2022 4:21 PM  
**To:** WHALEN Greg <[Greg.Whalen@nfra.gov.au](mailto:Greg.Whalen@nfra.gov.au)>  
**Cc:** s22(1)(a)(ii) <[s22\(1\)\(a\)\(ii\)@nfra.gov.au](mailto:s22(1)(a)(ii)@nfra.gov.au)>  
**Subject:** Completion reports of TfNSW [SEC=OFFICIAL]

OFFICIAL

Hi Greg,

Please see the final draft brief and attachments needed to close out the two NSW projects.

Its pretty close to complete but I am keen to check in and make sure it hits the mark with you prior to finalising. Please note that I am also checking on one further detail with IID prior to finalising the brief and attachments – whether TfNSW can provide a cost breakdown outside of our template.

Happy to take feedback and make changes as needed

Cheers, s22(1)  
(a)(ii)

s22(1)(a)(ii)  
 Director – Business Case and Projects  
 GPO Box 594, Canberra ACT 2601  
 Ph: (02) s22(1)(a)(i) (m) s22(1)(a)(ii)  
 s22(1)(a)(ii) <[s22\(1\)\(a\)\(ii\)@nfra.gov.au](mailto:s22(1)(a)(ii)@nfra.gov.au)> | [www.nfra.gov.au](http://www.nfra.gov.au)



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## MINUTE

File Reference:

Greg Whalen  
General Manager  
National Faster Rail Agency

**Through:**

s22(1)(a)(ii)  
Director  
Business Cases and Project Section

**Subject: Post completion reports for Sydney to Parkes Faster Rail and Sydney to Bomaderry Faster Rail**

**Purpose:** To provide advice on the post completion report process under the Notes on Administration for these projects.

### Key Issues:

1. The strategic business cases for Sydney to Bomaderry Faster Rail and Sydney to Parkes Faster Rail were completed by Transport for New South Wales (TfNSW) in July and August 2021 respectively.
2. As a condition of receiving Australian Government funding under the *National Land Transport Act 2014* and section 4 of the accompanying Notes on Administration (**Attachment A**), a post completion report (PCR) is to be completed within 12 months of the project being completed.
3. We note that it has been more than 12 months since the projects have been completed, however the project still had outstanding funding due to project savings.
4. A draft email requesting TfNSW to complete the PCRs for these projects is at **Attachment B** for your approval.
5. TfNSW has previously advised NFRA that both projects ended with surpluses of \$2.5m (\$5m in total), so no final payment is required by the NFRA in order to close the project. Following a request from TfNSW this funding was reallocated (through the 2022-23 March Budget Hunting Licence) to the Sydney to Central Coast Fast Rail planning project, which was subsequently cancelled in the October 2022-23 Budget. The savings from these projects have been returned to consolidated revenue as part of this process.
6. Infrastructure Investment Division (IID) has developed templates to assist states (**Attachment C**) to fulfil their obligations, however, it should be noted that the PCR templates are for operational (eg. roads) rather than scoping projects – the strategic business (SBC) being scoping in nature not requiring any construction activity.
7. The PCR template comes with a costing template, of which will be largely inapplicable to TfNSW for these projects (**Attachment D**), NFRA will encourage TfNSW to fill out the parts that are applicable to a strategic business case.
8. The completed PCR should also be accompanied by a statement from the Secretary of TfNSW, or their delegate, stating that Australian Government funding has been expended for the purposes for which it was received and an audited statement demonstrating that this has occurred. It is likely that TfNSW will have completed a PCR for other projects funded under the NLTA.

Contact Name: s22(1)(a)(ii)  
Position: Assistant Director

Contact Number: s22(1)(a)(ii)  
Branch/Section: Business Cases and Projects

1. Following receipt of the completed PCR we will undertake an evaluation of the project to see to what extent it met the conditions of funding and report accordingly to the Executive.
2. If an acceptable PCR is received, TfNSW can be advised that the projects will be deemed to be closed.
3. Once the PCR's are completed, the project can be changed to completed in IMS. Monthly reporting will no longer be required at this point.

### Background:

**Recommended Action:**

<p>I. That you agree to send the drafted email at <b>Attachment B</b> to (TfNSW), requesting TfNSW complete the post completion report template (<b>Attachment C</b>) separately for the Sydney to Bomaderry Faster Rail and the Sydney to Parkes Faster Rail.</p>	<p>Agreed / Not Agreed</p> <p>/ /2022</p>
--	---

A – Notes on Administration  
B – Draft email to TfNSW  
C – Post Completion Report template  
D – Project Cost Breakdown template





Australian Government

Department of Infrastructure, Transport,  
Regional Development and Communications

# Notes on Administration for Land Transport Infrastructure Projects 2019 - 2024

January 2021



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# 1 Introduction

## 1.1 Purpose of the Notes on Administration

The purpose of the Notes on Administration for Land Transport Infrastructure Projects (Notes) is to provide administrative detail to support the National Partnership Agreement on Land Transport Infrastructure Projects (NPA).

The Notes, combined with the NPA, the National Land Transport Act 2014 (NLT Act) and the NPA schedules form the suite of documents that enable and support the Australian Government's investment in infrastructure projects (Projects).

## 1.2 Scope of the Notes on Administration

The Notes apply to all Projects funded, or proposed to be funded under Part 3 (Investment Projects) and Part 7 (Black Spot Projects) of the *National Land Transport Act 2014* (NLT Act).

The Notes set out the administrative requirements in relation to:

- **Project approval** ([Chapter 2](#)): the process for consideration of Projects for Approved Funding, including associated terms and conditions;
- **Project administration** ([Chapter 3](#)): the administrative processes that Funding Recipients must follow relating to Project governance and financial governance.
- **Project completion and closure** ([Chapter 4](#)): the administrative requirements relating to Project completion, closure and evaluation.
- **Public recognition** ([Chapter 5](#)): the requirements and obligations of the Australian and State Governments relating to public recognition, media and signage for Projects.
- **National Land Transport Network maintenance** ([Chapter 6](#)): describe the arrangements and processes associated with maintenance funding for non-tolled roads on the National Land Transport Network.
- **Black Spot Projects** ([Appendix D](#)): describes the arrangements and processes associated with the selection of Projects under Part 7 of the NLT Act.

The focus of the Notes is on the administrative requirements for Projects with an announced Australian Government funding commitment and which have been included in the Schedule to the NPA. The selection of Projects is undertaken in accordance with the NLT Act. The Notes do not describe the arrangements and processes associated with the selection of Projects to be included in the NPA schedule.

The Department of Infrastructure, Transport, Regional Development and Communications (the Department) recognises there may be circumstances relating to individual Projects which cannot be readily addressed by referencing the Notes. Under these circumstances Proponents and the Department will discuss and agree the appropriate approach.



## 1.3 Funding Conditions and Compliance with the NLT Act and the NPA

Projects are subject to funding conditions set out in:

- The NLT Act;
- The NPA; and
- Other relevant Australian Government and State laws.

Further guidance on funding conditions is outlined in [Appendix A](#).

A breach of funding conditions may result in Project funding being withheld or a refund being sought.

The Notes are to be read in conjunction with the NPA and if any inconsistencies arise between the terms and conditions contained in the NPA and the Notes, the terms and conditions contained in the NPA will prevail.

## 1.4 Revision of the Notes

The Australian Government maintains the Notes and relevant templates. The Australian Government will seek agreement from the States on changes. The Notes were last revised on 1 January 2021.

## 1.5 Definitions and Abbreviations

The definitions in Section 4 of the NLT Act and Part 6 of the NPA apply to these Notes. The terms used in these Notes are defined in Table 1.

**Table 1: Definitions and Abbreviations.**

Term	Definition
<b>Approved Funding</b>	The funding approved for a Project by the Minister, under the appropriate legislation.
<b>Approval Instrument</b>	Means the Project Approval Instrument as defined in the <i>National Land Transport Act 2014 (NLT Act)</i> . It is the formal document signed by the Minister to approve a Project under the NLT Act.
<b>Approved Purpose/s</b>	Is defined in the NLT Act as purposes forming part of the Project, other than any purposes that are excluded by the Project approval instrument from being purposes on which funding may be expended: a Black Spot Project; an Investment Project; and a Transport Development and Innovation Project.
<b>Australian Government Building and Construction Work Health and Safety Accreditation Scheme</b>	A scheme established under the <i>Building and Construction Industry (Consequential and Transitional Provisions) Act 2016</i> , which places specific legal obligations on Commonwealth agencies in relation to the building and construction industry (see <a href="http://www.fsc.gov.au">www.fsc.gov.au</a> for more information).
<b>Australian Government Building our Future Signage Guidelines</b>	This document sets out the guidelines for signage relating to projects funded through the Department of Infrastructure, Transport, Regional Development and Communications.



Term	Definition
<b>Australian Industry Participation Plan</b>	A written plan that is required under the Australian Government's Australian Industry Participation Plan Policy and the <i>Australian Jobs Act 2013</i> (see <a href="http://www.industry.gov.au">www.industry.gov.au</a> for more information).
<b>BCR</b>	The Benefit Cost Ratio (BCR) - ratio of the present value of economic benefits to the present value of economic costs of a proposed initiative.
<b>Black Spot Project/s</b>	Projects funded under Part 7 of the NLT Act concerned with reducing road trauma or the risk of road trauma in specific locations.
<b>Code for the Tendering and Performance of Building Work 2016</b>	<p>The Code is a code of practice which sets out the Australian Government's expected standards of conduct for all building industry participants that seek to be, or are, involved in Australian Government funded building work.</p> <p>The Code came into effect on 2 December 2016 and applies to all Australian Government funded building work for which an 'expression of interest' or tender has been submitted on or after that date.</p> <p>Note: The Building Code 2013 continues to apply in relation to building work to which it applied immediately before 2 December 2016.</p>
<b>Closure (or Closed)</b>	The end of the Australian Government's obligations and liabilities for the Project; and Funding Recipient's responsibility to provide Monthly Progress Reports for the Project.
<b>Committed Funding</b>	The funding available to a Project listed in the NPA Schedule, subject to approval by the Minister.
<b>Complete (or Completion)</b>	The point at which a Project has achieved its primary purpose—for example, a new road is opened to traffic; a rail passing loop becomes operational; an acquired technology begins operation.
<b>Department</b>	Means the Commonwealth Department of Infrastructure, Transport, Regional Development and Communications.
<b>Final Milestone</b>	The point in time which the last payment of Approved Funding is scheduled, following acceptance by the Department of the Post-Completion Report (if applicable), and a statement from the Chief Executive Officer of the Funding Recipient, or their delegate, that amounts expended from funding payments have been, and are wholly expended on Approved Purposes in relation to funded Projects.
<b>Funding Recipient</b>	A Proponent for a Project following funding approval under the NLT Act.
<b>IMS</b>	Infrastructure Management System - The system used to manage Project payments and reporting.
<b>Infrastructure Investment Program</b>	The program of funds allocated to projects for the Commonwealth's investment in land transport infrastructure under the NLT Act.
<b>Local Government Authority</b>	A body established for the purposes of local government by or under a law applying in a State or Territory.



Term	Definition
<b>Local Industry Participation Plan</b>	A written plan based on the National Framework which was agreed between the Commonwealth and the States in 2001 to promote, develop and maintain a sustainable Australian industry capability by encouraging competitive Australian industry participation in investment projects (see <a href="http://www.industry.gov.au">www.industry.gov.au</a> for more information).
<b>Milestone</b>	A scheduled point in time at which Funding Recipients are expected to have accomplished agreed activities.
<b>Minister</b>	The Commonwealth Minister with Portfolio responsibility for infrastructure.
<b>Monthly Progress Report</b>	The report provided by States each month through IMS.
<b>National Land Transport Network</b>	The National Land Transport Network as in force from time to time that is determined by the Minister under Part 2 of the NLT Act.
<b>NLT Act</b>	<i>National Land Transport Act 2014</i>
<b>NPA</b>	The National Partnership Agreement on Land Transport Infrastructure Projects 2019-20 – 2023-24 between the Australian Government and the States for the delivery of land transport infrastructure Projects.
<b>NPA Schedule</b>	Schedule of Projects with a committed Australian Government funding allocation and financial year allocations agreed between the Australian Government and States that make up the Infrastructure Investment Program.
<b>Outturn Cost</b>	The sum of the price-escalated costs for each year of a Project's duration. Outturn Cost calculation requires the non-escalated or real project cost to be presented as cash flow and the identification, justification and application of an appropriate escalation index for each Project year to derive the price escalated cost for each year. The Project Cost Breakdown template can be used to calculate outturn costs.
<b>PGPA Act</b>	<i>The Public Governance, Performance and Accountability Act 2013</i>
<b>P50</b>	P50 is the Project cost with sufficient contingency to provide a 50 per cent likelihood that this cost will not be exceeded.
<b>P90</b>	P90 is the Project cost with sufficient contingency to provide a 90 per cent likelihood that this cost will not be exceeded.
<b>PCB</b>	Project Cost Breakdown template for Road and Rail Project costs is an excel spreadsheet developed in consultation with State jurisdictions. The purpose of these templates is to achieve improved consistency and rigour in the cost estimates included in funding submissions.
<b>PPR</b>	Project Proposal Report - A document submitted by the Proponent to the Department containing information on the Project, and prepared in accordance with the guidance at <a href="#">Appendix B</a> .
<b>Program(s)</b>	The sum of Projects within a particular State agreed between Commonwealth and State at any given time, to be managed on a programmatic basis.
<b>Project</b>	A Project approved under the NLT Act.

Term	Definition
<b>Proponent</b>	A State; an authority of a State; a Local Government Authority; or any other body corporate that submits a PPR for Australian Government funding under the NLT Act.
<b>State(s)</b>	All, or any, Australian States, the Australian Capital Territory and the Northern Territory.
<b>Unapproved Purposes</b>	<p>Unapproved Purposes include:</p> <p>costs incurred after the Final Milestone has been paid to the Funding Recipient (the Final Milestone generally aligns with the receipt of the Post Completion Report, with payment adjusted to include the Australian Government's unpaid share of Approved Purposes on the Project to date, and the Australian Government's agreed estimated share of outstanding Approved Purposes that may extend beyond the date of payment of the Final Milestone);</p> <p>the oversight and network administration costs of any State agency; or</p> <p>stand-alone artworks and aesthetic features that do not form part of a Project's functional component.</p>

## 2 Project Approval

This chapter sets out the requirements for Projects approved under Part 3 of the NLT Act. The approval processes and administrative requirements set out in this section apply to all Projects listed in the NPA schedules with the exception of maintenance and Black Spot Projects. Separate administrative requirements apply to Black Spot Projects (Refer to Appendix D) and maintenance payments (Refer to Chapter 6).

### 2.1 Committed Funding by the Australian Government

The Australian Government may commit funding to a Project at any time, for any phase based on information it deems appropriate.

Committed funding to a Project will be documented in the NPA Schedules and agreed by both the Australian and respective State Government. Projects may be listed in the NPA Schedules individually or collectively.

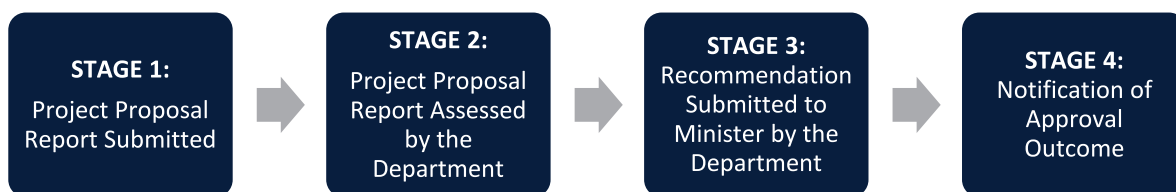
The announcement of Committed funding to a particular Project, and its subsequent inclusion in the NPA Schedules reflects the Australian Government's commitment to the outcomes of the Project but is not a guarantee of funding. Funding must be subsequently approved by the Minister in accordance with the relevant legislation. Any expenditure made by States before Project approval is at the Proponent's own risk, noting the NPA includes specific provisions relating to Project Withdrawals and Cancellations (Clauses 59 – 67).

### 2.2 Project Approval Process

The Project Approval Process is the process by which Project information is provided to the Department to facilitate the assessment of Projects against the relevant parts of the NLT Act and PGPA Act and make a recommendation to the Minister. The Department and Proponent will work cooperatively to meet the requirements of Project Approval, in accordance to the process set out below.

#### ***Project Approval Process***

The Project Approval Process consists of four stages as displayed in the diagram below.



More information of the requirements and processes relating to each stages of the Project Approval Process is provided in the following pages.

#### ***Infrastructure Australia Business Case Assessments***

An assessment of the merits of the proposal by Infrastructure Australia for Projects seeking \$250 million or more in Australian Government funding is required and forms part of the approval process. Proponents are required to provide Business Cases and relevant supporting information and documentation to Infrastructure Australia and to work cooperatively with Infrastructure Australia through its assessment process.



## 2.3 Stage 1: Submission of Project Proposal Report (PPR)

For Projects seeking approval for delivery funding, Proponents are required to provide the Department with the following documents accompanying the PPR:

- Indigenous Participation Plans consistent with the requirements of the Indigenous Employment and Supplier-Use Framework, for Projects with an Australian Government contribution above \$7.5 million and in some circumstances for Projects below \$7.5 million with strong potential to support Indigenous participation (further advice on information requested at [Appendix A3](#)).
- Local Industry Participation Plans or Australian Government's Australian Industry Participation Plan, which is to be forwarded as soon as completed by the successful tenderer.

## 2.4 Stage 2: Assessment of Project Proposal Report

The information provided in a PPR is assessed by the Department to guide its recommendations to the Minister on the merits and risks of a Project. The Minister will consider this assessment in determining whether to approve funding for the Project. The Department considers a range of factors when assessing PPRs, including a Project's eligibility under Part 3, Sections 10 and 11 of the NLT Act.

Information relating the eligibility and appropriateness for approval of Projects can be found at <https://www.legislation.gov.au/Details/C2018C00226>

### ***Identifying Approved Purposes for Funding***

All Australian Government funding against a Project must be expended on Approved Purposes. This is the only expenditure that will be counted in the total cost of the Project for Australian Government purposes. Where non-Australian Government contributions are listed against the Project in the NPA Schedule, only expenditure on Approved Purposes will be counted in those contributions.

Approved Purposes include:

- a. Costs of planning, pre-construction and construction, including public consultation, environmental assessment, design, land acquisition, and traffic management. Provided they are within the agreed scope of a Project, the items listed below are part of a non-exhaustive list of cost considered to be eligible:
  - Project or program management
  - client supplied insurances, fees and levies
  - environmental works
  - public utilities adjustments
  - retaining walls
  - drainage
  - tunnels
  - traffic signage, signals and controls
  - track work
  - design, investigation and trials demonstrations
  - rail systems, including overhead wiring, power supply and distribution, signalling, rail communications and combined services route
  - fencing
  - access roads
  - bridges
  - pavements
  - weigh stations
  - finishing works
  - Intelligent Transport Systems
  - rest areas
  - traffic management and temporary works
  - earthwork
  - property acquisition (including purchase price, transactional costs, business compensation and environmental offsets)
  - rail transport stations, transport interchanges, buildings, stabling and maintenance buildings

- b. Costs of using recycled materials in a Project, where use of the materials is consistent with relevant national or state and territory policies.
- c. Costs of meeting any conditions or requirements imposed on the Project under Australian or State law; this includes
  - i. the *Disability Standards for Accessible Public Transport 2002* (available at <https://www.legislation.gov.au/Details/F2011C00213>).
- d. Costs of reasonable measures to avoid or mitigate negative impacts of a Project (including temporary measures during construction);
- e. Costs of Project public recognition and publicity, including program signage and ceremonies connected to Project progress;
- f. Costs of signage to recognise significant Indigenous contributions to a project, where appropriate (see section 5.4);
- g. Costs of, or arising from, any legal action relating to a Project that is not due to the Funding Recipient failing to properly administer tender processes and supervise and manage relevant contracts; and
- h. The following items may be considered to be Approved Purposes if the Funding Recipient justifies the costs to the Department:
  - i. Costs of aesthetic features which provides the Project with a reasonable degree of aesthetic value such that it complements the surrounding environment, where such features are integrated into functional components of a Project;
  - ii. Costs of other non-construction and temporary construction elements of a Project, where these are operational in nature and are minor items of expenditure in the context of the overall Project;
  - iii. Costs associated with sections of road or rail that might be bypassed by a Project and cease to be part of the National Land Transport Network;
  - iv. Other costs which can be demonstrated to align with Approved Purposes set out in points (a) to (f) as defined above.

The Funding Recipient may contact the Department at any time to clarify Approved Purposes.

**Unapproved Purposes** - see Definitions and Abbreviations

### **GST Treatment**

Funding will not be provided for the Goods and Services Tax (GST) the Funding Recipient pays. All cost estimates and reported expenditure must be GST exclusive.

### **Treatment of Unapproved Purposes**

The Department acknowledges that, for some Projects, there can be synergy in combining Approved and Unapproved Purposes into a single tender and contract (for example, 'design, build and maintain' contracts where maintenance costs are not considered to be Approved Purposes). If Approved Purposes are combined with Unapproved Purposes in a tender, Approved Purposes should be clearly identified to the Department before the tender documentation is finalised. If such a tender proceeds, the Department may seek to review tender bids and may undertake a more detailed review of the cost split.

### **Reviewing and assessing cost estimates**

Cost estimates should be submitted in summary form in the applicable Project Cost Breakdown (PCB) template and in accordance with the principles outlined in the Department's current cost estimation guidance which can be accessed at [http://investment.infrastructure.gov.au/about/funding\\_and\\_finance/cost\\_estimation\\_guidance.aspx](http://investment.infrastructure.gov.au/about/funding_and_finance/cost_estimation_guidance.aspx)

A probabilistic cost estimation process must be used for Projects with a total anticipated Outturn P90 cost (including contingency and escalation) exceeding \$25 million. Projects with a total anticipated Outturn P90 cost under \$25 million may use a deterministic methodology, however the Department recommends using a probabilistic cost estimation method where possible.

The Department will review and assess the cost estimate (including the forecast annual allocations) provided in the PPR before making a recommendation to the Minister. Proponents must cooperate with any review undertaken.

The NPA requires Proponents to provide access to underpinning data for cost estimation purposes. As such, Proponents must maintain an electronic library of all documentation consulted in determining the Project estimate.

### ***Requests for tender exemptions***

A Proponent seeking an exemption from the requirement to use a public tender process must seek approval for the exemption in the PPR. The request for approval must detail the:

- Scope of works for which the exemption is being sought;
- Value of these works;
- Intended entity to undertake these works;
- Category under which the exemption is being sought (Section 24(1)(c) i to vi of the NLT Act); and
- Supporting reasons for the exemption.

The Department acknowledges that early planning, options analysis and preliminary designs works will generally be undertaken within state agencies and that tender exemption requirements do not relate to these internal activities.

### ***Agreeing to Milestones***

The NPA requires funding to be provided to Funding Recipients based on the achievement of Milestones.

Chapter 3 provides detail on how the Australian Government will pay Funding Recipients against Milestones.

Proponents will be required to propose a Milestone schedule for their Project in the PPR. The Department will review these Milestones and discuss changes with the Proponent.

Milestones will be agreed in writing by the Department and the Proponent.

The Department acknowledges that with major procurement in the Delivery phase, it may not be possible to schedule Milestones for construction activities before a contract is awarded. The Department also acknowledges there may be activities leading up to the completion of the major procurement which may be Approved Purposes. In these circumstances, the Department will accept a Milestone schedule covering the lead up to contract award. Once construction contracts are signed, the Funding Recipient will be required to review and, where necessary, update the Milestone schedule to include construction activities.

Funding Recipients must provide up to date information on all Project procurements, in line with Chapter 3 requirements.

Agreed Milestones will be entered into the Department's Infrastructure Management System (IMS). Milestones may be varied by agreement, in line with Chapter 3 requirements.

## **2.5 Stage 3: Recommendations to the Minister**

For Projects funded under the NLT Act, the recommendation will relate to whether or not the Project should be approved. If the recommendation is to approve the Project, the recommendation will include the amount of funding to be provided, the scope of the Project and any Project specific arrangements. The recommendation will take into account the amount of Committed Funding for the Project, if funding has been provided for a previous phases and the latest cost estimate. The recommendation to the Minister will also take into account the proposed Indigenous Participation Plan for the project, where applicable.

## **2.6 Stage 4: Notification of Approval**

Following a decision by the Minister, the Department will write to the Proponent advising if Project funding has been approved or not. If approved, a copy of the Funding Instrument will also be provided. Any Project- specific arrangements

agreed between the Minister and Funding Recipient in the context of Project approval will be set out in the correspondence. Once the Project is approved, the Funding Recipient will be required to abide by all funding conditions.

## 3 Project Administration

This chapter sets out the administration processes and requirements for approved Projects, including governance and financial governance arrangements.

### 3.1 Project Governance

The appropriate Project governance arrangements will be considered on a Project by Project basis and agreed between the Australian Government and the relevant State government at the outset of a Project, and may include steering committees, Project Specific Agreements, and joint business case teams.

#### ***Steering committees and Project boards***

Where Funding Recipients implement governance arrangements such as steering committees or Project boards for a Project with an Australian Government funding contribution, the Australian Government will be given the opportunity to participate in such committees.

The role of Australian Government representation on steering committees and Project boards will be discussed and agreed between the Australian Government and the relevant State on a case by case basis at the commencement of the Project and at agreed intervals throughout the Project lifecycle.

The Australian Government or the Funding Recipient may request that steering committees or Project boards be established.

#### ***Project Specific Agreements***

Following commitment by the Australian and State Government to the Project either party may request a Project Specific Agreement (PSA), Memoranda of Understanding or similar Project document. Such documents will:

- Apply to select Projects on the NPA schedule and generally appended to the Schedule (for example a PSA may not be attached if it contains commercial in confidence information).
- Be negotiated between the Australian Government and the relevant State on a case by case basis for the relevant Project.
- Apply to high priority Projects that have the potential to deliver broader outcomes, are of high strategic or financial value, and/or are associated with high levels of complexity or risk.
- Specify the additional requirements and outcomes the Project is seeking to deliver consistent with, but in addition to, the NPA. The additional outcomes are likely to extend beyond transport outcomes and may relate to: alternative funding or financing opportunities, housing, population management, urban renewal, economic growth and development.

Project Specific Agreements and Memoranda of Understanding are not intended to be legally enforceable. However, this does not lessen the Parties' commitment to these agreements.

#### ***Business Cases***

For business cases where the Australian Government has committed funding, the Australian Government expects States to provide it with timely information on business case development and that the States will consult the Australian Government on decisions on key elements, such as scope options, alignments and issues impacting the Project cost. State decision-making should have due regard to the Australian Government's interests, objectives and desired outcomes.

Draft and subsequent final business cases funded by the Australian Government are to be provided to the Australian Government in a timely, transparent and comprehensive manner.



The Australian Government or State government may request the establishment of a joint Project team for Projects that receive Australian Government Business Case funding. The roles and responsibilities of Australian Government representation on Project teams will be discussed and agreed on case by case basis.

## 3.2 Financial Governance

### ***Early cost estimates***

The Australian Government's contribution to the final Project cost will be consistent with its commitment and drawn from the overall program allocation. For projects where a P90 cost estimate is not yet fully developed, or the delivery contract has not yet been awarded the Australian Government's funding contribution will not be capped.

### ***Post Procurement/ Cost Schedule updates***

The Department requires up-to-date information on estimated Project costs and proposed Project delivery schedules. When a major component of the work is awarded to a contractor, Funding Recipients must inform the Department of the agreed contract price, including contingency and escalation factors, and provide an updated overall Project cost estimate (including Base Estimate, P50 and P90 Project Estimates and P50 and P90 Outturn Costs). Milestones may be varied to reflect the contractor's delivery schedule.

For Projects with an Australian Government funding commitment of \$100 million or above, the Department may undertake a formal cost estimation review following award of the major construction contract. Where it has been determined that the Project can be delivered for lower than the original estimate based on the contract price, the Australian Government may, in consultation with the State, adjust its allocation to reflect the updated estimated cost. Any savings identified through this review may be reinvested in that State with the agreement of the Australian Government.

### ***Variable and Fixed Scope Project Funding***

For projects with a fixed scope (such as the delivery of a bypass, interchange upgrade etc.) the Australian Government will commit funding at the agreed P90 level. For projects receiving an Australian Government contribution of \$25 million or greater, funding will be released at the agreed P50 level up to the Australian Government's agreed proportion of the overall Project P50 Outturn Cost outlined in the PPR. Additional funding, up to the maximum of Committed Funding outlined in the NPA Schedule (generally P90), will only be approved and released on a demonstrated needs basis. For projects receiving less than \$25 million, funding will be released at the P90 level.

Where it is agreed funding up to the P90 level is unlikely to be required to complete the project, the committed funding can be reduced, with savings then available for reallocation within the states program.

However, for projects where there is a fixed commitment, such as a package of works along a corridor, where the objective is to upgrade as much road as possible within the committed funding, the Australian Government will approve funding up to the amount committed and not generally require estimates at P50 / P90 level.

## Reporting

Funding Recipients must submit the following reports according to the following timelines:

Report	Guidance	Due date
Monthly Progress Report	<a href="#">Appendix C1</a>	13th of each month
Cash Flow Projections Report	<a href="#">Section 3:2</a>	Biannually (generally on 28th February and 15th August)
Post Completion Report	<a href="#">Appendix C2</a>	Within 12 months of Project Completion unless otherwise agreed
Annual Financial Statement and Audit Report	<a href="#">Appendix C3</a>	After Project completion and within six months of the next financial year

The Department maintains its discretion over the right to request additional specific information about a Project and the right to change the timing and requirement of certain reports, with the exception of the Annual Financial Statement and Audit Report which is a legislative requirement.

## Cash Flow Projections

Funding Recipients must provide the Department with Cash flow projection reports on the 28th of February and the 15th of August each year or biannually as requested. The Funding Recipient is expected to input the information into templates provided by the Department that set out milestone payment profiles for Projects listed in the NPA schedule.

For each Project Funding Recipients are required to identify between 2-4 milestone payments per annum, noting that the number of payments will vary between Projects. In any given year the sum of the milestone payments should endeavour to match Project funding allocations for that year, noting funding requirements will change on some projects due to a range of factors.

Additionally, Funding Recipients are expected to provide milestone payment profiles for the period of the forward estimates based on a total annual funding allocation for the relevant Project.

Any changes to Cash flow profiles across financial years will require approval by the Australian Government.

## Making Payments

In order for the Australian Government to make a payment against a Project the Funding Recipient must submit a claim through the Monthly Progress Report process. A Monthly Progress Report template will be available for Funding Recipients to generate in IMS from the 1st to the 13th of each month or as requested. The Monthly Progress Report template will show if a Project is eligible to claim payment that month, based on previously agreed Milestones.

If the Department is satisfied that the Funding Recipient has met the Milestone the funding will be paid out in the month after the claim for payment was accepted by the Department.

Non-payment of a scheduled Milestone will trigger a Milestone variation as outlined below.

## ***Variations to Projects***

The Department recognises that certain circumstance can lead to changes to the approved Project. In accordance with section 57 and 58 of the NPA, all significant variations to a Project must be agreed in writing between the parties. This includes, but is not limited to, variations to:

- Total Project cost, including the funding contributions of all parties;
- Scope;
- Timelines; or
- Other circumstances subject to a condition.

A formal request for variation must be submitted to the Department with supporting information. Funding Recipients should discuss the potential variation with the Department at the earliest possible instance as the nature of the variation will determine the type and amount of supporting information required.

The Department may seek to review and validate cost estimates used to justify any request for changes to the amount of either approved or committed funding.

Where the proposed Project variation will result in a change to the schedule of Milestones, the Project variation must be agreed first and the Milestones then varied as outlined immediately below.

## ***Variations to Milestones***

Variations to the timing or payment of a Milestone for a particular Project may be requested by either the Department or Funding Recipient. Request for variations must involve formal communication and agreement, by letter, email or through IMS for example, between the Department and the Funding Recipient before the update being processed through IMS.

Where the requested changes to Milestones are the result of a Project variation, the Project variation must be agreed in writing before requesting variation of Milestones.

Requests for variations to Milestones can only be submitted in IMS between the 14th and the end of each month, subject to these restrictions:

- A request to vary a Milestone cannot be made in the same month as the Milestone is due (for example, a request for variation to Milestones due in January 2019 cannot be made in January 2019);
- The sum of all Milestone payments within a financial year cannot exceed the amount allocated for that financial year, without consultation with the Department; and
- The sum of all funding paid and all future Milestones payments cannot exceed the Approved Funding for the Project.

## ***Management of Program funding***

Funding Recipients may request approval from the Australian Government to reallocate under and over spends within the State's program. In seeking approval to reallocate over and underspends Funding Recipients will provide the following information to the Department:

- The rationale for the under or overspend;
- The quantum of funds to be reallocated and the timing of the movement of funding;
- The implications of the movement of funds for other projects and the State's overall program funding; and
- Any other information the Department may require to consider and seek approval for the proposed change.

The Australian Government will consider the application for the proposed reallocation of funding on a case by case basis and advise the Funding Recipient of the outcome of the application.

Request for reallocation of funding must involve formal communication and agreement, by letter exchange for example, between the Department and the Funding Recipient before the update being processed through IMS.

### ***Interest earned on payments in advance***

States are required to estimate the interest earned on payments in advance. The method of calculation is to be agreed between the Department and relevant state on a case by case basis.

In the absence of agreement to an alternative arrangement, the Australian Government weighted average costs of borrowing will be applied as the basis for the estimate. The weighted average cost of borrowing is estimated by the Australian Government biannually for MYEFO and the Australian Government Budget and reported in Statement 7: Debt Statement, Assets and Liabilities. The Department will notify Funding Recipients of the Australian Government weighted average cost of borrowing, which States will apply to estimate the interest earned on payments in advance.

The Department and States will work collaboratively to estimate the interest earned on payments in advance biannually to the Department at the time of the Budget and MYEFO.

Note interest requirements relate specifically to payments made in advance of normal milestone payment arrangements. Funding recipients are not required to account for interest on funding paid under normal milestone payment processes.

## **3.3 Risk and Assurance Program**

Projects listed in the NPA Schedules are subject to assessment through the Department's Risk and Assurance Program.

The purpose of the Risk and Assurance Program is to provide assurance that the Australian Government's significant investment in infrastructure is being delivered in accordance with legislative and other requirements.

Each financial year a selection of projects will be identified by the Department for assessment under the Risk and Assurance Program.

The Funding Recipient and any subcontractor must bear their own costs of complying with the requirements of the Risk and Assurance Program.



## 4 Project Completion

This chapter outlines the activities that must occur after a Project is complete in order for the Project to be officially closed.

### 4.1 Post Completion

Once a Project has reached physical completion it enters the Post-Completion Phase. The Post-Completion Phase lasts for up to 12 months unless a request demonstrating why an extension is required is submitted to and approved by the Department. During the Post-Completion Phase the Funding Recipient must prepare and submit to the Department:

- A Post-Completion Report (Appendix C2);
- A statement from the Chief Executive Officer of the Funding Recipient, or their delegate, that amounts expended from funding payments have been, or will be, wholly expended on Approved Purposes in relation to funded Projects; and
- A payment request for the Final Milestone.

During the Post-Completion Phase the Department will:

- Undertake an initial evaluation of Project outcomes, reviewing costs and outstanding expenditure items, and the performance of the asset against its objectives, with reference to agreed performance indicators;
- Ensure Indigenous participation requirements have been met, including that the Funding Recipient has provided all necessary documentation and publicly reported on performance against any agreed Indigenous targets;
- Ensure the state has provided a copy of its Local Industry Participation Plan or an Australian Industry Participation Plan for projects receiving more than \$20 million in Australian Government funding; and
- Match the Committed Funding to the Approved Funding for the Project.

In particular, the Final Milestone will be adjusted to include the Australian Government's unpaid share of Approved Purposes on the Project to date, and the Australian Government's agreed estimated share of outstanding Approved Purposes that may extend beyond the date of payment of the Final Milestone (e.g. noise monitoring contracts, final landscaping contracts, land acquisition settlements).

Note: The cost estimate for the whole Project at the conclusion of the Post Completion phase includes the actual costs from the Scoping, Development and Delivery phases, noting that some residual property- related costs may have to be handled separately.

### 4.2 Project Closure

Upon payment of the Final Milestone, a Project is deemed to be closed. Funding Recipients must report this payment in their next Annual Financial Statement and Audit Report (Appendix C3).

Once closed, Funding Recipients can no longer claim funding from the Australian Government for the Project and no longer have to provide Project Monthly Progress Reports.

Funding Recipients are still required to abide by the Project Evaluation requirements, and must notify the Australian Government by way of the Annual Financial Statement and Audit Report if it sells or disposes of an interest in land that was acquired using all or part of a funding payment.



## 4.3 Project Evaluation

The Funding Recipient agrees to cooperate in the evaluation of projects to facilitate Project performance reviews and continuous improvement of investment decision making.

The Department may conduct an evaluation, to determine the extent to which Project transport outcomes have been achieved and review the accuracy of demand forecasts and cost estimates used to assess the Project.

Funding Recipients may be required to provide information to assist in this evaluation for a period of time, as agreed.

If a Funding Recipient conducts a Project evaluation without involving the Department, they must provide a copy of the evaluation report to the Department.

## 5 Public Recognition

This chapter outlines the Australian Government's requirements for the development and use of promotional material on projects funded under the NPA.

### 5.1 Rights of the Australian Government

The Australian Government reserves the right to publicise and report on the funding it commits or approves to a Funding Recipient. This can include publicising the Funding Recipient's name, the amount of the funds given to the Funding Recipient, the name of the Project, a description of the Project, maps of the Project's location, or any other information the Australian Government deems appropriate.

The Government may do this by:

- Including information about the funding in traditional and social media
- In general announcements and speeches
- In annual reports and Budget documents
- On the Department's website or websites belonging to any Australian Government Minister
- By any other method.

### 5.2 Funding Recipient Obligations

A Funding Recipient must acknowledge the financial support they have received from the Australian Government, and must consult with the Australian Government prior to releasing any promotional and advertising materials, public announcements and media activities in relation to a Project.

Where public recognition of a Funding Recipient's Budget or forward program for land transport infrastructure funding includes funding provided by the Australian Government, a full acknowledgement of the Australian Government's funding contribution in total and in respect of individual Projects must be made.

The Australian Government expects equal access to products States obtain in the development of promotional material including but not limited to Project data and benefits, and all raw project footage and images.

### 5.3 Australian Government and State jointly funded projects

Where a Project is funded jointly, with approximately equal funding contributions, all public recognition for that Project is required to be jointly agreed with both parties receiving equal prominence. Public recognition for a Project stating, requiring or implying a funding commitment by the Australian Government must not be finalised without first agreeing with the Department.

Where any public recognition is proposed, the Funding Recipient must provide reasonable opportunity for the Australian Government to contribute to all communication strategies and announcements, have equal representation at events, and work cooperatively with the Department to provide:

- Adequate notice of the proposed public recognition (particularly with ceremonies), of dates, of plaques to be made and of any attendance by Members of Parliament that has to be arranged;
- Appropriate opportunity to ensure that the proposed public recognition meets Australian Government expectations; and
- Access to all products obtained for use in the development of promotional material including but not limited to Project data and benefits, and all raw project footage and images.

When installing Project signage, including Commemorative Plaques, Funding Recipients must also comply with the Australian Government's Signage Guidelines, available from the Department's website [http://investment.infrastructure.gov.au/about/resources/signage\\_guidelines.aspx](http://investment.infrastructure.gov.au/about/resources/signage_guidelines.aspx).

Operational announcements related to the Project, such as Notices relating to night works do not require Departmental approval.

## 5.4 Additional requirements for majority Australian Government-funded Projects

In addition to the above requirements, where the Australian Government is a majority funder of a Project, promotional material and public recognition must provide major prominence to the Australian Government's contribution, set out in the Australian Government Signage Guidelines. This applies to all promotional material, announcements, launches and events in connection with a Project.

### ***Recognising the contribution of local Indigenous Communities on projects***

Where a local Indigenous community, particularly in Remote Australia, has made a significant contribution to delivery of a project funded under the NPA, the Funding Recipient, in consultation with relevant Indigenous stakeholders and the Department, may consider highlighting their contribution on project signage, where appropriate. This signage is considered an approved purpose under section 2.4 above (Identifying Approved Purposes for Funding).

## 6 National Land Transport Network Maintenance

This chapter sets out the requirements relating to maintenance payments for the National Land Transport Network.

### 6.1 Allocation

The Australian Government contribution towards maintenance of the road component of the National Land Transport Network will be provided as an annual allocation to each State. The Minister approves maintenance allocations annually under Section 9(1) and 17(1) of the NLT Act. The annual allocation to each State will be determined by a formula. The formula is based on three components of non-tolled National Land Transport Network roads in each State, which are given equal weighting for:

- Lane length;
- Total average daily vehicle distance travelled; and
- Total average daily heavy vehicle distance travelled (using equivalent standard axles as the measure).

Each State's allocation from the Australian Government's maintenance budget will be determined by its proportion of each component relative to the total for all non-tolled roads in the National Land Transport Network. Each State is to provide, by 31 December each year, the data necessary to enable the Australian Government to allocate this funding according to the formula. Section 6.5 details the data required.

Annual road maintenance funding is only to be spent on non-tolled roads on the National Land Transport Network.

### 6.2 Approval

Each State's maintenance allocation is approved by the Minister as a Project eligible under Section 10(b) and appropriated under Section 11(b) of the NLT Act.

As a Project approved under Part 3 of the NLT Act, the conditions in Part 3, Division 3, of the NLT Act apply where appropriate.

### 6.3 Maintenance standard

Australian Government road maintenance funding is provided as part of a partnership with States to assist maintain the National Land Transport Network to a standard consistent with each State's maintenance policies and practices and in consideration of the appropriate level of service for each road based on its classification by the respective State.

The appropriate level of service may need to be revised to take into account relevant service level standards agreed as part of the Council of Australian Governments (COAG) Land Transport Market Reform.

## 6.4 Road maintenance reporting

Each year, these road maintenance reports are required:

Report	Guidance	Due date
Road Maintenance Formula Data Report	<a href="#">Section 6.5</a>	31 December
Annual Financial Statement and Audit Report	<a href="#">Appendix C3</a>	31 December
Maintenance Performance Report	<a href="#">Section 6.6</a>	30 September

## 6.5 Road Maintenance formula data

This table shows the data required for the road maintenance allocation formula:

Corridor Name						
Link	Link Length (km)	Lane Length (km)	AADT (average over link)	*ESA show % by each Austroads class and ESA per class	Veh.kmt	ESA.kmt
Total						

\*A traffic section based value of Equivalent Standard Axle (ESA) per vehicle class is to be used in accordance with Austroads recommendations.



## 6.6 Maintenance performance report

These are the Australian Government's requirements for the annual Maintenance Performance Report:

### A. *Provision of data*

- a. Data is to be provided electronically with geo-referencing; and
- b. On dual carriageways, condition data is required for both carriageways, with each carriageway individually referenced.

### B. *Road characteristics data*

The following road characteristics data is required:

- a. Roughness – International Roughness Index (IRI) for the latest year available;
- b. Surfacing age, or if not applicable – with reason supplied (for example, concrete pavements);
- c. Target surfacing age or n/a if not applicable;
- d. Seal width; and
- e. Speed limit.

Road characteristics data should be provided for short, convenient road lengths of about one kilometre.

### C. *Road use data*

The following road use data is required:

- a. Annual Average Daily Traffic (AADT) with year recorded or derived; and
- b. Percentage of heavy vehicles.

Road use data should be provided at the most detailed level held by the State agency.

### D. *Maintenance expenditure*

The following maintenance cost data is required:

- a. Total annual maintenance expenditure, indicating Australian Government and State contributions (including rehabilitation and/or reconstruction) for each road link for the previous financial year, showing pavement and off-pavement expenditure
- b. Planned pavement maintenance budget (including rehabilitation and/or reconstruction) in the current financial year for each link to achieve proposed condition outcomes, together with the estimated cost of off-pavement maintenance (that is, the estimated total maintenance expenditure).

### E. *Maintenance indicators*

The Australian Government uses two indicators—the Preventative Maintenance Indicator (PMI) and the Riding Quality Indicator (RQI)—to monitor road conditions under the NPA.

The Australian Government uses the data provided in the Maintenance Performance Report to calculate the Preventative Maintenance Indicator and the Riding Quality Indicator and assess the overall condition of each link. Refer to [Appendix E](#).

## 6.7 Maintenance milestones

The maintenance allocation will be paid on Milestones. There will be two maintenance Milestones a financial year.

Milestone	Activity	Payment
Milestone 1*	Acceptance by the Department of the Road Maintenance Formula Data Report from all States	25% of the allocation
Milestone 2	Acceptance by the Department of the Maintenance Performance Report	75% of the allocation

\*It is intended that Milestone 1 will be raised in IMS for August.

### ***Milestone variations***

Maintenance Milestone variations will follow the process in Section 3.2.

### ***Unclaimed Milestones***

Maintenance Milestones unclaimed within a financial year will not be carried over into the next financial year.

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## Appendix A – Funding Conditions

Projects are subject to funding conditions set out in the NPA and from these sources:

- A1: The NLT Act (see <https://www.legislation.gov.au/Details/C2018C00226>)
- A2: Compliance with other laws; and
- A3: Indigenous Employment and Supplier- Use Infrastructure Framework.

### Appendix A1 Funding conditions under the *National Land Transport Act 2014*

The following mandatory conditions apply to funding payments for Projects and are set out in the NLT Act (Subdivision B – The Mandatory Conditions). Not all Projects are required to abide by all conditions. This table summarises the conditions each type of Project must abide by:

NLT Act mandatory conditions (as described below)								
PROJECT TYPE	A1.1	A1.2	A1.3	A1.4	A1.5	A1.6	A1.7	A1.8
Projects contained in the NPA Schedules	✓	✓	✓	✓	✓	✓	✗	✓
Maintenance Projects	✓	✓	✓	✓	✗	✗	✗	✓
Black Spot Projects	✓	✓	✓	✓	✗	✗	✓	✓

#### **A1.1 Funding payment must be expended on the funded Project**

The funding payment must be wholly expended on Approved Purposes in relation to the funded Project.

#### **A1.2 Funding Recipient must give Minister audited financial statements**

The NLT Act requires Funding Recipients to submit audited financial statements to the Minister. In particular, an Annual Financial Statement and Audit Report must be submitted (template at [Appendix C3](#)).

#### **A1.3 Funding Recipient must allow inspections by authorised persons**

The Funding Recipient must, at all reasonable times, permit a person authorised by the Minister to inspect any work involved in carrying out a funded Project and to inspect and make copies of documents relating to the Project.

#### **A1.4 Funding Recipient must provide information on request**

The Funding Recipient must, as and when requested by the Minister, provide information relevant to the progress of the funded Project or the operation or condition of the National Land Transport Network.

This could include information about the progress of an approved Project, which may be sought by way of the reports identified in Section 3.2 and Section 6.4 of the Notes.

### **A1.5 State Funding Recipient must call for public tenders for certain work**

States and authorities of a State should, as a matter of policy, use public tender processes for Projects. This obligation can be satisfied in some cases by selecting contractors under a pre-existing panel arrangement, where it can be demonstrated that the pre-existing panel arrangement was the result of a public tender process.

If the Funding Recipient is a State or an authority of a State, the Funding Recipient must call for public tenders for all work on funded Projects, other than on work that:

- a. is maintenance of a road or railway; or
- b. is carried out by a public utility; or
- c. the Minister has, by written exemption relating to the Project, exempted from this condition because, in the Minister's opinion the work:
  - i. is urgently required because of an emergency; or
  - ii. is of such a minor nature that the invitation to tenders for the work would involve undue additional cost; or
  - iii. is of a kind for which it is not practicable to prepare adequate tender specifications; or
  - iv. is of a kind for which competitive tenders are unlikely to be received; or
  - v. will contribute to employment in a region; or
  - vi. costs less than an amount determined by the Minister by legislative instrument.

The Department acknowledges that early planning, options analysis and preliminary designs works will generally be undertaken within state agencies and that tender exemption requirements do not relate to these internal activities.

### **A1.6 Obligations following the sale or disposal of interests in land**

If a State sells or disposes of an interest in land acquired using all or part of the funding payment, the State must pay the Australian Government an amount proportionate to the Commonwealth contribution to the land acquisition using this formula set out under Section 25(1) of the NLT Act:

$$\text{Amount due} = \text{Value} \times (\text{Commonwealth contribution} / \text{Acquisition cost})$$

The Act defines Commonwealth contribution as: 'so much of the funding payment as was used to meet the acquisition cost'.

States must calculate the Commonwealth contribution using this formula:

$$\begin{aligned} \text{Commonwealth contribution} = \\ \text{Acquisition cost} \times (\text{Commonwealth total contribution to the Project} / \text{Total Project cost}) \end{aligned}$$

Alternatively, the State may, with the written approval of the Minister, spend an amount equal to the amount determined by the formula on Approved Purposes for another Project. Submissions should be made in writing to the relevant Department contact and are subject to approval by the Minister.

Section 25(1A) of the NLT Act states that a State must, as soon as practical after selling or disposing of an interest in land acquired using all or part of the funding payment, notify the Minister of the sale or disposal.

Funding Recipients must report the sale or disposal of an interest in land acquired using Australian Government funding in the Annual Financial Statement and Audit Report ([Appendix C3](#)).



***A1.7 Funding Recipient must maintain records relating to motor vehicle crashes***

The Funding Recipient must maintain, and make available as required, records relating to the nature and frequency of motor vehicle crashes involving death or personal injury occurring at the site of the funded Project.

***A1.8 Other funding conditions determined by the Minister***

The NLT Act allows for the Minister to create, vary or revoke other conditions to be applied to Australian Government funding where there is no funding agreement in place.

## Appendix A2 Compliance with other laws

Funding Recipients are required to comply with other laws, as applicable, as a condition of Australian Government funding.

### ***A2.1 Funding Recipients must ensure the use of WHS accredited builders where applicable***

Where applicable and as a condition of Australian Government funding, Funding Recipients may only contract builders accredited under the Australian Government Building and Construction WHS Accreditation Scheme. This condition may be satisfied by providing written assurance to the Department.

The WHS Accreditation Scheme applies to construction Projects directly funded by the Australian Government with a value of \$4 million or more.

The WHS Accreditation Scheme also applies to construction Projects indirectly funded by the Australian Government where the:

- Value of the Australian Government contribution to the Project is at least \$6 million and represents at least 50 per cent of the total construction Project value; or
- Australian Government contribution to a Project is \$10 million or more, irrespective of the proportion of Australian Government funding; and
- Head contract(s) which include building work is/are valued at \$4 million or more.

For further information on the Australian Government Building and Construction WHS Accreditation Scheme refer to <https://ablis.business.gov.au/service/ag/australian-government-building-and-construction-workplace-health-and-safety-accreditation-scheme/301>.

### ***A2.2 Funding Recipients must ensure compliance with the Building Code 2016***

Where applicable, Funding Recipients must ensure that compliance with the Code for the Tendering and Performance of Building Work 2016 (Building Code 2016) is made a condition of tender for all contractors and subcontractors who tender for the work. This condition may be satisfied by providing written assurance to the Department.

The Code applies to building work that is being undertaken by or on behalf of the Funding Recipient irrespective of the value of the Project. The Code also applies to construction contracts for Projects indirectly funded by the Australian Government where its contribution is:

- At least \$5 million and represents at least 50 per cent of the total construction value; or
- \$10 million or more irrespective of the proportion of total Project funding.

### ***A2.3 Funding Recipients must adhere to Australian Government environment and heritage legislation***

For most Projects, the relevant legislation will be the *Environment Protection and Biodiversity Conservation Act 1999* and its subsidiary regulations and agreements. Funding Recipients should refer to the relevant bilateral environmental assessments and approvals agreement for their State for guidance on processes required to satisfy this condition. These bilateral agreements are accessible at <http://www.environment.gov.au/epbc/state-federal-government-working-together>.

Funding Recipients must advise how they are addressing Australian Government environment and heritage requirements. Construction cannot proceed until Funding Recipients have demonstrated that these obligations have been met. This may include collecting compliance evidence, such as environmental impact assessments and reports.

The Department strongly recommends that, before starting an environmental study for a Project, Proponents contact the Commonwealth Department of Agriculture, Water and the Environment <http://www.environment.gov.au/epbc/index.html>. This Department provides advice about Australian

Government requirements and ensures that the study properly addresses the Government's legislative requirements. This will reduce the likelihood of additional cost and time delays obtaining environmental approval.

#### ***A2.4 Funding Recipients must use a Local Industry Participation Plan or equivalent***

Where applicable, Funding Recipients must develop a Local Industry Participation Plan (LIPP), consistent with Australia's international trade commitments, for any Projects that has an Australian Government funding contribution of \$20 million or more. If States do not have a Local Industry Participation policy in place, the Australian Government's Australian Industry Participation Policy should be used.

LIPPs should be provided to the Department as part of the PPR process or upon receipt from the successful tenderer. More information on what should be included in a LIPP and the Australian Industry Participation Plan's template can be found at: [www.industry.gov.au/aip](http://www.industry.gov.au/aip).

The Department requires Funding Recipients to provide a copy of a Projects LIPP as part of the Project's governance process and for onward forwarding to the Commonwealth Department of Industry, Science, Energy and Resources and the Department of Foreign Affairs and Trade who will review and provide feedback as appropriate.

#### ***A2.5 Funding Recipients must meet other statutory requirements***

In addition to Australian Government environmental and heritage legislation, Funding Recipients must also meet other statutory requirements where relevant. These may include, but are not limited to:

- Native Title legislation
- State government legislation — such as environment and heritage requirements
- Local government planning approvals.

The Department requires written confirmation that relevant requirements have been met. This may include evidence of compliance, including reports, where appropriate.

## Appendix A3 Indigenous Employment and Supplier-Use Infrastructure Framework (Framework)

### Important

The purpose of Appendix A3 of the Notes on Administration is to set out the Framework's implementation and administrative requirements for Funding Recipients. If any inconsistencies arise between the originally drafted Framework, and any part of the Notes on Administration with regard to Indigenous participation requirements, the requirements contained in A3 will prevail. The full version of the Framework, which sets out the Commonwealth's policy intent and strategic context can be accessed on [investment.infrastructure.gov.au](https://investment.infrastructure.gov.au).

The Framework applies to construction projects receiving \$7.5 million or more in Australian Government contributions and in some circumstances for projects below \$7.5 million with strong potential to support Indigenous participation. For more detail on Project Thresholds and Exemptions see A3.8.

### Summary of requirements

Funding Recipients must submit an Indigenous Participation Plan or similar for each applicable project. It must include the following key elements:

- A participation target comprising either, or both an employment component and supplier-use component
- An engagement plan outlining engagement with relevant Indigenous stakeholders, and supply-side support providers, and
- A plan for public reporting on performance to promote transparency and accountability.

Where State governments have existing Indigenous participation policies or plans that meet or exceed the Australian Government's requirements, the Australian Government will consider accepting the State's plan, on a project-by-project basis. More information on Alternatives to developing an Indigenous Participation Plan is at A3.2.

### A3.1 Indigenous Participation Plans

Funding Recipients are required to develop Indigenous Participation Plans for transport infrastructure projects receiving \$7.5 million or more in Australian Government contributions through the major road and rail investment program under the NPA. The requirements apply to projects where construction stage funding is formally approved under the *National Land Transport Act 2014* and that are publicly tendered from 1 July 2019 (requirements will not be applied retrospectively to projects where construction stage funding was approved and works were publicly tendered prior to 1 July 2019).

The Plans should set out the anticipated opportunities for Indigenous participation, including specific targets for Indigenous employment and supplier-use in the delivery of projects (see *Calculation of targets* below). The Plan should address how targets will be met, how opportunities will be communicated to the community, and how the longer-term participation of Indigenous employees and suppliers will be facilitated (for example through capability development).

It is expected that Funding Recipients will address these requirements through their procurement processes and the approach to Indigenous participation will be negotiated with the successful contractor. Funding

Recipients should look favourably on proposals that promote long-term and sustainable Indigenous participation.

The Funding Recipient is required to submit the Indigenous Participation Plan at the time of providing their Project Proposal Report to the Department of Infrastructure, Transport, Regional Development and Communications (the Department), which occurs before formal approval of Australian Government funding and States going out to tender. The Department will assess the Plan's approach and rationale supporting proposed targets, and may request further information from States or request changes to the Plan.

Funding Recipients will need to set out the Indigenous participation requirements in tender documents to ensure industry has visibility prior to bidding for work. Should there be significant variation to the Plan (i.e. contractors are unable to satisfactorily address the proposed requirements set out in the agreed Plan), the Funding Recipient should consult with the most appropriate Indigenous representative body (for example a Land Council), and come back to the Department for further discussions before awarding the contract.

Funding Recipients should engage early with the National Indigenous Australians Agency (NIAA) and/or the Commonwealth Department of Education, Skills and Employment State Office Network on the development of their Plans. In terms of geographic reach, on-the-ground presence and knowledge of local Indigenous communities, the regional offices are well-placed to connect up appropriate supports with the specific needs of individual projects and communities. This will also allow for early and ongoing identification of any gaps in supply-side supports.

Agreement from the Australian Government minister with responsibility for transport infrastructure to the proposed Plan is required prior to the construction contract being awarded. The Department may seek advice from other relevant agencies in developing advice to the Minister.

### ***A3.2 Alternatives to developing an Indigenous Participation Plan***

Where a State has developed a detailed Indigenous participation plan for a specific project, the Department may agree to accept the State's plan in lieu of completing an Indigenous Participation Plan. This will be considered on a case-by-case basis.

This option would only apply where the State's plan has been developed for a specific project and provides sufficient detail for the Department to assess whether it addresses all of the Framework's requirements, including with regard to setting targets, appropriate engagement with supply-side support providers and Indigenous bodies, and public reporting on performance.

This approach is intended to recognise proactive efforts by States to develop ambitious and high-quality Indigenous participation plans for transport projects and avoids duplication of effort.

States would need to seek prior agreement in writing from the Department to their proposed plan. In line with the process for agreeing Indigenous Participation Plans, the agreement of Australian Government minister with responsibility for transport infrastructure will also be required.

### ***A3.3 Calculation of targets***

Indigenous participation targets are to be set to reflect the local Indigenous working age population, with Funding Recipients able to put forward adjustments to targets (up or down), supported by appropriate States, taking into consideration:

- the local employment market, including in terms of the number of Indigenous businesses, workers and job seekers, and their relevant skills, capabilities, qualifications and training; and
- the scale, value and location of the project, and skills and capabilities required to deliver the project; and
- the availability of supply-side services to support the meeting of any targets and assist build the capacity of Indigenous businesses and job-seekers to take up opportunities; and
- existing State policies and/or targets.



Information on the local Indigenous working age population can be sourced from the Australian Bureau of Statistics or from an equivalent State agency. Any queries about setting the target can be referred to the Department in the first instance.

Targets can be met through any combination of employment or supplier-use across the supply chain (see below).

- Employment is to be measured in terms of number of full time equivalent (FTE) employees (not head count).
- Supplier-use is to be measured by percentage of contract spend, calculated at the project level.

Funding Recipients need to specify the proportion of both employment and contract spend and how each component contributes to the overall target.

Where a Funding Recipient proposes to use alternative metrics to calculate targets, including in accordance with their own State policy, this should be explained in the Indigenous Participation Plan.

Indigenous participation targets can be met over the life of a project, allowing varying levels of labour requirements and supplier engagement during the project phases. Once targets are agreed, any variation to targets, for example where there is a change to the scope or size of the project which impacted on Indigenous participation, requires agreement from the Australian Government.

As the capability of the Indigenous workforce and business sector increases, and additional supply-side supports are implemented, and readiness of employers/contractors to take on increased numbers of Indigenous workers and contracted suppliers increases, it is expected that there will be less need for flexibility in setting targets.

#### ***Weighting of Indigenous participation requirements***

State governments have primary responsibility for the procurement, construction and maintenance of infrastructure projects, and the majority also have their own Indigenous employment and procurement policies. The Framework is intended to provide States with flexibility to procure and manage projects effectively and efficiently, while still meeting the Australian Government's Indigenous participation requirements.

On this basis, the Framework does not specify a weighting for Indigenous participation requirements in the award of contracts. Instead, the procuring agency has discretion to consider the strength of the Indigenous participation component in the context of the proposal as a whole.

This will ensure that contractors' capability to deliver the required works on a value for money basis remains the prevailing consideration in the award of contracts by State governments.

### **A3.4 Verifying Indigeneity**

To ensure that Indigenous Australians are the genuine beneficiaries of the Framework, it is important to apply a consistent approach to verifying Indigeneity of businesses and individuals.

It is noted, however, that seeking to verify Indigeneity, particularly of individuals, poses both cultural and administrative complexities. Some job-seekers and businesses may be unwilling to identify as Aboriginal or Torres Strait Islander due to fear of discrimination. There are also cultural sensitivities associated with governments or businesses asking Indigenous Australians to "prove" their cultural heritage, which may cause offence and in some cases documentation may not be readily available.

In addition, it is important to be mindful of the administrative burden for contractors associated with additional pre-employment checks.

To the extent possible, the proposed approach to verifying Indigeneity aligns with established and accepted practices for other Indigenous policies and programs, such as the Australian Government's Indigenous Procurement Policy (IPP).

For the purposes of verifying that a business meets the definition of an **Indigenous business**:

- Businesses listed on Supply Nation's register are accepted as an Indigenous business.
- If a business says it is Indigenous owned and is not listed with Supply Nation, the procuring officer must take steps to assure themselves that the business is 50 per cent or more Indigenous owned. This may include:
  - confirming registration with an Indigenous Chamber of Commerce,
  - seeking a statutory declaration or a letter of Indigeneity from organisations such as Land Councils.
- Indigenous corporations registered with Office of the Registrar of Indigenous Corporations ORIC ([www.oric.gov.au](http://www.oric.gov.au)) are accepted as an Indigenous business.

The definition recognises that in some family businesses just one member of a couple is Indigenous and that private sector investment is critical to support growth of the Indigenous business sector.

For the purposes of verifying that a business meets the IPP definition of an **Incorporated Indigenous joint venture**:

- They must be registered with Supply Nation; and
- Be at least 50% Indigenous owned and demonstrate 50% Indigenous involvement in the management and control of the joint venture; and
- Additionally, as part of this registration they must have in place:
  - A strategy to build the capability of the Indigenous business partner.
  - An Indigenous workforce strategy.

**Individuals** would be required to sign and provide a statutory declaration or a confirmation of Indigeneity to the employer stating they:

- are of Aboriginal descent and/or Torres Strait Islander descent
- identify as an Australian Aboriginal and/or Torres Strait Islander
- are accepted as an Australian Aboriginal and/or Torres Strait Islander in the community in which they live or have lived
- are aware that under the Criminal Code Act 1995 (Cth) section 137.1 giving false or misleading information is a serious offence
- have documentary evidence to support information contained in the declaration.

Funding Recipients should communicate these requirements to contractors as part of the tender process.

Where a Funding Recipient determines that this approach would not be suitable for their specific circumstances, they may apply a different approach to verifying Indigeneity, provided they can satisfy themselves as to the level of genuine Indigenous participation in projects.

### **A3.5 Sectors in the supply-chain**

Indigenous participation requirements apply to roles and industry sectors that primarily relate to infrastructure construction, in line with the Approved Purposes or eligible project costs stipulated in the National Land Transport Act 2014 and in the Notes on Administration. These include roles spanning across the infrastructure construction supply chain, for example but not limited to: project management; engineering design; financial services; environmental management; traffic management; supply-chain logistics; construction of roads; rail; bridges; tunnels and retaining walls.

However, where a Funding Recipient or contractor identifies an opportunity for Indigenous participation in an aspect of project delivery not specifically identified in the Notes on Administration, this may be considered in consultation between the Australian Government and the relevant State governments. This provides additional flexibility to meet any Indigenous participation requirements.

### **A3.6 'Local first' principle**

The Framework is intended to result in tangible economic and social benefits for local Indigenous people living in surrounding communities. To this end, ideally employees and contractors required for a project should be first sourced from within the local area, then from the wider region and beyond, where local capacity is unable to meet the participation requirements.

There may be circumstances where this approach is neither practical nor cost-effective. Where necessary and culturally appropriate, contractors may need to rely on Indigenous employees or contracted businesses from outside of the local area. As such, 'local first' should be regarded as a principle, rather than a requirement of the Framework.

Stakeholders have indicated that there are a range of definitions for 'local' being used in the different States and that definitions are dependent on the context of specific projects. On this basis, local should be defined in terms of what makes sense for a specific project, based on but not limited to:

- the needs and values of the local community, including Indigenous connections to land and country
- formal definitions such as local government area
- proximity to the project.

A rationale for this definition and the approach forward should be clearly outlined in the Indigenous Participation Plan.

### **A3.7 Supply-side supports**

The success of the Framework will rely on the availability and whole-of-government coordination of appropriate supply-side supports to ensure an increase in the demand for Indigenous labour and business services is able to be met by a suitably skilled and qualified workforce.

This includes support for Indigenous job seekers and businesses for the training required to develop skills and obtain necessary qualifications; support for contractors to identify suitably skilled Indigenous job-seekers and businesses; and better visibility of project opportunities to enable time for upskilling. This is likely to involve a range of agencies across levels of government.

#### ***Support for job-seekers***

Employment service providers deliver support to Indigenous job seekers and work with employers to support better opportunities for job seekers. Given adequate notice of industry projects, they can be leveraged to encourage Indigenous job seekers to upskill and seek relevant employment or apprenticeship opportunities.

Complementing Indigenous specific supply-side measures are a range of mainstream employment services in metropolitan and regional areas managed by the Commonwealth Department of Education, Skills and Employment. These mainstream employment services include:

- Jobactive – the Australian Government's mainstream employment program
- Transition to Work – which provides intensive pre-employment assistance to young people aged 15-21 who have disengaged from the labour market
- ParentsNext – which is an early intervention program for recipients of Parenting Payment who have young children
- New Enterprise Incentive Scheme – which provide individualised support to help job seekers to start their own business.

Indigenous specific services such as the Community Development Programme (CDP), Vocational Training and Employment Centres (VTECs) will work with contractors to prepare job-seekers for specific roles. Flexible employment grants such as Tailored Assistance Employment Grants (TAEG) are also available to directly support hiring action by employers.

### ***Support for businesses***

Existing and emerging Indigenous businesses will be supported by the Australian Government's:

- Indigenous Entrepreneurs Fund which includes regionally-based business advisers and grants for capacity-enhancing plant and equipment for start-ups and growing remote and regional Indigenous businesses.
- Indigenous Business Sector Strategy which is rolling out Indigenous Business Hubs, an Indigenous Entrepreneurs Capital Scheme and a doubling of the footprint of microfinance services.

The Australian Government will consider partnering with relevant agencies in the States to establish employment/business project hubs in strategic locations, where there is a business case for this, in order to help with the coordination of support services.

Staff in the NIAA regional offices will also play a role in tailoring supply-side strategies for projects as necessary.

This investment will be maximised if the Australian Government and the States work to coordinate and tailor existing programs and services. Indigenous participation will be increased with sufficient lead-time for effective planning and implementation of supply-side strategies.

## **A3.8 Project Thresholds and Exemptions**

### ***Thresholds***

The Framework applies to projects receiving \$7.5 million or more in Australian Government contributions.

For projects below the \$7.5 million threshold, the State's own Indigenous policy would apply. In some circumstances, the Australian Government or the relevant State government may identify a project with strong potential to support Indigenous participation but where the Australian Government contribution is below \$7.5 million, such as locations where there is a high proportion of Indigenous people within the population. These projects may also require an Indigenous Participation Plan.

The Framework will apply to all projects funded under the Australian Government's Roads of Strategic Importance in Northern Australia regardless of the level of Commonwealth contribution.

### ***Exemptions***

States may seek an exemption to Indigenous participation requirements for a specific project, where there is strong justification. This will be considered by exception only and requires agreement from relevant Australian Government ministers.

In addition, the IIP sub-programs are not covered by the Framework. Where relevant, the State's own Indigenous participation policy will apply. The sub-programs not covered by the Framework include:

- Black Spot;
- Bridges Renewal Program;
- Heavy Vehicles Safety and Productivity Program; and
- Roads to Recovery.

States, through both their relationships with local governments and their State procurement policies, are also well-placed to play a role in encouraging and supporting greater Indigenous participation in the delivery of smaller, local projects, including those funded under the Roads to Recovery and Black Spots sub-programs.

Projects funded under the Northern Australia Roads programs are covered by a separate Indigenous participation framework created in response to the Government's White Paper on Developing Northern Australia.

## **A3.9 Accountability**

The Australian Government recognises that the Framework's success will depend on an effective partnership between governments and industry.

The Framework seeks to leverage the goodwill and effort demonstrated by State governments and industry.

That said, it is important that governments and industry are accountable for Indigenous participation commitments – this has been particularly emphasised by Indigenous stakeholders.

States will be required to keep effective records on the performance of contractors against their Indigenous participation requirements. States should review contractors' performance (such as if they have met the target or not, and whether appropriate justification was provided where targets were not met) at the completion of each project and this would be a factor in consideration for the award of future contracts. This creates a clear incentive for contractors to meet Indigenous performance requirements in order to win future contracts.

### **A3.10 Reporting**

#### ***Business-as-Usual Reporting Requirements***

For individual projects, States will be required to report on progress against Indigenous Participation Plans or the State's own Indigenous participation plan accepted by the Department (as outlined in A3.2) as part of the standard monthly reporting process in place for the Infrastructure Investment Program. Where practical, reporting should cover:

- the target (per the agreed Indigenous Participation Plan)
- progress against the target, including (where available):
  - number of FTE Indigenous employees
  - value of contracts awarded to Indigenous businesses, as a proportion of the total project cost
  - qualitative information, including the type of roles in the supply chain filled by Indigenous persons and certifications obtained on the job.

Where actual participation rates vary from targets proposed in the Indigenous Participation Plan, States should provide advice on the circumstances influencing the outcomes and should seek to address any issues in consultation with the Australian Government.

Transparent reporting from the States throughout the project life cycle will also assist the Australian Government to provide the necessary supply-side supports that are required to achieve the best Indigenous participation outcomes over the long-term.

At the conclusion of a project, States will be required to provide information on Indigenous participation, including performance against targets, as part of the Post Completion Report.

#### ***Public Reporting Requirements***

COAG agreed at its February 2018 meeting to report publicly on Indigenous employment and business outcomes annually. As part of this commitment, COAG has established online performance reporting for priority policies of the Closing the Gap Refresh, at the national and State government level.

Under the Framework, States will be required to report publicly on Indigenous participation on a project-by-project basis, including performance against targets for all projects.

At a minimum, performance against targets must be reported publicly upon completion of a project, however, States may report more frequently at their discretion and in line with their own policies.

As a guide, public reporting on projects underway should include the participation target pursued for the project, and indicate the progress to date (on-track, not on-track, or met, not met):

- For projects that have met or exceeded participation targets, include key achievements, the factors that contributed to meeting targets, and where appropriate share lessons learnt.
- For projects where target are not on track or not met, a brief explanation of the reason(s) for targets not being met should be included.

This is intended to promote accountability and transparency, as well as consistency in reporting across all States so that progress can be measured effectively. It is up to States to decide the most appropriate channel to



publicly report this information, for example on the relevant government agency website or through their respective COAG channels, noting States may already have reporting requirements in place under their own policies.

Prior to public reporting, States should undertake appropriate consultation with relevant Indigenous stakeholders and contractors, and observe the principles of respect and appropriateness, and protect the privacy of individuals.

As part of the Post Completion Report, Funding Recipients will be required to confirm that public reporting requirements have been met.

### **A3.11 Review**

An interim review of the Framework will be undertaken two years after the Framework's implementation (expected around mid 2021) and a substantive review at around the three-four year mark (expected to commence late 2022), to feed into the development of the next NPA.

A review of the Framework will seek to test:

- its effectiveness in delivering increased Indigenous employment and supplier-use, including whether targets are becoming higher or more ambitious over time
- lessons learned and how these could be incorporated into future design of the Framework
- any implications in terms of project delivery including value for money
- adequacy and efficiency of monitoring, reporting and accountability arrangements
- adequacy of supply-side supports in place to enable governments and industry to meet targets.

The outcomes of the review should inform the need for any changes to the design and implementation of the Framework, and the need for any additional or different supply-side supports. The review provides an opportunity for evidence-based analysis of the Framework's impacts in terms of benefits and any costs, drawing on actual project data.

The review would be led by the Australian Government, in consultation with State governments, industry and Indigenous representative bodies, such as the Prime Minister's Indigenous Advisory Council, peak land councils and Indigenous businesses and associations.

## Appendix B – Project Proposal Report Templates

<a href="#">Road Project Proposal Report Template</a> .....	43
<a href="#">Rail Project Proposal Report Template</a> .....	64
<a href="#">Indigenous Participation Plan</a> .....	84

*For road projects receiving a total Australian Government contribution up to \$7.5 million, but with the total estimated project cost not exceeding \$25 million, a Small Road Project Proposal Report Template is available for use at: [https://investment.infrastructure.gov.au/about/resources/notes\\_on\\_administration.aspx](https://investment.infrastructure.gov.au/about/resources/notes_on_administration.aspx)*

## Road Project Proposal Report Template

<i>Project Name</i>	
<i>Version Number</i>	
<i>Date submitted to the Department</i>	

## GUIDANCE NOTES

The purpose of the Road Project Proposal Report (PPR) template is to set out the information required by the Department of Infrastructure, Transport, Regional Development and Communications (the Department) to support funding processes for proposed infrastructure investments.

Project proponents are to complete each section of the PPR to the extent possible and where possible the PPR template is to be completed in full. Noting that PPRs can be received at different stages of a project's development the minimum information requirements for projects based on Phase of development is set out below.

Scoping Phase	<ul style="list-style-type: none"> <li>• The investigation of options available (including the option to do nothing) to address an identified transport problem/opportunity, such as route selection for a bypass.</li> <li>• This Phase produces a preferred option and an estimated total Project cost.</li> <li>• For Scoping Phase PPRs the following questions are not mandatory: D2-D5; E4; G3; H2-H5.</li> </ul>
Development Phase	<ul style="list-style-type: none"> <li>• The refinement and further development of a specific Project including detailed planning, environmental approvals and community consultation, in order to bring a project to 'construction ready'.</li> <li>• This stage can include pre construction works such as land acquisition and ground clearing.</li> </ul>
Delivery Phase	<ul style="list-style-type: none"> <li>• The construction and delivery of a complete project.</li> </ul>

## A. PROJECT OVERVIEW

This section provides a snapshot of the Funding Recipient and the Project to be assessed.

### Proponent Details

#### A1 Entity Name

#### A2 Primary Project Contact

Name:

Phone:

Position:

Email:

Postal Address:


#### A3 Project Partners

Identify Federal, State or Local Government and/or private organisations making a financial or in-kind contribution to the project. .

### Project Details

#### A4 Project Name

Project name must be used consistently across future stages of PPRs.

#### A5 Project Identification (ID)

Project ID is assigned by the Department. Project ID must be used consistently across future stages of PPRs.

#### A6 Project Summary

A project summary should be prepared with potential publication on the Department's website in mind. The summary should be a maximum of 500 words in length and should cover the Project's:

- Rationale/ objectives
- Location
- Key benefits
- Progress to date


#### A7 Geographical Coordinates in Shapefile format if available (.shp, .shx, .dbf)

Provide geographical coordinates of the project location or area under investigation.

#### A8 Corridor and section of the National Land Transport Network (if applicable)

Provide details of the National Land Transport Network's coverage of the Project location.

The National Land Transport Network is defined by the National Land Transport Network Determination 2020 ) available at: <https://www.legislation.gov.au/Details/F2020L00851> .

If not applicable mark n/a.



**A9 Related Projects**

*Provide details of other works, projects or studies related to the proposed Project (please provide web links to studies where applicable).*

*This may include works related to the Project that are not considered 'Approved Purposes' under Section 2.1.3.2 of the NLT Act.*

## B. PROJECT SCOPE

This section details how the problem or opportunity was determined, why it is eligible for Australian Government funding and the options the Funding Recipient explored before settling on the final Scope.

### B1 Problem/ Opportunity Statement

*Please describe the problem/ opportunity as a succinct statement that clearly identifies the cause and effect of the problem/ opportunity. Please include evidence and data to demonstrate the scale of the problem/opportunity and the need for Australian Government funding to address the problem and/or make the most of the opportunity.*

### B2 Options Evaluation

*What options are being considered/ were considered? These could include:*

- *Mode;*
- *Alignment; and*
- *Capital intensive vs non-capital intensive options.*

*Please also explain:*

- *The process for evaluating the options and determining the preferred option*
- *How public participation helped inform the preferred option?*
- *Assumptions made in comparing options; and*
- *If the project with the highest Net Present Value was not selected, explain why.*

*Note: If the Project is Scoping Phase and seeking funding for studies such as Options Analysis and/or Business Case development that will include an investigation of the options this should be noted here with further detail provided in B3.*

### B3 Scope of Project Phase

*Please outline, in as much detail as possible, and in conjunction with the advice on phases, outlined below, the Scope of the project, Scope could include:*

- *Type of work being undertaken (duplication, widening, sealing, intersection upgrades etc.);*
- *Kilometres of road being upgraded/constructed;*
- *Flood immunity standard for Project;*
- *Type of report that will be produced – Study, Business Case, Options Analysis; and*
- *How safe system principles will be built into the Project.*

*Note: Funding will only be approved for the scope related to the current Phase.*

*Description and specific information required for each specific phase:*

#### Scoping Phase

*Scoping Phase should outline at a high level the proposed Project that will be developed further as part of this Phase.*

*Scoping Phase may outline in detail how a Business Case or Options Analysis will be undertaken, including a high level explanation of the multiple options being considered (including a 'do nothing' option) to best address an identified problem/ opportunity.*

*Scoping Phase may also include requests for funding for land acquisition if the land acquired is common to all options being considered as part of the analysis.*

#### Development Phase

*Development Phase should include detailed Project design works, including whether the Project is an*

*upgrade or new, type of work being undertaken, kilometre length and axillary works to support the Project (such as environmental measures). Development phase may also outline steps still needed in order to get the Project 'delivery ready'. This could include Environmental Impact Assessments, early earth works, service relocations, geo-technical investigations or design refinement.*

#### Delivery Phase

*The Delivery Phase should build on the work undertaken in the Development Phase and outline a detailed delivery plan for the construction of the Project.*

*Note: if the Project has a fixed cost but a variable scope (such as package of road sealing works along a corridor) please outline the works is expected to be completed within the available funding envelope as well as staged scope increases that could be done if savings are identified.*

## **B4 Eligibility under the National Land Transport Act 2014**

*Please indicate which part(s) of the Act are relevant to Project approval.*

*National Land Transport Act 2014, Part 3, Section 10:*

*A project is eligible for approval as an Investment Project if the project is for one or more of the following:*

- (a) the construction of an existing or proposed road that is in a State or Indian Ocean Territory;*
- (b) the maintenance of an existing or proposed road that is included in the National Land Transport Network;*
- (c) the construction of an existing or proposed railway that is in a State or Indian Ocean Territory;*
- (d) the maintenance of an existing or proposed railway that is included in the National Land Transport Network;*
- (e) the construction of an inter-modal transfer facility in a State or Indian Ocean Territory;*
- (f) the acquisition or application of technology that will, or may, contribute to the efficiency, security or safety of transport operations in a State or Indian Ocean Territory.*

*Note: The definition of 'construction' in Section 4 of the NLT Act covers some kinds of work on an existing road, railway or inter-modal transfer facility (hence the references above to the construction of an existing road, railway or inter-modal transfer facility).*

## C. PROJECT COSTS

This section considers project cost information and includes a summary of the data required in the Project Cost Breakdown Template. This section is to be completed in as much detail as possible based on current Project Phase.

- C1 Complete the jurisdiction-specific Project Cost Breakdown Template provided by the Department

*A probabilistic Cost Estimation process must be used for Projects with a total anticipated Outturn cost (including contingency) exceeding \$25 million unless otherwise approved by the Commonwealth. Projects with a total anticipated Outturn cost (including contingency) under \$25 million may use a deterministic methodology, however the Department recommends using a probabilistic cost estimation method where possible.*

*The Department provides detailed guidance on cost estimation on its webpage*

*[http://investment.infrastructure.gov.au/about/funding\\_and\\_finance/cost\\_estimation\\_guidance.aspx](http://investment.infrastructure.gov.au/about/funding_and_finance/cost_estimation_guidance.aspx).*

- C2 Provide details of the Total Outturn Cost breakdown in the summary table.

**Overall Project Cost Summary Table**

	P50 (\$m AUD)	P90 (\$m AUD)
<b>Base Cost Estimate</b>	0	0
<b>Contingency</b>	0	0
<b>Total Project Cost Estimate</b>	0	0
<b>Escalation</b>	0	0
<b>Total Outturn Cost Estimate</b>	0	0

- C3 Provide a budget profile for the Project in the table below

*The budget profile should outline the Australian Government and State Government funding contributions for the overall Project per financial year at P50 Outturn Costs for projects that have an Australian Government contribution of \$25 million or more. For projects that have an Australian Government contribution of under \$25 million, P90 Outturn Costs should be used.*

*If the Project has a fixed committed amount but a variable scope (such as a package of road sealing works along a corridor) please provide a budget profile for the Project outlining the Australian and State funding contributions for the overall Project per financial year at the total committed amount. The totals and cash flows must be consistent with the populated Project Cost Breakdown template and the NPA schedule.*

**Financial Year Forecast Milestone Requirement \***

P50/P90 Outturn (or Actual as appropriate)		FY (\$m)	FY (\$m)	FY (\$m)	FY (\$m)	FY (\$m)	Balance of Commitment** (\$m)
	Australian Government contribution	0	0	0	0	0	0
	State Government contribution	0	0	0	0	0	0
	Other contribution (provide detail)	0	0	0	0	0	0
	Total						

\*Payment of Australian Government funding will be subject to the achievement of Project milestones determined in consultation between Commonwealth and state officials.

\*\*To be made available on demonstrated need.

- C4 What is the status of the State Government funding outlined above? Please state if the funding is committed in budget forward estimates, announced but not yet committed in the budget or yet to be confirmed.



## D. BENEFITS

This section provides the Department with qualitative and quantitative data that will be used to highlight the benefits of the Project.

### D1 Provide a summary of the expected positive outcomes and benefits to be delivered by the Project:

*This section should include a description of the benefits to be delivered by the Project. Examples may include (but not limited to):*

- the number of traffic lights avoided
- active transport measures
- additional kilometres of public space available for community amenity
- greater access for high productivity freight vehicles
- increased flood immunity
- enhanced regional connectivity
- social impacts, such as visual amenity/ liveability
- cultural impacts
- biodiversity and environmental measures

### D2 Provide a summary of the BCR in the tables below:

*The proponent should estimate Project benefits in line with their own standard practice and aligned with guidance provided by Infrastructure Australia and the Australian Transport Assessment and Planning (ATAP) Guidelines. Standard definitions for Benefit Areas and examples of best practices for the collection and collation of benefits data are available on the following websites:*

- Infrastructure Australia: <https://www.infrastructureaustralia.gov.au/submission-guidelines> (refer to the Assessment Framework-Section D- Technical Guidance)
- ATAP Guidelines: <https://atap.gov.au/>

*Where practicable, provide details of the Benefit Cost Ratio (BCR) using a discount rate of 4per cent and 7 per cent for both the P90 and P50 cost of the Project. If not practicable to do so, please outline reasons why.*

*Definitions of the benefit categories:*

- Standard benefits: core transport economic benefits are per the ATAP guidelines and set out in the table at D4.
- Wider Economic Benefits (WEBS): includes agglomeration benefits as specified in ATAP guidelines
- Other benefit categories: transport economics is evolving to include new benefit areas that may not yet be formally recognised in transport guidelines such as city shaping benefits. Where analysis on broader benefit categories has been undertaken please include it as a separate line item in the table below.

**Summary Measures (P50)**

		4% Discount rate	7% Discount rate
<b>Present Value Cost</b>			
<b>Present Value Benefits</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		
<b>Benefit Cost Ratio</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		

**Summary Measures (P90)**

		4% Discount rate	7% Discount rate
<b>Present Value Cost</b>			
<b>Present Value Benefits</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		
<b>Benefit Cost Ratio</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		

**D3 Please complete the Benefit Indicators table below.**

*The Department will undertake a detailed review of the benefits used to calculate the Project BCR. All costs and benefits contained within the benefits indicator table sheet should be in the metrics listed below. Unless otherwise specified indicators are to be annual averages over the appraisal period. Fill in as many data fields as possible.*

**Benefits indicator table**

Benefit Area	Benefit indicator and units	Value
Reliability/ amenity	Public Transport reliability (standard deviation hours per annum)	
	Journey time reliability (standard deviation hours per annum)	
Safety	Number of avoided crashes (average annual)	
	Number of avoided serious injuries (average annual)	
	Number of avoided fatalities (average annual)	
Active transport benefits	Additional kilometres of walk and cycle paths (kilometres)	
	Increased walking and cycling activity (number of trips by mode and average kilometres per annum)	

Commuter time savings (daily commute to work)	Minutes saved by commuters on their daily commute to work based on a sample of commutes along the relevant corridor (average annual)	
	Average number of commuter trip (annual)	
Leisure time savings	Average time savings for people on trips for leisure activities (minutes)	
	Average number of leisure trips (annual)	
Freight / business time savings	Average time savings for business trips, including freight (minutes)	
	Average number of business and freight trips (annual)	
Vehicle Operating Costs	Average change in vehicle operating costs for freight and business operators (annual)	
	Average change in vehicle operating costs for passengers (annual)	
Freight and Business Productivity	Average annual value of the sum of reduced vehicle operating costs, time savings and travel time reliability for freight and business users	
Construction Jobs	Number of jobs supported by the Project during the construction phase of the Project (average per annum FTE)	
Operations Jobs	Number of jobs supported by the Project during the operational phase of the Project (average per annum FTE)	

D4 Please complete the Benefit Net Present Value (NPV) table below.

*Descriptions of benefit component table columns:*

- Present value of all benefits:* Represents the present value of the Project (in millions of dollars). Enter figures only into the cells shaded blue.
- Year 10 benefits in \$m:* Represents the benefits of the Project forecasted to be achieved during Year 10 (in millions of dollars). If no Year 10 forecast is available, replace with projections from a different year that reflects the projects "steady state". Enter figures only into the cells shaded purple.
- Year 10 benefits as percentage of total benefits:* Represents the forecasted Year 10 benefit for a specific line item as a percentage of the total Year 10 benefit.

Please refer to D2 for guidance on the standard benefits, WEBS and other benefits. Where other benefits are greater than 5% please specify in the benefits area and provide an overview of the approach used to estimate the benefit area.

Benefit Component		Present Value of all Benefits (\$m)	Year 10 Only:	
			Year 10 Benefits in \$m (10 years after construction complete)	Year 10 Benefits as a percentage of total benefits
Travel Time Savings	Passenger (existing/ new users)			
	Business (existing/ new users)			
	Freight (existing/ new users)			
	Total Travel Time Savings			
Reduced Vehicle Operating Costs (resource costs)	Passenger (existing/ new users)			
	Business (existing/ new users)			
	Freight (existing/ new users)			
	Total Reduced Operating Costs			
Crash Reduction	Passenger (existing/ new users)			
	Business (existing/ new users)			
	Freight (existing/ new users)			
	Total Crash Reduction			
Environmental Benefits	Reduced Greenhouse Emissions			
	Reduced Local Pollution			
	Reduced Noise			
	Other (i.e. Biodiversity)			
Reduced Maintenance Costs	Total Environmental Benefits			
	Routine (Annual)			
	Periodic			
	Rehabilitation			
Other standard benefits (reliability, crowding, tolls/fare box)	Total Reduced Maintenance Costs			
TOTAL STANDARD BENEFITS*				
Wider Economic Benefits	Agglomeration Benefits			
	Other Wider Economic Benefits			
	Total Wider Economic Benefits			
Other Benefits (i.e. City shaping)	(add category as required: such as heavy vehicle productivity)			
	(add category as required)			
	Total Other Benefits			

\*Total Standard Benefits should equal sum of total benefits.

- D5 Please complete the traffic and use assumptions table below. For public transport projects please complete the table by mode (new public transport investment and mode of transport from which traffic will be induced from).

*Transport model data to be provided to the extent possible in accordance with the table below. If peak travel time data is available please provide. Data is to be provided for passenger trip numbers and Vehicle Kilometres Travelled (VKT).*

Description of Traffic and use assumptions rows

- Users of existing infrastructure in Base Case: refers to use of the infrastructure in the future under a "no project" scenario – that is, if the Project did not go ahead.
- User of new upgraded infrastructure in Project Case: refers to the use of the new or upgraded infrastructure under the Project scenario – that is if the Project goes ahead.
- Users diverted from the rest of the road network: refers to the users of the new/upgraded infrastructure that otherwise would have used alternative roads
- Users diverted from other transport modes: refers to the users of the new/upgraded infrastructure that otherwise would have used alternative modes of transport
- Generated trips: refers to induced demand – i.e. trips that were non-existent anywhere on the network without the project. Include only those generated trips that will utilise the project.

		First year after Project completion	10 years following Project completion	30 years following Project completion
<b>Users of existing infrastructure in Base Case</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>User of new/ upgraded infrastructure in Project Case</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>Users diverted from the rest of the highway network</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>Users diverted from other transport modes (where possible).</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>Generated trips</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			



## E. FINANCING AND PROCUREMENT

This section is to provide the Department with a narrative as to why a particular financing and/or procurement method was chosen and details on how that procurement method will be managed.

- E1 If the total estimated project cost greater than \$50 million, please outline the process for considering alternative funding and/or financing opportunities and the outcome of the considerations.

*If NO – go to E2*

*Proponents must provide details of how this exploration was carried out and whether there is scope for private sector financing or alternative funding. Consideration should be given to the following:*

- *What will be covered? Core versus non-core services;*
- *The capacity and appetite of the market to be able to deliver this kind of Project;*
- *Public interest;*
- *Long term sustainability;*
- *Value for money;*
- *Value capture opportunities; and*
- *Opportunities for private sector contributions*

*Please attach a copy of the formal assessment.*

- E2 If the estimated Project cost is less than \$50 million was private funding or financing investigated proportional to the size of the project. If so, please provide a summary of how it has been considered and the outcome of the considerations?

*Noting that the Project is less than \$50 million are there are Project characteristics that warrant consideration of private sector funding or financings. For example, does the Project significantly benefit specific private sector operators?*

- E3 What is the preferred procurement method for the Project? Please outline the specific details of the contracting method (design and construct for example) and why it was chosen. If over \$50 million, how was a Public Private Partnership considered in line with the National Public Private Partnership Guidelines?

*Funding recipients should consider the different procurement methods available to deliver the Project including, traditional contracting, alliance contracting and Public Private Partnerships. For major projects, this should take the form of robust, careful procurement options analysis. The Australian Transport Assessment Planning Guidelines provide a comprehensive framework to support decision making for transport infrastructure and serves as a national standard. It can be found at <https://atap.gov.au/>.*

*If a Public-Private Partnership is proposed, provide details of the structure and funding method (user charges, availability payments) proposed. The Department provides guidelines on and instruction on Public Private Partnerships in its National PPP Guidelines which can be found at <https://infrastructure.gov.au/infrastructure/ngpd/files/National-PPP-Policy-Framework-Oct-2015.pdf>.*

*Note: The preferred procurement method may only be a prospective preference at this stage.*

**E4 Is a tender exemption being sought?**

*A tender exemption excuses the funding recipient from having to take the Project to market for delivery. For a project to be eligible for a tender exemption it must meet at least one of the requirements under Section 24(1) (c)i to vi of the NLT Act.*

*If eligible a tender request must include the following detail:*

- *Category under which the exemption is being sought – Section 24(1) (c)i to vi of the NLT Act;*
- *How the proposed procurement strategy will ensure value for money;*
- *Scope of work for which the exemption is being sought;*
- *Value of the works;*
- *Intended entity to undertake the work;*
- *Supporting reasons for the exemption.*

**E5 Project Timeline**

*Include the expected timing of high-level Project activities, including those on the critical path, and estimated completion date of the Project (i.e. the complete Project for an investigative study would typically be the study itself).*

*Please list and describe the assumptions underpinning the schedule set out above, including if the Project is dependent on the delivery of other projects, planning approvals or environmental studies by other bodies or agencies.*

Activity	Timeline

## F. RISK AND SUSTAINABILITY

This section outlines major risks associated with the Project, where the responsibility for managing these risks lies, and how sustainability can be built into the Project to increase its overall benefit.

- F1 Identify the major risks, and proposed mitigation strategies to successfully deliver this Project.

*Proponents should explain the risk identification process, including the use of risk workshops, to be undertaken as part of the Project. Please also list the most significant risks to successful delivery and provide details of the mitigation strategies proposed, including requesting increased Australian Government involvement where appropriate.*

*This information may be supported by an attached summarised risk register table.*

- F2 Identify the major dis-benefits of the projects and how the Project may impact the community and environment.

*Proponents should explain major dis-benefits and negative externalities associated with the Project including social, cultural and environmental impacts. This should include information such as the number and type of property resumptions, any increase to noise or pollution levels, a-flux issues and/or environmental considerations such as clearing and habitat removal should be included.*

- F3 Detail any sustainability strategies that will be adopted

*Environmentally sustainable strategies could include the reuse of dug out dirt as prefill, innovative tarmac solutions, solar panelling for ITS equipment etc.*

*Animal protection policies could include animal underpasses, overhead 'bridges' and the redevelopment of animal habitat in the area.*

## G. STAKEHOLDER ENGAGEMENT

This section outlines the steps the Funding Recipient will take to ensure that the public and other relevant stakeholders are engaged and actively managed throughout the Project.

- G1 Provide details on how public and stakeholder participation will be facilitated during this phase, and the Project overall.

*Factors that should be considered when determining the appropriate level of public and stakeholder participation may include:*

- *Potential for conflict over the Project;*
- *Potential for major social, environmental or economic impacts; and*
- *Relevant legislative requirements.*

- G2 Please complete the stakeholder consultation table below.

*Provide information on completed or planned consultations including the type of consultation the relevant stakeholders involved as well as a brief description of the issues raised and a plan to manage those issues.*

Date	Type of Consultation (stakeholders invited i.e. industry, community)	Issues raised	Management plan

- G3 Provide a comprehensive public recognition signage plan

*The plan should set out the proposed signage for the Project in line with the Signage Guidelines available from the Department's website at*

*[https://investment.infrastructure.gov.au/about/resources/signage\\_guidelines.aspx](https://investment.infrastructure.gov.au/about/resources/signage_guidelines.aspx).*

## H. COMPLIANCE

This section provides the Department assurance that the Funding Recipient understands their responsibilities with regard to both State and Commonwealth legislation and regulation and has taken steps to actively comply.

### H1 List Commonwealth or State legislation triggered by the Project.

*As an example, legislation that may be triggered by the Project could include the Commonwealth's Environment Protection and Biodiversity Conservation Act 1999 or the Queensland Government's Aboriginal Cultural Heritage Act 2003 and the Torres Strait Islander Cultural Heritage Act 2003.*

*For the Scoping Phase, it is necessary only to highlight foreseen legislation issues.*

### H2 Does the Building Code 2016 apply to this Project? If so, please confirm compliance. YES/ NO

*YES – please confirm compliance.*

*NO – please explain why.*

*See Appendix A2 for more information.*

### H3 Does the Australian Government Building and Construction WHS Accreditation Scheme apply to this Project? If so, please confirm compliance. YES/ NO

*YES – please confirm compliance.*

*NO – please explain why.*

*See Appendix A2 for more information.*

### H4 If the Project has an Australian Government funding contribution of equal to or greater than \$7.5 million, has an Indigenous Participation Plan been attached? YES/ NO

*YES – plans will assessed by the Department for compliance.*

*NO – please explain why.*

*See Appendix A3 for more information.*

*See Appendix B3 for the Indigenous Participation Plan Template*

### H5 If the Project is more than \$20 million, a Local Industry Participation Plan or an Australian Industry Participation Plan must be provided to the Department. YES/NO

*YES – please send, once complete, for forwarding to the Commonwealth Department of Industry, Science, Energy and Resources ([aip@industry.gov.au](mailto:aip@industry.gov.au)) for compliance.*

*Note: final milestones will not be paid out for a Project until a LIPP is provided.*

*See Section 2.3 of the Notes on Administration for more information.*



- H6 Is the proposed Australian Government contribution \$250 million or greater. If yes, has the Business Case been submitted to Infrastructure Australia for review?

YES/NO

*YES – provide date and status of IA assessment (if known).*

*NO – please provide advice on expected timing of submission to IA.*

*See Section 2.2 of the Notes on Administration for more information.*

## I. SIGN OFF

*The Project should be signed and dated by the appropriate officer, as per each jurisdiction's in-house approval process.*

X

/ /20

## **J. ATTACHMENTS**

This section is where information that was used to help complete the PPR will be attached as Appendices.

If a Business Case (including strategic or preliminary Business Cases) or Options Analysis was undertaken on the Project the Department requires a copy be attached to the PPR.

## J1 Supporting Information

*Supporting information should only include documents that have been referred to in the body of the PPR, for example:*

- *GIS data / shape files;*
- *Photographs;*
- *Locality and/or topographical plans and maps;*
- *Demand forecasts;*
- *Safety audits;*
- *Historical crash statistics;*
- *Engineering plans;*
- *Environmental, cultural and social studies;*
- *Risk assessment reports;*
- *Other descriptive information.*

*Documents in relation to cost estimates that must be provided include:*

- *Completed Project Cost Breakdown spreadsheet;*
- *Cost Estimate Report explaining how the cost estimate was developed, which must include:*
  - *background and context for the Project;*
  - *outline scope for the Project;*
  - *details of the risk workshop/s undertaken, and subject matter experts consulted;*
  - *copy of the Risk Register underpinning the contingency included in the Project costings (where a probabilistic cost estimation process has been used this will be the source of much of the Cost Estimation Tool risk input data);*
  - *details of the person/firm preparing the cost estimate; and*
  - *evidence that Project costs have been comprehensively reviewed and authorised in accordance with the Proponent's published guidelines.*

*For projects equal to or over \$25 million in total Outturn Cost or where a probabilistic cost estimation process has been used, the following information must be provided:*

- *Cost Estimation Tool (for example, @RISK and Crystal Ball) Output Report files, which must at a minimum include charts showing the non-Outturned Project Cost probability distribution and associated cumulative probability distribution ('S' Curve), Simulation Summary Details (that is, sampling type, number of iterations, Random Number Generator a Tornado diagram and accompanying Regression and Rank Information Table, and Summary Statistics for the Project Cost, including the Project cost estimate (unescalated) at 5 per cent intervals from 5 per cent to 95 per cent confidence).*
- *Cost Estimation Tool input data files in spreadsheet format that includes sufficient information to permit the Department or its contractors to re-run the probabilistic cost estimation simulation.*
- *Bibliography of all documents consulted by the cost estimator in preparing the cost estimate (including version number/date, proper title, document format and author). Note: It is a requirement that the Proponent maintains a digital library of all documents consulted in preparing the cost estimate.*

*Projects with cost estimates prepared using a deterministic estimation process must provide, when requested:*

- *Underpinning documentation explaining the derivation of the Base Estimate and the approximate P50 and P90 values (both Non-Outturned and Outturned).*

Rail Project Proposal Report Template

<i>Project Name</i>	
<i>Version Number</i>	
<i>Date submitted to the Department</i>	

## GUIDANCE NOTES

The purpose of the Rail Project Proposal Report (PPR) template is to set out the information required by the Department of Infrastructure, Transport, Regional Development and Communications (the Department) to support funding processes for proposed infrastructure investments.

Project proponents are to complete each section of the PPR to the extent possible and where possible the PPR template is to be completed in full. Noting that PPRs can be received at different stages of a project's development the minimum information requirements for projects based on Phase of development is set out below.

Scoping Phase	<ul style="list-style-type: none"> <li>• The investigation of options available (including the option to do nothing) to address an identified transport problem/ opportunity, such as route selection for a bypass.</li> <li>• This Phase produces a preferred option and an estimated total Project cost.</li> <li>• For Scoping Phase PPRs the following questions are not mandatory: D2-D5; E4; G3; H2-H5.</li> </ul>
Development Phase	<ul style="list-style-type: none"> <li>• The refinement and further development of a specific Project including detailed planning, environmental approvals and community consultation, in order to bring a project to 'construction ready'.</li> <li>• This stage can include pre construction works such as land acquisition and ground clearing.</li> </ul>
Delivery Phase	<ul style="list-style-type: none"> <li>• The construction and delivery of a complete project.</li> </ul>



## A. PROJECT OVERVIEW

This section provides a snapshot of the Funding Recipient and the Project to be assessed.

### Proponent Details

#### A1 Entity Name

#### A2 Primary Project Contact

*Name:*

*Position:*

*Phone:*

*Email:*

*Postal Address:*

#### A3 Project Partners

*Identify Federal, State or Local Government and/or private organisations making a financial or in-kind contribution.*

### Project Details

#### A4 Project Name

*Project name must be used consistently across future stages of PPRs.*

#### A5 Project Identification (ID)

*Project ID is assigned by the Department. Project ID must be used consistently across future stages of PPRs.*

#### A6 Project Summary

*A project summary should be prepared with potential publication on the Department's website in mind. The summary should be a maximum of 500 words in length and should cover the Project's:*

- *Rationale/ objectives*
- *Location*
- *Key benefits*
- *Progress to date*

#### A7 Geographical Coordinates in Shapefile format if available (.shp, .shx, .dbf)

*Provide geographical coordinates of the project location or area under investigation.*

#### A8 Corridor and section of the National Land Transport Network (if applicable)

*Provide details of the National Land Transport Network's coverage of the Project location.*

*The National Land Transport Network is defined by the National Land Transport Network Determination 2020 ) available at: <https://www.legislation.gov.au/Details/F2020L00851>.*

*If not applicable mark n/a.*

**A9 Related Projects**

*Provide details of other works, Projects or studies related to the proposed Project (please provide web links to studies where applicable).*

*This may include works related to the Project that are not considered 'Approved Purposes' under Section 2.1.3.2 of the NLT Act.*

## B. PROJECT SCOPE

This section details how the problem or opportunity was determined, why it is eligible for Australian Government funding and the options the Funding Recipient explored before settling on the final Scope.

### B1 Problem/ Opportunity Statement

*Please describe the problem/ opportunity as a succinct statement that clearly identifies the cause and effect of the problem/ opportunity. Please include evidence and data to demonstrate the scale of the problem/opportunity and the need for Australian Government funding to address the problem and/or make the most of the opportunity.*

### B2 Options Evaluation

*What options are being considered/ were considered? These could include:*

- *Mode;*
- *Alignment; and*
- *Capital intensive vs non-capital intensive options.*

*Please also explain:*

- *The process for evaluating the options and determining the preferred option*
- *How public participation helped inform the preferred option?*
- *Assumptions made in comparing options; and*
- *If the project with the highest Net Present Value was not selected, explain why.*

*Note: If the Project is Scoping Phase and seeking funding for studies such as Options Analysis and/or Business Case development that will include an investigation of the options this should be noted here with further detail provided in B3.*

### B3 Scope of Project Phase

*Please outline, in as much detail as possible, and in conjunction with the advice on phases, outlined below, the Scope of the project, Scope could include:*

- *Type of work being undertaken (extensions, level crossing removals, station upgrades etc.);*
- *Kilometres of rail being upgraded/constructed;*
- *Flood immunity standard for Project;*
- *Type of report that will be produced – Study, Business Case, Options Analysis; and*

*Note: Funding will only be approved for the scope related to the current Phase.*

*Description and specific information required for each specific phase:*

#### Scoping Phase

*Scoping Phase should outline at a high level the proposed Project that will be developed further as part of this Phase.*

*Scoping Phase may outline in detail how a Business Case or Options Analysis will be undertaken, including a high level explanation of the multiple options being considered (including a 'do nothing' option) to best address an identified problem/ opportunity.*

*Scoping Phase may also include requests for funding for land acquisition if the land acquired is common to all options being considered as part of the analysis.*

#### Development Phase

*Development Phase should include detailed Project design works, including whether the Project is an upgrade or new, type of work being undertaken, kilometre length and axillary works to support the*

*Project (such as environmental measures). Development phase may also outline steps still needed in order to get the Project 'delivery ready'. This could include Environmental Impact Assessments, early earth works, service relocations, geo-technical investigations or design refinement.*

**Delivery Phase**

*The Delivery Phase should build on the work undertaken in the Development Phase and outline a detailed delivery plan for the construction of the Project.*

*Note: if the Project has a fixed cost but a variable scope (such as package of level crossing removals) please outline the works is expected to be completed within the available funding envelope as well as staged scope increases that could be done if savings are identified.*

#### **B4 Eligibility under the National Land Transport Act 2014**

*Please indicate which part(s) of the Act are relevant to Project approval.*

*National Land Transport Act 2014, Part 3, Section 10:*

*A project is eligible for approval as an Investment Project if the project is for one or more of the following:*

- (a) the construction of an existing or proposed road that is in a State or Indian Ocean Territory;*
- (b) the maintenance of an existing or proposed road that is included in the National Land Transport Network;*
- (c) the construction of an existing or proposed railway that is in a State or Indian Ocean Territory;*
- (d) the maintenance of an existing or proposed railway that is included in the National Land Transport Network;*
- (e) the construction of an inter-modal transfer facility in a State or Indian Ocean Territory;*
- (f) the acquisition or application of technology that will, or may, contribute to the efficiency, security or safety of transport operations in a State or Indian Ocean Territory.*

*Note: The definition of construction in Section 4 of the NLT Act covers some kinds of work on an existing road, railway or inter-modal transfer facility (hence the references above to the construction of an existing road, railway or inter-modal transfer facility).*

#### **B5 Supply chain analysis (freight rail only)**

*Provide a summary of the potential supply chain impacts, including consideration of how the Project may impact:*

- the volume and value of current and future freight demand by commodity type;*
- community and industry opportunities and any anticipated structural changes;*
- industry competitiveness; and*
- links to intermodal hubs and ports; and*
- alignment with national key freight routes.*

## C. PROJECT COSTS

This section considers project cost information and includes a summary of the data required in the Project Cost Breakdown Template. This section should be completed in as much detail as possible based on current Project Phase.

- C1 Complete the jurisdiction-specific Project Cost Breakdown Template provided by the Department

*A probabilistic Cost Estimation process must be used for Projects with a total anticipated Outturn cost (including contingency) exceeding \$25 million unless otherwise approved by the Commonwealth. Projects with a total anticipated Outturn cost (including contingency) under \$25 million may use a deterministic methodology, however the Department recommends using a probabilistic cost estimation method where possible.*

*The Department provides detailed guidance on cost estimation on its webpage*

*[http://investment.infrastructure.gov.au/about/funding\\_and\\_finance/cost\\_estimation\\_guidance.aspx](http://investment.infrastructure.gov.au/about/funding_and_finance/cost_estimation_guidance.aspx).*

- C2 Provide details of the Total Outturn Cost breakdown in the summary table.

**Overall Project Cost Summary Table**

	P50 (\$m AUD)	P90 (\$m AUD)
Base Cost Estimate	0	0
Contingency	0	0
Total Project Cost Estimate	0	0
Escalation	0	0
Total Outturn Cost Estimate	0	0

- C3 Provide a budget profile for the Project in the table below.

*The budget profile should outline the Australian Government and State Government funding contributions for the overall Project per financial year at P50 Outturn Costs for projects that have an Australian Government contribution of \$25 million or more. For projects that have an Australian Government contribution of under \$25 million, P90 Outturn Costs should be used.*

*The totals and cash flows should be consistent with the populated Project Cost Breakdown template and the NPA schedule.*



**Financial Forecast Milestone Requirement\***

P50/P90 Outturn (or Actual as appropriate)		FY (\$m)	FY (\$m)	FY (\$m)	FY (\$m)	FY (\$m)	Balance of Commitment** (\$m)
	Australian Government contribution	0	0	0	0	0	0
	State Government contribution	0	0	0	0	0	0
	Other contribution (provide detail)	0	0	0	0	0	0
	Total						

\*Payment of Australian Government funding will be subject to the achievement of project milestones determined in consultation between Commonwealth and state / territory officials.

\*\*To be made available on demonstrated need.

- C4 What is the status of the State Government funding outlined above? Please state if the funding is committed in budget forward estimates, announced but not yet committed in the budget or yet to be confirmed.

- C5 Provide details of the escalation rate(s) used in the table below:

*Please provide details of the escalation rate(s) used and the source and justification for those rates.*

	FY	FY	FY	FY	FY
Escalation Rate (%)					

## D. BENEFITS

This section provides the Department with qualitative and quantitative data that will be used to highlight the benefits of the Project.

### D1 Provide a summary of the expected positive outcomes and benefits to be delivered by the Project:

*This section should include a description of the benefits to be delivered by the Project. Examples may include (but not limited to):*

- *improved on time running*
- *reductions to over-crowding*
- *enhanced regional connectivity*
- *social impacts, such as visual amenity/ liveability*
- *increased flood immunity*
- *cultural impacts*
- *Biodiversity and environmental measures*

### D2 Provide a summary of the BCR in the tables below:

*The Proponent should estimate Project benefits in line with their own standard practice and aligned with guidance provided by Infrastructure Australia and the Australian Transport Assessment and Planning (ATAP) Guidelines. Standard definitions for Benefit Areas and examples of best practices for the collection and collation of benefits data are available on the following websites:*

- *Infrastructure Australia: <https://www.infrastructureaustralia.gov.au/submission-guidelines> (refer to the Assessment Framework-Section D- Technical Guidance)*
- *ATAP Guidelines: <https://atap.gov.au/>*

*Where practicable, provide details of the Benefit Cost Ratio (BCR) using a discount rate of 4per cent and 7 per cent for both the P90 and P50 cost of the Project. If not practicable to do so, please outline reasons why.*

*Definitions of the benefit categories:*

- *Standard benefits: core transport economic benefits are per the ATAP guidelines and set out in the table at D4.*
- *Wider Economic Benefits (WEBS): includes agglomeration benefits as specified in ATAP guidelines*
- *Other benefit categories: transport economics is evolving to include new benefit areas that may not yet be formally recognised in transport guidelines such as city shaping benefits. Where analysis on broader benefit categories has been undertaken please include it as a separate line item in the table below.*

**Summary Measures (P50)**

		<b>4% Discount rate</b>	<b>7% Discount rate</b>
<b>Present Value Cost</b>			
<b>Present Value Benefits</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		
<b>Benefit Cost Ratio</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		

**Summary Measures (P90)**

		<b>4% Discount rate</b>	<b>7% Discount rate</b>
<b>Present Value Cost</b>			
<b>Present Value Benefits</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		
<b>Benefit Cost Ratio</b>	Standard benefits		
	Standard benefits with WEBS		
	Standard benefits with WEBS and other benefit categories		

**D3 Please complete the Benefit Indicators table below.**

*The Department will undertake a detailed review of the benefits used to calculate the Project BCR. All costs and benefits contained within the benefits indicator table sheet should be in the metrics listed below. Unless otherwise specified indicators are to be annual averages over the appraisal period. Fill in as many data fields as possible.*

**Benefits indicator table**

<b>Benefit Area</b>	<b>Benefit indicator and units</b>	<b>Value</b>
Reliability / amenity	Crowding penalty (average hours per annum)	
	Public Transport reliability (standard deviation hours per annum)	
	Journey time reliability (standard deviation hours per annum)	
Mode shift	Reduced car use (annual average trips and VKT)	
Safety on roads due to mode shift	Number of avoided crashes (average annual)	
	Number of avoided serious injuries (average annual)	
	Number of avoided fatalities (average annual)	
Active transport benefits	Additional kilometres of walk and cycle paths (kilometres)	
	Increased walking and cycling activity (number of trips by mode and average kilometres per annum)	
Commuter time savings (daily commute to work)	Minutes saved by commuters on their daily commute to work based on a sample of commutes along the relevant corridor (average annual)	
	Average number of commuter trips (annual)	
Freight time savings	Average time savings freight (minutes)	
Freight and Business Productivity	Average annual value of the sum of reduced vehicle operating costs, time savings and travel time reliability for freight and business users	
Frequency of service	Peak and off-peak service frequency	
Public Transport Access	Number of additional dwellings within 400 metres of public transport stations/stops	
Construction Jobs	Number of jobs supported by the Project during the construction phase of the Project (average per annum FTE)	
Operations Jobs	Number of jobs supported by the Project during the operational phase of the Project (average per annum FTE)	

D4 Please complete the Benefit Net Present Value (NPV) table below.

Descriptions of benefit component table columns:

- Present value of all benefits: Represents the present value of the Project (in millions of dollars). Enter figures only into the cells shaded blue.
- Year 10 benefits in \$m: Represents the benefits of the Project forecasted to be achieved during Year 10 (in millions of dollars). If no Year 10 forecast is available, replace with projections from a different year that reflects the projects "steady state". Enter figures only into the cells shaded light purple.
- Year 10 benefits as percentage of total benefits: Represents the forecasted Year 10 benefit for a specific line item as a percentage of the total Year 10 benefit.

Please refer to D2 for guidance on the standard benefits, WEBS and other benefits. Where other benefits are greater than 5% please specify in the benefits area and provide an overview of the approach used to estimate the benefit area.

Benefit Component		Present Value of all Benefits (\$m)	Year 10 Only: Year 10 Benefits in \$m (10 years after construction complete)	Year 10 Benefits as a percentage of total benefits
Journey Time Savings	Commuter/ Leisure (existing/ new users)			
	Business (existing/ new users)			
	Freight (existing/ new users)			
	Total Travel Time Savings			
Reduced Vehicle Operating Costs (resource costs)	Commuter/ Leisure (existing/ new users)			
	Business (existing/ new users)			
	Freight (existing/ new users)			
	Total Reduced Operating Costs			
Crash Reduction	Commuter/ Leisure (existing/ new users)			
	Business (existing/ new users)			
	Freight (existing/ new users)			
	Total Crash Reduction			
Environmental Benefits	Reduced Greenhouse Emissions			
	Reduced Local Pollution			
	Reduced Noise			
	Other (i.e. Biodiversity)			
Reduced Maintenance Costs	Total Environmental Benefits			
	Routine (Annual)			
	Periodic			
	Rehabilitation			
Tolls/ Fare Box Revenue	Total Reduced Maintenance Costs			
	Total Tolls/ Fare Box Revenue			
Other standard benefits (reliability, crowding etc.)				
TOTAL STANDARD BENEFITS*				
Wider Economic Benefits	Agglomeration Benefits			
	Other Wider Economic Benefits			
	Total Wider Economic Benefits			
	(add category as required)			
Other Benefits (i.e. City shaping)	Total Other Benefits			

\*Total Standard Benefits should equal sum of total benefits.



- D5 Please complete the traffic and use assumptions table below. For public transport projects please complete the table by mode (new public transport investment and mode of transport from which traffic will be induced from).

*Transport model data to be provided to the extent possible in accordance with the table below. If peak travel time data is available please provide. Data is to be provided for passenger trip numbers and Vehicle Kilometres Travelled (VKT).*

Description of Traffic and use assumptions rows

- Users of existing infrastructure in Base Case: refers to use of the infrastructure in the future under a “no project” scenario – that is, if the Project did not go ahead.
- User of new upgraded infrastructure in Project Case: refers to the use of the new or upgraded infrastructure under the Project scenario – that is if the Project goes ahead.
- Users diverted from the road network: refers to the users of the new/upgraded infrastructure that otherwise would have used alternative roads
- Users diverted from other transport modes: refers to the users of the new/upgraded infrastructure that otherwise would have used alternative modes of transport
- Generated trips: refers to induced demand – i.e. trips that were non-existent anywhere on the network without the project. Include only those generated trips that will utilise the project.

		First year after Project completion	10 years following Project completion	30 years following Project completion
<b>Users of existing infrastructure in Base Case</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>User of new/ upgraded infrastructure in Project Case</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>Users diverted from the rest of the highway network</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>Users diverted from other transport modes (where possible).</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			
	Freight and business (trips / VKT)			
<b>Generated trips</b>	Passenger (trips / VKT)			
	Business (trips / VKT)			

## E. FINANCING AND PROCUREMENT

This section is to provide the Department with a narrative as to why a particular financing and/or procurement method was chosen and details on how that procurement method will be managed.

- E1 If the total estimated project cost greater than \$50 million, please outline the process for considering alternative funding and / or financing opportunities and the outcome of the considerations.

*If NO – go to E2*

*Proponents must provide details of how this exploration was carried out and whether there is scope for private sector financing or alternative funding. Consideration should be given to the following:*

- *What will be covered? Core versus non-core services;*
- *The capacity and appetite of the market to be able to deliver this kind of Project;*
- *Public interest;*
- *Long term sustainability;*
- *Value for money;*
- *Value capture opportunities; and*
- *Opportunities for private sector contributions*

*Please attach a copy of the formal assessment.*

- E2 If the estimated Project cost is less than \$50 million was private funding or financing investigated proportional to the size of the project. If so, please provide a summary of how it has been considered and the outcome of the considerations?

*Noting that the Project is less than \$50 million are there are Project characteristics that warrant consideration of private sector funding or financings. For example, does the Project significantly benefit specific private sector operators?*

- E3 What is the preferred procurement method for the Project? Please outline the specific details of the contracting method (design and construct for example) and why it was chosen. If over \$50 million, how was a Public Private Partnership considered in line with the National Public Private Partnership Guidelines?

*Funding recipients should consider the different procurement methods available to deliver the Project including, traditional contracting, alliance contracting and Public Private Partnerships. For major projects, this should take the form of robust, careful procurement options analysis. The Australian Transport Assessment Planning Guidelines provide a comprehensive framework to support decision making for transport infrastructure and serves as a national standard. It can be found at <https://atap.gov.au/>.*

*If a Public-Private Partnership is proposed, provide details of the structure and funding method (user charges, availability payments) proposed. The Department provides guidelines on and instruction on Public Private Partnerships in its National PPP Guidelines which can be found at <https://infrastructure.gov.au/infrastructure/ngpd/files/National-PPP-Policy-Framework-Oct-2015.pdf>.*

*Note: The preferred procurement method may only be a prospective preference at this stage.*

**E4 Is a tender exemption being sought?**

*A tender exemption excuses the funding recipient from having to take the Project to market for delivery. For a project to be eligible for a tender exemption it must meet at least one of the requirements under Section 24(1) (c)i to vi of the NLT Act.*

*If eligible a tender request must include the following detail:*

- *Category under which the exemption is being sought – Section 24(1) (c)i to vi of the NLT Act;*
- *How the proposed procurement strategy will ensure value for money;*
- *Scope of work for which the exemption is being sought;*
- *Value of the works;*
- *Intended entity to undertake the work;*
- *Supporting reasons for the exemption.*

**E5 Project Timeline**

*Include the expected timing of high-level Project activities, including those on the critical path, and estimated completion date of the Project (i.e. the complete Project for an investigative study would typically be the study itself).*

*Please list and describe the assumptions underpinning the schedule set out above, including if the Project is dependent on the delivery of other projects, planning approvals or environmental studies by other bodies or agencies.*

Activity	Timeline

## F. RISK AND SUSTAINABILITY

This section outlines major risks associated with the Project, where the responsibility for managing these risks lies, and how sustainability can be built into the Project to increase its overall benefit.

- F1 Identify the major risks, and proposed mitigation strategies to successfully deliver this Project.

*Proponents should explain the risk identification process, including the use of risk workshops, to be undertaken as part of the Project. Please also list the most significant risks to successful delivery and provide details of the mitigation strategies proposed, including requesting increased Australian Government involvement where appropriate.*

*This information may be supported by an attached summarised risk register table.*

- F2 Identify the major dis-benefits of the projects and how the Project may impact the community and environment.

*Proponents should explain major dis-benefits and negative externalities associated with the Project including social, cultural and environmental impacts. This should include information such as property resumptions, any increase to noise or pollution levels, a-flux issues resulting from flood immunity and/or environmental considerations such as clearing and habitat removal should be included.*

- F3 Detail any sustainability strategies that will be adopted

*Environmentally sustainable strategies could include the reuse of dug out dirt as prefill, innovative tarmac solutions, solar panelling for ITS equipment etc.*

*Animal protection policies could include animal underpasses, overhead 'bridges' and the redevelopment of animal habitat in the area.*

## G. STAKEHOLDER ENGAGEMENT

This section outlines the steps the Funding Recipient will take to ensure that the public and other relevant stakeholders are engaged and actively managed throughout the Project.

- G1 Provide details on how public and stakeholder participation will be facilitated during this phase, and the Project overall.

*Factors that should be considered when determining the appropriate level of public and stakeholder participation may include:*

- *Potential for conflict over the Project;*
- *Potential for major social, environmental or economic impacts; and*
- *Relevant legislative requirements.*

- G2 Please complete the stakeholder consultation table below.

*Provide information on completed or planned consultations including the type of consultation the relevant stakeholders involved as well as a brief description of the issues raised and a plan to manage those issues.*

Date	Type of Consultation (stakeholders invited i.e. industry, community)	Issues raised	Management plan

- G3 Provide a comprehensive public recognition signage plan

*The plan should set out the proposed signage for the Project in line with the Signage Guidelines available from the Department's website at*

*[https://investment.infrastructure.gov.au/about/resources/signage\\_guidelines.aspx](https://investment.infrastructure.gov.au/about/resources/signage_guidelines.aspx).*



## H. COMPLIANCE

This section provides the Department assurance that the Funding Recipient understands their responsibilities with regard to both State and Commonwealth legislation and regulation and has taken steps to actively comply.

### H1 List Commonwealth or State legislation triggered by the Project.

*As an example, legislation that may be triggered by the Project could include the Commonwealth's Environment Protection and Biodiversity Conservation Act 1999 or the Queensland Government's Aboriginal Cultural Heritage Act 2003 and the Torres Strait Islander Cultural Heritage Act 2003.*

*For the Identification Phase, it is necessary only to highlight foreseen legislation issues.*

### H2 Does the Building Code 2016 apply to this Project? If so, please confirm compliance.

YES/ NO

*YES – please confirm compliance.*

*NO – please explain why.*

*See Appendix A2 for more information.*

### H3 Does the Australian Government Building and Construction WHS Accreditation Scheme apply to this Project? If so, please confirm compliance.

YES/ NO

*YES – please confirm compliance.*

*NO – please explain why.*

*See Appendix A2 for more information.*

### H4 If the Project has an Australian Government funding contribution of equal to or greater than \$7.5 million, has an Indigenous Participation Plan been attached?

YES/ NO

*YES – plans will assessed by the Department for compliance.*

*NO – please explain why.*

*See Appendix A3 for more information.*

*See Appendix B3 for the Indigenous Participation Plan Template.*

### H5 If the Project is more than \$20 million, a Local Industry Participation Plan or an Australian Industry Participation Plan must be provided to the Department.

YES/NO

*YES – please send, once complete, for forwarding to the Commonwealth Department of Industry, Science, Energy and Resources ([aip@industry.gov.au](mailto:aip@industry.gov.au)) for compliance.*

*Note: final milestones will not be paid out for a Project until a LIPP is provided.*

*See Section 2.3 of the Notes on Administration for more information.*

### H6 Is the proposed Australian Government contribution \$250 million or greater. If yes, has the Business Case been submitted to Infrastructure Australia for review?

YES/NO

*YES – provide date and status of IA assessment (if known).*

*NO – please provide advice on expected timing of submission to IA.*

*See Section 2.2 of the Notes on Administration for more information.*

**I. SIGN OFF**

*The Project should be signed and dated by the appropriate officer, as per each jurisdiction's in-house approval process.*

**X**

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**/ /20**

## J. ATTACHMENTS

This section is where information that was used to help complete the PPR will be attached as Appendices.

If a Business Case (including strategic or preliminary Business Cases) or Options Analysis was undertaken on the Project the Department requires a copy be attached to the PPR.

### J1 Supporting Information

*Supporting information should only include documents that have been referred to in the body of the PPR, for example:*

- GIS data;
- Photographs;
- Locality and/or topographical plans and maps;
- Demand forecasts;
- Safety audits;
- Historical crash statistics;
- Engineering plans;
- Environmental, cultural and social studies;
- Risk assessment reports;
- Other descriptive information.

*Documents in relation to cost estimates that must be provided include:*

- Completed Project Cost Breakdown spreadsheet;
- Cost Estimate Report explaining how the cost estimate was developed, which must include:
  - background and context for the Project;
  - outline scope for the Project;
  - details of the risk workshop/s undertaken, and subject matter experts consulted;
  - copy of the Risk Register underpinning the contingency included in the Project costings (where a probabilistic cost estimation process has been used this will be the source of much of the Cost Estimation Tool risk input data);
  - details of the person/firm preparing the cost estimate; and
  - evidence that Project costs have been comprehensively reviewed and authorised in accordance with the Proponent's published guidelines.

*For projects equal to or over \$25 million in total Outturn Cost or where a probabilistic cost estimation process has been used, the following information must be provided:*

- Cost Estimation Tool (for example, @RISK and Crystal Ball) Output Report files, which must at a minimum include charts showing the non-Outturned Project Cost probability distribution and associated cumulative probability distribution ('S' Curve), Simulation Summary Details (that is, sampling type, number of iterations, Random Number Generator a Tornado diagram and accompanying Regression and Rank Information Table, and Summary Statistics for the Project Cost, including the Project cost estimate (unescalated) at 5 per cent intervals from 5 per cent to 95 per cent confidence).
- Cost Estimation Tool input data files in spreadsheet format that includes sufficient information to permit the Department or its contractors to re-run the probabilistic cost estimation simulation.
- Bibliography of all documents consulted by the cost estimator in preparing the cost estimate (including version number/date, proper title, document format and author). Note: It is a requirement that the Proponent maintains a digital library of all documents consulted in preparing the cost estimate.

*Projects with cost estimates prepared using a deterministic estimation process must provide, when requested:*

- Underpinning documentation explaining the derivation of the Base Estimate and the approximate P50 and P90 values (both Non-Outturned and Outturned).

# Indigenous Participation Plan

PROJECT NAME:

PROJECT NUMBER:

FUNDING RECIPIENT:

This Plan will be submitted to the Australian Government prior to commencing the formal tender process.

**Before you begin:**

*This Plan should be developed in conjunction with the requirements under the Indigenous Employment and Supplier-Use Infrastructure Framework (the Framework) at Appendix A3.*

## Scope for Indigenous participation (mandatory)

*The Australian Government requires Funding Recipients to identify a range of potential opportunities to Indigenous job-seekers and businesses across the infrastructure construction supply chain.*

1. Provide an overview of the project phases and project delivery roles (i.e. primary roles, skills and capabilities) targeting Indigenous Participation in the delivery of this project.

***[E.g. Indigenous participation will target the delivery of earthworks to prepare the project site for the development of an intersection between the Bruce Highway and the Bajool Port Alma Road. The primary roles targeting Indigenous participation to deliver this phase include the servicing and operation of heavy machinery and entry-level traffic management positions to divert traffic flows from the project site. These roles require on the job work experience and license to operate and/or service heavy machinery and equipment.]***

**'Local first principle':**

*Funding Recipients are encouraged to offer employment and business opportunities to the Indigenous Australians local to the area.*

*In determining 'local' and 'locality' Funding Recipients may consider Indigenous communities' connection to land and country, formal local government definitions and proximity to the project.*

*Determining the 'Local Indigenous working age population'*

## Setting an Indigenous participation target (mandatory)

*In order to have funding formally approved and released, the Australian Government requires that an Indigenous participation target is set with reference to the local Indigenous working age population figure for the relevant region/project locality, and consistent with the 'local first principle' of the Framework.*

2. What is the definition of 'local' for this project phase?
3. Using the ABS Census data (or equivalent), determine the local Indigenous working age population figure for the project, and set the Project's Indigenous participation target *(double click on the excel table to open, click anywhere on document to exit)*



Once 'local' has been defined for the project, the local Indigenous working age population is the number of Indigenous peoples aged between 15-64 years of age as found by the Australian Bureau of Statistics (ABS) most recent Census data available – look for Indigenous and Torres Strait Islander Peoples' community profiles- refer to Table 103

What is the local Indigenous working age population figure in the locality?

0

What is the total working age population (non-Indigenous and Indigenous) figure in the locality?

0

The Participation Target the Project will aspire to achieve is:

#DIV/0!

**Equation 1 : “Defined Local Indigenous Working Age Population figure” is divided by the “Defined Total Local Working Age Population figure” and is then multiplied by 100 to express it as a percentage.**

**If using an alternative data source, please provide the relevant links or evidence for verification purposes.**

**Adjusting Participation Targets (required if not adopting the target calculated at Question 3, otherwise go to Question 6).**

*Targets can be adjusted up or down depending on a range of factors, for consideration by the Department of Infrastructure, Transport, Regional Development and Communications. Where the proposed target is significantly lower than the local Indigenous working age population, Funding Recipients must complete this section, and demonstrate through market sounding, research and consultation with relevant government agencies, including written advice from the Regional Network of the National Indigenous Australians Agency, that a lower target is required.*

4. What is the proposed adjusted participation target?
5. Explain the rationale for the adjustment and variations on the Indigenous participation target (calculated at Question 3) with reference to at least one of the factors listed below (as applicable):
  - the local employment market, including in terms of the number of Indigenous businesses, workers and job seekers, and their relevant skills, capabilities, qualifications and training;
  - the scale, value and location of the project, and skills and capabilities required to deliver the project;
  - the availability of supply-side services to support the meeting of any targets and assist in building the capacity of Indigenous businesses and job-seekers to take up opportunities; or
  - existing state and territory policies and/or targets.

**[E.g. the Indigenous working age population in the defined local area is 12 per cent. The proposed project is situated in a semi-remote area and the majority of work requires complex and diverse skillsets and tertiary project management qualifications. The skills are not widely available in the local area and supply-side**



supports are limited. It is estimated that an Indigenous participation target of 7 per cent, consisting of 3 per cent FTE positions and 4 per cent contract value for Indigenous businesses would be achievable in this delivery context.

6. Provide the Indigenous participation target for the life of the project<sup>1</sup> and include a breakdown of the employment<sup>2</sup> and supplier-use<sup>3</sup> component towards the target<sup>4</sup>.

***[E.g. a participation target of 10 per cent comprises 3 per cent FTE positions and 7 per cent of total contract value for Indigenous businesses].***

Participation target component	Target	Recommended Metrics (if available)
Employment	[Example 3%]	FTE hours or positions that is anticipated or planned as a proportion of the total FTE hours or positions estimated  <i>i.e. 1.5 FTE of an estimated total 50 FTE positions</i>
Supplier-use	[Example 7%]	For supplier-use % of total contract value that is <b>anticipated or planned*</b> to be awarded to Indigenous Businesses  <i>i.e. \$840,000 of \$12million total project/contract value</i>  *note this can be adjusted (up or down) to reflect market soundings before contracts are awarded.
Total	= [example 10%]  (The Participation target)	

***Note: The target can be met through an employment component, a supplier-use component or a combination of both. There is no specified minimum for either of these components. Where a Funding Recipient proposes to use alternative metrics to calculate targets, including in accordance with their own State policy, this should be explained in the Indigenous Participation Plan.***

7. Explain how the community will be made aware of opportunities under this project, and outline prospects for long-term capability development.

<sup>1</sup> The 'life of the project' timeframe should correspond with the project phases identified at Question 1.

<sup>2</sup> The number of full-time employee (FTE) positions or equivalent hours undertaken by Indigenous employees.

<sup>3</sup> Supplier-use is the percentage of the total contract value to be awarded to Indigenous businesses.

**[E.g. the Funding Recipient will advertise opportunities in the local media and look at opportunities for the Indigenous workforce/businesses to undertake commercial scaffolding, painting and finishing].**

#### Developing a 'supply-side' strategy

The success of Indigenous Participation Plans may rely on the availability and whole-of-government coordination of appropriate supply-side supports to ensure an increase in the demand for Indigenous labour and business services is able to be met by a suitably skilled and qualified workforce.

The Australian Government will consider partnering with relevant agencies in the jurisdictions to establish employment/business project hubs in strategic locations, where there is a business case for this, in order to help with the coordination of support services.

Contact your local **National Indigenous Australians Agency** <https://www.niaa.gov.au/contact-us/regional-network-addresses> for help with tailoring a supply-side strategy for the project.

### Supply side supports and engagement with Indigenous Stakeholders (mandatory)

Achievement against Indigenous participation targets may rely on the availability of appropriate supply-side supports. Funding Recipients should identify the supply-side supports required to meet the project's Indigenous participation requirements and engage early with government agencies. Funding Recipients should consult a representative Indigenous body, for example, an Indigenous land council or an Indigenous advisory council to address any identified barriers to supply-side supports.

8. Outline the supply-side supports required to engage Indigenous job-seekers and businesses in the project locality.

**[E.g. Indigenous Business Australia and Supply Nation portals were used to identify Indigenous businesses that could undertake earthworks to prepare the site for construction. The local job service provider (include name) was contacted to identify Indigenous job-seekers willing to apply for entry-level traffic management roles].**

9. Detail any engagement to date (or expected in future) with the National Indigenous Australians Agency, including its Regional Network Offices,<sup>5</sup> and the Commonwealth Department of Education, Skills and Employment<sup>6</sup>
10. Detail any engagement to date (or expected in future) with other government (e.g. state/territory agencies/service providers) or non-government services (e.g. employment or training providers, and representative Indigenous bodies, including local land councils).

### Risks and mitigation strategies

11. List the key risks and mitigation strategies that may affect the achievement of the Indigenous participation target.

Risk 1	Mitigation or treatment
Risk 2	Mitigation or treatment

<sup>5</sup> The National Indigenous Australians Agency regional networks and contact details are available at: <https://www.niaa.gov.au/who-we-are/contact-us>

<sup>6</sup> The Commonwealth Department of Education, Skills and Employment have a range of employment programs to assist job-seekers and businesses: <https://www.employment.gov.au/>

Risk 3	Mitigation or treatment

# Appendix C – Project Reporting Guidance

## Appendix C1 Monthly Progress Report

The Monthly Progress Report is the key reporting mechanism for the progress of funded Projects. It is also the mechanism for submitting Claims for Payment of Milestones.

The Funding Recipient should use the Department's template when generating the Monthly Progress Report. The template will be available to be generated between the 1st and 13th of each month, and must be completed and submitted into IMS by the 13th of each month, or when requested by the Department.

The Monthly Progress Report requires the following information to be entered into IMS:

- Financial Status;
- Project progress;
- Progress against Indigenous targets; and
- Claims for payment.

### ***Financial Status***

Funding Recipients must provide financial status information on the Project including:

- Total expenditure to date
- Year-to-date expenditure
- Estimated expenditure for the current month
- Estimated expenditure for the upcoming month.

Funding Recipients must also report on the expenditure by each Project contributor.

### ***Project Progress***

*When no Milestone is scheduled for Claim*

Funding Recipients must provide a single, free-text Project status, detailing information on Project progress for the monthly reporting period. This must include, as appropriate:

- Known risks to Project completion and strategies adopted to mitigate these risks
  - Where a Project is to be delivered using a collaborative contracting method (for example, alliance or early contractor involvement), the risks associated with this contracting method should be reported.
- Progress against agreed Milestones
  - Where Projects are combined into a single approved Project, progress against each sub Project should be reported.
- Key events to take place in the next two months (for example, request for an expression of interest, a tender, contract award, an opening, commencement of completion of a key Project stage)
- Details of Building Code breaches.

### ***When a Milestone is scheduled for Claim***

Funding Recipients will be required to provide the following Project status information in a series of free text fields in IMS.

- The Project status in each of these four areas:
  - Financial status. Example: Is the Project on budget? Is there an overspend? Is there an underspend?
  - Scope status. Example: Is the Project proceeding according to the approved scope or does the Project team anticipate that scope changes are required?

- Schedule status. Example: Have events occurred that are likely to delay the Project? Is there potential for acceleration of the schedule?
- Stakeholder status. Example: What impact do stakeholders have on the progress of the Project?
- Strategies adopted to address issues or risks for each of the four areas noted above.
  - Where a Project is to be delivered using a collaborative contracting method (for example, alliance or early contractor involvement), the risks associated with this contracting method should be reported.
  - Where Projects are combined into a single approved Project, progress should be reported against each sub Project.
- Overall Project progress, including:
  - Key events to take place in the next two months (for example, request for an expression of interest, a tender, awarding of a contract, an opening, commencement or completion of a key Project stage.
  - Details of Building Code breaches.
  - Whether the Project is Complete.

### ***Claims for Payment***

Where a Milestone is scheduled for payment in a given month, Funding Recipients may submit Claim for Payment in the Monthly Progress Report. The claim must verify that the Milestone is complete. The Department may request additional information to support verification.

If the Department accepts the Claim for Payment, the Funding Recipient will be paid the agreed amount of funding. If the Department does not accept a Claim for Payment, a Milestone variation will be triggered.

### ***Indigenous Reporting***

Funding Recipients are required to use the Monthly Reporting process to provide reports to the Department demonstrating evidence of progress against the participation targets set out in the relevant Indigenous Participation Plan. While the Indigenous reporting requirements have been incorporated into Monthly Reporting to streamline the process, Funding Recipients need only update the Indigenous component when there is progress to report on. That said, Funding Recipients must advise at the earliest opportunity where targets are not on track to be met, to enable appropriate support to be provided, as needed, in an effort to meet agreed targets.



## Appendix C2 Post-Completion Report

The Post-Completion Report must be submitted with the Claim for Payment of the Final Milestone. The Final Milestone will not be paid until the Department accepts the Post-Completion Report. If required, the Department may ask the Funding Recipient to revise the submitted report before accepting it.

PROJECT:

PROJECT NUMBER:

FUNDING RECIPIENT:

### Scope

Provide details of all material changes to the scope following Project approval<sup>7</sup>. For comparison purposes, including descriptions of the:

1. original Project scope approved
2. scope change
3. rationale for the change.

Original scope	Scope change	Rationale for change

### Schedule

Project Period as agreed on approval of the Delivery Phase		Actual Project Period	
Construction start date	Physical completion date	Construction start date	Physical completion date

Provide details of the rationale for changes to the construction start or physical completion dates and how the impact of these changes was managed

### Cost

Provide a populated Project Cost Breakdown template detailing the actual Project costs. The template is available from the Department.

<sup>7</sup> Unapproved changes to scope and quality will require further investigation by the Department and the Final Milestone will not be paid until this has been achieved

**Performance**

Provide information on the progress of the Project in meeting agreed Transport Performance Indicators. Include a table of figures if appropriate.

**Innovation**

Provide innovative Project delivery techniques that have resulted in positive economic, safety, social, environmental, integration or transparency outcomes (for example, use of recycled material, techniques to reduce water and energy consumption, Project delivery methods that deliver Project savings, or private funding or financing models.)

**Indigenous employment and business participation targets**

Provide:

- 1. Results against Indigenous participation target
- 2. Variations
- 3. Results for Indigenous job seekers
- 4. Results for Indigenous businesses
- 5. Supply-side supports
- 6. Risk mitigation
- 7. Unanticipated project costs

a. Results against Indigenous participation targets (to be made public)	
<ul style="list-style-type: none"><li>• Provide the Indigenous participation target outlined in the Indigenous Participation Plan for this project.<ul style="list-style-type: none"><li>○ Include a breakdown of the employment and supplier-use component of the target.</li></ul></li><li>• Was the Indigenous participation target met? YES/NO</li><li>• What is the rationale / justification for progress made against targets?</li><li>• Has the above information been made public through the States’ project reporting processes?</li></ul>	
b. Variations	
<ul style="list-style-type: none"><li>• If the Indigenous participation target was not met for this project, explain the variation from the target outlined in the Indigenous Participation Plan.<ul style="list-style-type: none"><li>○ Include the planned vs actual results against the target.</li><li>○ Provide information about the issues faced by the contractor to fulfil the Indigenous employment and supplier-use requirements.</li></ul></li><li>• If the Indigenous target was exceeded, explain the factors that encouraged or allowed the contractor to achieve this.</li></ul>	

- E.g. a result of supply side support and early engagement with the local community regarding opportunities.
- E.g. a strong Indigenous labour force within the project locality.

### c. Results for Indigenous employees

**Mandatory: What was the number of Full Time Equivalent (FTE) Indigenous positions created for the duration of the project?**

*If available, include details about:*<sup>8</sup>

- The number of Indigenous applicants for available positions.
- The aggregate income of total FTE Indigenous positions created in a local area.
  - Include a definition of the 'local area' (e.g. township, Indigenous nation, local government area, ABS data region).
- Indigenous employees' primary role (i.e. key job responsibilities), gender, age group, cultural group and disability (if relevant to employment).

[Note: the Australian Government recommends obtaining this information in a standard spreadsheet from the principal contractor. The information should de-identify individuals, and any corresponding personal information should not be traceable to an individual].

### 1. Results for Indigenous businesses

**Mandatory: What was the total contract spend on Indigenous businesses in a local area?**

*If available, include details about:*<sup>9</sup>

- Number of certified Indigenous businesses awarded a contract in a local area.
  - Include a definition of the 'local area'.
- Locality of the Indigenous businesses (e.g. office location, where they were sourced from).
- Size of Indigenous businesses contracted in this project (e.g. annual turnover, net income).
- If any new Indigenous businesses were established in response to market demand created by the project.

### 2. Supply side supports

- Type of employment and business support service accessed by Indigenous individuals, and Indigenous and non-Indigenous businesses.
- Type of resource/qualification obtained from the service provider (e.g. finance, capital investment, wage subsidy, cultural awareness training, and certifications).
- Date and duration of service access.

<sup>8</sup> The Australian Government is collecting this information to assess the impact of the Framework on Indigenous economic participation for Commonwealth funded or co-funded investment projects.

<sup>9</sup> The Australian Government is collecting this information to assess the impact of the Framework on Indigenous economic participation for Commonwealth funded or co-funded investment projects.

- Identify any gaps in services or any issues relating to accessing supply-side supports.

[Note: this feedback will be provided to relevant Australian Government agencies]

### 3. Risk mitigation

- Identify any project risks that eventuated as a result of the Indigenous participation requirements for this project and explain how they were managed.
- Were the risk mitigation strategies (including those outlined in the Indigenous Participation Plan) effective in treating these risks?

### 4. Unanticipated project costs

- Provide details of any additional unanticipated project costs resulting from the Australian Government's requirement for Indigenous economic participation, for this project, and how these costs were managed.

### 5. Public reporting requirements

- Please advise location of public reporting on performance against Indigenous participation requirements including targets.

\_\_\_\_\_  
[Name]

\_\_\_\_\_  
Date

\_\_\_\_\_  
Position and organisation

## Appendix C3 Annual Financial Statement and Audit Report

The Chief Executive Officer, or their delegate, is required to submit the Annual Financial Statement and Audit Report to the Department no later than 31 December after the end of the financial year. In accordance with Section 21 or Section 82 of the NLT Act, please note that the information in this report is to be submitted at Project level.

The Report comprises four components a:

1. Financial statement;
2. Statement of disposals of interests in land;
3. Signed written statement by the appropriate auditor; and
4. Signed statement from the Chief Executive Officer.

### 1. Financial statement

The Financial statement should be in the format described below:

Project <sup>10</sup>	Amount <sup>11</sup> brought forward from previous financial year	Amount received year ended 30 June xxxx	Total Amount available for expenditure year ended 30 June xxxx (Total of previous two columns)	Amount expended year ended 30 June xxxx	Amount carried forward

<sup>10</sup> For Black Spots the Financial Statement should be at the programme level and provide information for Columns 2-6

<sup>11</sup> Amount' refers to the amount of Australian Government funding.



## 2. Statement of disposals of interests in land acquired with Australian Government funds<sup>12</sup>

The statement should detail the sale or disposal of interests in land acquired with the use of Australian Government funds in accordance with Section 25 of the NLT Act.

Project	Australian Government Land Interest Contribution Proportion %	Australian Government Land Interest Contribution Amount \$	Land Interest Sale Value Australian Government \$	Amount Owed to Government \$
	%	\$	\$	\$
	%	\$	\$	\$
	%	\$	\$	\$
<b>TOTAL</b>	n/a			

Provide details of disposed land (such as title reference numbers and subdivisions) as an attachment.

## 3. Signed written statement by the appropriate auditor

The signed written statement by the appropriate auditor should certify that the:

- Financial statement is based on proper accounts and records; and
- Financial statement is in agreement with the accounts and records; and
- Amount expended by the Funding Recipient during the year, as shown in the financial statement above, has been spent on the funded Project(s).

According to Section 4 of the NLT Act, an appropriate auditor is:

- d. in relation to a person or body whose accounts are required by law to be audited by the Auditor-General of a State—the Auditor-General of the State; or
- e. in relation to a person or body whose accounts are required by law to be audited by the Auditor-General of the Commonwealth—the Auditor-General of the Commonwealth; or
- f. in relation to any other person or body—a person (other than a director, officer or employee of the person or body) who is:
  - (i) registered as a company auditor or a public accountant under a law in force in a State; or
  - (ii) a member of the Institute of Chartered Accountants in Australia or of the Australian Society of Accountants.

<sup>12</sup> A statement of disposals of interests in land is not required for the Black Spot Programme report.

#### **4. Signed statement from the Chief Executive Officer**

The Chief Executive Officer signs a statement certifying that:

- Amounts expended from funding payments have been wholly expended on Approved Purposes in relation to funded Projects;
- All tenders invited and contracts awarded for Australian Government funded Projects for which there is a tendering requirement have been dealt with in accordance with the NLT Act and Section 2.4 of these Notes
- Signs have been erected in accordance with the agreed signage plan (Section 5.3)
- The Funding Recipient has met the compliance requirements of the Building Code 2016
- Funding Recipients have met the requirements of the Australian Government Building and Construction WHS Accreditation Scheme
- Conditions outlined in the NPA, or any funding agreement with the Australian Government, have been met.

# Appendix D – Black Spot Projects

## Appendix D1 General Requirements for Black Spot Projects

### D1.1 Objective

The objective of Black Spot Projects is to reduce the social and economic costs of road trauma by:

- Identifying and applying cost-effective treatment of locations with a record of casualty crashes;
- Placing significant focus on the need to reduce rural road trauma, in accordance with national road safety policy objectives; and
- Using a proportion of funds to treat sites identified as potential crash locations, and to implement other road safety measures.

Australian Government funding for Black Spot Projects makes an important contribution to reducing the national road toll under its National Road Safety Strategy.

Financial assistance is provided to improve the physical condition or management of sites noted for a high incidence of crashes involving death and injury, termed Black Spots. Black Spot Projects also aim to encourage the implementation of safety-related traffic management techniques and other road safety measures that have proven road safety value. This includes traffic signs, traffic control equipment and street lighting.

### D1.2 Eligibility

Consistent with Section 71 of the NLT Act, a Project is eligible if:

- a. It is for the improvement of road safety of a site (being all or part of any road); and
- b. the site is in a State; and
- c. the nature of the site has contributed to, or is likely to contribute to, serious motor vehicle crashes involving death or personal injury.

In general, sites that do not meet crash history criterion, but are eligible on the basis that the site is likely to contribute to serious motor vehicle crashes involving death or personal injury, will have been the subject of an official road safety audit report or relevant assessment methodology.

Black Spot Projects focus on locations where the highest benefits can be achieved. Works eligible for funding may include safety-related construction, alteration or remedial treatment.

Funding Recipients are not to propose Projects for Black Spots funding where the Project duplicates a Project included in the NPA Schedules.

### D1.3 Approved Purposes

Black Spot Projects funding is available to treat road safety problems at identified sites. Funding may be sought for all or part of the costs directly associated with an approved Black Spot Project, except for parts listed as an Unapproved Purpose (see list below). The Australian Government's funding contribution for each Project will not exceed \$2 million. However, to achieve maximum effect from available funding, emphasis will be on low-cost, high-return Projects.

Direct administrative costs should be a component of the total Project cost submitted for consideration by the consultative panel.

Unapproved Purposes for Black Spot Projects include:

- Purchase of road-building plant or equipment;
- Costs involved in preparing Road Safety Audits or assessments used to support a nomination for Black Spot Projects funding under [D2.2](#) (Proactive Proposals - noting the exception to this in the paragraph below);
- Maintenance costs;
- Speed/red light cameras; and
- Costs incurred after installation.

A design stage road safety audit is not mandatory but may be a requirement in some States. Where a Project Proponent considers that a design stage Road Safety Audit is appropriate, or required by the relevant State road authority, the cost of the audit undertaken as part of a Black Spot Project and approved on the basis of a site's crash history is an Approved Purpose.

#### ***D1.4 Rural and urban Black Spot***

The National Road Safety Strategy 2011–2020 specifically targets inhabitants of rural and remote areas in its strategic objective to improve equity among road users.

In recognition of this, funding will be allocated approximately 50:50 between rural and urban areas in each year where applications allow.

For the purposes of this provision, urban areas are defined, on the basis of Australian Bureau of Statistics statistical divisions, as cities and towns with a population in excess of 100,000. With the agreement of their Black Spot Consultative Panel, States may use boundaries in use for state programs, for example regional office boundaries, to define urban areas.

The urban-rural criterion does not apply to the Australian Capital Territory, Northern Territory or Tasmania.

#### ***D1.5 Administration***

The Department administers Black Spot Projects funding on behalf of the Australian Government. State road and transport agencies manage approved Projects within each State.

Funding Recipients must observe the funding conditions provided in Part 7 of the NLT Act. Appendix A1 summarise these conditions. However, Black Spot Projects are not required to:

- Call for public tenders (Condition A1.5); or
- Declare sales or disposals of interests in land acquired with Australian Government funding (Condition A1.6).

A consultative panel has been established in each State comprising, as appropriate, representatives of the relevant State road and transport agency, local government, and community and road user groups. The panel's purpose is to consider and comment on all nominations for Black Spot treatment within a State. The Minister has appointed a Chair for each panel. The Minister or the Chair may, from time to time, amend panel composition except that it must always include a representative of the relevant State road and transport agency.

Each panel has a Secretariat. These services are provided by the State road and transport agencies. Agencies provide expert input to the consultative panels, particularly with collating and assessing site nominations.

#### ***D1.6 Black Spot Projects undertaken as part of larger works***

Discrete sites or lengths to be treated as part of a larger Project and/or program of works may be nominated for Black Spot Projects funding. Any site or length must meet the eligibility criteria for Black Spot Projects funding and be accompanied by evidence that the crash statistics supporting the nomination relate to the discrete site or length for which funding is sought.

Where possible, Projects to be undertaken as a part of larger works should be identified before approval.

Eligible Project costs, such as design, construction and direct administration, are to be apportioned appropriately where Black Spot Projects-funded works are undertaken as part of a larger Project. For example, where the Black Spot Projects-funded works comprise 10 per cent of the road length treated, then 10 per cent of all eligible Project costs must be apportioned to the Black Spot Project.

#### ***D1.7 Timeframe for Approved Projects***

In general, a Black Spot Project is approved for delivery in a specified financial year and Funding Recipients are encouraged to ensure approved Projects are Complete or are sufficiently advanced to enable payment of approved Australian Government funding.

Where a Project will not be complete within the financial year for which it was approved, Funding Recipients should discuss the circumstances of the delay with their State road authority.

Funding Recipients may nominate a multi-year Project for Black Spot Projects funding. Multi-year Project nominations should be clearly presented as such to the consultative panel and the Minister to enable full consideration of whether the commitment of forward funding is warranted. Multi-year Projects do not include Projects where the final seal or related works cannot be completed within the approved financial year.

## Appendix D2 Black Spot Projects criteria

### ***D2.1 Proposals based on crash history***

Funding is mainly available for the treatment of Black Spot sites with a proven history of crashes. Project proposals of this sort should be able to demonstrate a benefit to cost ratio (BCR) of at least 2.

A discount rate based on current Austroads Guidance should be applied in calculating BCRs, however other rates are allowed. An example of this is where a State uses an alternative discount rate when assessing proposals for State government funding. The discount rate used by the State must be applied when assessing all candidate Projects.

For discrete sites (for example, an intersection, mid-block or short road section) the minimum eligibility criterion will be a history of at least three casualty crashes over five-years.

For road lengths the minimum eligibility criterion is:

- an average of 0.2 casualty crashes per kilometre per annum over the length in question measured over five years; or
- A length that is among the top 10 per cent of locations identified in each State with an identified higher crash rate than other roads.

Notes: Measures of casualty crashes should be provided from the most recently available five-year period.

The road length criterion may only be applied to proposals for the treatment of road lengths of three kilometres or more. This is to ensure that the road length has a crash history similar to that required for a discrete site.

When a site receives project funding under the Black Spot Program it is for the treatment of the crashes that have occurred at the site. This means that, once a site has been nominated and successfully receives funding, that funding is considered to be for the treatment of the crashes that have occurred over the five-year period. Should a site be nominated again, the crash history used for the previous nomination cannot be used again, as those crashes are considered to have been treated by the previous project.

The table of crash reduction potentials for typical treatments, at [D8](#), will assist crash analysts and traffic management engineers. The table is not intended to replace more detailed information and professional judgement available at local level.

More information and guidance on crash location identification and treatment are included in the Austroads Guidelines.

### ***D2.2 Proactive proposals***

In addition to [D2.1](#), up to 30 per cent of Black Spot Projects funds may be used to treat sites that may not meet the above crash history criteria, but that have been recommended for treatment in an official Road Safety Audit or relevant assessment methodology report provided by the Project Proponent.

The Minister may consider proactive Projects above this amount if, in any given year, a Black Spot consultative panel recommends proactive proposals in excess of 30 per cent of available funding.

Austroads publishes a guide outlining a suitable standard for completing a road safety audit. AusRAP or ANRAM assessments of local government roads, or similar assessments as agreed with the Department, may also be used to identify proactive nominations.

Road Safety Audits or equivalent assessments should normally recommend the treatment proposed in the application for Black Spot Projects funding. Where this is not the case, the State road authority should advise the Department that it has assessed the proposed treatment and considers it appropriate.



## Appendix D3 Nomination and Assessment of Project Proposals

### D3.1 Nominations

Nominations of sites are invited from State and local governments, community groups, clubs and associations, road user groups, industry and individuals.

Community nomination and joint funding of Projects is encouraged. Applications that indicate a commitment of funds, labour or materials from other government or community/industry sources for associated works will receive favourable consideration.

All nominations are to be referred to:

#### **The Black Spot Consultative Panel**

c/o State road and transport agency in your State.

(A list of addresses for the State road and transport agency in each State is on the back of the nomination form. This is available for download from the Department's website or by contacting the Department.)

On receipt of a site nomination, the State will assess the eligibility of the nomination against the criteria and undertake a benefit-cost assessment of a treatment proposal. In assessing nominations, States can use the table at [D8](#) or use their own assessment methodology. However, States must ensure that all nominations for a particular year are assessed using the same methodology and the same inputs (such as crash reduction percentages and Project-life assumptions). States may need to provide advice to the Department on their Project assessment procedures and methodology and give an undertaking that all Project assessments are consistent with these procedures.

All nominations will be referred to the consultative panel. However, nominees should be aware that nominations for sites that fail to conform to the criteria will not be considered for approval.

Nominees should note that Australian Government funding for Black Spot Projects will be paid directly to the States. States are responsible for distributing Project funds against each approved Project as appropriate.

### D3.2 Costs used in Project assessments

For nominations based on crash history, the Department recommends that States use the full cost of the Project, including proposed contributions from external sources, when calculating the BCR for the Project.

Funding contributions from other sources may be taken into account by the State consultative panel when recommending nominated Projects for consideration by the Minister. The Minister may consider the extent to which persons other than the Australian Government propose to contribute funding when deciding whether to approve a Black Spot Project.

### D3.3 Consideration by State consultative panel

Each nomination must be submitted to the relevant State consultative panel for consideration against Black Spot Projects criteria. In general, nominations will be ranked by priority, based on the assessment undertaken by the State. The State may include relevant comments arising from the assessment, to assist the panel's consideration of the nomination. Ranking of proposals assessed on crash history should consider the proposal's BCR, but States are also able to priorities eligible proposals using alternative measures such as a calculated Fatal and Serious Injury (FSI) Reduction score. For proactive nominations, the Department supports ranking proposals on the basis of a systematic risk assessment methodology.

Consultative panels will recommend nominated Projects for consideration by the Minister, and comment, where appropriate, on proposals.

### ***D3.4 State submission of Projects recommended by the consultative panel***

State agencies, on behalf of the consultative panel, are invited to forward submissions to the Department for Projects recommended by the consultative panel for consideration by the Minister. State agencies should endeavour to forward submissions within six weeks of the consultative panel meeting.

Preferably, submissions comprising recommended Projects should be provided in electronic format using the template available for downloading from IMS.

### ***D3.5 Minister may nominate Australian Government priorities***

The Minister may consider Black Spot Projects recommended by a State consultative panel. Under Section 73(3) of the NLT Act, the Minister may nominate Australian Government Project priorities at any time and may consider other Projects that meet the eligibility criteria for a Black Spot Project set out in the NLT Act.

## **Appendix D4 Approving a Project Proposal**

### ***D4.1 Consideration by the Minister***

Upon receipt of the Proponent's submission, the Department will prepare the necessary documentation for the Minister's consideration.

Eligible Project proposals will be considered for approval against a range of factors intended to maximise the safety benefits of Black Spot Projects. In assessing which Projects will be approved for funding, the Minister can consider, but is not limited to considering, these factors:

- Relative safety and economic merits of proposals;
- Relative merits of competing Projects for which an official road safety audit report or relevant assessment methodology has been undertaken;
- Australian Government's policy on the mix of Projects between urban and rural areas;
- Recommendations made by the State consultative panel;
- Available funding levels;
- Contributions to the Project from sources other than the Australian Government;
- Whether the Australian Government's funding contribution for each Project exceeds \$2,000,000 with an emphasis on low-cost, high-return Projects; and
- Anticipated completion times of proposals.

### ***D4.2 Minister will issue a Project approval instrument for approved Projects***

The Minister will issue a Project approval instrument for a Black Spot Project or Projects for each State. Section 74(1) of the NLT Act states that the Project approval instrument for Black Spot Projects must:

- a. identify the Project; and
- b. specify the maximum funding amount the Australian Government may contribute to the Project; and
- c. identify the eligible Funding Recipient, being a State or authority of a State, to which funding may be paid; and
- d. if the approval is conditional on a funding agreement being entered into with the eligible Funding Recipient, contain a statement to that effect.

### ***D4.3 Announcement of approval by the Australian Government Minister***

State Ministers will be advised in writing of the outcome of the Minister's decision. The Minister may announce publicly the approval of Projects within a State at the same time as notifying the State.

No public announcement concerning a Black Spot Project or Projects is to be made by a State agency or State Minister before the Minister's announcement.

## Appendix D5 Dealing with Project variations

### ***D5.1 Minister may vary or revoke a Project approval***

The Minister may use Section 76 of the NLT Act to vary or revoke the Project approval instrument for a Black Spot Project.

### ***D5.2 Variation of cost***

Australian Government payment for each Project is limited to the maximum funding amount specified in the approval instrument for that Project. Formal variation of an approved Project must be sought by the Funding Recipient and approved by the Minister.

Formal variation of approvals must be sought before construction starts, where it is known that the cost of an individual Project is subject to an increase of 20 per cent or \$30,000, whichever is the lesser. This is:

- When a Project is subject to an increase of less than 20 per cent but that percentage is greater than \$30,000; or
- Where a Project is subject to an increase of less than \$30,000 but that increase is greater than 20 per cent of the maximum funding amount.

Any request to vary the cost of a Project under this provision must be accompanied by sufficient details explaining the reasons so the Minister can consider the merits of each variation request.

Formal variation of all minor increases in the cost of approved Projects (less than 20 per cent or \$30,000) must be sought as soon as practicable. Such minor variations are expected to be of a routine nature and need not be sought in advance of construction. Funding Recipients are reminded that a payment to cover a minor increase in cost to an approved Project cannot be made until the Minister formally varies the Project's maximum funding amount.

An annual reconciliation of the maximum funding amount with the final cost of completed Projects is expected to be undertaken towards the end of each financial year. However, Funding Recipients may request a variation to reconcile a completed Project or group of completed Projects at any time during the financial year.

### ***D5.3 Variation of scope***

Formal approval for significant changes to the scope of approved Projects must be sought from the Minister before construction begins. A significant change includes additional treatments, omission of approved treatments and changes to the original proposal. Any request to vary the approved scope must be accompanied by sufficient explanation on the reasons for the requested variation.

The Minister's power to vary any Project approval instrument is discretionary.

## Appendix D6 Claiming Payments

### ***D6.1 Mandatory conditions apply to Australian Government funding***

The Mandatory conditions attached to Black Spot Projects funding are outlined in Appendix A1.

### ***D6.2 Reporting requirements of Funding Recipients***

Funding Recipients will provide reports notifying the Department of the financial status of approved Projects and annual performance measures. The NLT Act requires Funding Recipients to provide annual audited financial statements.

#### ***Status Reports***

Status Reports must be provided to the Department in electronic format using the template available for downloading and uploading through IMS. Status reports must be provided quarterly and include the project's start and end dates. The report's purpose is to update the Australian Government on the Project progress and enable payments to the State.

It is expected that Status Reports will also be used, in consultation with the States, to reconcile the maximum funding amount with the final cost of completed Projects. This ensures maximum funds are available for new Projects.

## Annual Statement of Expenditure

Each State is required to submit to the Minister, as soon as practicable after 30 June each year, financial statements giving details of expenditure from amounts paid under the NLT Act.

Guidance on this Annual Financial Statement and Audit report is provided in Appendix D4.

### D6.3 Payment of funding

Payment of funding is on the basis of submission of the Status Reports as outlined in the Table directly below.

Activity	Date due
Submission of the first quarterly Status Report	August
Submission of the second quarterly Status Report	November
Submission of the third quarterly Status Report	February
Submission of the fourth quarterly Status Report	May

The amount of each payment will be determined when the status report is submitted and will be based on the following formula:

Payment due	=	Actual expenditure to date	+	Estimated expenditure for the next two months	-	Payments made previously	-	Any amount above the maximum funding amount
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Under Section 78(3) of the NLT Act, the total amount of funding provided for a Project must not exceed the maximum funding amount specified in the Project approval instrument.

States are reminded that forecast expenditures must be broken down by Project or all forecast expenditure will be excluded from a payment. This level of reporting enables the Department to meet NLT Act requirements.

## Appendix D7 Public recognition and evaluation

Chapter 5 of the Notes cover the Public Recognition and Evaluation requirements which Black Spot Projects must comply with. This Section covers specific requirements or exceptions of Black Spot Projects.

### D7.1 Signposting

Black Spot Projects worth less than \$100,000 are not required to erect permanent signage, but must erect temporary signage while work is underway.

Black Spot Project Signage Guidance is available from the Department.

### D7.2 Evaluation

It is of fundamental importance that Black Spot Projects be accountable for outcome results. To determine actual effect on crashes, a formal evaluation of Black Spot Projects may be conducted from time-to-time.

As set out at 3.2, Funding Recipients must maintain, and make available as required, records relating to the nature and frequency of motor vehicle crashes involving death or personal injury occurring at the site of funded Projects.

## Appendix D8 Treatment/Crash Reduction Matrix

### **APPLICATION OF THE TREATMENT/CRASH REDUCTION MATRIX<sup>13</sup>**

Traffic crashes arise through a combination of factors. Remedies can be sought through a variety of approaches. This matrix focuses on traffic engineering remedies. It provides broad guidance only and does not replace local experience or judgement.

Assuming that sites have been identified for treatment on the basis of a history of crashes or other systematic techniques, then crashes should be analysed for the pattern of crash-types [Definitions for Coding Accidents or DCA code] and consistency of other factors. If road-related factors are relevant to ameliorating crashes at a site, this matrix can be used for guidance as to the influence of particular treatments.

The matrix provides ball-park guidance on the estimated extent of changes in crashes of particular types that might generally be expected from typical treatments. The reductions for treatments are averaged values. The results [percent reduction] that will therefore be observed when a treatment is installed may be greater or less than the value in Table 1 below.

The selection of a treatment depends on factors such as the characteristics of crashes, the expected potential of reducing those crashes, the cost of alternative treatments, and possible wider road network considerations. The Australian Manual of Uniform Traffic Control Devices sets out minimum warrants for a number of treatments.

The treatment/crash reduction matrix is divided into two tables:

- [Table 1](#): Relates to intersections (and intersection-related crashes).
- Table 2: Relates to road sections (and non-intersection-related crashes). This table is spread over two pages [2\(a\)](#) and [2\(b\)](#) for the ease of reading the information.

At some locations more than one road feature may be present. On the one hand, for example, with a tee intersection on a curved section of road, crashes of accident-type DCA codes 801 to 804 (run off road types) would generally not relate to the intersection. On the other hand, crashes of DCA codes 101 to 109 would relate to traffic movements at the intersection.


The matrix tables emphasise the importance of the road user movements leading up to the crash when determining appropriate treatments. The average costs per casualty crash have been derived for Australia-wide use and are split by rural and metro' environments. They are based on there being good coding compatibility between the crash data being used and the DCA codes.

The crashes described by the DCA codes and the costs per crash for DCA codes relate to one vehicle and two-vehicle crashes. The vehicles included are all road vehicles (for example, cars, trucks, motor bikes and bicycles). A treatment may be installed to provide for a particular vehicle type (for example, traffic signals for bicycles where a bicycle track crosses an arterial road, or the improvement of lighting at an intersection where there are many bicycles at night and, say, a history of crashes of DCA codes 301 to 304).

<sup>13</sup> This matrix was prepared by Dr David Andreassen of Data Capture Analysis




s22(1)(a)(ii)



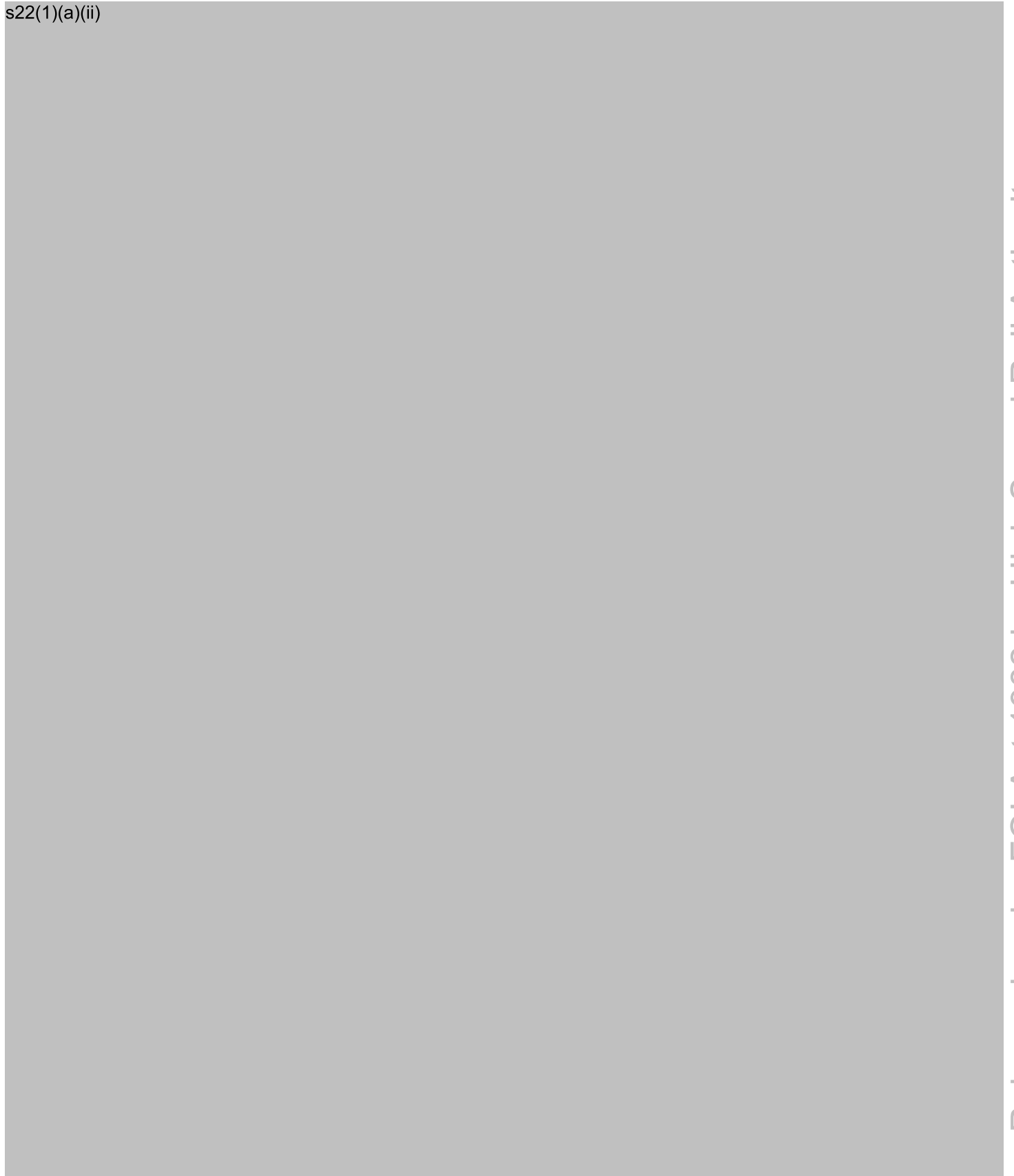
Released under FOI Act 1982 by High Speed Rail Authority

s22(1)(a)(ii)



Released under FOI Act 1982 by High Speed Rail Authority

s22(1)(a)(ii)



Released under FOI Act 1982 by High Speed Rail Authority

## Appendix E – Maintenance Indicator Formulas

The Australian Government uses two indicators—the Preventative Maintenance Indicator (PMI) and the Riding Quality Indicator (RQI)—to monitor road conditions under the NPAs.

### ***Preventative Maintenance Indicator (PMI)***

#### ***Definition***

The age of the pavement's surface compared to the target optimum surfacing age for the section of road as determined by road agency specialists.

#### ***Purpose***

To indicate the extent that preventative or proactive maintenance of road pavements is being adequately undertaken.

#### ***Reporting method***

Target Age (TA) is the optimum surfacing age as determined by road agency specialists, generally the time when the road should be resealed to minimise whole-of-life costs. The PMI is categorised as being:

Good: actual age < TA;  
 Mediocre:  $TA \leq \text{actual} < 1.3 \times TA$ ;  
 Poor:  $1.3 \times TA \leq \text{actual} < 1.6 \times TA$ ; and Very poor:  $\text{actual} \geq 1.6 \times TA$   
 Or N/A (for example, if concrete pavement).

The report should show the length in each category for each link. To facilitate comparisons, PMI will also be reported as a single percentage, known as PMhealth— between 0% (for a very poor seal  $\geq 1.6 \times TA$ ) and 100% (for a new seal).

$$\text{PMhealth} = 100 * [1 - (\text{actual age} / (1.6 \times TA))]$$

### ***Riding Quality Indicator (RQI)***

#### ***Definition***

The riding quality of the road, considering its traffic volume, percentage of heavy vehicles and speed environment.

#### ***Purpose***

To indicate the adequacy of a road's riding quality to meet its transport objectives based on the road's roughness.

#### ***Calculation***

Heavy vehicles are weighted by a factor of 4 compared to light vehicles. The weighted Average Annual Daily Traffic (modAADT) becomes:

$$\text{modAADT} = \text{AADT} * (1 + 3 * \text{HV} / 100)$$

Where AADT is the Average Annual Daily Traffic and HV the percentage of Heavy Vehicles.

The 'good' roughness limit for a high speed road is varied according to its traffic volume (modAADT) and is between a minimum of 500 and a maximum of 8,000 using this formula:

$$IRI_{gb} = 7.1 * (\text{modAADT})^{-0.11} + 0.05 \text{ (for a 110km/h road)}$$

The 'good' roughness limit is then modified to take account of speed using this equation:

$$IRI_{good} = IRI_{gb} * (110 / SL)^{0.5}$$

Where SL is the speed limit with a maximum value of 110 km/h.

### ***Reporting method***

The RQI can be categorised as being:

Good: actual roughness <  $IRI_{good}$ ; Mediocre:  $IRI_{good} \leq \text{actual} < 1.3 \times IRI_{good}$ ; Poor:  $1.3 \times IRI_{good} \leq \text{actual} < 1.6 \times IRI_{good}$ ; Very poor:  $\text{actual} \geq 1.6 \times IRI_{good}$ .

The report should show the length in each category for each link.

To facilitate direct comparisons, the RQI will also be reported as a single percentage, known as RQhealth, between 0% (for a pavement with roughness greater or equal to the maximum for its function) and 100% (for a newly constructed pavement).

The roughness of a newly constructed pavement shall be taken as 1.558 IRI (40 NRM).

Maximum roughness (RufMax) shall be calculated according to the formula:

$$RufMax = 1.558 + [2 \times (IRI_{good} - 1.558)].$$

$$RQhealth = 100 * [1 - ((IRI_{actual} - 1.558) / (RufMax - 1.558))].$$

Where  $IRI_{actual}$  = measured roughness between a roughness value of 1.558 IRI and RufMax.



Dear xx

## Reference

Sydney to Bomaderry—Faster Rail Business Case

Sydney to Parkes—Faster Rail Business Case

I refer to the two abovementioned projects which were completed and received by the NFRA last year. The Notes on Administration (NoA) stipulate that a *post completion report* is required at the completion of each joint funded project (refer to section 4 of the NoA).

We are finalising our administrative processes with respect to these projects and have identified that we are yet to receive post completion reports. We do acknowledge that the Australian Government Budget processes and reallocation of project savings would have delayed this process.

Given this is the responsibility of the proponent, we are requesting that TfNSW:

1. Provide the necessary details to complete the report for each project. We note and confirm that there was an acknowledgement by the Australian Government of \$2.5m of in-kind contribution by TfNSW.
2. Sign and return the reports.

Please note that under the NoA that the Chief Executive Officer of the funded agency or their delegate is responsible for signing this report and attesting to the expenditure on the project.

If you have any queries, please contact Patrick Atkinson at [Patrick.Atkinson@nfra.gov.au](mailto:Patrick.Atkinson@nfra.gov.au) or 02 6274 8364

Kind regards

Greg Whalen



## Post-Completion Report

The Post-Completion Report must be submitted with the Claim for Payment of the Final Milestone. The Final Milestone will not be paid until the Department accepts the Post-Completion Report. If required, the Department may ask the Funding Recipient to revise the submitted report before accepting it.

PROJECT:

PROJECT NUMBER:

FUNDING RECIPIENT:

### Scope

Provide details of all material changes to the scope following project approval<sup>1</sup>. For comparison purposes, including descriptions of the:

1. original project scope approved
2. scope change
3. rationale for the change.

Original scope	Scope change	Rationale for change

### Schedule

Project Period as agreed on approval of the Delivery Phase		Actual Project Period	
Construction start date	Physical completion date	Construction start date	Physical completion date

Provide details of the rationale for changes to the construction start or physical completion dates and how the impact of these changes was managed

--

<sup>1</sup> Unapproved changes to scope and quality will require further investigation by the Department and the Final Milestone will not be paid until this has been achieved

## Cost

Provide a populated Project Cost Breakdown template detailing the actual Project costs. The template is available from the Department.

## Performance

Provide information on the progress of the Project in meeting agreed Transport Performance Indicators. Include a table of figures if appropriate.

--

## Innovation

Provide innovative Project delivery techniques that have resulted in positive economic, safety, social, environmental, integration or transparency outcomes (for example, use of recycled material, techniques to reduce water and energy consumption, Project delivery methods that deliver Project savings, or private funding or financing models.)

--

## Indigenous employment and business participation targets

Provide:

1. Results against Indigenous participation target
2. Variations
3. Results for Indigenous job seekers
4. Results for Indigenous businesses
5. Supply-side supports
6. Risk mitigation
7. Unanticipated project costs

### 1. Results against Indigenous participation targets (to be made public)

- Provide the Indigenous participation target outlined in the Indigenous Participation Plan for this project.
  - Include a breakdown of the employment and supplier-use component of the target.
- Was the Indigenous participation target met? YES/NO
- What is the rationale / justification for progress made against targets?
- Has the above information been made public through the States' project reporting processes?

### 2. Variations

- If the Indigenous participation target was not met for this project, explain the variation from the target outlined in the Indigenous Participation Plan.
  - Include the planned vs actual results against the target.

- Provide information about the issues faced by the contractor to fulfil the Indigenous employment and supplier-use requirements.
- If the Indigenous target was exceeded, explain the factors that encouraged or allowed the contractor to achieve this.
  - E.g. a result of supply side support and early engagement with the local community regarding opportunities.
  - E.g. a strong Indigenous labour force within the project locality.

### 3. Results for Indigenous employees

**Mandatory: What was the number of Full Time Equivalent (FTE) Indigenous positions created for the duration of the project?**

*If available, include details about:<sup>2</sup>*

- The number of Indigenous applicants for available positions.
- The aggregate income of total FTE Indigenous positions created in a local area.
  - Include a definition of the 'local area' (e.g. township, Indigenous nation, local government area, ABS data region).
- Indigenous employees' primary role (i.e. key job responsibilities), gender, age group, cultural group and disability (if relevant to employment).

[Note: the Australian Government recommends obtaining this information in a standard spreadsheet from the principal contractor. The information should de-identify individuals, and any corresponding personal information should not be traceable to an individual].

### 4. Results for Indigenous businesses

**Mandatory: What was the total contract spend on Indigenous businesses in a local area?**

*If available, include details about:<sup>3</sup>*

- Number of certified Indigenous businesses awarded a contract in a local area.
  - Include a definition of the 'local area'.
- Locality of the Indigenous businesses (e.g. office location, where they were sourced from).
- Size of Indigenous businesses contracted in this project (e.g. annual turnover, net income).
- If any new Indigenous businesses were established in response to market demand created by the project.

### 5. Supply side supports

<sup>2</sup> The Australian Government is collecting this information to assess the impact of the Framework on Indigenous economic participation for Commonwealth funded or co-funded investment projects.

<sup>3</sup> The Australian Government is collecting this information to assess the impact of the Framework on Indigenous economic participation for Commonwealth funded or co-funded investment projects.

- Type of employment and business support service accessed by Indigenous individuals, and Indigenous and non-Indigenous businesses.
- Type of resource/qualification obtained from the service provider (e.g. finance, capital investment, wage subsidy, cultural awareness training, and certifications).
- Date and duration of service access.
- Identify any gaps in services or any issues relating to accessing supply-side supports.

[Note: this feedback will be provided to relevant Australian Government agencies]

#### 6. Risk mitigation

- Identify any project risks that eventuated as a result of the Indigenous participation requirements for this project and explain how they were managed.
- Were the risk mitigation strategies (including those outlined in the Indigenous Participation Plan) effective in treating these risks?

#### 7. Unanticipated project costs

- Provide details of any additional unanticipated project costs resulting from the Australian Government's requirement for Indigenous economic participation, for this project, and how these costs were managed.

#### 8. Public reporting requirements

- Please advise location of public reporting on performance against Indigenous participation requirements including targets.

\_\_\_\_\_  
[Name]

\_\_\_\_\_  
Date

\_\_\_\_\_  
Position and organisation



# (1) Instructions

## Rail PCB TEMPLATE 2021/22

This document is the **Template for Rail Project Cost Reporting**, issued by the Department of Infrastructure, Transport, Regional Development, and Communications (the Department). It is based on a standard Roads Project Cost Breakdown (PCB) structure which has been developed by the Department in consultation with state and territory jurisdictions. The purpose of this template is to achieve improved consistency and rigour in the cost estimates included in infrastructure investment funding submissions from state/territory jurisdictions.

### TABLE OF CONTENTS

This workbook is comprised of seventeen (17) worksheets (if no phase is selected on the Project Details Tab):

<b>1. Instructions:</b>	Current page, featuring an explanation of the workbook and how to use it.	Informative
<b>2. Project Details:</b>	This sheet provides an overview of the project and its key descriptive details.	Active
<b>2A. Escalation Index Series:</b>	No Proponent input is required. This Tab shows the pre-populated Rail Construction Outturn Cost Index (RailCOCI) Series and annual escalation rates calculations.	Informative
<b>3. Scoping Phase (Full):</b>	This sheet is to be filled out for projects where the funding is being sought for the Scoping phase of the project life cycle and all three levels of costs in the PCB are available.	Active
<b>3A. Scratch Pad:</b>	This sheet can be used to add calculations that inform the results in Table 1. Additional consultant's cost estimate information can also be included.	Active
<b>4. Development Phase:</b>	This sheet is to be filled out for projects where the funding is being sought for the Development phase of the project life cycle	Active
<b>4. Scratch Pad:</b>	This sheet can be used to add calculations that inform the results in Table 1. Additional consultant's cost estimate information can also be included.	Active
<b>5. Delivery Phase:</b>	This sheet is to be filled out for projects where the funding is being sought for the Delivery phase of the project life cycle	Active
<b>5. Scratch Pad:</b>	This sheet can be used to add calculations that inform the results in Table 1. Additional consultant's cost estimate information can also be included.	Active
<b>5A. Post Completion Phase:</b>	This sheet is to be filled out after the completion of the project.	Active
<b>5A. Scratch Pad:</b>	This sheet can be used to add calculations that inform the results in Table 1. Additional consultant's cost estimate information can also be included.	Active
<b>6. Phase Descriptors:</b>	This sheet defines the meaning of each Phase to assist with identification.	Informative
<b>7. PCB Definitions:</b>	This sheet contains a list of terms and definitions used in the Project Cost Breakdown structures within each of the four Phase worksheets.	Informative
<b>8. PCB Metrics Descriptors:</b>	This sheet defines Unit metrics required when completing the Project Cost Breakdown structures.	Informative
<b>9. Requirements for each Phase:</b>	This sheet contains the Department's Cost Estimate Framework that sets out the expected confidence in costings for each Phase of a project's lifecycle.	Informative

Tabs stated as 'active' worksheets may need to be populated. The remaining worksheets are informative only and are to be used as a guide.

For each funding submission only two sheets will need to be completed: the 'Project Details' worksheet and the sheet applicable to the phase for which funding is sought (i.e. Scoping, Development, Delivery). Proposals for multi phase funding should use the template applicable to the first phase of funding sought. Irrespective of the phase for which funding is sought, the submission must provide an estimate of the total project cost, and the associated contingency.

### INSTRUCTIONS FOR COMPLETING THE TEMPLATE FOR PROJECT COST REPORTING

1. Tab Name: Project Details

Please provide in the spaces provided (in green), the:

- Name of Project;
- Project ID;
- Description of Project;
- Project Phase;
- State/Territory;
- Procurement Method (from Dropdown List) with details if need be.
- RailCOCI Used (from Dropdown List) which depends on whether the project is above-ground/below-ground.
- Reference Class (from Dropdown List).
- Key Project Dates;
- Key Project Quantities;
- Contact Details;

2. Tab Name: Escalation Index Series

2.1 No Proponent Input is required in this tab. The purpose of this tab is to provide transparency in escalation calculation. The tab displays the RailCOCI series which varies depending on whether the Project is a Design and Construct/ Construct Only project and on whether the project is above-ground/below-ground. The Proponent will select the appropriate RailCOCI and provide the Base Date of Estimate for the project and the spreadsheet will auto-calculate the annual escalation rates which are used in the Project Phase tab to calculate the project outturn cost. This tab also contains background validation calculations which ensure calculations are accurate.

3. Tab Names: Scoping/Development/Delivery Phase Estimate

3.1 Complete only that tab relating to the phase for which funding is being sought. If available, in that tab please also provide the accompanying actuals data for the previous phases. For instance, if a proposal for the Delivery phase is being submitted, the 'Delivery Phase' estimate tab should be populated with estimates for expenses in that phase and (if available) the actual costs from previous phases.

3.2 To help you determine which Phase your submission relates to, refer to the Tab titled 'Phase Descriptions'. Note that the template does not need to be completed for Identification Phase submissions.

3.3 For each of the three Phases, the same PCB structure has been used. The purpose of the PCB is to provide consistency and transparency in the cost estimates used across all funding submissions made to the Department. It also provides a valuable platform to gather cost estimation data for benchmarking purposes.

3.4 In the relevant Phase spreadsheet, provide the required details in all the cells indicated in either green or blue.

	Green indicates that the figure to be entered is expected to be an estimate or a comment/explanation; while
	Blue indicates that the figure to be entered is an actual cost.

For further guidance in relation to the type of data (estimates or actual) required, please refer to tab 'Requirements for each phase'.

3.5 For all project cost elements listed in the PCB, you will need to provide the TOTAL forecast / actual cost for that element across the life of the project, and where applicable the expected cost in each phase.

3.6 For Contractor cost elements (Level 2), you will need to provide the Unit of measurement for the element and the Quantity required. For a description of the types of metrics to be used when populating this section, refer to the tab 'Metrics Descriptors'.

You will also need to populate the separate "Estimated Alternate Breakdown Of Construction Cost" table with your estimate of the breakup of the total Contractor Construction Cost into Direct Cost, Indirect Cost and Margin. Note that if the sum of these three components does not equal the total of the "Contractor Construction Cost" in the main table the Total cell in this table will turn Red.

3.7

For certain Level 2 cost elements (i.e. **Property Acquisition; Construction**), you will also need to provide the forecast / actual split of the associated Level 3 costs across the three phases of the project's life. This is to reflect the reality that activities for these elements often occur across the three stages, and associated costs are likewise incurred at differing phases.

Note that the cells with a dot pattern background are simply an indication as to where the expenses would *most likely* occur, however if costs fall within other phases for particular elements then these should be entered in the adjacent cells (fields) applicable to the other phases.

3.8

The three level PCB table (**BASE ESTIMATE TABLE**) in each of the Scoping, Development and Delivery worksheets facilitates the calculation of the Base Estimate for the project and must be populated as appropriate.

**State and territory jurisdictions must also:**

- Separately calculate the overall Project Contingency at both the P50 and P90 levels (see note 3.9), and
- Populate the appropriate cells in **Tables 1 and 5**.

**Table 1**

- Populate the "Project Cashflow and Escalation Calculation" Table (Table 1) in the applicable Scoping, Development or Delivery Worksheets with the applicable Project Cost (i.e. Base Estimate plus contingency) at both P50 and P90 level (i.e. the Project Cash Flow).

**Annual Escalation Rates will be calculated automatically by the worksheet once the proponent provides the following two sets of information:**

- The RailCOCI from the drop-down list in the Project Details Tab (Cell D34); *and*
- The date of cost estimate in the Project details Tab (Cell B43). Once this has been entered, the spreadsheet will convert this date into the corresponding quarter and financial year (e.g. Date of Cost Estimate: 05/06/2015, corresponding quarter and financial year: Jun 2014/15).

**Table 5 will then automatically calculate the Project Escalation and the Outturn Cost at both P50 and P90 levels for each year as well as the applicable project total and will automatically populate the two tables: Overall Project Summary and Project Summary Table**

Please note the "Year1 Escalation Breakdown" table shows a breakdown of the compounded escalation rate from the quarter of when the cost estimate was created to year 1. It is for information purposes only.

Additionally, if the total Base estimate calculated in Table 5 is not equal to the Total Base estimate in the **Table 1**, the adjacent cell to the total will turn Red prompting the user to review the entered data for correctness.

Note that the escalated P90 figure in the PCB template does not replace the schedule figure if already agreed to.

**4. Tab Name: Post Completion Phase**

Please fill in this tab with actual project costs only.

**FOR MORE INFORMATION:**

Please contact the appropriate state/territory team in the Department's Infrastructure Investment Division for enquiries about projects' assessment process.

**For specific enquiries relating to this Template and its use, please contact either:**

<b>Mr Andreas Bleich</b> Director, Commercial and Network Analysis Investment Advisory and Business Improvement Infrastructure Investment Division Department of Infrastructure, Transport, Regional Development and Communications <b>Ph. 02 6274 7934</b> <a href="mailto:E.Andreas.Bleich@infrastructure.gov.au">E.Andreas.Bleich@infrastructure.gov.au</a>
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<b>Ms Sadaf Khan</b> Civil Engineer, Commercial and Network Analysis Investment Advisory and Business Improvement Infrastructure Investment Division Department of Infrastructure, Transport, Regional Development and Communications <b>Ph. 02 6274 7214</b> <a href="mailto:E.Sadaf.Khan@infrastructure.gov.au">E.Sadaf.Khan@infrastructure.gov.au</a>
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<b>Ms. Van Ong</b> Assistant Director, Commercial and Network Analysis Investment Advisory and Business Improvement Infrastructure Investment Division Department of Infrastructure, Transport, Regional Development and Communications <b>Ph. 02 6274 7357</b> <a href="mailto:E.Van.Ong@infrastructure.gov.au">E.Van.Ong@infrastructure.gov.au</a>
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(2A) Escalation Index Series

Current Date	27/06/2023	Rebase With Part Year Adjustment	
Financial Year 1 (FY)	2021/22	Rebase Factor to end of FY of PCB version	1.055
		Financial Year of Base Date	2020/21

Rail COCI Average of the forecast period	
2.44%	

Set Base Cost Index	Weight	Procurement Method	Weight	Client Cost % Total Cost (Default)	Weight
Other (power, tunneling)	0%	Design & Construct	100%	Client Cost	22.4%
Other (power)	100%	Construct Only	0%	Other Cost	77.6%

Table 2A.5: Part Year Adjustment Table													
Annual Escalation Rates			Part Year Adjustment Table										
FY	Average Annual Escalation Index	Annual Escalation Rates	FY Escalation for Estimate Dates FY									Month	Month Value
2016/17	104.0	1.3%	1.15%	1.043							12	Jul	
2017/18	104.2	1.1%	1.11%	1.043	1.043						11	Aug	
2018/19	106.8	2.5%	2.54%	1.044	1.044	1.044					10	Sep	
2019/20	106.4	1.5%	1.12%	1.044	1.044	1.044	1.044				9	Oct	
2020/21	109.6	1.1%	1.12%	1.044	1.044	1.044	1.044	1.044			8	Nov	
2021/22	114.4	4.3%	4.93%	1.044	1.044	1.044	1.044	1.051	1.051		7	Dec	
2022/23	117.0	2.8%								1.051	6	Jan	
2023/24	120.1	2.6%									5	Feb	
2024/25	127.7	2.2%									4	Mar	
2025/26	128.7	1.6%									3	Apr	
2026/27	129.4	2.8%									2	May	
2027/28	129.7	2.2%									1	Jun	
2028/29	132.9	2.4%											
2029/30	136.1	2.4%											
2030/31	139.5	2.4%											
2031/32	142.9	2.4%											
2032/33	144.3	2.4%											

PCB version	2021/2022
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The user of this sheet only has to populate the fields highlighted in colour. Green is for estimated costs/comments and blue is for actual costs, i.e.

The remainder of the values on this sheet, which are locked to the user, will be automatically calculated based on the user's input.

of data - where applicable or available

Please have the following information ready to supply an indication on to which phase of the course of the movement it should be assigned. If you do not know, please use your judgment to select the most appropriate phase.

## WATCH PAD

[illegible]

Click button above to show scratch pad area

Scoping Phase Funding Requested - lump sum

	FW	FW
BASE ESTIMATE	50	50
CONTINGENCY	50	50
PROJECT ESTIMATE	50	50
DESIGN	50	50
BUILDING COST	50	50

	PRR	PRR	PRR
Ad Funding Sought	\$0	\$0	\$0
Administrative Contribution	\$0	\$0	\$0
Total	\$0	\$0	\$0
Administrative Contributions & Sought			\$0.00M

Table 5: PROJECT CASHFLOW AND ESCALATION CALCULATION TABLE

Sunken Costs / Actual Costs		Project Cashflow FY2021/22 Onwards												Total Project Costs	
		YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7	YEAR 8	YEAR 9	YEAR 10	YEAR 11	YEAR 12		
Base Estimate P90 Project Estimate P90 Project Estimate	Current Expenditure (\$)	2021/22	2022/23	2023/24	2024/25	2025/26	2026/27	2027/28	2028/29	2029/30	2030/31	2031/32	2032/33		
Relaxing Factor															
Cumulative Escalation Factor (%)															
P90 Escalation (\$)															
P90 Outturn Cost (\$)															
P90 Escalation (\$)															
P90 Outturn Cost (\$)															

Please provide details of cost estimation approach used below if required (particularly where a mix of approaches were used):

Additional notes/clariication relating to any aspect of this cost estimate.

(4) Development Phase

The user of this sheet only has to populate the fields highlighted in colour. Green is for estimated costs/comments and blue is for actual costs, i.e. The remainder of the values on this sheet, which are locked to the user, will be automatically calculated based on the user's input.

Estimated costs or other user input/forecast or publicly known or common

Actual costs - where applicable available

Note: (For the cell content) a user defined budget and a user defined project start and end date are used to calculate the project duration. If the user defined project start and end date are not the same, the project duration will be calculated based on the project start and end date.

Table 1: BASE ESTIMATE: PROJECT COST BREAKDOWN (PCB) - RAIL PROJECT

PCB Level 1		PCB Level 2		PCB Level 3		PCB Level 4		PCB Level 5		PCB Level 6		PCB Level 7		PCB Level 8		PCB Level 9		PCB Level 10		PCB Level 11		PCB Level 12		PCB Level 13		PCB Level 14		PCB Level 15		PCB Level 16		PCB Level 17		PCB Level 18		PCB Level 19		PCB Level 20		PCB Level 21		PCB Level 22		PCB Level 23		PCB Level 24		PCB Level 25		PCB Level 26		PCB Level 27		PCB Level 28		PCB Level 29		PCB Level 30		PCB Level 31		PCB Level 32		PCB Level 33		PCB Level 34		PCB Level 35		PCB Level 36		PCB Level 37		PCB Level 38		PCB Level 39		PCB Level 40		PCB Level 41		PCB Level 42		PCB Level 43		PCB Level 44		PCB Level 45		PCB Level 46		PCB Level 47		PCB Level 48		PCB Level 49		PCB Level 50		PCB Level 51		PCB Level 52		PCB Level 53		PCB Level 54		PCB Level 55		PCB Level 56		PCB Level 57		PCB Level 58		PCB Level 59		PCB Level 60		PCB Level 61		PCB Level 62		PCB Level 63		PCB Level 64		PCB Level 65		PCB Level 66		PCB Level 67		PCB Level 68		PCB Level 69		PCB Level 70		PCB Level 71		PCB Level 72		PCB Level 73		PCB Level 74		PCB Level 75		PCB Level 76		PCB Level 77		PCB Level 78		PCB Level 79		PCB Level 80		PCB Level 81		PCB Level 82		PCB Level 83		PCB Level 84		PCB Level 85		PCB Level 86		PCB Level 87		PCB Level 88		PCB Level 89		PCB Level 90		PCB Level 91		PCB Level 92		PCB Level 93		PCB Level 94		PCB Level 95		PCB Level 96		PCB Level 97		PCB Level 98		PCB Level 99		PCB Level 100		PCB Level 101		PCB Level 102		PCB Level 103		PCB Level 104		PCB Level 105		PCB Level 106		PCB Level 107		PCB Level 108		PCB Level 109		PCB Level 110		PCB Level 111		PCB Level 112		PCB Level 113		PCB Level 114		PCB Level 115		PCB Level 116		PCB Level 117		PCB Level 118		PCB Level 119		PCB Level 120		PCB Level 121		PCB Level 122		PCB Level 123		PCB Level 124		PCB Level 125		PCB Level 126		PCB Level 127		PCB Level 128		PCB Level 129		PCB Level 130		PCB Level 131		PCB Level 132		PCB Level 133		PCB Level 134		PCB Level 135		PCB Level 136		PCB Level 137		PCB Level 138		PCB Level 139		PCB Level 140		PCB Level 141		PCB Level 142		PCB Level 143		PCB Level 144		PCB Level 145		PCB Level 146		PCB Level 147		PCB Level 148		PCB Level 149		PCB Level 150		PCB Level 151		PCB Level 152		PCB Level 153		PCB Level 154		PCB Level 155		PCB Level 156		PCB Level 157		PCB Level 158		PCB Level 159		PCB Level 160		PCB Level 161		PCB Level 162		PCB Level 163		PCB Level 164		PCB Level 165		PCB Level 166		PCB Level 167		PCB Level 168		PCB Level 169		PCB Level 170		PCB Level 171		PCB Level 172		PCB Level 173		PCB Level 174		PCB Level 175		PCB Level 176		PCB Level 177		PCB Level 178		PCB Level 179		PCB Level 180		PCB Level 181		PCB Level 182		PCB Level 183		PCB Level 184		PCB Level 185		PCB Level 186		PCB Level 187		PCB Level 188		PCB Level 189		PCB Level 190		PCB Level 191		PCB Level 192		PCB Level 193		PCB Level 194		PCB Level 195		PCB Level 196		PCB Level 197		PCB Level 198		PCB Level 199		PCB Level 200		PCB Level 201		PCB Level 202		PCB Level 203		PCB Level 204		PCB Level 205		PCB Level 206		PCB Level 207		PCB Level 208		PCB Level 209		PCB Level 210		PCB Level 211		PCB Level 212		PCB Level 213		PCB Level 214		PCB Level 215		PCB Level 216		PCB Level 217		PCB Level 218		PCB Level 219		PCB Level 220		PCB Level 221		PCB Level 222		PCB Level 223		PCB Level 224		PCB Level 225		PCB Level 226		PCB Level 227		PCB Level 228		PCB Level 229		PCB Level 230		PCB Level 231		PCB Level 232		PCB Level 233		PCB Level 234		PCB Level 235		PCB Level 236		PCB Level 237		PCB Level 238		PCB Level 239		PCB Level 240		PCB Level 241		PCB Level 242		PCB Level 243		PCB Level 244		PCB Level 245		PCB Level 246		PCB Level 247		PCB Level 248		PCB Level 249		PCB Level 250		PCB Level 251		PCB Level 252		PCB Level 253		PCB Level 254		PCB Level 255		PCB Level 256		PCB Level 257		PCB Level 258		PCB Level 259		PCB Level 260		PCB Level 261		PCB Level 262		PCB Level 263		PCB Level 264		PCB Level 265		PCB Level 266		PCB Level 267		PCB Level 268		PCB Level 269		PCB Level 270		PCB Level 271		PCB Level 272		PCB Level 273		PCB Level 274		PCB Level 275		PCB Level 276		PCB Level 277		PCB Level 278		PCB Level 279		PCB Level 280		PCB Level 281		PCB Level 282		PCB Level 283		PCB Level 284		PCB Level 285		PCB Level 286		PCB Level 287		PCB Level 288		PCB Level 289		PCB Level 290		PCB Level 291		PCB Level 292		PCB Level 293		PCB Level 294		PCB Level 295		PCB Level 296		PCB Level 297		PCB Level 298		PCB Level 299		PCB Level 300		PCB Level 301		PCB Level 302		PCB Level 303		PCB Level 304		PCB Level 305		PCB Level 306		PCB Level 307		PCB Level 308		PCB Level 309		PCB Level 310		PCB Level 311		PCB Level 312		PCB Level 313		PCB Level 314		PCB Level 315		PCB Level 316		PCB Level 317		PCB Level 318		PCB Level 319		PCB Level 320		PCB Level 321		PCB Level 322		PCB Level 323		PCB Level 324		PCB Level 325		PCB Level 326		PCB Level 327		PCB Level 328		PCB Level 329		PCB Level 330		PCB Level 331		PCB Level 332		PCB Level 333		PCB Level 334		PCB Level 335		PCB Level 336		PCB Level 337		PCB Level 338		PCB Level 339		PCB Level 340		PCB Level 341		PCB Level 342		PCB Level 343		PCB Level 344		PCB Level 345		PCB Level 346		PCB Level 347		PCB Level 348		PCB Level 349		PCB Level 350		PCB Level 351		PCB Level 352		PCB Level 353		PCB Level 354		PCB Level 355		PCB Level 356		PCB Level 357		PCB Level 358		PCB Level 359		PCB Level 360		PCB Level 361		PCB Level 362		PCB Level 363		PCB Level 364		PCB Level 365		PCB Level 366		PCB Level 367		PCB Level 368		PCB Level 369		PCB Level 370		PCB Level 371		PCB Level 372		PCB Level 373		PCB Level 374		PCB Level 375		PCB Level 376		PCB Level 377		PCB Level 378		PCB Level 379		PCB Level 380		PCB Level 381		PCB Level 382		PCB Level 383		PCB Level 384		PCB Level 385		PCB Level 386		PCB Level 387		PCB Level 388		PCB Level 389		PCB Level 390		PCB Level 391		PCB Level 392		PCB Level 393		PCB Level 394		PCB Level 395		PCB Level 396		PCB Level 397		PCB Level 398		PCB Level 399		PCB Level 400		PCB Level 401		PCB Level 402		PCB Level 403		PCB Level 404		PCB Level 405		PCB Level 406		PCB 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473		PCB Level 474		PCB Level 475		PCB Level 476		PCB Level 477		PCB Level 478		PCB Level 479		PCB Level 480		PCB Level 481		PCB Level 482		PCB Level 483		PCB Level 484		PCB Level 485		PCB Level 486		PCB Level 487		PCB Level 488		PCB Level 489		PCB Level 490		PCB Level 491		PCB Level 492		PCB Level 493		PCB Level 494		PCB Level 495		PCB Level 496		PCB Level 497		PCB Level 498		PCB Level 499		PCB Level 500		PCB Level 501		PCB Level 502		PCB Level 503		PCB Level 504		PCB Level 505		PCB Level 506		PCB Level 507		PCB Level 508		PCB Level 509		PCB Level 510		PCB Level 511		PCB Level 512		PCB Level 513		PCB Level 514		PCB Level 515		PCB Level 516		PCB Level 517		PCB Level 518		PCB Level 519		PCB Level 520		PCB Level 521		PCB Level 522		PCB Level 523		PCB Level 524		PCB Level 525		PCB Level 526		PCB Level 527		PCB Level 528		PCB Level 529		PCB Level 530		PCB Level 531		PCB Level 532		PCB Level 533		PCB Level 534		PCB Level 535		PCB Level 536		PCB Level 537		PCB Level 538		PCB Level 539		PCB Level 540		PCB Level 541		PCB Level 542		PCB Level 543		PCB Level 544		PCB Level 545		PCB Level 546		PCB Level 547		PCB Level 548		PCB Level 549		PCB Level 550		PCB Level 551		PCB Level 552		PCB Level 553		PCB Level 554		PCB Level 555		PCB Level 556		PCB Level 557		PCB Level 558		PCB Level 559		PCB Level 560		PCB Level 561		PCB Level 562		PCB Level 563		PCB Level 564		PCB Level 565		PCB Level 566		PCB Level 567		PCB Level 568		PCB Level 569		PCB Level 570		PCB Level 571		PCB Level 572		PCB Level 573		PCB Level 574		PCB Level 575		PCB Level 576		PCB Level 577		PCB Level 578		PCB Level 579		PCB Level 580		PCB Level 581		PCB Level 582		PCB Level 583		PCB Level 584		PCB Level 585		PCB Level 586		PCB Level 587		PCB Level 588		PCB Level 589		PCB Level 590		PCB Level 591		PCB Level 592		PCB Level 593		PCB Level 594		PCB Level 595		PCB Level 596		PCB Level 597		PCB Level 598		PCB Level 599		PCB Level 600		PCB Level 601		PCB Level 602		PCB Level 603		PCB Level 604		PCB Level 605		PCB Level 606		PCB Level 607		PCB Level 608		PCB Level 609		PCB Level 610		PCB Level 611		PCB Level 612		PCB Level 613		PCB Level 614		PCB Level 615		PCB Level 616		PCB Level 617		PCB Level 618		PCB Level 619		PCB Level 620		PCB Level 621		PCB Level 622		PCB Level 623		PCB Level 624		PCB Level 625		PCB Level 626		PCB Level 627		PCB Level 628		PCB Level 629		PCB Level 630		PCB Level 631		PCB Level 632		PCB Level 633		PCB Level 634		PCB Level 635		PCB Level 636		PCB Level 637		PCB Level 638		PCB Level 639		PCB Level 640		PCB Level 641		PCB Level 642		PCB Level 643		PCB Level 644		PCB Level 645		PCB Level 646		PCB Level 647		PCB Level 648		PCB Level 649		PCB Level 650		PCB Level 651		PCB Level 652		PCB Level 653		PCB Level 654		PCB Level 655		PCB Level 656		PCB Level 657		PCB Level 658		PCB Level 659		PCB Level 660		PCB Level 661		PCB Level 662		PCB Level 663		PCB Level 664		PCB Level 665		PCB Level 666		PCB Level 667		PCB Level 668		PCB Level 669		PCB Level 670		PCB Level 671		PCB Level 672		PCB Level 673		PCB Level 674		PCB Level 675		PCB Level 676		PCB Level 677		PCB Level 678		PCB Level 679		PCB Level 680		PCB Level 681		PCB Level 682		PCB Level 683		PCB Level 684		PCB Level 685		PCB Level 686		PCB Level 687		PCB Level 688		PCB Level 689		PCB Level 690		PCB Level 691		PCB Level 692		PCB Level 693		PCB Level 694		PCB Level 695		PCB Level 696		PCB Level 697		PCB Level 698		PCB Level 699		PCB Level 700		PCB Level 701		PCB Level 702		PCB Level 703		PCB Level 704		PCB Level 705		PCB Level 706		PCB Level 707		PCB Level 708		PCB Level 709		PCB Level 710		PCB Level 711		PCB Level 712		PCB Level 713		PCB Level 714		PCB Level 715		PCB Level 716		PCB Level 717		PCB Level 718		PCB Level 719		PCB Level 720		PCB Level 721		PCB Level 722		PCB Level 723		PCB Level 724		PCB Level 725		PCB Level 726		PCB Level 727		PCB Level 728		PCB Level 729		PCB Level 730		PCB Level 731		PCB Level 732		PCB Level 733		PCB Level 734		PCB Level 735		PCB Level 736		PCB Level 737		PCB Level 738		PCB Level 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Table 5: PROJECT CASHFLOW AND ESCALATION CALCULATION TABLE

Sunken Costs / Actual Costs		Project Cashflow FY 2021 /22 Onwards												Total Project Costs	
		Scoping Phase Expenditure (\$)	YEAR 1 2021/22	YEAR 2 2022/23	YEAR 3 2023/24	YEAR 4 2024/25	YEAR 5 2025/26	YEAR 6 2026/27	YEAR 7 2027/28	YEAR 8 2028/29	YEAR 9 2029/30	YEAR 10 2030/31	YEAR 11 2031/32	YEAR 12 2032/33	Total Project Costs <small>(Total 12 Year, 1 year actual and 11 years estimated) Total Project Costs = \$1,483,000,000 Total Project Costs = \$1,483,000,000</small>
Base Estimate															
P90 Project Estimate															\$0
P90 Project Estimate															\$0
Relating Factor		1.483													\$0
Annual Escalation Rate - %			4.35%	2.33%	2.63%	2.17%	1.64%	1.78%	2.21%	2.44%	2.44%	2.44%	2.44%	2.44%	
Cumulative Escalation Factor (N)			1.485	1.080	1.108	1.132	1.151	1.171	1.197	1.225	1.256	1.287	1.318	1.350	
P90 Escalation (\$)			0	0	0	0	0	0	0	0	0	0	0	0	\$0
P90 Outcome Cost (\$)			0	0	0	0	0	0	0	0	0	0	0	0	\$0
P90 Escalation (\$)			0	0	0	0	0	0	0	0	0	0	0	0	\$0
P90 Outcome Cost (\$)			0	0	0	0	0	0	0	0	0	0	0	0	\$0

Please provide details of cost estimation approach used below if required (particularly where a mix of approaches were used):

Additional notes/clarification relating to any aspect of this cost estimate.



(5) Delivery Phase

The user of this sheet only has to populate the fields highlighted in colour. Green is for estimated costs/comments and blue is for actual costs, i.e. The remainder of the values on this sheet, which are locked to the user, will be automatically calculated based on the user's input.

Indicated costs are either user input/forecast or publicly known (where appropriate)  
Have data - where applicable available  
Note: (for the cell content) a user cannot highlight a cell as it is locked to the user. If a user highlights a cell, it will be locked to the user. If a user highlights a cell, it will be locked to the user. If a user highlights a cell, it will be locked to the user.

Table 1: BASE ESTIMATE: PROJECT COST BREAKDOWN (PCB) - RAIL PROJECT

PCB Level 1		PCB Level 2		PCB Level 3		PCB Level 4		PCB Level 5		PCB Level 6		PCB Level 7		PCB Level 8		PCB Level 9		PCB Level 10		PCB Level 11		PCB Level 12		PCB Level 13		PCB Level 14		PCB Level 15		PCB Level 16		PCB Level 17		PCB Level 18		PCB Level 19		PCB Level 20		PCB Level 21		PCB Level 22		PCB Level 23		PCB Level 24		PCB Level 25		PCB Level 26		PCB Level 27		PCB Level 28		PCB Level 29		PCB Level 30		PCB Level 31		PCB Level 32		PCB Level 33		PCB Level 34		PCB Level 35		PCB Level 36		PCB Level 37		PCB Level 38		PCB Level 39		PCB Level 40		PCB Level 41		PCB Level 42		PCB Level 43		PCB Level 44		PCB Level 45		PCB Level 46		PCB Level 47		PCB Level 48		PCB Level 49		PCB Level 50		PCB Level 51		PCB Level 52		PCB Level 53		PCB Level 54		PCB Level 55		PCB Level 56		PCB Level 57		PCB Level 58		PCB Level 59		PCB Level 60		PCB Level 61		PCB Level 62		PCB Level 63		PCB Level 64		PCB Level 65		PCB Level 66		PCB Level 67		PCB Level 68		PCB Level 69		PCB Level 70		PCB Level 71		PCB Level 72		PCB Level 73		PCB Level 74		PCB Level 75		PCB Level 76		PCB Level 77		PCB Level 78		PCB Level 79		PCB Level 80		PCB Level 81		PCB Level 82		PCB Level 83		PCB Level 84		PCB Level 85		PCB Level 86		PCB Level 87		PCB Level 88		PCB Level 89		PCB Level 90		PCB Level 91		PCB Level 92		PCB Level 93		PCB Level 94		PCB Level 95		PCB Level 96		PCB Level 97		PCB Level 98		PCB Level 99		PCB Level 100		PCB Level 101		PCB Level 102		PCB Level 103		PCB Level 104		PCB Level 105		PCB Level 106		PCB Level 107		PCB Level 108		PCB Level 109		PCB Level 110		PCB Level 111		PCB Level 112		PCB Level 113		PCB Level 114		PCB Level 115		PCB Level 116		PCB Level 117		PCB Level 118		PCB Level 119		PCB Level 120		PCB Level 121		PCB Level 122		PCB Level 123		PCB Level 124		PCB Level 125		PCB Level 126		PCB Level 127		PCB Level 128		PCB Level 129		PCB Level 130		PCB Level 131		PCB Level 132		PCB Level 133		PCB Level 134		PCB Level 135		PCB Level 136		PCB Level 137		PCB Level 138		PCB Level 139		PCB Level 140		PCB Level 141		PCB Level 142		PCB Level 143		PCB Level 144		PCB Level 145		PCB Level 146		PCB Level 147		PCB Level 148		PCB Level 149		PCB Level 150		PCB Level 151		PCB Level 152		PCB Level 153		PCB Level 154		PCB Level 155		PCB Level 156		PCB Level 157		PCB Level 158		PCB Level 159		PCB Level 160		PCB Level 161		PCB Level 162		PCB Level 163		PCB Level 164		PCB Level 165		PCB Level 166		PCB Level 167		PCB Level 168		PCB Level 169		PCB Level 170		PCB Level 171		PCB Level 172		PCB Level 173		PCB Level 174		PCB Level 175		PCB Level 176		PCB Level 177		PCB Level 178		PCB Level 179		PCB Level 180		PCB Level 181		PCB Level 182		PCB Level 183		PCB Level 184		PCB Level 185		PCB Level 186		PCB Level 187		PCB Level 188		PCB Level 189		PCB Level 190		PCB Level 191		PCB Level 192		PCB Level 193		PCB Level 194		PCB Level 195		PCB Level 196		PCB Level 197		PCB Level 198		PCB Level 199		PCB Level 200		PCB Level 201		PCB Level 202		PCB Level 203		PCB Level 204		PCB Level 205		PCB Level 206		PCB Level 207		PCB Level 208		PCB Level 209		PCB Level 210		PCB Level 211		PCB Level 212		PCB Level 213		PCB Level 214		PCB Level 215		PCB Level 216		PCB Level 217		PCB Level 218		PCB Level 219		PCB Level 220		PCB Level 221		PCB Level 222		PCB Level 223		PCB Level 224		PCB Level 225		PCB Level 226		PCB Level 227		PCB Level 228		PCB Level 229		PCB Level 230		PCB Level 231		PCB Level 232		PCB Level 233		PCB Level 234		PCB Level 235		PCB Level 236		PCB Level 237		PCB Level 238		PCB Level 239		PCB Level 240		PCB Level 241		PCB Level 242		PCB Level 243		PCB Level 244		PCB Level 245		PCB Level 246		PCB Level 247		PCB Level 248		PCB Level 249		PCB Level 250		PCB Level 251		PCB Level 252		PCB Level 253		PCB Level 254		PCB Level 255		PCB Level 256		PCB Level 257		PCB Level 258		PCB Level 259		PCB Level 260		PCB Level 261		PCB Level 262		PCB Level 263		PCB Level 264		PCB Level 265		PCB Level 266		PCB Level 267		PCB Level 268		PCB Level 269		PCB Level 270		PCB Level 271		PCB Level 272		PCB Level 273		PCB 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340		PCB Level 341		PCB Level 342		PCB Level 343		PCB Level 344		PCB Level 345		PCB Level 346		PCB Level 347		PCB Level 348		PCB Level 349		PCB Level 350		PCB Level 351		PCB Level 352		PCB Level 353		PCB Level 354		PCB Level 355		PCB Level 356		PCB Level 357		PCB Level 358		PCB Level 359		PCB Level 360		PCB Level 361		PCB Level 362		PCB Level 363		PCB Level 364		PCB Level 365		PCB Level 366		PCB Level 367		PCB Level 368		PCB Level 369		PCB Level 370		PCB Level 371		PCB Level 372		PCB Level 373		PCB Level 374		PCB Level 375		PCB Level 376		PCB Level 377		PCB Level 378		PCB Level 379		PCB Level 380		PCB Level 381		PCB Level 382		PCB Level 383		PCB Level 384		PCB Level 385		PCB Level 386		PCB Level 387		PCB Level 388		PCB Level 389		PCB Level 390		PCB Level 391		PCB Level 392		PCB Level 393		PCB Level 394		PCB Level 395		PCB Level 396		PCB Level 397		PCB Level 398		PCB Level 399		PCB Level 400		PCB Level 401		PCB Level 402		PCB Level 403		PCB Level 404		PCB Level 405		PCB Level 406		PCB 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606		PCB Level 607		PCB Level 608		PCB Level 609		PCB Level 610		PCB Level 611		PCB Level 612		PCB Level 613		PCB Level 614		PCB Level 615		PCB Level 616		PCB Level 617		PCB Level 618		PCB Level 619		PCB Level 620		PCB Level 621		PCB Level 622		PCB Level 623		PCB Level 624		PCB Level 625		PCB Level 626		PCB Level 627		PCB Level 628		PCB Level 629		PCB Level 630		PCB Level 631		PCB Level 632		PCB Level 633		PCB Level 634		PCB Level 635		PCB Level 636		PCB Level 637		PCB Level 638		PCB Level 639		PCB Level 640		PCB Level 641		PCB Level 642		PCB Level 643		PCB Level 644		PCB Level 645		PCB Level 646		PCB Level 647		PCB Level 648		PCB Level 649		PCB Level 650		PCB Level 651		PCB Level 652		PCB Level 653		PCB Level 654		PCB Level 655		PCB Level 656		PCB Level 657		PCB Level 658		PCB Level 659		PCB Level 660		PCB Level 661		PCB Level 662		PCB Level 663		PCB Level 664		PCB Level 665		PCB Level 666		PCB Level 667		PCB Level 668		PCB Level 669		PCB Level 670		PCB Level 671		PCB Level 672		PCB Level 673		PCB Level 674		PCB Level 675		PCB Level 676		PCB Level 677		PCB Level 678		PCB Level 679		PCB Level 680		PCB Level 681		PCB Level 682		PCB Level 683		PCB Level 684		PCB Level 685		PCB Level 686		PCB Level 687		PCB Level 688		PCB Level 689		PCB Level 690		PCB Level 691		PCB Level 692		PCB Level 693		PCB Level 694		PCB Level 695		PCB Level 696		PCB Level 697		PCB Level 698		PCB Level 699		PCB Level 700		PCB Level 701		PCB Level 702		PCB Level 703		PCB Level 704		PCB Level 705		PCB Level 706		PCB Level 707		PCB Level 708		PCB Level 709		PCB Level 710		PCB Level 711		PCB Level 712		PCB Level 713		PCB Level 714		PCB Level 715		PCB Level 716		PCB Level 717		PCB Level 718		PCB Level 719		PCB Level 720		PCB Level 721		PCB Level 722		PCB Level 723		PCB Level 724		PCB Level 725		PCB Level 726		PCB Level 727		PCB Level 728		PCB Level 729		PCB Level 730		PCB Level 731		PCB Level 732		PCB Level 733		PCB Level 734		PCB Level 735		PCB Level 736		PCB Level 737		PCB Level 738		PCB Level 739		PCB Level 740		PCB Level 741		PCB Level 742		PCB Level 743		PCB Level 744		PCB Level 745		PCB Level 746		PCB Level 747		PCB Level 748		PCB Level 749		PCB Level 750		PCB Level 751		PCB Level 752		PCB Level 753		PCB Level 754		PCB Level 755		PCB Level 756		PCB Level 757		PCB Level 758		PCB Level 759		PCB Level 760		PCB Level 761		PCB Level 762		PCB Level 763		PCB Level 764		PCB Level 765		PCB Level 766		PCB Level 767		PCB Level 768		PCB Level 769		PCB Level 770		PCB Level 771		PCB Level 772		PCB Level 773		PCB Level 774		PCB Level 775		PCB Level 776		PCB Level 777		PCB Level 778		PCB Level 779		PCB Level 780		PCB Level 781		PCB Level 782		PCB Level 783		PCB Level 784		PCB Level 785		PCB Level 786		PCB Level 787		PCB Level 788		PCB Level 789		PCB Level 790		PCB Level 791		PCB Level 792		PCB Level 793		PCB Level 794		PCB Level 795		PCB Level 796		PCB Level 797		PCB Level 798		PCB Level 799		PCB Level 800		PCB Level 801		PCB Level 802		PCB Level 803		PCB Level 804		PCB Level 805		PCB Level 806		PCB Level 807		PCB Level 808		PCB Level 809		PCB Level 810		PCB Level 811		PCB Level 812		PCB Level 813		PCB Level 814		PCB Level 815		PCB Level 816		PCB Level 817		PCB Level 818		PCB Level 819		PCB Level 820		PCB Level 821		PCB Level 822		PCB Level 823		PCB Level 824		PCB Level 825		PCB Level 826		PCB Level 827		PCB Level 828		PCB Level 829		PCB Level 830		PCB Level 831		PCB Level 832		PCB Level	
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Table 2: PROJECT CASHFLOW														
	Sunk Costs / Actual Costs		Project Cashflow Actuals											
	Scoping Phase Expenditure (\$)	Development Phase Expenditure (\$)												
	\$0		2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
Base Estimate (or True Cost if applicable)														
Please provide details of cost estimation approach used below if required (particularly where a mix of approaches were used):														
Additional notes/clarification relating to any aspect of this cost estimate.														

## (6) Phase Descriptions

PHASE	Input (To be provided to the Department)	Output (Product at end of the phase)	Phase Descriptions
IDENTIFICATION	Proposal for IDENTIFICATION Phase funding	The preferred alternative with an indicative cost presented as both outturned and non outturned format with cash flow identified and reflecting contingencies at both P50 and P90.	The Project Identification phase requires an appraisal/study of broad alternatives such as road and rail technology, travel demand management, land use etc. to solve a particular transport problem. The appraisal considers how well the broad alternatives to address the problem meet the Infrastructure Investment objectives and identifies a <u>preferred alternative</u> solution for progression to the Project Scoping phase.
SCOPING	Proposal for SCOPING Phase funding (reflecting the output cost estimate from the Identification phase)	The preferred option with a more detailed cost estimate presented as both outturned and non Outturned costs with cash flow identified and reflecting contingencies at both P50 and P90.	Project Scoping entails the investigation of specific options (such as route selections for a bypass) that achieve the preferred alternative to address the transport problem studied in the Identification phase. For each of the specific options a business case analysis is required which should address the Benefit Cost Ratio (BCR), the finances, the scope and budgets/timing (including contingency at P50 and P90 and escalation) for each option, recognising that costs estimates are likely to be based on limited information and hence contingencies are likely to be high. A <u>preferred option</u> will be the result of the business case analysis and the outcome of the Scoping Phase.
DEVELOPMENT	Proposal for DEVELOPMENT Phase funding (reflecting the output cost estimate from the Scoping phase)	Detailed construction specification and detailed pre-tender cost estimate presented as both outturned and non Outturned costs with cash flow identified and reflecting contingencies at both P50 and P90.  [Cost estimate for the whole project includes any actual costs from previous phases]	Project Development entails detailed planning (such as environmental approvals, land acquisition, community consultation) and design (such as field studies, preliminary detailed design, quantity estimates) of the <u>preferred option</u> and the development of a updated BCR, detailed and refined project budgets/timings (including a pre-tender estimate) and a procurement method. This phase might also involve some pre-construction or preliminary construction work.
DELIVERY	Proposal for DELIVERY Phase funding (reflecting the output cost estimate from the Development phase)	Completed and commissioned project and actual project cost  [Cost estimate for the whole project includes any actual costs from previous phases]	Project Delivery entails construction and commissioning of the preferred option following a procurement process and the selection of a construction contractor. Preliminary works (relocation of services, earthworks etc) could precede the main construction contract. Progress reporting and progress claims are required from the proponent at regular intervals during this phase.

(7) PCB DEFINITIONS		
Element	Definition and Application	Unit Qty
	Each element definition below includes, but is not limited to the items and activities defined. Reasonable judgement should be applied to allocate cost items within cost breakdown structure.	
<b>Management and Oversight</b>		
<b>Project Management</b>	Applies to all phases from Identification to Delivery and Finalisation Includes all resources, whether agency or outsourced or sub-contracted.	
	Agency Overhead (whether funded by a recurrent budget or project budget)	
	Program Administration	
	Stakeholder consultation and communication, including with owners, councils, operators, media, community and the like	
	Contract Administration of consultants, advisors, contractors	
	Contract Management and Supervision (by Client)	
	Legal and Commercial	
	Procurement management, including procurement and contract documents, evaluation etc	
	Planning and Programming	
	Cost Planning and Cost Advisory	
	Risk Assessment	
	OH&S activities managed by the Client organisation	
	Project reports throughout the planning, development and delivery phases	
	Project review and approval	
	Obtaining consents and approvals	
	Client Representation	
	Audits by Client including construction, Rail safety	
	Finalisation and handover costs by Client	
<b>Design and Investigation</b>	Applies to all phases from Identification to Delivery and Finalisation Includes all resources, whether agency or outsourced or sub-contracted.	
	Design and Investigation includes, but is not limited to, the following activities:	
	Planning at the identification stage, including planning studies and project definition	
	Concept Design	
	Options identification and analysis	
	Design development	
	Detailed design & tender design documentation	
	Investigations covering requirements & supply for geotechnical, land, materials & water	
	Surveys, including topographical and property	
	Utilities surveys, searches and reports	
	Technical studies, including (for example): noise, environment, flora, fauna, cultural, heritage, air quality, safety, hydrological	
	Demand survey, analysis and modelling	
	Updating design documentation, reports	
	Independent Verifier / Certifier	
	Environmental Impact Studies	
	Finalisation and handover costs related to Design	
<b>Property Acquisition - Purchase Price</b>	Costs estimated and reported under Property Acquisition Purchase Price include, but are not limited to:	M <sup>2</sup> of land required
	Purchase price of property or access rights (leases or equivalent)	
	Credits to the project from any property disposal (if credited to the project)	
<b>Property Acquisition - Transaction &amp; Other costs</b>	Transaction Costs related to purchase (or lease), including legal, stamp duty, property valuation, surveys etc	
	Management costs directly related to property matters.	
<b>Property Acquisition - Business Compensation</b>	Business and / or personal compensation	
	Relocation costs of owners/ tenants	
<b>Property Acquisition - Environmental Offsets</b>	Purchase of offset land	M <sup>2</sup> of land affected
	Development / planting of land under an environmental offset.	
<b>Other Client Costs</b>	Client supplied Insurances, Fees, Levies, Testing, Commissioning, operational readiness, training, possession costs including bussing.	
	Project insurance procured by the agency and is made available to contractors	
<b>Construction Cost</b>	This section includes all construction related activities such as enabling or early works, the main construction works, completion and finalisation works as well as the initial maintenance period required by the project.	
<b>Environmental Works</b>	Temporary environmental works during construction, such as retention, detention and sedimentation ponds, monitoring, screens, filtering, maintenance of same during construction, protection, preservation & monitoring of Aboriginal sites, protection of flora, fire prevention, waste disposal, dieback and dust control.	N/A



(7) PCB DEFINITIONS		
	Permanent environmental works, such as retention, detention and sedimentation ponds, monitoring , screens, filtering etc and maintenance of same for the stipulated contract period.	
	Noise Barriers, temporary and permanent, including specific noise walls, attenuation measures such as mounds, tree planting where noise attenuation is required.	
	Provision of fauna habitats, underpasses, overpasses, culverts/tunnels, rope crossings , poles and the like	
	Property adjustment works including preconstruction and post construction property inspections	
<b>Traffic Management and Temporary Works</b>	Temporary traffic management measures including temporary signage, personnel and barriers for protection of public, traffic and property	N/A
	Temporary bypasses or diversions including maintenance of existing Rail corridors	
	Temporary works (based on work method assumptions) for which the costs can be reasonably isolated from the execution of the main works, such as gantries, bridges, paths, etc	
<b>Public Utilities Adjustments</b>	Temporary or permanent diversion, relocation or protection of public utilities such as:	N/A
	- Water Supplies	
	- Sewerage	
	- Stormwater	
	- Gas	
	- Electricity, including HV and LV, above or below ground	
	- Communications, such as data, telephone and the like, above or below ground.	
	- Relocation of major public utility infrastructure , such as substations, pump stations, and other fixed utility assets, to enable the main works to proceed.	
	Note: Excludes new installations that form an integral part of the new infrastructure, which is accounted for in the relevant sections of that work.	
<b>Bulk Earthworks</b>	Bulk earthworks includes the formation of the required lines and levels of the new works, such as:	M <sup>3</sup>
	Establishment & reinstatement of embankment or Rail material borrow pits and access tracks, haul roads	
	Site preparation and general clearing, top soil removal, decontamination.	
	Bulk excavation to sub-grade levels	
	Filling, including cut to fill and imported filling to top of formation	
	Capping layer	
	Ground improvement, including stabilisation and pre-loading activities	
	Replacement of unsuitable material	
	Formation of batters and trimming	
	Spoil handling, storage and disposal activities	
	Testing	
<b>Retaining Walls</b>	Includes all types of retaining walls, such as:	M <sup>2</sup>
	Reinforced earth and soil nailed walls, including detailed excavation and backfill	
	Cantilever walls, including detailed excavation	
	Crib or interlocking walls, including detailed excavation and backfill	
	Post and panel walls, including all excavation, structural elements and finishing treatments	
	Diaphragm walls, including excavation activities and structural elements	
	Demolition or adjustment of existing retaining walls	
	Note: Excavation includes the costs of spoil disposal for the respective element	
<b>Drainage</b>	Includes the following items of work	
	Box and pipe culverts, including excavation and backfill, spoil disposal, new or existing altered structural elements and gabion matting, rock protection or equivalent treatments	
	Longitudinal and transverse in-ground drainage, including excavation and shoring, bedding and backfill work, new existing or altered pipework and identification work.	
	Sub-soil drainage (as per other drainage)	
	Specific filter layers (excluding where part of a pavement design)	
	Surface drainage, such as V drains, cess drains, drain linings, and the like.	
	Kerb and gutter, including inlet pits and trunk drains	
	Gross pollutant traps, treatment facilities, and the like	
	Pits and junctions related to the above works	
	Removal adjustment or making safe redundant drainage items	
<b>Bridges</b>	Bridges road and rail, including all components, such as detailed excavation, foundation systems, abutment structures, new or refurbished deck and suspension structures, barriers, handrails and walkways, bridge drainage, deflection walls, maintenance access and facilities and surface finishing.	M <sup>2</sup> deck
	Pedestrian bridges, (complete) including foundations, structure, finishes and services. (where integral with a station or interchange, the bridge component should be included with that facility)	
	Demolition or adjustment of existing bridges	

(7) PCB DEFINITIONS		
<b>Tunnels</b>	All tunnel construction activities, for all methods including, but not limited to:	Km (and specify No of Lanes)
	Cross passages, egress and ventilation tunnels associated with the main tunnel	
	Mobilisation / demobilisation of tunnel equipment and activities	
	Excavation and support , including spoil disposal	
	Tunnel Linings, all types	
	Tunnel drainage	
	All finishings, including pavements, architectural linings, barriers signage, marking etc	
	systems	
	Ventilation structures and equipment	
	Control buildings and tunnel control systems (excluding Rail Systems)	
	Demolition or adjustment of existing tunnels	
	Pedestrian or vehicular underpasses using a form of tunnel construction	
	Note: Tunnel fitout for rail systems (track, overhead wiring, signalling, coimunications etc) should be included in their respective elements	
<b>Trackwork</b>	Rail track complete, including ballast, sleepers, rail, rail fittings, track laying, tamping and grinding	
	Acoustic rail track, including associated track slab, acoustic or vibration track fittings, track laying, grinding.	
	Track turnouts, crossovers, actuators, check points, associated with the rail installation	
	Buffer stops including sliding friction, hydraulic and fixed stops	
	Slewing or adjustment of existing rail track.	
	Removal and disposal of existing rail track	
<b>Rail Systems - Overhead wiring</b>	Overhead traction power wiring, including all associated support structures, catenary wiring and power supply.	
	Trackside posts, gantries and fittings associated with the support of overtrack wiring	
	Catenary and power wiring and associated tensioning systems within or outside of tunnels	
	Transformers, switchgear, insulators, earthing, bonding, registration equipment,	
	Undertrack crossings for overhead wiring installation	
<b>Rail Systems - Power Supply and Distribution</b>	Incoming Raw power supply to sub-stations	
	Substations	
	High and low voltage power distribution along corridor	
	Transformers for supply to overhead wiring	
	Trackside installations associated with Power Distribution	
<b>Rail Systems - Signalling</b>	All signalling and cabling and associated activities:	
	Signal Plans, Control Tables and design directly associated with signalling	
	Mechanical and civil works where associated with signalling installation, including the services route where solely for signalling.	
	Control systems, automatic trail protection and control, interlocking,	
	Trackside installations associated with Signalling, including location cases, track circuits, axle counters, signal posts and signals, compressed air systems, ground frames, under track crossings, and other lineside items.	
	Signalling power supply from the point of substation or transformer	
	Signal boxes and buildings	
<b>Rail Systems -Rail Communications</b>	Rail communication systems, including:	
	Public address (PA), closed circuit television (CCTV), help points, passenger information systems, precise clocks,	
	Train radio, telecommunications systems (eg mobile phones, data and radio broadcast),	
	SCADA	
	Trackside installations associated with Rail Communications	
<b>Rail Systems - Combined Services Route</b>	Excavation, backfilling, conduits, pits and markers provided a trunk route for a range of rail services.	
	If the route is solely for one service, eg signalling, the cost of this route is included in the Rail Systems - Signalling installation	
<b>Roadworks, landscaping, fencing</b>	Roadworks other than within station interchanges	
	Corridor access roads and paths	
	Fencing, footpaths and cycleways	
	Project wide landscaping, including hard and soft, and maintenance in accordance for the stipulated contract period.	
<b>Transport Stations, Interchanges, Buildings,-Stations, Stabling and Maintenance Buildings</b>	Note: for each facility type, a further elemental breakdown is necessary in supporting documentation. This breakdown would generally follow accepted practice for building works (eg foundations, structure, façade, roof, building services and the like, in appropriate detail)	
	Above ground stations including all associated components (platforms, vertical transport)	
	Below ground stations, including all associated components, in particular, cavern excavation and support	
	Transport Interchanges, including structures, road pavements, lighting, vertical transport, signage etc	
	Carparks , on grade and multideck, complete including associated access roads and controls.	
	(Rail) Administration Buildings	
	Stabling Buildings complete	
	Maintenance facilities (complete)	
	Presentation (Cleaning) facilities (complete)	
	Other building (reference) classes	
<b>Commissioning and Handover</b>		

(7) PCB DEFINITIONS		
	Testing and commissioning of component and integrated systems	
	Overall commissioning of the integrated systems	
	Handover of completed facilities	
	Training of operators and management	
	Accreditation costs as of regulator approval	
<b>Design (if by Contractor)</b>		
	Design undertaken by the contractor where a design and construction service is undertaken, typically occurring in D&C and Alliance style contracts. In which case would include:	
	Design to full documentation stage	
	Independent Certification	
	As-built documentation	
<b>Rolling Stock</b>	Design, procurement, commissioning and delivery of rolling stock	
<b>Supplementary Items</b>		
	This cost centre should only be used for exceptional items that cannot be reasonably allocated to the above elements.	
	Items in this category need to be described and included in their totality.	
	<b>Such items may include:</b>	
	Management costs incurred by a Contractor to form an Alliance (but excluding ongoing Indirect costs)	
	Costs of a component of non-rail work affected by the rail construction, e.g. adjustments to road infrastructure.	
	Minor Installations	
es		
(7) PCB DEFINITIONS		
Element	Definition and Application	Unit Qty
	<i>Reasonable judgement should be applied to allocate cost items within cost breakdown structure.</i>	
<b>Management and Oversight</b>		
<b>Project Management</b>	<i>Applies to all phases from Identification to Delivery and Finalisation</i>	
	<i>Includes all resources, whether agency or outsourced or sub-contracted.</i>	
	Agency Overhead (whether funded by a recurrent budget or project budget)	
	Program Administration	
	Stakeholder consultation and communication, including with owners, councils, operators, media, community and the like	
	Contract Administration of consultants, advisors, contractors	
	Contract Management and Supervision (by Client)	
	Legal and Commercial	
	Procurement management, including procurement and contract documents, evaluation etc	
	Planning and Programming	
	Cost Planning and Cost Advisory	
	Risk Assessment	
	OH&S activities managed by the Client organisation	
	Project reports throughout the planning, development and delivery phases	
	Project review and approval	
	Obtaining consents and approvals	
	Client Representation	
	Audits by Client including construction, Rail safety	
	Finalisation and handover costs by Client	

**(8) PCB Metri****Data required to enable high level benchmarking****Description****Unit****1 Key Project Quantities**

Track Length	km
Number of Stations	
Tunnel Length	km
Number of Tunnels	

**2 Elemental Quantities**

Note:

*The following elements will have unit quantities:*

Bulk Earthworks	m3
Retaining walls	m2
Bridges	m2

**3 Duration***The planned and actual program information is required for the following activities:*

Base Date of Estimate  
Commence Scoping Phase  
Commence Development Phase  
Commence Delivery Phase  
Start Construction (on site)  
Complete construction

**4 Reference Class of Project**

This should be guided by agency's practice, however suggested reference classes may

Urban rail - electrified  
Regional rail - electrified  
Urban rail -not electrified  
Regional rail - not electrified  
Light rail

**5 Procurement Method**

Construct Only  
Design and Construct  
Managing Contractor  
Early Contractor Involvement  
Alliance  
PPP

**6 Method of Risk Assessment**

Factor Based  
Deterministic  
Probabilistic

**7 Project Phase**

Identification  
Scoping  
Development  
Delivery  
Post-Completion

## cs & Descriptors

### Measurement Definition

The track length represents the overall length of new / upgraded track

Number of Stations to be constructed

The number of kilometres of tunnel that is to be created stating the number of tracks contained therein. (for example, a one kilometre stretch of a standard two tracks tunnel represents ONE tunnel kilometre).

Number of tunnels to be constructed

Not all elements will have an element quantity. In these cases, only the lane kilometre quantity will be applied.

The total quantity of excavated material, including excavation in rock, cut to fill, cut and dispose etc, plus the total quantity of fill imported from offsite.

Face area of wall from top of wall foundation to top of retaining wall

Area of bridge deck structure, measured between outer edges of bridge.

Required to be stated on estimate summary

Planned / Actual dates as appropriate

Planned / Actual dates as appropriate

Planned / Actual dates as appropriate

Planned / Actual dates as appropriate

Planned / Actual dates as appropriate

be:

Select the phase of the project for which you are entering estimates



## 9) Requirements For Each Phase

Project Life Cycle - Time sequencing of Project Phases and submissions



Identification Phase Submission (Seeking Identification Phase Funding)	Scoping Phase Submission (Seeking Scoping Phase Funding) MINIMUM REQUIREMENT [Probabilistic unless Department authorised]	Development Phase Submission (Seeking Development Phase Funding) MINIMUM REQUIREMENT [Probabilistic]	Delivery Phase Submission (Seeking Delivery Phase Funding) MINIMUM REQUIREMENT [Probabilistic]	Post-Completion Report (Reporting actual project costs)
Project Contingency <sup>2</sup> (Nil - not required)	Project Contingency <sup>4</sup> P50 P90	Project Contingency <sup>4</sup> P50 P90	Project Contingency <sup>4</sup> P50 P90	Project Contingency <sup>4</sup> Nil (All actuals)
Estimate	Actual cost <sup>(2)</sup> +	Actual cost <sup>(2)</sup> +	Actual cost <sup>(2)</sup> +	Actual cost <sup>(2)</sup> +
	Estimate (Detailed/Supplier Quote)	Actual cost <sup>(2)</sup>	Actual cost <sup>(2)</sup>	Actual cost <sup>(2)</sup>
	+	+	+	+
	Estimate	Estimate (Detailed/Supplier Quote)	Actual cost <sup>(2)</sup>	Actual cost <sup>(2)</sup>
	+	+	+	+
	Estimate	Estimate	Estimate (Detailed pre-tender)	Actual cost <sup>(2)</sup>
	=	=	=	=
Identification Phase Only Cost Estimate	Whole of Project Cost Estimates (P50 & P90)	Whole of Project Cost Estimates (P50 & P90)	Whole of Project Cost Estimates (P50 & P90)	Whole of Project Actual Cost

Identification Phase Cost

Scoping PCBs Cost Elements

Development PCBs Cost Elements

Delivery PCBs Cost Elements

Total Submission/Report Cost  
(Aggregation of Identification, Scoping, Development & Delivery PCBs Cost Components)

[Note that for simplicity this diagram only reflects Project Costs i.e. the project Base Cost plus Contingency, as this is the basis on which the Cost Benchmarking Tool compares projects. However each Submission should also include the Outturn cost, which is the Project Cost escalated by the appropriate index]

### KEY POINTS

1. Normally a submission is submitted prior to the commencement of each phase seeking funding for that phase. However multiple phase submissions may be submitted and if a submission is approved in principle, it will need to be updated at the conclusion of each phase with the actuals for that phase and an updated estimate for subsequent phases.
2. Each submission, with the exception of an Identification phase submission, provides a detailed cost estimate for the phase for which funding is sought, and ideally the actual costs for preceding phases and robust estimates for the overall project cost at both P50 and P90 level. Where the actual costs for the preceding phase are not available when a Submission for the subsequent phase is submitted, a best estimate should be provided and should be updated with the actuals, when available.
3. The above diagram depicts the Project Cost Breakdown (PCB) structure in simplified form as being composed of five cost element groups e.g. Identification, Scoping, Development, Delivery and Post-Completion. Apart from the Identification phase, each Cost Element Group includes a number of subordinate cost elements as shown in the full PCB structure.
4. For a Scoping phase submission, while the estimate for the Scoping phase Cost Element should be quite robust (i.e. a jurisdiction may already have received detailed quotes for this phase), the contingency for the overall project, as a % of Base Estimate, is likely to be quite high at both the P50 and P90 levels reflecting that only limited information regarding the project is available at that stage. However for Development and Delivery phase submissions the project contingencies for the overall project are expected to progressively reduce reflecting that more information about the project is known. In particular for a Delivery phase Submission both the P50 and P90 contingencies for the overall project should be quite low as the jurisdiction will have actual costs for both the Scoping and Development phases, and most likely a detailed pre tender estimate (often prepared by an independent service provider) for the Delivery phase.
5. The above framework is a simplification for the purposes of illustrating the associated principles, noting that Property Acquisition can occur in any phase except the Post-Completion Phase, while some construction related work may occur in the Scoping Stage, enabling works etc can frequently occur in the Development phase with the majority of the construction related work occurring in the Delivery phase.

s22(1)(a)(ii)

**From:** s22(1)(a)(ii)@transport.nsw.gov.au>  
**Sent:** Tuesday, 14 June 2022 2:49 PM  
**To:** BROE Barry  
**Subject:** RE: [SEC=OFFICIAL]

Hi Barry,

You can direct the enquiries to us if that helps?

The NSW Government has committed \$500 million towards the Tuggerah to Wyong project. This funding commitment from NSW is conditional on the Commonwealth Government providing the \$500 million announced prior to the Federal Election towards the project.

s22(1)(a)(ii) was going to find a time to catch up later this week to discuss further but happy to take a call if you need to clarify anything.

Thanks,  
 s22(1)(a)(ii)

s22(1)(a)(ii) He/Him

A/Program Director  
 Fast Rail Program  
 Planning and Programs Branch  
 Regional and Outer Metropolitan Division  
**Transport for NSW**

M s22(1)(a)(ii) E s22(1)(a)(ii)@transport.nsw.gov.au

[transport.nsw.gov.au](https://transport.nsw.gov.au)



Transport  
for NSW



I acknowledge the Aboriginal people of the country on which I work, their traditions, culture and a shared history and identity. I also pay my respects to Elders past and present and recognise the continued connection to country.

**From:** BROE Barry  
**Sent:** Tuesday, 14 June 2022 2:41 PM  
**To:** s22(1)(a)(ii)  
**Subject:** RE: [SEC=OFFICIAL]

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OFFICIAL

h s22(1)(a)(ii)

were getting a few media inquiries now

a key question is whether your 500m is for T-W or to match the 500m for the full corridor from the new government here

Regards

OFFICIAL

**From:** s22(1)(a)(ii) <[REDACTED]@transport.nsw.gov.au>

**Sent:** Sunday, 12 June 2022 12:21 PM

**To:** BROE Barry <barry.broe@nfra.gov.au>

**Subject:** RE: [SEC=OFFICIAL]

Hi Barry,

Fyi – a copy of yesterday's media release

Will find a time to discuss next week.

Thanks

s22(1)(a)(ii)

**From:** BROE Barry <barry.broe@nfra.gov.au>

**Sent:** Saturday, 11 June 2022 8:56 AM

**To:** s22(1)(a)(ii) <[REDACTED]@transport.nsw.gov.au>

**Subject:** Re: [SEC=OFFICIAL]

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Many thanks s22(1)(a)(ii)

Just saw media on it

Regards

Barry

OFFICIAL

**From:** "s22(1)(a)(ii)" <[REDACTED]@transport.nsw.gov.au>  
**Date:** Friday, 10 June 2022 at 11:29:10 pm  
**To:** "BROE Barry" <barry.broe@nfra.gov.au>  
**Subject:** Re: [SEC=OFFICIAL]

Hi Barry,

There will be an NSW announcement tomorrow regarding Tuggerah to Wyong however the Fast Rail Strategy will not be released.

Happy to discuss next week.

Thanks and have a great weekend.

s22(1)(a)(ii)

---

**From:** BROE Barry <barry.broe@nfra.gov.au>  
**Sent:** Friday, June 10, 2022 3:11 pm  
**To:** s22(1)(a)(ii) <[REDACTED]@transport.nsw.gov.au>  
**Subject:** [SEC=OFFICIAL]

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s22(1)(a)(ii)

Many thanks for heads up and good luck with release

I've made people generally aware

Regards

OFFICIAL

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s22(1)(a)(ii)

**From:** WHALEN Greg  
**Sent:** Wednesday, 22 February 2023 9:57 AM  
**To:** s22(1)(a)(ii)  
**Subject:** FW: Western Sydney Transport Infrastructure Panel Meeting no. 5 - Thursday 23 February 2023, 2:30pm-4:30pm [SEC=OFFICIAL]

## OFFICIAL

s22(1)(a)(ii)

Below is the version cleared by Barry. It may be more than s22(1)(a)(ii) was expecting, so can you please liaise with her about whether she wants to trim it down. I would like to provide Barry a copy of s22(1)(a)(ii) final version, so can you please make sure you ask for a copy.

Also, I saw the input from Andreas' team about HSR. Most points were consistent with what we included. Happy for s22(1)(a)(ii) to use either version where appropriate.

Thanks,

Greg

## Faster Rail & High Speed Rail and their interactions

### Definitions and roles

- Key definitions:
  - *Faster rail* can broadly be defined as speeds up to 160 km/h.
  - *Fast rail* can broadly be defined as speeds between 160km/h and 250km/h.
  - *High-speed rail* is generally defined as speeds over 250 km/h.
- There is a role for both faster rail and high speed rail as they are complementary initiatives. Both approaches have the same objectives – to increase speeds, reduce travel times and generally improve rail infrastructure and services.
  - Faster Rail networks use existing infrastructure and trains and aim to link cities to regional centres, with stations positioned 1-5km apart and with a mix of services including all-stops.
  - High Speed Rail networks require dedicated segregated corridors and aim to link cities, with stations positioned 40-100 km apart, with a mix of services including inter-city expresses and some city-regional centre services.
  - Fast rail is in between these two but is a new different system also requiring its own corridor, new signalling and power supply
- *National Faster Rail Agency (NFRA)* – The NFRA was established on 1 July 2019 to provide expert advice to the Australian Government on faster rail opportunities and to implement the *20-Year Faster Rail Plan* to deliver faster rail connections between major capital cities and their regional centres.
- *High Speed Rail Authority (HSRA)*
  - On 12 December 2022 the Australian Government's *High Speed Rail Authority Act 2022* received Royal Assent. The Act establishes the HSRA as an independent statutory agency to advise on, plan and develop the high speed rail network.
  - The NFRA will cease upon establishment of the HSRA.
  - The Australian Government has committed to continuing to deliver faster rail projects through the HSRA and the DITRDCA, and will continue to work closely and productively with all state governments to consider any opportunities to improve rail infrastructure and services.

Australian Government commitments in Greater Sydney Region

- Faster Rail
  - In the 2022-23 Budget, \$1.0 billion was committed for the Sydney to Newcastle faster rail upgrade (Tuggerah to Wyong).
  - The Australian Government has also jointly funded business cases with the NSW Government for faster rail services between Sydney and Parkes, Sydney and Newcastle and Sydney and Wollongong. These business cases have been completed.
- High Speed Rail
  - The Australian Government's key rail priority in the Greater Sydney Region is its \$500 million commitment to begin planning and early works, and acquiring a high speed rail corridor between Sydney and Newcastle. This is the first stage of the Australian Government's overall commitment to delivery of an east coast high speed rail network between Brisbane, Sydney and Melbourne.

NSW Government commitments in Greater Sydney Region

- On 6 September 2022, the NSW Government released its NSW Future Transport Strategy. It includes plans to develop fast rail (160-250 km/h) for a Six Cities Region surrounding Sydney and its surrounding regions via four key corridors including a Central West corridor to the Western Parkland City and a Northern corridor to Newcastle.
- In the NSW 2022-23 Budget, \$274.5 million was committed to undertaking further planning on the above fast rail corridors. The NFRA is currently liaising with NSW Government officials to confirm the scope and timing of this planning work.
- The NSW Government has committed \$500 million to the Sydney to Newcastle faster rail upgrade (Tuggerah to Wyong).

OFFICIAL

**From:** s22(1)(a)(ii) <[REDACTED]@infrastructure.gov.au>

**Sent:** Monday, 20 February 2023 6:12 PM

**To:** s22(1)(a)(ii) <[REDACTED]@nfra.gov.au>; s22(1)(a)(ii) <[REDACTED]@infrastructure.gov.au>; s22(1)(a)(ii) <[REDACTED]@nfra.gov.au>

**Cc:** LEGG Robyn <Robyn.Legg@infrastructure.gov.au>; BLEICH Andreas <Andreas.Bleich@infrastructure.gov.au>; WHALEN Greg <Greg.Whalen@nfra.gov.au>

**Subject:** FW: Western Sydney Transport Infrastructure Panel Meeting no. 5 - Thursday 23 February 2023, 2:30pm-4:30pm [SEC=OFFICIAL]

OFFICIAL

Hi All,

As you may be aware, the Government established an expert panel to analyse Western Sydney's strategic land transport infrastructure needs. The panel is being supported by the Cities Division (now known as City and Regional Partnerships) and meets weekly, with a report expected to be submitted to the Government before the May Budget.

Robyn is presenting "what we do in IID" to the Panel this Thursday and will touch on some of the current projects in Western Sydney, the Budget process etc.

The Panel has requested information about faster Rail/High Speed rail and their interactions. We will be grateful if you could please provide us with a couple of dot points on the current status and next steps (to whatever detail that is appropriate in a public forum), to include on a slide by COB Tuesday 21 February. Alternatively, if you prefer a separate presentation at another time, we can let the Secretariat know and they will contact you directly.

If you would like more context please call me.

Thank you,

s22(1)(a)(ii)

s22(1)(a)(ii)

Director

NSW Urban/NSW, ACT and Targeted Roads

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## OFFICIAL

**From:** s22(1)(a)(ii) <s22(1)(a)(ii)@infrastructure.gov.au>  
**Sent:** Monday, 20 February 2023 12:32 PM  
**To:** LEGG Robyn <Robyn.Legg@infrastructure.gov.au>  
**Cc:** s22(1)(a)(ii) <s22(1)(a)(ii)@infrastructure.gov.au>; s22(1)(a)(ii) <s22(1)(a)(ii)@infrastructure.gov.au>; s22(1)(a)(ii) <s22(1)(a)(ii)@infrastructure.gov.au>; s22(1)(a)(ii) <s22(1)(a)(ii)@infrastructure.gov.au>; BLEICH Andreas <Andreas.Bleich@infrastructure.gov.au>  
**Subject:** Western Sydney Transport Infrastructure Panel Meeting no. 5 - Thursday 23 February 2023, 2:30pm-4:30pm [SEC=OFFICIAL]

## OFFICIAL

Hi s22(1)(a)(ii)

You have been invited to present at this weeks **Western Sydney Transport Infrastructure Panel Meeting no. 5** (Thursday 23 February, 2:30pm – 4:30pm).

You have been allocated up to 30mins to provide an update on current and future infrastructure investment in Western Sydney, however pending Q&A from the panel you may not need to join for the whole time.

I also wanted to flag that at last week's meeting, the panel questioned how fast and faster rail (and the establishment of the **National Faster Rail Agency High Speed Rail Authority**) interacts with the work the panel are undertaking. David Mackay provided an update on the NFRA more broadly and noted that you may be able to include more info on this as part of your update from the Department at this week's meeting. Understand IID is not responsible for fast and faster rail, however is it possible for you to please include some high level dummies on this item?

Lastly, do you intend to send the presentation through to us beforehand and are you comfortable for it to be distributed to members post-meeting? We can arrange to share the presentation through our screen or happy for you to control from your end. Either way works for us.

Please let me know if you have any questions or if we can be of assistance.

Thank you

s22(1)(a)(ii)

**Western Sydney Transport Panel Secretariat**

Assistant Director • Western Sydney City Deal • City and Regional Partnerships Branch

s22(1)(a)(ii) <s22(1)(a)(ii)@infrastructure.gov.au>

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*I would like to acknowledge the traditional custodians of this land on which we meet, work and live.  
 I recognise and respect their continuing connection to the land, waters and communities.  
 I pay my respects to Elders past and present and to all Aboriginal and Torres Strait Islanders.*

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Released under FOI Act 1982 by High Speed Rail Authority