



**NSW Government Procurement
Practice Guide**

**Preparation of a Brief
for Architectural
Services**

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PREPARATION OF A BRIEF FOR ARCHITECTURAL SERVICES Version 1

This practice guide is an element of the Procurement Policy Framework of the NSW Government. It is available from the NSW Government Procurement website

<http://www.nswprocurement.com.au/>

The document shall be updated on an ongoing basis by the Department of Finance and Services to reflect changes to government tendering policy and procedures. To ensure accurate and up to date information, agencies are advised to access the latest version directly from the website.

For further information on this practice guide contact NSW Procurement help desk by phone 02 9372 8600 or 1800 679 289 (1800 NSWBUY) or e-mail nswbuy@services.nsw.gov.au

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PROJECT BRIEF - SIGN OFF

The table below is to be completed at the conclusion of the preparation of, and prior to the issuing of, each project brief.

Project Number:	
Project Name:	
Project Address:	
Client:	
Client Agency Representative/ Project Principal:	
Client Representative/ Project Principal:	
Brief Prepared by:	
Date:	
Brief Approved by:	
Signed:	
Date:	

Introduction

This document has been prepared by Policy Support Services, NSW Procurement, of the NSW Department of Finance and Services, in collaboration with the Association of Consulting Architects of Australia and in consultation with the Policy and Industry Advisory Committee (PIAC), a subcommittee of the NSW Construction Consultative Committee (CCC). The practice guide provides government and non-government agencies with a best practice methodology for the procurement of architectural services

Acknowledgements

The production of this practice guide has been a collaborative effort involving many people from all sides of the procurement process. The CCC gratefully acknowledges the significant role of the Association of Consulting Architects of Australia in the development of the practice guide.

Purpose of the Practice Guide

The practice guide presents a methodology that provides the Client and/or their agent with best practice in the procurement of architectural services and guidelines in how to initiate, prepare, structure and deliver a professional brief for those services.

The practice guide is intended both to identify the extent and complexity of the information required to deliver a brief and to give the Client an opportunity to determine exactly who and when services are required on a project.

Who is the Practice Guide for

This document is intended to provide guidance for projects of all scales. The information contained within this practice guide represents the minimum information required by the architect and their project team to ensure they are properly and fully informed of the services and scope of work required on a project.

How to use the Practice Guide

This document provides a step-by-step approach to the preparation of a brief for the provision of architectural services. It provides information about:

- how to prepare a brief
- what is required in a brief
- how to identify who is required on a project
- what their roles should be

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- what the phases of a project are
- what is required from the Client during the project

At its core the document provides a series of checklists to be completed throughout the development of the brief. These are meant to be aide-memoires to assist those preparing a brief to ensure they have addressed all the issues required to complete the brief.

When the brief has been developed, it can be used to define the services in the Procurement System for Construction Consultancy Services standard form documents, available from [the NSW Government Procurement website](#).

Terminology

Section 6 of this document provides definitions and explanations of key terminology used in the practice guide. In line with NSW Government practice, this document adopts the terminology of 'Professional Services Providers' to describe generally architects and other professional groups, as against the more commonly used term 'consultants'.

Referenced Documents

This document is to be read in conjunction with the publication, '[A Guide To Project Initiation](#)' published by the Australasian Procurement and Construction Council (APCC) and the Australian Construction Industry Forum (ACIF) dated March 2010.

This document is intended to be used with the Standard Form documents available from the [Procurement System for Construction section of the NSW Government Procurement website](#).

Step 1

1 Understanding the Briefing Process

1.1 What is a brief

The project brief is the document that provides the instructions to the project team of what the Client expects from a project. The project brief is developed for inclusion in tender documents, available from the [Procurement System for Construction on the NSW Government Procurement website](#).

It is a document that provides the necessary information to describe the rationale, purpose, goals, costs, risks, constraints and time and performance requirements of a project.

1.2 Why is the brief important

The success of a procurement process, in terms of both the services provided and the final built outcome, is directly related to the quality of the briefing documents provided to the project team.

The project brief is the document that starts the dialogue between the Client and their project team, gives the direction and scope of the project and forms the basis of the 'contract' between the Client and their Professional Services Providers.

A quality brief will improve project outcomes, reduce risk, cost overruns, time delays and conflict for the Client. It will also ensure that the price provided to complete the services reflects the work required.

The failure to provide a well-prepared and comprehensive brief is one of the core reasons projects experience problems and delays. Industry groups such as the CSIRO have estimated that poor briefs cost the Australian economy over \$12 billion per annum.

1.3 What are the key issues influencing the delivery of the brief

The key issue when preparing a brief is to ensure that all relevant information is provided in sufficient detail to enable the Professional Services Provider to understand fully the Client's intentions, aspirations and constraints for a project.

1.4 What is a good brief

A good brief will:

- be easy to use
- fully explain who the Client is and how the project will be managed

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- fully explain the Client's requirements for the project
- fully explain the range and scope of services required on the project
- provide comprehensive information on the physical factors relevant to the project
- provide comprehensive information on the budget and time constraints relevant to the project
- allow accurate pricing
- make evaluation of the tenders easier, on a more comparable basis and fair
- minimise the likelihood of variations, cost over-runs and disputes

1.5 How does a good brief improve outcomes

A good brief provides clarity to the project, with a better understanding of the requirements by all parties. This will allow the final design to reflect the actual requirements.

1.6 How does a good brief save money

Research has shown that it is considerably easier and more cost effective to allocate resources at the commencement of a project to address and clarify the needs of the project than later within the procurement process.

A good brief results in:

- more accurate and detailed pricing, with the result that less risk is priced into the project
- reduced opportunity for variations, which are usually priced at higher rates
- reduced risk associated with time increases

1.7 What are the key problems

Service providers within the design professions have identified that Clients regularly:

- go to the market before they are fully ready
- issue briefs that are hard to navigate
- issue briefs that are unclear as to the needs of the Client
- issue briefs lacking critical information regarding the project
- issue briefs that are unclear as to the scope of work required
- expect Professional Services Providers to provide definitive fee proposals based on inadequate and often incorrect information
- require the engagement of Secondary Professional Services Providers prematurely and before the relevant scope of their involvement can be defined
- have not ensured that the staff preparing the brief are sufficiently skilled and informed to do so

The poor quality of many briefs is a key reason service providers are often compelled to include extensive lists of 'qualifications' and 'exclusions' in their tender documents.

1.8 What are the outcomes of an inadequate brief

The poor quality of the project brief is a key reason why some projects experience significant variations, cost over-runs and disputes.

An inadequate brief can result in:

- projects not meeting expectations
- projects delivering the wrong outcomes
- mistakes
- uncertainty as to the needs of the Client
- uncertainty as to the services required on the project
- uncertainty as to the process to be undertaken
- difficulty in the evaluation of the tenders
- variations and cost over-runs
- time delays

1.9 How does the brief relate to the contract between an agency and a service provider

The brief should be seen as the primary control document for a project throughout its life and the basis upon which any contract with a service provider is based. As such, it should be considered as having equal authority to the contract.

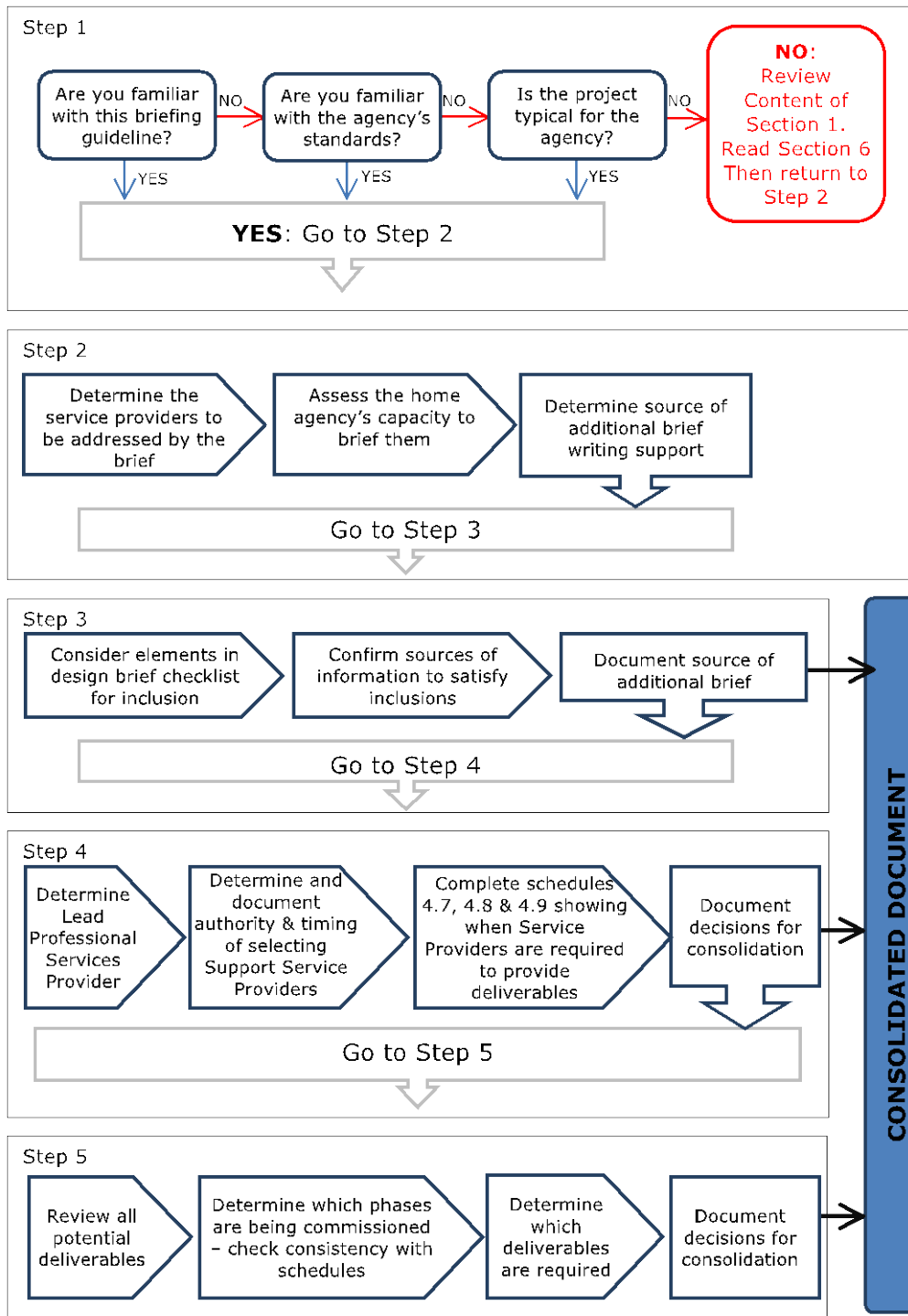
1.10 Can a brief change

The brief should be seen as a living document that will be reviewed and reassessed at each gateway review of the project and as the project moves through the various stages of procurement.

1.11 Navigating this document

The following flowchart provides a guide to the process of understanding and using the practice guide.

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Step 2

2 Who will write the brief

2.1 Introduction

The agency promoting the project, being either the Client or their nominated agent, has to develop a briefing document to inform the design consultants about the requirements of the project.

This section addresses the process required to determine whom the brief is intended for and who is best qualified to prepare the brief. In particular, whether the agency has the appropriate in-house skills to do this or whether additional resources are required.

2.2 Who is the brief intended for

The first issue to determine is who the brief is intended for. This practice guide provides a methodology for the preparation of an architectural brief. However, given that the architect is often required as part to their contract to engage the services of Secondary Professional Services Providers, this brief includes instructions on what information should also be provided in those circumstances.

2.3 Home Agency's Capacity

It is critical that those preparing the brief have the appropriate knowledge and experience to enable them to undertake the task. The person/team preparing a brief should be sufficiently experienced in both the procurement process and in the preparation of project briefs to enable them to ensure all relevant matters are addressed within the brief.

If the agency does not have the appropriate skills, suitably qualified service providers should be engaged to develop the design brief.

2.4 Brief Development by Architect or Lead Professional Services Provider

This document encourages the Client to consider undertaking a staged briefing process whereby, in the first instance, the Client engages a Professional Services Provider, normally an architect, to work with them to deliver a detailed and comprehensive briefing document as part of their services, often referred as a 'Reverse Brief' or a 'Return Brief'.

2.5 Return Brief

Where, due to an inability to provide a fully developed brief, the Client requires a service provider to assist in the process

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and to deliver a detailed briefing document as part of their services, commonly referred as a 'Return Brief' or a 'Reverse Brief', the Client should identify this within the Project Initiation Stage and engage the relevant service providers to prepare the briefing document on the agency's behalf as a separate contract.

2.6 Brief Preparation - Who is this brief for

Use the following checklist to determine which discipline/disciplines this brief is being prepared for

Who is the Brief intended for

- Architect only
- Architect and Secondary Professional Services Providers
- Other

Client to select	Completed
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2.7 Brief Preparation - Briefing Team Expertise Checklist

Use the following checklist to determine where the Client Agency will access the necessary skills and knowledge to prepare the brief for the various disciplines.

Schedule of Professional Services required on the project

- o Architect
- o Planner
- o Surveyor
- o Geotechnical
- o Flora and Fauna
- o Arborist
- o Landscape
- o Access
- o Interiors
- o BCA
- o Traffic /Transport
- o Heritage
- o Engineers
 - Civil/Structural
 - Hydraulic
 - Mechanical
 - Electrical
 - Lighting

Required	Brief to be prepared by		
	Client Agency	External Consultant	Lead Professional Services Provider
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<input type="checkbox"/>	<input type="checkbox"/>		

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- Vertical Transport
- o Other -
- o Other -

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Step 3

3 What's in the Brief - Client and Site Details

3.1 Introduction

The brief should provide comprehensive information on the Client, project and site.

Use the following checklists to identify the critical information required in the brief. The information should then be provided as part of the project brief.

3.2 Design Brief Checklist - Client Identification

The brief should provide comprehensive information on the Client and Client team and key stakeholders including:

3.2.1 Client

'Client' means the Department, Agency or User Group for who the project is to be undertaken and/or the 'Client Agency'.

3.2.2 Client Agency

'Client Agency' means the Department, Agency or Organisation appointed by the Client to manage the project on the Client's behalf. Can be the same as the Client.

3.2.3 Client or Principal's Representative

'Client and/or Principal's Representative' means the individual appointed to manage the project on the Client's behalf with the authority to instruct the project team on the Client's behalf.

3.2.4 Project Control Group

The Project Control Group that will provide the chain of authority for the project. The Project Control Group structure and membership should be clearly identified.

3.2.5 Project Team

'Project Team' means the group of Professional Services Providers working on the project under the direction of the Lead Professional Services Provider

3.2.6 Key Stakeholders

Other groups that have a voice in the definition of the project and its needs (users of the project, unions, professional bodies etc).

3.2.7 Other Stakeholders

Other groups that may have an interest in and/or influence on the project (community groups, other government departments and the

Required	Completed
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

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3.3.11 Program

The brief should identify the program for the key phases of the project (refer Section 5). Time can be expressed either in terms of elapsed time or as a required completion date.

Required	Completed
<input type="checkbox"/>	<input type="checkbox"/>

3.3.12 Approvals

Government Agencies can have different or specific processes for achieving development approval. Details of the permission chain required for making applications both internally and to various authorities should form part of the brief.

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

3.4 Design Brief Checklist - Project Background

The brief should provide comprehensive information on the project background and site history including:

Required	Completed
<input type="checkbox"/>	<input type="checkbox"/>

3.4.1 History of Site/Facility

Many sites have a long history of occupation. A brief description of the historical uses of the site will serve to inform the project team of potential opportunities and issues presented by the proposed location.

Has this been considered and included in the brief?

Note the issues of previous reports on the building/site, such as HAZMAT.

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

3.4.2 Similar Facilities

Many of the functions and services Government Agencies provide have a long history of evolution and development, including the preparation of guidelines, manuals, performance standards and the like, which may be relevant to the project.

Has this been considered and included in the brief?

3.4.3 Recent Projects

Has the Client completed other similar or relevant projects? Are references to recently completed projects relevant?

Has this been considered and included in the brief?

3.5 Design Brief Checklist - Environmental Performance

The brief should provide comprehensive information on the project objectives with regards to environmental performance:

3.5.1 Performance Objectives

A general description of the anticipated performance requirements for the project, such as daylight, sunlight penetration, climate modification, ambient noise and the like.

3.5.2 ESD Standards

Currently there are numerous methodologies that can be used to measure the environmental performance of a project, such as GBCA Greenstar, LEED, BASIX, NCC Volume 1 BCA Section J and BREEAM.

What Standards are to be applied to this project?

3.5.3 Specific Targets for Particular Elements

Some projects may require a higher standard of environmental performance beyond that required above and/or an agency may require specific environmental initiatives for elements of the project (for example waste water treatment/power generation).

Has this been considered and included in the brief?

Required	Completed
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

3.6 Design Brief Checklist - Location Attributes

The brief should provide detailed information on the site (if this information is not available, it may be required that the service provider obtains this information as part of the brief) and may include:

3.6.1 Land Title

Information about the formal titular description of the property including easements and other encumbrances.

3.6.2 Ownership

Information about the ownership of the property.

3.6.3 149 Certificate

A current Section 149 Certificate should form part of the brief.

Required	Completed
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

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	Required	Completed
<p>3.6.4 Site Survey A detailed site survey.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>3.6.5 Location Attributes The brief must include any information that the client has in relation to the hazards and risks at the workplace where the construction work is to be carried out.</p> <p>Examples of hazards and risk relating to a construction project include overhead power lines, access or egress, hidden or concealed services, contaminated ground or restrictions that may affect the work that will be undertaken or the health and safety of persons who will undertake the work.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>3.6.6 Aerial Photos Aerial photographs and references to websites such as the Land and Property Management Authority (SIX) will assist in defining the site and its attributes.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>3.6.6.1. Existing Buildings Details of the location, size, characteristics and fit out of existing buildings. Photographs, measured drawings, record (as-built) drawings and the like will assist in informing the Professional Services Providers about the scope of the proposal.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>3.6.6.2. Hazardous Materials Information about the expectations of the presence of asbestos, petrochemicals, industrial residues and other hazardous materials.</p> <p>General statements that simply say there may be some undefined hazardous material on the site is not sufficient as this will only serve to push up the tender prices.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>3.6.6.3. Landform and Geology A geotechnical report either general, if the location of the new works is uncertain, or specific if the location has already been determined.</p> <p>Information about existing supply and waste services, both above and below ground, located by survey where possible or by the provision of service management authorities' documents.</p> <p>Information about the capacity and if available the limitations on expansion of the use of the services should be determined.</p> <p>If particular services are not available, information about the location of mains connections should be described.</p>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

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	Required	Completed
<p>3.6.11.1. Aboriginal Heritage</p> <p>Information whether the site has or contains items of Aboriginal heritage.</p> <p>Details on the specifics of the items of significance.</p> <p>Information whether a study/assessment of the items of significance has been undertaken and, if so, a copy of that document.</p>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
<p>3.6.12 Flood and Tidal Inundation</p> <p>Information and details on whether the site is subject to tidal inundation, storm surge and/or is flood prone.</p> <p>Information whether a study/assessment of the impacts on the site has been undertaken and, if so, a copy of that document.</p>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
<p>3.6.13 Bushfire Risk</p> <p>Information and details on whether the site is within a bushfire zone.</p> <p>Information whether a study/assessment of the risk associated with the site has been undertaken and, if so, a copy of that document.</p>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
<p>3.6.14 Weather</p> <p>Information regarding local weather conditions (extreme temperatures, snow, ice, dust, cyclones etc) where they may cause conflict with the needs of the proposed use/impact on the design of the project.</p> <p>Information whether a study/assessment of the risk associated with weather impacts has been undertaken and, if so, a copy of that document.</p>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
<p>3.6.15 Noise and Vibration</p> <p>Information regarding local conditions with regard to noise (ambient noise, vibration, flight paths, sports arenas, main roads etc) where they may impact on the proposed use/design of the project.</p> <p>Information whether a study/assessment of the risk associated with the impacts of noise/vibration has been undertaken and, if so, a copy of that document.</p>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
<p>3.6.16 Mine Subsidence</p> <p>Information regarding the existence of current and old mine workings within the vicinity of the site.</p> <p>Information whether a study/assessment of the risk associated with the location of nearby mines has been undertaken and, if so, a copy of that document.</p>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>

Step 4

4 Design Brief Checklist - Identifying what project team members are required and when

4.1 Introduction

The brief needs to be clear and specific about not only who is required on the project but also what their scope of work is. The Client Agency is responsible for determining the quantum of work required by the service providers appointed to the project. This is determined by:

1. Identifying whether a service provider is to act as the lead or a secondary provider
2. Identifying which project phases the service provider is engaged for
3. Identifying the performance outcomes required within each phase

This Step deals with Items 1 & 2 of the above. Item 3 is dealt with in Step 5.

4.2 Selection of Project Team

4.2.1 Selection of the Lead Service Provider

The first task in assembling the project team is to nominate who the Lead Service Provider will be.

The Lead Professional Services Provider for design is normally taken from one of four disciplines, Architecture, Project Management, Planning, or Structural Engineering. Whilst other professions can act as the Lead Service Provider it is normal in the majority of the projects for one of the above to be appointed as Lead Service Provider.

The Lead Service Provider is normally responsible for both the work to be undertaken within their own particular discipline and the overall management and coordination of the secondary consultants.

This document has assumed that in many instances the Architect will be the Lead Professional Services Provider.

4.2.2 Selection of the Secondary Services Providers

Secondary Professional Services Providers are normally only responsible for the work to be undertaken within their own particular field of expertise.

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There are three issues to be considered in appointing Secondary Service Providers:

- what disciplines will be required on the project
- what phases will they be required for
- when should they be appointed

To address these issues the Client Agency must either:

- A. Appoint the Lead Service Provider first and then, in consultation with them, appoint the secondary providers OR
- B. Provide a brief which identifies what disciplines will be required in the project team, including both Lead and Secondary Services Providers, and the scope of work for each

Generally, except for smaller projects, Option A is preferable as it:

- reduces the workload and obligations for the Client at Service Provider Tender Stage
- enables the Client and Lead Service Provider to work together to determine the most efficient process for delivery of the project
- avoids unnecessary duplication during the Service Provider Tender Stage
- avoids irregularity between submissions at the Service Provider Tender Stage

This document has assumed, however, that in many instances the Architect will be the Lead Professional Services Provider and will be required to engage the services of Secondary Professional Services Providers as part of their brief. This document has included sufficient information to enable the Client to develop a brief to cover the services required from both the architectural and Secondary Professional Services Providers.

4.2.3 Cost Control

The overall management of a project with respect to cost control should be the responsibility of the Client or Client Agency through the services of a Quantity Surveyor or other service provider. The Client may decide that cost control services are to be provided by the Client or the Client's project manager. If so, these services should be independent of the design project team and should not form part of their services.

4.2.4 Role of Project Team during Design, Documentation, Tender and Construction Phases

At the commencement of the project delivery phase, the Client must develop the project delivery strategy. The Client

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should determine which methodology will be employed during the preparation of the project brief and inform the project team in the briefing documents.

There are five basic methods by which the project team can provide services during the Design Documentation, Tender and Construction Phases:

- A. The project team provides their services and manages the design and documentation, then continues to provide expert services to the Client and the Client's project manager through the tendering and construction phases.
- B. The project team provides their services and manages the design, documentation, tender and construction phases on the Client's behalf
- C. The Client retains the services of the project team during the design and documentation phase but not beyond
- D. The Client retains the services of the project team to continue to provide design advice but appoints a construction contractor to manage the project during the design, documentation and construction phases
- E. The Client appoints a contractor to manage the project during the design, documentation, and construction phases and the project team is 'novated' to the contractor at a pre-determined milestone.

4.2.5 Novation

'Novation' occurs where the responsibility, control and management of the project team is transferred by the Client to the contractor. That is, the project team becomes directly responsible to the contractor.

The underlying risk in the novation process is that the Client may reduce their ability to maintain control over the project, including the ability to ensure that the project brief and project design agreed to and signed off on during the earlier phases of the project are fully realised.

Novation offers the following benefits:

- The Client Agency can initiate time-critical items of the work in advance of the main contract
- After the novation, the Client does not bear the risk of coordinating the different consultants and contractors
- The risk of non-performance of the novated contract work is allocated to the main construction contractor after the novation takes place

That is, the Client may risk trading quality for improved timeliness, buildability and economy.

Novation is only valid with the consent of all parties to the original agreement. It is therefore critical that the Client

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identifies their intentions with regard to the role of the project team during construction in the project brief.

4.2.6 Novation – Relationship with Client

Where novation is to be used, a mechanism should be implemented to ensure that the design intent established during the earlier project phases is properly realised to protect the quality of the project during construction.

Clauses specifying design and documentation review and consultation requirements should be included in the novation contracts between the Client, contractor and project team. Such procedures could provide for the project team to report to the Client where, in their opinion, the construction contractor is proposing changes to the design which conflict with the original design intent.

This document recommends that such clauses be included in all novation contracts.

4.3 Project Team Checklists

Use of the project team Definition Checklists to specify what services are required on the project and when.

The scope of services can be limited to one phase or many. For example, if the Client has recognised that assistance is required in formulating the brief, the commissioning of the Professional Services Providers will be limited to Phase 1 only.

The aim of the checklists is to ensure the Client Agency provides design professionals tendering on a project with the same level of information and with clear instructions about which Phases the Client Agency is commissioning them to provide their services on.

(Refer to the definition of the Phases in 6.2 for a description of the services that could be expected within a Phase.)

The information should then be provided as part of the project brief.

4.4 Project Team Selection Checklist - Appointment of Project Team

The brief should provide detailed information on the process by which the project team are to be appointed, including:

4.4.1 Lead Professional Services Provider

Which discipline is to be the Lead Professional Services Provider:

Client to Select	Completed
	<input type="checkbox"/>

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- Architect
- Project Manager
- Structural Engineer
- Other

<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

4.4.2 Secondary Professional Services Providers - When

When are the Secondary Professional Services Providers to be appointed:

- Simultaneous with the appointment of the Lead Service Provider as part of Lead Service Provider Tender Process
- After the appointment of the Lead Service Provider through a secondary tender process
- Is the Early Consultant Involvement Process to be used

<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

<input type="checkbox"/>

4.4.3 Secondary Professional Services Providers - Who

If the Secondary Professional Services Providers are to be included as part of Lead Service Provider Tender then Client to identify which Professional Services Providers will be required.

Client to Select	Completed
<input type="checkbox"/>	<input type="checkbox"/>

4.5 Project Team Selection Checklist - Project Phases

The brief should provide detailed information on the scope of services to be provided by each service provider.

Client to Complete	Completed
--------------------	-----------

4.5.1 Lead Provider Checklist

Client to identify the phases the Lead Services Provider is required to provide services for.

<input type="checkbox"/>

<input type="checkbox"/>

4.5.2 Secondary Provider Checklist

Where the appointment of Secondary Providers is to be simultaneous with the appointment of the Lead Service Provider as part of Lead Service Provider Tender Process, Client to identify which phases the Secondary Services Providers are required to provide services for.

<input type="checkbox"/>

<input type="checkbox"/>

**4.6 Project Team Selection Checklist -
 Novation**

The brief should identify whether the project team is to be novated to the contractor and, if so, the phases and scope of services to be novated.

4.6.1 Novation

Is novation to be used on the project

- Yes
- No

4.6.2 Novation - Services

If so, which Professional Services Providers will it apply to:

- Architect
- Lead Professional Services Providers (if different from architect)
- Secondary Professional Services Providers

4.6.3 Novation – Project Phases

If so, which phases will it apply to:

4.6.4 Novation – Relationship with Client

If novation is to be used to be used on the project will the novated Professional Services Providers be given a role in reporting to the Client

- Yes
- No

Client to Complete	Completed
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Client to Complete	Completed
<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>

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4.7 Schedule of Phases - Architect and Lead Professional Services Provider Only

Use this checklist to identify which phases of the project the Architect and Lead Service Provider will be required on. The brief should contain clear instructions regarding each phase the Lead Service Provider is being asked to undertake.

Where the project team is only being engaged to undertake a limited role (for example provision of services up to Tender Stage only) then the brief should clearly identify this.

PHASES	01				02		03	04	05	06		07			08	09					10					11				
	Project Initiation				Due Diligence and Master Planning		Concept Plans	Schematic Plans	Development Approval	Review Approval Conditions		Develop Design Intent Docs - submission Construction Approval			Construction Approval	Construction Contract Tender					Construction Period					Post Occupancy				
Sub phases requiring consultant input	01a	01b	01c	01h	02a	02b	03a	04a	05a	06a	06b	07a	07c	07d	08a	09a	09c	09d	09e	09f	10b	10c	10d	10e	10f	10g	11a	11b	11c	
Service Provider																														
Architect																														
Lead Consultant (if different)																														

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4.8 Schedule of Phases - Secondary Service Providers A – Design Professions

Where the project brief and tender process requires the Lead Service Provide to include Secondary Services Providers as part of their tender the Client should specify which phases of the project each Secondary Service Provider will be required on.

Use this checklist to determine what phases each member of the project team is required to provide services for. The brief should contain clear instructions regarding each specific phase each Service Provider is asked to undertake. Where the project team is only being engaged to undertake a limited role (for example provision of services up to Tender Stage only) then the brief should clearly identify this.

PHASES	01				02		03	04	05	06		07			08	09					10					11			
	Project Initiation				Due Diligence and Master Planning		Concept Plans	Schematic Plans	Development Approval	Review Approval Conditions		Develop Design Intent Docs - submission Approval	Construction Approval	Construction Contract Tender	Construction Approval	Construction Period					Post Occupancy								
Sub phases requiring service provider input	01a	01b	01c	01h	02a	02b	03a	04a	05a	06a	06b	07a	07c	07d	08a	09a	09c	09d	09e	09f	10b	10c	10d	10e	10f	10g	11a	11b	11c
Providers of Design Services																													
Engineers																													
- Civil																													
- Structural																													
- Hydraulic																													
- Mechanical																													
- Electrical																													
- Façade																													
- Lighting																													
- Vertical Transport																													
Landscape Architect																													
OTHER																													
OTHER																													
OTHER																													

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4.9 Schedule of Phases - Secondary Providers B – Information and Support Professions

Where the project brief and tender process requires the Lead Service Provider to include Secondary Information Providers as part of their tender the Client should specify which Secondary Services Providers are to be included in the tender and which phases of the project they will be required on.

Use this checklist to determine what phases each member of the project team is required to provide his or her services for. The brief should contain clear instructions regarding each phase the Service Provider is being asked to undertake.

PHASES	01				02		03	04	05	06		07			08	09						10					11		
	Project Initiation				Due Diligence and Master Planning		Concept Plans	Schematic Plans	Development Approval	Review Approval Conditions		Develop Design Intent Docs - Submission Construction Approval			Construction Approval	Construction Contract Tender						Construction Period					Post Occupancy		
Sub phases requiring consultant input	01a	01b	01c	01h	02a	02b	03a	04a	05a	06a	06b	07a	07c	07d	08a	09a	09c	09d	09e	09f	10b	10c	10d	10e	10f	10g	11a	11b	11c
Providers of Information/Support Services																													
Surveyor																													
Geotechnical																													
Flora and Fauna																													
Arborist																													
BCA																													
Heritage																													
- European																													
- Aboriginal																													
Transport																													
Access																													
Town Planner																													
Facilities Planner																													
Social Planner																													
OTHER																													
OTHER																													

Step 5

5 Design Brief Checklist - Identifying what the Project Team is to do

5.1 Introduction

The final step in preparing the project brief is to define what services the project team will be required to provide.

The following section provides a schedule of tasks to be completed through the various phases of the project from inception to completion.

It includes critical and milestone services the Client is required to fulfill to enable the project to progress.

Use the checklist to identify:

- core services the Client is required to provide on the project
- what services the project team will be required to provide on the project
- what information should be included in the brief to define the scope of work for the project team

Where a task can only be completed by either the Client or the service provider the checklist identifies this by only providing a box for that entity.

Where a task is not required by either the Client or the service provider this should be identified in the checklist.

The information should then be provided as part of the project brief.

5.2 Integrated Project Delivery/Building Information Modelling

This document assumes a traditional approach to the delivery of a project with respect to the work to be undertaken and deliverables required from the project team, using traditional CAD drafting technology.

Where a project is to be delivered under an IPD/BIM model, some of the deliverables listed may vary in accordance with the program and procedures agreed for that project. Whilst there is a symbiotic/complementary relationship between IPD and BIM, they can also be used in isolation.

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Potential Deliverable	Required from		Not Required
	Client	Project Team	
5.3 Phase 01 Project Initiation Checklist			
01a Client Identification			
• Client	<input type="checkbox"/>		<input type="checkbox"/>
• User/Stakeholder Identification	<input type="checkbox"/>		<input type="checkbox"/>
• Client and User Representatives	<input type="checkbox"/>		<input type="checkbox"/>
• Project Control Group	<input type="checkbox"/>		<input type="checkbox"/>
• Communications Matrix			<input type="checkbox"/>
○ Schedule of Approvals Authority Chain	<input type="checkbox"/>		<input type="checkbox"/>
○ Schedule of Chain of Responsibility	<input type="checkbox"/>		<input type="checkbox"/>
01b Client Brief			
• Initial version of Client brief in accordance with the Guide Document including Project Space, Time and Cost Budgets	<input type="checkbox"/>		<input type="checkbox"/>
01C Return brief			
• Is a return brief required	<input type="checkbox"/>		<input type="checkbox"/>
• If so, who is to prepare it			
○ Architect		<input type="checkbox"/>	
○ Other		<input type="checkbox"/>	
01d Site Information			
• As part of full briefing document, consolidate the information about the physical attributes of the location, site and neighbourhood	<input type="checkbox"/>		<input type="checkbox"/>
01e Consultancy Procurement Method			
• Schedule of Consultancy contract form	<input type="checkbox"/>		<input type="checkbox"/>
01f Identify Role of Architect			
• Both Lead Professional Services Provider and Project Manager	<input type="checkbox"/>		<input type="checkbox"/>
• Lead Design Professional Services Provider only	<input type="checkbox"/>		<input type="checkbox"/>
• Secondary Design Professional Services Provider	<input type="checkbox"/>		<input type="checkbox"/>
01g Limits of Consultancy			
• Schedule of Phases required	<input type="checkbox"/>		<input type="checkbox"/>

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Potential Deliverable	Required from		Not Required
	Client	Project Team	
5.3 Phase 01 Project Initiation Checklist			
01h Risk Analysis <ul style="list-style-type: none"> • Identify key risks • Identify risk owner 	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
01i Secondary Professional Services Providers <ul style="list-style-type: none"> • Client to engage Secondary Professional Services Providers in consultation with Primary Design Professional Services Provider • Professional Services Provider to provide Client with schedule of anticipated Secondary Professional Services Provider disciplines required for the project. • Professional Services Provider to provide Client with details of suitable Secondary Professional Services Providers 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
01j Deliverables <ul style="list-style-type: none"> • Client to provide schedule of deliverables required by each phase or <ul style="list-style-type: none"> • Client accepts Professional Services Provider will apply industry standards to project 	<input type="checkbox"/> <input type="checkbox"/>		<input type="checkbox"/> <input type="checkbox"/>
01k Client Signs Off on Brief and Site Information <ul style="list-style-type: none"> • Validated versions of <ul style="list-style-type: none"> ○ Client brief ○ Return brief ○ Schedules 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

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Potential Deliverable	Required from		Not Required
	Client	Project Team	
5.5 Phase 03 Concept Design Checklist			
03a Concept Design <ul style="list-style-type: none"> • Updated project brief • Updated project budgets • Notes of or reports on meetings held with: <ul style="list-style-type: none"> ○ Client ○ User Agency ○ Regulatory Authority ○ Others • Documents sufficient to espouse the design concepts and philosophies • Preliminary briefing documents specific to inform Secondary Professional Services Providers • Responses to requests for clarification and embellishment of the initial brief and budgets 	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
03b Client Signs Off on Concept <ul style="list-style-type: none"> • Client Signs Off on updated project brief and budgets • Client Signs Off on Concept documents • Client approval to proceed to next Phase 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

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Potential Deliverable	Required from		Not Required
	Client	Project Team	
5.6 Phase 04 Schematic Design Period Checklist			
04a A Preliminary Schematic Design/Concept Design Report will be produced which must: <ul style="list-style-type: none"> • up to 3 concept designs • review of consistency with all Authorities' requirements and site conditions Documents showing: <ul style="list-style-type: none"> • context of the Works within the overall site • new and existing footprint • building elevations • access and egress routes to and from buildings • entries and exits from site • parking and landscaped areas • other relevant site features or constraints • building systems and materials 		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
04b Client Clarifications <ul style="list-style-type: none"> • Responses to requests for clarification and embellishment of the initial brief and budgets • Verification of Support Professional Services Providers brief 	<input type="checkbox"/> <input type="checkbox"/>		<input type="checkbox"/> <input type="checkbox"/>
04c Client Signs Off on Project Design <ul style="list-style-type: none"> • Client Signs Off on updated budgets and brief • Client Signs Off on schematic design documents • Client Signs Off on the non-conformances included in the schematic design documents • site diagrams, nominally at 1:500 or 1:200 scale • area schedules, of functional areas only • decanting and staging diagrams, where relevant, limited to major relocations only 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
04d Client approves project proceeding to next Phase <ul style="list-style-type: none"> • Client approval to proceed to next Phase 	<input type="checkbox"/>		<input type="checkbox"/>

Potential Deliverable	Required from		Not Required
	Client	Project Team	
<p>5.8 Phase 06 Review of Approval Conditions Checklist</p> <p>06a Reviewing Approval Conditions</p> <ul style="list-style-type: none"> • Report on conditions of approval • Schedule of responsibilities to respond to conditions <p>06b Amendments to Project Design to address Conditions of Approval</p> <ul style="list-style-type: none"> • Documented alternatives to comply with conditions • Documents for Appeals process if preferred <p>06c Client Signs Off on Amended Project Design</p> <ul style="list-style-type: none"> • Client Signs Off on updated budgets and brief • Client Signs Off on alternative sketch design documents • Client approval to proceed to next Phase 		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

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Potential Deliverable	Required from		Not Required
	Client	Project Team	
<p>5.9 Phase 07 Development of Documents for Construction Approval (CC) Checklist</p> <p>07c Application for External Construction Approval</p> <ul style="list-style-type: none"> • Collation of documents required to meet the requirements of the Approval Authority • Completion of all necessary forms • Submission of application • Provision of on-going services during processing of application <p>07d Client approves project proceeding to next Phase</p> <ul style="list-style-type: none"> • Client Signs Off on documents for Construction Approval Phase 	<input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

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Potential Deliverable	Required from		Not Required
	Client	Project Team	
5.11 Phase 09 Contractor Tender Process Checklist			
09d Tender Period <ul style="list-style-type: none"> Tender addendum 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
09e Tender Evaluation Plan <ul style="list-style-type: none"> Prepare Tender Evaluation Plan 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
09f Tender Assessment <ul style="list-style-type: none"> detailed tender reports and recommendations on the relevant sections assistance in detailed assessment and recommendations during the negotiation period if required participate in conducting reference checks determining the availability of equipment and replacements as required 	<input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
09g Tender Report <ul style="list-style-type: none"> Initial report on tenders Collated report on inquiries made to tenderers to resolve comparisons Confirm that all relevant schedules, programs, plans and cash flows are provided and approved before commencing work on the project. Comparative report for consideration of Client 		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
09h Appointment of Contractor <ul style="list-style-type: none"> Acceptance letter by Client 	<input type="checkbox"/>		<input type="checkbox"/>

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Potential Deliverable	Required from		Not Required
	Client	Project Team	
5.12 Phase 10 Construction Process Checklist			
10d Management of Amendments and Variations <ul style="list-style-type: none"> • Confirm compliance of alternate goods and materials with performance and design intent • Instructions approving design intent consistent amendments to the Contract Works • Instructions approving design intent consistent variations to the Contract Works 		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
10e Management of Contract Sum and Time <ul style="list-style-type: none"> • Contract Sum Adjustment documents to encompass approved variations to the works • Contract Time Adjustment documents to encompass approved variations to the works • Progress Payment Certificates • Reports to Client regarding progress of works 		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
10f Progress Payments <ul style="list-style-type: none"> • Progress Payment Certificates • Reports to Client regarding progress of works • Client resolves payment due 	<input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
10g Completion <ul style="list-style-type: none"> • Check as-built documentation as required • Check and approve operations and maintenance manuals as required • Make a final inspection and report to the Project Manager • Completion Certificate if required • Retention Fund documents required by contract 		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

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Potential Deliverable	Required from		Not Required
	Client	Project Team	
5.13 Phase 11 Post-Occupancy Phase Checklist			
11a Defects Liability Period <ul style="list-style-type: none"> • Defects list at contract defined completion • Responses to defects that become evident during DLP (maximum 3 visits) • Updated defects list • Certification of corrected defects • Final Certificate if required 	<input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
11b Post-Occupancy Review <ul style="list-style-type: none"> • Review of completed project against: <ul style="list-style-type: none"> ○ Validated brief ○ User's experience ○ Future project requirements • Review by Agency to confirm suitability of spaces for users 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
11c Record Documents <ul style="list-style-type: none"> • Provide co-coordinated and collated record documents in the form required 		<input type="checkbox"/>	<input type="checkbox"/>
11d Performance Reporting <ul style="list-style-type: none"> • Client to identify <ul style="list-style-type: none"> ○ Who is responsible for preparation of performance report ○ Which professional services providers are to be addressed in the report ○ Format for the report ○ Future project requirements • Client to include above information to project team as part of project brief • Client to identify procedure for project team to prepare a 'return performance report' as part of project brief 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

6 Appendices

6.1 Introduction

The following appendices provide supporting information for the practice guide as follows:

Section 6.2, 'Phases - Descriptions', provides a detailed explanation of the phases of a project referred to in this practice guide.

Section 6.3, 'Definitions', contains an explanation of the key words and terms used in this practice guide.

6.2 Phases - Descriptions

This section provides a detailed description of the phases of a project used in this practice guide.

6.2.1 Phases 01 to 09 - Development of Project from Brief to Documentation

Phase 01 PROJECT INITIATION

PURPOSE:

- a) To investigate, develop and collate the information required to inform properly the Professional Services Provider team at Design Services Tender
- b) Set the framework for the brief information and its validation to enable refinement and updates as the project progresses

01a Client Identification

Client identifies the Agency, the end users and stakeholders. In addition, the Project control, communication system and authorised representatives are identified.

01b Client Brief

Client defines needs and outcomes required from Professional Services Providers for the project in as much detail as is currently available is collated for presentation to the Professional Services Providers.

01c Site Information

- A Site selected.
Client identifies if site has been selected and procured.
- B Site or asset not selected
Client assembles relevant information regarding the attributes required of the site.

01d Consultancy Procurement Method

Client determines appropriate procurement process for delivery of services.

01e Identify the role of the Architect

Client determines appropriate role for the architect as either a Lead Professional Services Provider or a Professional Services Provider. The Project management tasks can be assigned to the architect.

01f Limits of Consultancy

Client determines the phases to be included in the services agreement.

01g Risk Analysis

Client provides an analysis of the apportionment of the risk inherent in the design, documentation and procurement of the particular infrastructure item.

01h Secondary Professional Services Providers

Client determines if the Client or the Lead Professional Services Provider is to provide a list of Secondary Professional Services Providers. The engagement method and the responsibility for coordinating the services of the Secondary Professional Services Providers are to be resolved.

01i Deliverables

Client determines if they will rely on the Lead Professional Services Provider and the Secondary Professional Services Providers to provide the appropriate level of documentation in accordance with industry standards. Alternatively, the Client can determine the specific deliverables that are required to be provided by the Professional Services Provider for the Phases and Sub-phases selected to be included in the agreed service contract.

01j Client Signs-off on Brief and Site Information

Client reviews and signs-off on the project brief, site information and procurement process as being appropriate to call tenders from suitable Professional Services Providers.

Phase 02 DUE DILIGENCE AND MASTER PLANNING

PURPOSE:

- a) To carry out due diligence review of the site, its attributes, legal and planning opportunities and limitations
- b) To develop a long term land use and massing framework for coherent development of the total facility

02a Due Diligence Site Conditions and Risk Analysis

Professional Services Provider to carry out Due Diligence Assessment of the factors to be considered in the execution of a project to bring to the attention of the commissioning agency physical, environmental, cultural, topographical and statutory constraints that will have an impact on the development of a project on a particular site and providing that information for the refinement of the concept anticipated in the brief.

02b Master Plan Study and Report.

Professional Services Provider prepares a Master Plan to provide a framework for future development.

02c Client Signs-off on Master Plan

Client reviews and signs-off on the Master Plan.
The Client determines the progress to individual projects from the Master Plan.

Phase 03 CONCEPT DESIGN

PURPOSE:

- a) The purpose of this phase is to develop a concept design for a particular set of uses including planning and building shape and expression

03a Concept Design

Professional Services Provider applies skills, knowledge and experience to the validated brief to produce a concept that meets the significant requirements of the brief and location.

03b Client Signs-off on Concept

Client signs-off on Concept Design as appropriate to meet Client brief and approves project proceeding to next Phase.

Phase 04 SCHEMATIC DESIGN

PURPOSE:

- a) To develop documents and other means that satisfy the requirements of and to present the scheme to a planning approval authority for consideration

04a Schematic Design

Professional Services Provider develops the validated concept design to a level appropriate for submission for relevant planning approvals.

04b Client Clarifications

Client responds to requests for further clarification or embellishment of the information contained in the brief and associated documents.

04c Client Signs-off on Project Design

Client signs-off on schematic design as appropriate for submission for relevant planning approvals and approves the application.

Phase 05 STATUTORY APPROVAL OF PROJECT DESIGN

PURPOSE:

- a) To prosecute the application at assist the Approval Authority in its deliberations to a determination

05a Application for External Authority Validation.
Professional Services Provider provides on-going services during processing of application.

05b Approval issued by Relevant Authorities

05c Client approves project proceeding to next Phase
Client approves Professional Services Providers to review External Authority's determination.

Phase 06 REVIEW OF APPROVAL CONDITIONS

PURPOSE:

- a) To examine the outcome of the Approvals process and to identify any affects on the Schematic Design
- b) To obtain Client's signs-off on the amended scheme

06a Reviewing Determination Conditions
Lead Professional Services Provider reviews conditions of approval and identifies actions required.

06b Amendments to Project Design to address Conditions of Approval
Professional Services Provider to amend project design to comply with External Approval Authority's requirements.

06c Client Signs-off on Amended Project Design
Client signs-off on amended project design documents as meeting the Client brief and approves project proceeding to next Phase.

Phase 07 DEVELOPMENT OF THE DESIGN INTENT DOCUMENTS FOR CONSTRUCTION APPROVAL

PURPOSE:

- a) To determine the procurement delivery strategy and form of construction contract by analysis and selection in accordance with NSW Government Procurement Policy and documented practices (for example, as documents in the NSW Government Procurement System for Construction)
- b) Develop documents suitable for Construction Approval as required by regulations

07a Procurement Delivery Strategy Selection
The procurement process is in effect a continuum. Provided the required scope of work is clearly defined, a contract can be drafted to incorporate whatever proportion of the design, documentation, construction or maintenance is desired to be carried out, in what stage and under which form of contract delivery system.

The Professional Services provider may be engaged by the Client to assist and advise in the development of the preferred procurement delivery strategy. This process may be carried out in an earlier phase but should not be left to be completed beyond this phase.

- 07b Design Intent Documents for Construction Approval**
Professional Services Provider develops project design documents to be suitable for external Authority approval for construction.

These are not full Construction Phase documents.

- 07c Client Signs-off on Design Intent Documents for Construction Approval**
Client signs-off on Design Intent Documents for Construction Approval as meeting Client brief and approves the application.

- 07d Application for External Construction Approval**
Lead Professional Services Provider determines requirements for making the application and manages processing of the application.

- 07e Processing Application**
Professional Services Provider provides on-going services during processing of application.

- 07f Approval issued by Relevant Authorities**
The determination by the relevant approval authority is issued to the Client or the nominated Client's representative.

- 07g Client approves Project proceeding to next Phase**
Client reviews the approval and determines the project will continue to the next phase.

Phase 08 DOCUMENTATION OF DETAILS FOR USE DURING CONSTRUCTION

PURPOSE:

- a) To develop documents suitable for fully informing the contractor of the detailed design intent

- 08a Detail Documentation suitable for use during Construction**
Professional Services Provider develops detailed information to more fully describe the project to enable the contractor to better implement the design intent.

- 08b Client Signs-off on Construction Detail Documents**
Client approves documents for use during construction.

Phase 09 CONTRACTOR TENDER PROCESS

PURPOSE:

- a) To receive competitive tenders for the works and to resolve the tender differences

09a Prepare Tender Documents

The Professional Services Providers prepare and collate tender documents appropriate for the selected method of construction tender and in the form agreed with the Client.

09b Client Signs-off on Construction Tender Documents

Client approves the tender documents for issuing to the selected tenderers as well as the selected list of tenderers or the method of open tendering.

09c Calling of Tenders

Client's approved Professional Services Provider to call and issue tender documents to tenderers.

09d Tender Period

Lead Professional Services Provider to manage and respond to inquiries from tenderers, issue addenda and to request clarifications from the appropriate.

Professional Services Providers to provide clarifications as necessary to the Project Manager for transmission to the tenderers.

09e Tender Assessment

Lead Professional Services Provider manages review and assessment of tenders.

09f Tender Report

Lead Professional Services Provider provides Client with a report assessing tenders.

09g Appointment of Contractor

Client appoints contractor (by Letter of Award or by execution of Deed).

6.2.2 Phases 10 and 11 - Execution of Construction Contract

Phase 10 CONSTRUCTION PERIOD

PURPOSE:

- a) To maintain the design intent of the project
- b) To meet the projects time and cost budgets
- c) To manage the amendments and variations which occur during construction
- d) To assist in the completion of the construction of the project

10a Determination of Professional Services Provider Role

Client confirms role of Professional Services Providers during construction phase.

10b Execution of Contract

Where appointed by Client, Lead Professional Services Provider collates and prepares contract documents for execution. Where the contract is formed by a Letter of Award, ensure that the contract documents have been combined or bound together with the Letter to form the one document.

10c Management of Design Intent during Construction

Where appointed by Client, Professional Services Provider reviews works for compliance with design intent.

10d Management of Amendments and Variations

Where appointed by Client, Professional Services Provider prepares amendments and/or variations to the contract works and reviews for consistency with design intent. Client signs-off on and approves all amendments and variations to the works.

10e Management of Contract Sum and Time

Where appointed by Client, Professional Services Provider manages adjustments to the Contract Sum and Contract Time occasioned by approved variations.

10f Progress Payments

Where appointed by Client, Professional Services Provider manages progress payment process.

10g Completion

Where appointed by Client, Professional Services Provider reviews completed works for consistency with contract documents and co-ordinates certification.

Phase 11 POST-OCCUPANCY

PURPOSE:

- a) To review any defects that have arisen post-completion and determine a proper resolution
- b) To review the completed and occupied spaces for their suitability for the activities

11a Defects Rectification Period and Defects Liability Period

Where appointed by Client, Professional Services Provider provides services to review completion of rectification for consistency with contract documents.

11b Post-Occupancy Review

Where appointed by Client, Professional Services Provider conducts review of completed works to establish user's assessment of project's process and outcomes.

11c Record Documents

Where required the Professional Services Provider will coordinate and collate documents recording the actual location of services and the like as well as variations and modifications made during the construction period to the building fabric, form and fixtures and fittings. The documents are to be in the required form or format required by the Client.

6.3 Definitions

This section provides a detailed description of key terminology used in this practice guide.

Client

'Client' means the Department, Agency, or User Group for whom the project is to be undertaken and/or the 'Client Agency'.

Client Agency

'Client Agency' means the Department, Agency or Organisation appointed by the Client to manage the project on the Client's behalf.

Principal/Client Representative

'Principal' and/or 'Client Representative' means the individual appointed to manage the project on the Client's behalf with authority to instruct the project team on the Client's behalf.

Professional Services Provider

'Professional Services Provider' and 'Service Provider' means a company, firm or individual (such as an architect, engineer or heritage adviser) providing professional design or information services on a project.

Lead Professional Services Provider

'Lead Professional Services Provider' means the particular Professional Services Provider who is charged with:

- Managing the project team
- Coordinating the work of and providing direction to the Secondary Professional Service Providers
- Managing the co-ordination of the information contained in the documents produced by the project team

Secondary Professional Service Provider

'Secondary Professional Service Provider' means those Professional Services Providers providing specialist services at the direction of the Lead Professional Services Provider.

Project Team

'Project Team' means the group of Professional Services Providers working on the project under the direction of the Lead Professional Services Provider.

Project Brief

The project brief is the document that provides the necessary instructions of what the Client expects from the project team.

It is a document that provides the necessary information to describe the rationale, purpose, goals, costs, time and performance requirements, risks and constraints of a project.

The project brief is the key document that gives the direction and scope of the project and forms the basis of the 'contract' between the Client and their Professional Services Providers.

Project Phases

The Project Phases are the stages through which a project may progress. This document identifies 11 Phases that relate to the key milestones of a project.

Although, the layout of the Phases in this document appears to be strictly linear, some phases may overlap, be addressed before others or be transferred to the responsibilities of other entities.

Project Initiation

Project Initiation is the phase where the assembly of the information that informs the detailed brief is commenced. This Phase will commence before the other phases and will continue in conjunction with other phases.

The functions listed in the Phase Description may not occur all at once or even at the start of the project. The initial commission for a Professional Services Provider may be to assist in the development of the project brief. For example site selection, scope definition and master planning.

Due Diligence

Due Diligence is the research undertaken to identify suitable sites or the suitability of particular sites for the project utilising the Professional Services Provider team to carry out:

- Documentary research
- Property searches
- Social planning
- Site characteristics
- Project needs
- Legal research
- Cost analysis

Master Plan

The outcomes of the master planning process will assess the needs and options available for a project in the broadest of senses. Master Planning is not always required for a particular project. Where required, it can be applied to:

Major Infrastructure Projects

The Master Plan for Major Infrastructure Projects may be asset or location blind. It will identify potential corridors or broad-acre location options depending on the type of infrastructure being considered.

Site Specific Projects

The Master Plan is usually expressed by large scale plans, block areas of building, land uses and the like. The Professional Services Providers that would be involved would be primarily land-use planners and architects assisted by services, civil and structural engineering input.

Concept Design

The Concept Design is the phase where the design Professional Services Provider team commences responding to the detail held in the brief. Each Professional Services Provider discipline will provide concept design outcomes to provide a generalised impression of the character, scale and impact of the project.

The concept design will expose the Professional Services Provider's specific responses to the site, a more detailed exploration of the uses, needs and interaction.

Schematic Design

Schematic Design is the phase where the agreed concept is developed to a standard that is capable of being assessed for the development consent required for that project.

The outcomes of the Schematic Design Phase will include sufficient information for detailed cost planning.

Development Approval (Development Assessment Process)

Development Approval is the phase when the project design is submitted for assessment against applicable planning codes and controls, and is issued with authorisation to proceed, often referred to as a DA.

The Development Assessment Process, whether it be by local council, state instrumentality or self assessment, is a merit based process intended to ensure the project is subjected to rigorous independent assessment and to provide an opportunity for third parties to make submissions regarding the project.

Review Development Approval Conditions

The Development Approval will often contain conditions which must be complied with and which affect the design of the project.

Prior to proceeding with the ongoing phases of the project the conditions of consent contained within the development approval need to be reviewed and a course of action for their implementation established.

This may include:

- Accept the conditions and adjust the documents to comply with them
- Appeal the conditions to the appropriate authority
- A combination of the two
- Make another submission with an alternative design

Construction Documentation Phase

This phase is in two parts:

- Construction Certificate
- Detailed Documentation

An explanation of each phase follows:

Construction Certificate (CC)

The Construction Certificate is the phase when the project design is submitted for assessment against the conditions of consent set out in the Development Approval, The Building Code of Australia and relevant Australian Standards.

A Construction Certificate is required before any building work is carried out.

For a project to be issued with a Construction Certificate a set of construction documents, including both plans and specifications, must be prepared which provide a detailed overview of the complete project and provide sufficient information for the Certifier to be able to determine that the project will meet the applicable construction standards.

Full construction details are not required for this phase.

Detailed Documentation/Documentation of Details for Construction

This is the second part of the Construction Documentation Phase and can run concurrently with the Construction Certificate Phase.

Prior to a project proceeding to construction further detailed documentation is required beyond that suitable for a Construction Certificate. The purpose of these documents is to provide detailed information to the contractor and their sub-contractors on the specific outcomes required for the completed project.

For a traditional construction process, these documents are prepared before tenders are called.

In some instances, particularly where the project team is being novated to the contractor, the tender may be called on the CC documents with an expectation that the detailed design will be completed once the tender has been awarded.

Tenders Process and Construction Contracts

The tender process for the awarding of the Construction Contract can occur at various stages in the procurement process depending on the type of contract the agency has determined to enter into with the Contractor.

Lump Sum Construct Only or Fully Documented Contracts

Traditionally tenders are called at the conclusion of the Construction Documentation Phase so that the tenderers can be given a comprehensive and detailed set of drawings as the "brief" for construction.

The Client provides the contractor with the documentation which fully describes the work to be undertaken. The contractor then builds the works according to the project documentation prepared by the Client's consultants. The contract can be based on a lump sum, a schedule of rates and lump sums or a bill of quantities.

This form of contract establishes an agreed price for the project but contain a mechanism to enable variations to the works where circumstances require, with appropriate adjustment to the contract sum.

Under this form of contract the project team normally remains independent of the Construction team and directly responsible to the Client.

Lump Sum - Design, Development and Construct Contracts

Under a design development and construct (DD&C) contract, the contractor is required to engage its own consultants to develop the preliminary designs provided by the Client. The contractor prepares construction documentation and constructs the asset.

The preliminary design work, carried out by consultants under the Client's direction, may include a concept design, a functional design and/or a performance specification. The contractor is paid on the basis of a lump sum price or tendered rates. Additional amounts are paid for variations to the Client's requirements, but because the tender documentation is not detailed, the Client is exposed to less risk on account of errors and omissions than for a developed design contract.

Design and Construct Contracts

This form of tender and contract used on large-scale projects is a Design and Construct Contract (D&C). Under a Design and Construct Contract, the Contractor is usually engaged early in the Construction Documentation Phase and is responsible for the management conclusion of the Construction Documentation Phase, including schematic design, design development, documentation and design coordination, as well as construction. The risk of latent conditions is generally allocated to the contractor.

Under a design and construct contract the project team may be novated to the construction team and become directly responsible to the contractor.

Managing Contractor:

The Managing Contractor may be engaged on a project brief, to commission, manage and accept responsibility for consultants that design the works and subcontractors that construct the works. The Client may also engage a project manager or project director to manage the Managing Contractor contract and to support and advise the Client. Under this arrangement, the project team may be engaged by the Client to provide similar services to those required for a DD&C or D&C procurement, and may be novated to the Managing Contractor.

A Managing Contractor contract usually involves the payment of actual reasonable costs (up to a guaranteed or target construction sum(s), where agreed for construction work, or a guaranteed price for all the work) plus fees.

Construction Phase

The professional services project team's primary responsibility during the construction phase is to ensure the project is constructed in accordance with the construction documents.

That is, the team's duty is to act on the Client's behalf to ensure the design intent established and agreed to during the Concept and Schematic Design Phases is realised and delivered.

This includes monitoring the project on a regular basis, resolving design related issues arising during construction and reviewing proposals by the contractor to vary the design.

Other management services focusing on the delivery of the project in terms of time, price and program is not core to the project team's roles and can be undertaken by a separate Professional Services Provider (Project Manager, QS etc.)

Post Occupancy

The Post Occupancy Phase involves the project team in maintaining an oversight of the completed project for a specified period to identify and react to any faults, failures or incomplete installations that become evident after the facility is occupied.

In addition, if so commissioned, a review of the success of the project against the original brief, as well as a review of the brief itself against the expressed expectations of the user groups, can be undertaken to identify potential improvements for future projects.

Contractor

'Contractor' means the building or construction company engaged to undertake and manage the construction phase of the project.

Novation

'Novation' occurs where the responsibility, control and management of the project team is transferred by the Client to the contractor. That is the project team become directly responsible to the contractor.