Stage 2 Submission

# [*Insert proposal name*]

[The following boxes are provided for information and can be deleted prior to submission.]

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| How to use this checklist:  During **Stage 2** you will identify, analyse and filter options to respond to the problems and opportunities you identified in **Stage 1.** This will save you from investing resources in developing unpromising options in your business case during **Stage 3**.  We will assess your Stage 2 submission to determine whether you have:   * + Identified a **comprehensive longlist** of options that could address the problems and opportunities identified in Stage 1.   + Applied a **robust and defensible methodology** to filter options from a longlist to a shortlist (a progressive process of strategic review, multi-criteria analysis and rapid cost–benefit analysis may be appropriate).   + Identified a **shortlist of options** based on their relative merit, which are suitable for more detailed analysis in **Stage 3**.   The Assessment Framework has been designed to align with other national, state and territory frameworks. **We accept submissions that conform to the relevant state or territory guidelines, so long as they include all the required information as set out in this document**. Before submitting, check your submission against the **Stage 2 Assessment Criteria and this Submission Checklist** to ensure you have met our requirements.  From 14 September 2022, proponents are also required to provide information on greenhouse gas (GHG) emissions as part of Stage 1, 2 and 3 submissions to Infrastructure Australia. This checklist has been updated to note the new information requirements for Stage 2. Please refer to the [*Guide to assessing greenhouse gas emissions (interim)*](https://www.infrastructureaustralia.gov.au/guide-assessing-greenhouse-gas-emissions-interim) which outlines the new information to be submitted, and provides guidance on some key considerations related to GHG emissions.  We encourage you to engage with us as early as you can when developing a proposal, so that we can provide advice to strengthen your submission and clarify any assessment requirements. |

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| Key terms:  **Assessment Criteria:** three overarching criteria we use to assess the merit of every proposal, at every stage of the Assessment Framework – Strategic Fit, Societal Impact and Deliverability.  **Program**: a proposal involving a package of projects that are clearly interlinked by a common problem or opportunity. The package presents a robust and holistic approach to prioritise and address the projects, and there is a material opportunity to collaborate and share lessons across states, territories or agencies. The projects can be delivered in a coordinated manner to obtain benefits that may not be achieved by delivering the interventions individually.  **Project:** an infrastructure intervention. A project will move through the stages of project initiation, planning, delivery and completion. A suite of related projects to address a common problem or opportunity will create a program.  **Proponent:** an organisation or individual who prepares and submits infrastructure proposals to us for assessment. To be a proponent of a business case (a Stage 3 submission), the organisation must be capable of delivering that proposal.  **Proposal:** the general term we use for successful submissions to the Infrastructure Priority List, across the key stages of project development, specifically – early-stage (Stage 1), potential investment options (Stage 2) and investment-ready proposals (Stage 3). Proposals that have been delivered would be assessed in Stage 4. |

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| Lodging your submission:  Contact us to discuss your proposal before submission and to arrange a secure file transfer facility for your submission. You can contact us via email at [proposals@infrastructureaustralia.gov.au](mailto:proposals@infrastructureaustralia.gov.au) or call us on **02 8114 1900**. |

# Stage 2: Identifying and analysing options

## Proposal information

In preparing this document, please refer to the [Stage 2](http://www.infrastructureaustralia.gov.au/publications/assessment-framework-stage-2-identifying-and-analysing-options) volume of the Assessment Framework and relevant technical guides. If you require any assistance, you can contact us via email at [proposals@infrastructureaustralia.gov.au](mailto:proposals@infrastructureaustralia.gov.au) or call us on **02 8114 1900**.

### Document control details

|  |  |  |  |
| --- | --- | --- | --- |
| PROPOSAL NAME[[1]](#footnote-2) |  | PROPONENT ORGANISATION |  |
| VERSION[[2]](#footnote-3) |  | DATE SUBMITTED | DD/MM/YYYY |
| NAME OF INTER-RELATED PROGRAM, IF APPLICABLE. | |  | |
| CHANGES FROM PREVIOUS VERSION (IF APPLICABLE) | | | |
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### Prepared by (point of contact for us to engage on specific technical matters)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| NAME |  | JOB TITLE |  | ORGANISATION | |  |
| CONTACT DETAILS | Phone | Mobile | | | Email | |
| DATE | DD/MM/YYYY |  | | | | |

### Approved by (point of contact for formal engagement on the status of the submission)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| NAME |  | JOB TITLE |  | ORGANISATION | |  |
| CONTACT DETAILS | Phone | Mobile | | | Email | |
| DATE | DD/MM/YYYY |  | | | | |

### Stakeholder endorsement for proposal

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| Please identify stakeholders you have engaged with in the development of this proposal and their level of support. |

### Confidentiality

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| *Please identify if any of the information provided to Infrastructure Australia in this template is confidential. Please provide a brief explanation of the reasons for the request of confidentiality.*  *Information submitted confidentially will not be released or published by Infrastructure Australia without the written consent of the proponent.* |

### Description of proposal

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| *Please describe the proposal, clearly identifying the problems and opportunities (from Stage 1) and proposed interventions. Proponents should refer to Section 3 of our Stage 2 volume, which describes our assessment criteria and threshold for determining if the proposal is nationally significant.* |

### Australian Government funding

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| *Please identify if Australian Government funding is sought for the proposal, and the status and amount of funding. For example, no Australian Government funding commitment, development PPR approved, construction PPR approved, funding committed by the Australian Government for construction.*  *This information allows us to consider the reasons for submission for the Infrastructure Priority List.*  *If Australian Government funding has been committed for project delivery, we will assess your Stage 2 submission, but it will not be considered for the Infrastructure Priority List.* |

### Infrastructure Priority List

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| *Please identify any linked Infrastructure Priority List proposal(s). This information allows us to link submissions with Early-stage Proposals (problems and opportunities listed on the IPL).*  *Please also indicate if this submission is combined with a Stage 1 submission.* |

### State or Territory assurance reviews

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| *Please identify if any state and territory assurance reviews, such as infrastructure advisory body or equivalent, gateway reviews, have been completed, and the status of these reviews.* |

## Stage 2 Submission Checklist

We classify submission documentation as required, recommended or good practice, as described in the table below:

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| --- | --- |
| **Classification** | **Description** |
| Required | Proponents must provide evidence justifying their assessment of required items. |
| Recommended | Proponents must consider recommended items and provide supporting evidence justifying if they have not been assessed. |
| Good practice | Proponents should consider these discretionary items as part of good practice, but they may not apply to all projects. |
|  | |

Please complete the submission checklist below, indicating:

* which items have been provided as part of your application
* where the information can be found in the attached documentation.

| **Item** | **Requirement** | **Name relevant documents you have attached** | **Where can we find that info in the documents (if relevant)** |
| --- | --- | --- | --- |
| **Proposal information** | | | |
| Proposal description | Required | Included above. Identify any additional information attached. |  |
| Information is finalised (i.e. not draft or identified as subject to change) | Required |  |
| Information is not out of date (we recommend information is current or less than 3 years old) | Required |  |
| Confidentiality requirements | Required |  |
| Please identify if Australian Government funding is sought for the proposal and, if so, the status and amount of funding. | Required |  |
| State or territory (gateway) review (i.e. infrastructure advisory body or equivalent), where relevant | Recommended |  |
| On Infrastructure Priority List as Early-stage Proposal (Stage 1) | Good practice |  |
| Stage 1 assessment complete and included in Stage 2 submission[[3]](#footnote-4) | Required |  |  |
| Post completion reviews of similar projects | Good practice |  |  |
| Reporting requirements under your entity’s National Greenhouse and Energy Reporting Act and/or state and territory requirements | Required |  |  |
| **Step 1: Identify a longlist of options** | See **Section 2.2** of the[Stage 2](http://www.infrastructureaustralia.gov.au/publications/assessment-framework-stage-2-identifying-and-analysing-options)volume for more information | | |
| Option identification methodology | Required | e.g. Options Analysis Report | e.g. Section 2.3 |
| Stakeholder input | Required |  |  |
| Longlist of options identified, including non- capital options | Required |  |  |
| Description of each longlist option (including the base case):   * type (e.g. regulatory reform, capital investment) * description * location * infrastructure changes or enablers, including physical and transition impacts from climate change * expected stakeholder impact * initiative dependencies * indicative investment costs (capital, operating and maintenance) * alignment with national, state and territory plans or strategies (including alignment with net zero emissions targets) | Required |  |  |
| **Step 2: Analyse the options** | See **Section 2.3** of the[Stage 2](http://www.infrastructureaustralia.gov.au/publications/assessment-framework-stage-2-identifying-and-analysing-options)volume for more information | | |
| Option analysis methodology, including any models for and outputs of:   * Strategic review * MCA * Rapid CBA | Required |  |  |
| Provide supporting data or key measures relevant to the options | Required |  |  |
| Describe risks or sensitivities considered in the analysis process and data supporting option outcomes | Required |  |  |
| Explain how the scale of GHG emissions was considered as part of scoping, analysing and selecting the shortlisted options. | Required |  |  |
| Opportunities for packaging options | Recommended |  |  |
| **Step 3: Shortlist options for detailed assessment** | See **Section 2.4** of the[Stage 2](http://www.infrastructureaustralia.gov.au/publications/assessment-framework-stage-2-identifying-and-analysing-options)volume for more information | | |
| Shortlist of options identified | Required |  |  |
| Description of each shortlisted option, including:   * option description and scope (as provided for longlisted options) * infrastructure and non-infrastructure changes and enablers * indicative whole-of-life costs * scale of GHG emissions (Scope 1, 2 and 3)[[4]](#footnote-5) * expected impacts, including:   + monetised benefits (and dis-benefits), including discounted cash flows   + estimated GHG emissions, including embodied and operating emissions[[5]](#footnote-6)   + non-monetised quantitative and qualitative impacts * consideration of risks and uncertainties * any relevant information supporting the Assessment Criteria, such as sustainability assessments, environmental impact assessments, feasibility studies, economic appraisals * any relevant assessments, such as distributional effects, sensitivity (including value of carbon) and real options analysis, if available * identified approaches to reduce, mitigate or offset emissions during construction and operation * anticipated funding model/s * interdependencies with other problems and opportunities and/or programs and projects * indicative deliverability considerations (risks, schedule, model, climate change scenarios, sustainability reporting etc.) | Required |  |  |
| Detailed explanations as to why options have progressed to the shortlist or not | Required |  |  |
| Next activities planned (e.g. planning studies, feasibility studies, business case, environmental assessment, sustainability, gateway reviews), expected schedule and expected Infrastructure Stage 3 review timing | Required |  |  |
| Any other information attached in support of proposal |  |  |  |

1. 1 Title of the underlying problems and opportunities, rather than the anticipated solution. See IPL for examples. [↑](#footnote-ref-2)
2. First issue to Infrastructure Australia should be version 1, with version updated for subsequent submissions. [↑](#footnote-ref-3)
3. Stage 1 should consider how the identified problems/opportunities relate to sustainability (including GHG emission impacts). [↑](#footnote-ref-4)
4. Evidence of how emissions have been estimated and incorporated in the rapid CBA (scope 1 and 2 - specifying the value of carbon used). [↑](#footnote-ref-5)
5. Embodied emissions result from the production of materials used in the construction of infrastructure, as well as those from the construction process itself. Operating emissions result from the ongoing operations of infrastructure assets. [↑](#footnote-ref-6)