

Register process manual for network standards and guidelines

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Document management plan

1) Purpose

This management plan outlines the updating procedures and contact points for the document.

2) Document information

Document name	<i>Process manual for network standards and guidelines</i>
Document number	TFMIA
Document availability	This document is located in electronic form on the NZ Transport Agency's website at www.nzta.govt.nz .
Document owner	National Manager Investment, NZ Transport Agency (National Office)
Document sponsor	Principal Engineer Network Optimisation, NZ Transport Agency (National Office)

3) Amendments and review strategy

All corrective action/improvement requests (CAIRs) suggesting changes will be acknowledged by the document owner.

	Comments	Frequency
Amendments (minor revisions)	Updates incorporated immediately they occur.	As required.
Review (major revisions)	Amendments fundamentally changing the content or structure of the document will be incorporated after appropriate consultation by the manual sponsor and approval by the Ratification Group. They may require coordinating with the timetable for updating the <i>Network standards and guidelines register</i> .	At least annually.
Notification	All users that have registered their interest by email to networkstandards@nzta.govt.nz will be advised by email of amendments and updates.	Immediately.

4) Other information (at document owner's discretion)

There will be occasions, depending on the subject matter, when amendments will need to be worked through by the review team before the amendment is actioned. This may cause some variations to the above noted time frames.

5) Distribution of this management plan

Copies of this manual management plan are to be included in the NZ Transport Agency intranet at the next opportunity and sent to the Register sponsor and Register manager.

Record of amendments

Amendment number	Description of change	Effective date	Updated by
1	Amendments to Funding and inclusion of Local Status processes, delegations and document ownership	11/11/10	Bill Greenwood
2	Amendment to Investment, Local and State Highway Status processes plus minor title and editorial changes	8/4/11	Bill Greenwood
3	Re-write of definitions of State Highway Standard, State Highway Guidelines, Reference Documents, addition of Appendices 1 & 2	14/7/11	Bill Greenwood
4	Change membership of Ratification group to recognise the replacement of the Information Manager with the Chief of Assurance and Risk and the Convener RCA Forum Research and guidelines group with a Representative of the RCA Forum Executive.	6/5/13	Bill Greenwood
5	Minor editorial changes and formatting refresh, Updated to reflect change of roles and responsibilities within the Transport Agency	20/02/14	Stefanie Head

Foreword

Purpose	The primary purpose of this process manual is to provide a fit-for-purpose process for managing the inclusion of new documents and changes and variations to existing documents in the <i>Register of network standards and guidelines</i> .
Key goals	<p>The key goals of this manual are to:</p> <ul style="list-style-type: none"> • Ensure the consistent application of land transport network technical documents. • Provide clear and well-supported processes for ensuring land transport network technical documents are fit-for-purpose. • Encourage the development and implementation of technical documents at an appropriate level of service and in alignment with the Transport Agency investment and revenue policies. <p>Contribute to the Transport Agency's obligation, under part 101 (1) (c) of the Land Transport Management Amendment Act 2008, to have a "process for determining and applying design standards to roads."</p>
This manual and the <i>Register of network standards and guidelines</i>	This process manual, together with the <i>Register of network standards and guidelines</i> , replaces all previous versions of standards and guidelines manuals created and used by Transit New Zealand, Transfund New Zealand and Land Transport New Zealand.
Structure	<p>This manual provides the following details for each of the three different types of document (ie standards, guidelines or other reference documents):</p> <ul style="list-style-type: none"> • Definitions for each type of document. • The rules for managing each type of document. • The process for allowing document variations from the standard, guideline or reference document in those documents for particular projects. <p>The inclusion of new documents, or changes to existing documents in the <i>Register of network standards and guidelines</i> are controlled by the process detailed in the Network documents inclusion and change process section.</p>
Amendments to the manual	<p>This manual will be updated in accordance with the details provided in the document management plan above.</p> <p>Users of this manual may contact the manual manager with any suggested amendments at networkstandards@nzta.govt.nz</p>

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1.0 Network standards

1.1 Investment standard

Definition

An investment standard is documentation that is:

- established by statute, regulation, Government or the Board
 - subject to compliance.
-

Example

- *Government Policy Statement*
 - *Economic evaluation manual (NZTA 2013)*
-

Rules

- Investment standards must comply with Government statute, regulation and policy.
- Investment standards developed or adopted by the Transport Agency will:
 - always require the approval of the Board or its delegate
 - apply, as appropriate, to all agencies receiving funds from the National Land Transport Programme
 - be developed in consultation with Approved Organisations and others in the transport industry.

Inclusion of new and changes to existing documents in the Register must follow the [Network documents inclusion and change process](#) section.

Variations

There shall be no variations to legal requirements except by the process agreed with the governing external body.

Standards adopted by the Board or its delegate may only be varied by the Board or its delegate. The Board has delegated this decision-making authority to the General Manager Planning and Investment. There is no opportunity to exercise judgment. Implementation is mandatory for all new work commenced after the standard is accepted by the Board or its delegate under such conditions as may be defined. A standard may have a defined tolerance, and this must not be exceeded.

A legal disclaimer is not appropriate in relation to a standard which the Transport Agency has developed. If harm or damage results from the correct application of that standard, liability may consequently rest with the Transport Agency.

Where the Transport Agency adopts a standard developed by, or jointly with, others as being appropriate for application to a land transport network, then this liability may be shared.

1.2 State highway standard

Definition

A state highway standard covers those requirements established by statute, regulation or industry-wide acceptance and related to dimensions, properties, procedures or characteristics which must be complied with. Standards also cover:

- The practical application of legal requirements within state highway activities.
- Standards (or specifications) that must be achieved and are contractually binding. This includes specifications which are instructions, a framework, processes, a pro forma or procedures where these are mandatory, and where variations outside of the pro forma are not permitted. Trials are permitted within the change process, where the trial is undertaken with a view to updating the standard or specification.

Examples

- *TCD Rule*
- *P17 Performance Based Specification for Bituminous Reseals*
- *State Highway Maintenance Contract Pro-forma Manual (SM032)*

Rules

- All state highway standards *must* be clearly labelled as such in the *Register of network standards and guidelines*.
- All state highway standards must have a sponsor and an owner listed in the *Register of network standards and guidelines*. State highway standards also have a governance group¹ and some may have a steering group².
- Each new standard document shall be approved by the Board or its delegate, which will also include the prior approval by the Ratification Group and document sponsor.
- Inclusion of new documents and changes to documents already in the Register must follow the [Network documents inclusion and change process](#) section and the process map for state highway document inclusion and change included in [Appendix A](#).
- Once a state highway standard has been promulgated, implementation is mandatory for all new work. A state highway standard may have a defined tolerance and this must not be exceeded.

New standards

Where the need has been identified for a new state highway standard the identified document owner is responsible for following the process in [Appendix A: Process for state highway document inclusion and change](#).

The person or committee requesting the new standard is responsible for working with the document owner to develop the proposal and, where appropriate, assisting with trialling it. The trial is used to help understand the operational cost of the new standard and determine value for money, fitness for purpose, and associated risks.

¹ Governance Group: Highways BUDMT or VAT which oversees the general principles contained within the document.

² Steering Group: Subject matter expert group set up to advise on key subjects covered by a document to ensure it meets business requirements.

Changed standards

Standards previously adopted by the Board or its delegate may only be changed following approval by the Board or its delegate. Implementation is mandatory for all new work commenced after the standard is approved by the Board or its delegate under such conditions as may be defined. For example, a standard may have a defined tolerance and this must not be exceeded.

A legal disclaimer is not appropriate in relation to a standard which the Transport Agency has developed. If harm or damage results from the correct application of that standard, liability may consequently rest with the Transport Agency.

Where the Transport Agency adopts a standard developed by, or jointly with, others as being appropriate for application to a land transport network, then this liability may be shared.

Where the need has been identified for a change to a state highway standard the document owner is responsible for following the process in [Appendix A: Process for state highway document inclusion and change](#).

The person or committee requesting the change to the standard is responsible for working with the document owner to develop the proposal and, where appropriate, assisting with trialling it. The trial is used to help understand the operational cost of the change to the standard and determine value for money, fitness for purpose, and associated risks.

[Variations](#)

There shall be no variations to state highways standards.

Where changes may be sought to legal requirements, the process agreed with the governing external body must be followed.

1.3 Local authority standard

Definition

A local authority standard is a document that:

- is created because consultation shows a document with a local authority standard status is desired; and
- specifies dimensions, properties, procedures or characters which must be followed.

Examples

N/A

Rules

- All local authority standards *must* be clearly labelled as such.
- A local authority standard must have a document sponsor and a contact person identified in the Register.
- Once a local authority standard has been included in the Register, local authorities (including their consultants and contractors) have very limited opportunity to exercise professional judgment.
- Inclusion of new and changes to documents in the Register must follow the [Network documents inclusion and change process](#) section. A consultation process has been developed by the RCA Forum and is detailed on the forum website: www.rcaforum.org.nz
- Minor document changes require adoption by the RCA Forum Research and Guidelines Group.
- Major document changes require consideration by the RCA Forum Research and Guidelines Group and the Ratification Group.
- A local authority standard may have a defined tolerance and this should not be exceeded without a variation being considered as detailed below.

[Variations](#)

Minor

An organisation's quality team or expert reviewer may approve a minor variation to a local authority standard that:

- is considered necessary in the interests of efficiency
- takes into account local circumstances or materials
- has minor significance beyond the organisation's activities
- would not change the overall objective of the document.

Details of the variation must be forwarded to the document contact person indicating the reasons for the change and scope of use. This will identify possible future improvements to the standard. Consultation with an appropriate Transport Agency Regional Advisor is encouraged.

Major

A major variation or change to a local authority standard must be referred by the organisation's quality team or expert reviewer to the document sponsor for approval, prior to implementation, with the following details:

- the document number, name, and date of issue

-
- the proposed variation or change to the document text for the project
 - the reasons for the changes, including why a variation is necessary
 - the date of approval of variation or change by the organisation.
-

2.0 Network guidelines

2.1 Investment guideline

Definition An investment guideline is a statement of good practice that, when given effect, is suitable to receiving investment from the National Land Transport Programme (NLTP) account.

Examples N/A

Rules

- An investment guideline developed or adopted by the Transport Agency will:
 - always require the approval of the Board or its delegate
 - apply to all agencies receiving investment from the NLTP account
 - be developed in consultation with controlling authorities and others in the transport industry.
- Inclusion of new, and changes to existing, documents in the Register must follow the [Network documents inclusion and change process](#) section.
- Minor document changes require the approval of the document sponsor.
- Major document changes require the approval of the Ratification Group.
- Because investment guidelines are only recommended good practice, they require judgment in their application to particular circumstances. Consequently, the attachment of a legal disclaimer is necessary.

All agencies receiving funds from the NLTP account must be able to demonstrate that works are provided in accordance with accepted industry best practice. The investment guidelines in the Register are given as examples and this is indicated in the rules for variations detailed below.

[Variations](#)

Minor

Investment guidelines may be varied to suit particular circumstances in order to optimise environmental, economic, or resource utilisation impacts.

Major

Where material modification is made, or an alternative guideline is followed, sufficient traceable justification should be retained for audit purposes. To assist the development of best practice, the approval of the organisation's quality team or expert reviewer is recommended. Consultation with the guideline owner and an appropriate Transport Agency Programme Advisor is encouraged.

Significant

In these cases, approval from the organisation's quality team or expert reviewer must be obtained for a significant variation to a guideline.

An appropriate Transport Agency Programme Advisor must be made aware of any significant change to ensure value for money occurs. The document sponsor shall also consider changing the underlying guideline if necessary to better reflect best practice.

2.2 State highway guideline

Definition	<p>State highway guidelines <i>must</i> be used when improving, operating, or maintaining the state highway network.</p> <p>Guidelines become legally binding when invoked in contract documents.</p> <p>Guidelines contain recommended good practice suitable for use on state highways as determined by Transport Agency Highway and Network Operations (HNO). Guidelines include specifications where these are instructions, frameworks, processes, proformas, or procedures where variations are permitted in accordance with the sections below.</p>
Examples	<ul style="list-style-type: none"> • <i>State Highway Geometric Design Manual</i> • <i>Planning practice guidelines 2002</i> • <i>Project management manual (version 2)</i> • <i>Notes for specification for earthworks construction</i>
Rules	<ul style="list-style-type: none"> • All state highway guidelines <i>must</i> be clearly labelled as such in the <i>Register of network standards and guidelines</i>. • All state highway guidelines must have a sponsor and an owner listed in the <i>Register of network standards and guidelines</i>. State highway guidelines also have a governance group³ and some may have a steering group⁴. • Inclusion of new and changes to documents in the register must follow the Network documents inclusion and change process section and the process in Appendix A: Process for state highway document inclusion and change. • A state highway guideline may be utilised by an organisation with a variation. It is expected that users of guidelines apply judgment and follow a quality process in decision making and that this is documented and applied as detailed below.
New guidelines	<p>Where the need has been identified for a new state highway guideline the document owner is responsible for following the process in Appendix A.</p> <p>The person or committee requesting the new guideline is responsible for working with the document owner to develop the proposal and, where appropriate, assisting with trialling it. The trial is used to help understand the operational cost of the new guideline and determine value for money, fitness for purpose, and associated risks.</p>
Changed guidelines	<p>Where the need has been identified for a change to a state highway guideline, the document owner is responsible for following the process in Appendix A: Process for state highway document inclusion and change.</p> <p>The person or committee requesting the change to the guideline is responsible for working with the document owner to develop the proposal and where appropriate</p>

³ Governance Group: Highways BUDMT or VAT which oversees the general principles contained within the document.

⁴ Steering Group: Subject matter expert group set up to advised on key subjects covered by a document to ensure it meets business requirements.

assist with trialling it. The trial is used to help understand the operational cost of the change to the guideline and determine value for money, fitness for purpose, and associated risks.

Variations

Where the need for a variation to a guideline is identified, the process in [Appendix B: Process for variations to state highway documents](#) shall be followed.

2.3 Local authority guideline

Definition

A local authority guideline is a document approved by the Ratification Group and established by industry-wide acceptance as providing recommended good practice.

Examples

- *Best practice guidelines for stock crossings (April 2010)*

Rules

- All local authority guidelines *must* be clearly labelled as such.
- A local authority guideline must have a document sponsor and contact person identified in the Register.
- Inclusion of new and changes to a documents in the Register must follow the [Network documents inclusion and change process](#) detailed in this document. A specific consultation process for Local Status documents has been developed by the RCA Forum and is shown on the forum website: www.rcaforum.org.nz
- Minor document changes require the approval of the document sponsor.
- Major document changes require consideration by the RCA Forum Research and Guidelines Group and the Ratification Group.
- The document sponsor is responsible for the control of a guideline included in the register, and ensures that the document inclusion and change process is utilised.
- A local authority guideline may be utilised by an organisation with a variation being considered as detailed below.

[Variations](#)

Minor

Professional judgment using appropriate knowledge and skill is generally required when using a guideline.

Major

To assist the development of best practice, the involvement of the organisation's quality team or expert reviewer is recommended. Consultation with an appropriate Transport Agency Regional Advisor is encouraged.

Significant

In unusual cases, approval from the organisation's quality team or expert reviewer must be obtained for a significant variation to a guideline.

The document sponsor must be made aware of any significant change to a recommended good practice, and consultation with an appropriate Transport Agency Regional Advisor is encouraged to ensure the guideline continues to reflect best practice.

3.0 Reference documents

3.1 Reference documents

Definition

Reference documents contain guidance, advice and good practice in addition to that covered by the network standards or guidelines documents in the Register. They also include guidelines which are never invoked in contract documents but may be used to inform best practice.

Reference documents cover regional or local issues, drafts under development or out of print, and superseded or archived (but still relevant) material.

Examples

- *Standard conditions of contract for building and civil engineering construction NZS 3910.1998*
 - *Air Quality Web-based Training Modules*
-

Rules

- All reference documents *must* be clearly labelled as such.
 - Any reference documents must be considered and, if appropriate, approved for inclusion in the Register by a document sponsor.
 - All reference documents must have a document sponsor, owner, and contact person identified in the Register. Reference documents also have a governance group (e.g. NO/NDP BUDMT or VAT) and some may have a steering group.
 - When considering the use of a reference document:
 - Check the standards and guidelines in the Register to see whether they cover the issue under consideration.
 - If the standards and guidelines do not adequately cover the issue, consult the appropriate Transport Agency Regional Advisor or relevant governance group (if state highway document) and identify the extent of the lack of appropriate coverage.
 - The Transport Agency Regional Advisor or governance group may consult with appropriate Transport Agency staff or external subject matter experts before advising on the use of the reference document. Professional judgment using appropriate knowledge and skill is generally required when using a reference document.
-

New reference documents

Inclusion of a new reference document requires the approval of the document and Register sponsor but are not required to follow the [Network documents inclusion and change process](#) section

Changed reference documents

Changes to a reference document require the approval of the document and Register sponsor but are not required to follow the [Network documents inclusion and change process](#) section.

[Variations](#)

Reference documents are generally used to inform a decision and therefore any variations are usually context or contract specific.

It is expected that users of reference documents apply judgment, follow a quality

process in decision making, and document their decision-making process.

4.0 Network document inclusion and change process

4.1 Network document inclusion or change process details

Purpose The network document inclusion or change process is designed to provide a continuous improvement process for controlling the inclusion of, or changes to, network documents in the *Register of network standards and guidelines*. The process covers all document types and utilises inputs from the Transport Agency and transport industry stakeholders (refer to [Figure 1: Process for document inclusion or change](#) (major or significant)).

Examples

- *Guidelines for developing and implementing a safety management system for road controlling authorities Part 3-1 (LTNZ November 2005)*

Rules

- A network document must not be listed in the Register unless it has been subject to the following inclusion or change processes.
- A new or changed document must be considered and approved by the ratification group, prior to it being listed in the Register by the Register sponsor.

Minor changes to existing documents in the register

- Minor changes to documents must be managed by the same document sponsor that managed the original process, unless specifically approved otherwise by the Ratification Group.
- The document sponsor should arrange for an evaluation of the proposed change to the document against the Transport Agency investment and revenue policies. If it has merit then manage the document through the network document inclusion and change process.

Documents may also have a local authority status (as a standard, guideline, or other reference document) in addition to the required investment and state highway status. The process required to be followed to include or change local status documents in the Register is detailed on the RCA Forum website:

www.rcaforum.org.nz

Inclusion of new and major changes to existing documents in the register

This process applies to:

- Documents which are not in the Register and are proposed to be added to it.
- Documents already in the Register that are proposed to have a change in status or major changes in content.

A document contact person proposing these documents for the Register should provide:

- The document's attributes (refer to the Document attributes section below for further detail)
 - A written outline of the proposal, explaining why the document should be included in the Register and why the subject is not sufficiently covered by existing documents in the Register
 - A written outline of consultation with parties affected by the document,
-

showing support for the document's inclusion in the Register (consultation path for state highway standards, guidelines and reference documents is shown in [Appendix A](#))

- A statement that the National Manager Investment is satisfied that the proposed changed or new document represents value for money and is aligned with the Transport Agency investment and revenue policies.
 - A recommended Investment and State Highway Status.
 - This information should be forwarded, in the first instance, to the proposed document sponsor, who should arrange for an evaluation of the proposal and then, if it has merit, manage the document through the document change or inclusion process.
-

Document attributes

Before a document can be considered for inclusion in the Register, as a minimum, the following information should be provided to the Ratification Group:

- **Category:** Supply a brief description of what the document is and how it relates to other documents already in the Register. This information will enable it to be placed in one of the available categories listed in the register (eg Bridges and culverts (structures), Geometric design and traffic management etc).
- **Sub-category:** List searchable key words which provide a brief description of the document scope.
- **Full title:** Copy the full title as it appears on the document cover.
- **Reference number:** Identify the author's or publisher's reference number if it exists or the ISBN number.
- **Version:** List the version number and include details of previous versions and amendments.
- **Document type:** Identify whether the document is a standard, guideline or other reference document.
- **Status:** Identify whether the document has "investment", "state highway" or "local" status.
- **Document format:** Identify whether the document is available in electronic form (including file type, eg Word, PDF, HTML) and/or hard copy (including size and binding type).
- **Publication date:** List the publication date and the dates of amendments (if any).
- **Author:** Identify the person/s who compiled or approved the document (if known).
- **Publisher:** Identify the document publisher or current owner (eg the Transport Agency, Austroads).
- **Document sponsor:** Identify the role responsible for managing the document and liaising with the ratification group about proposed changes to the document.
- **Document contact person:** Identify the person who assists the document sponsor with the administration of the document.
- **Proposed review date:** Identify the review date, which is generally 9 to 18 months after issue.

Issue

Following ratification, the Register sponsor will update the Register and forward the following documents to the Website Management Team for loading onto website:

- document attributes form
- approved document
- updated index (if required)
- changes document (if required)

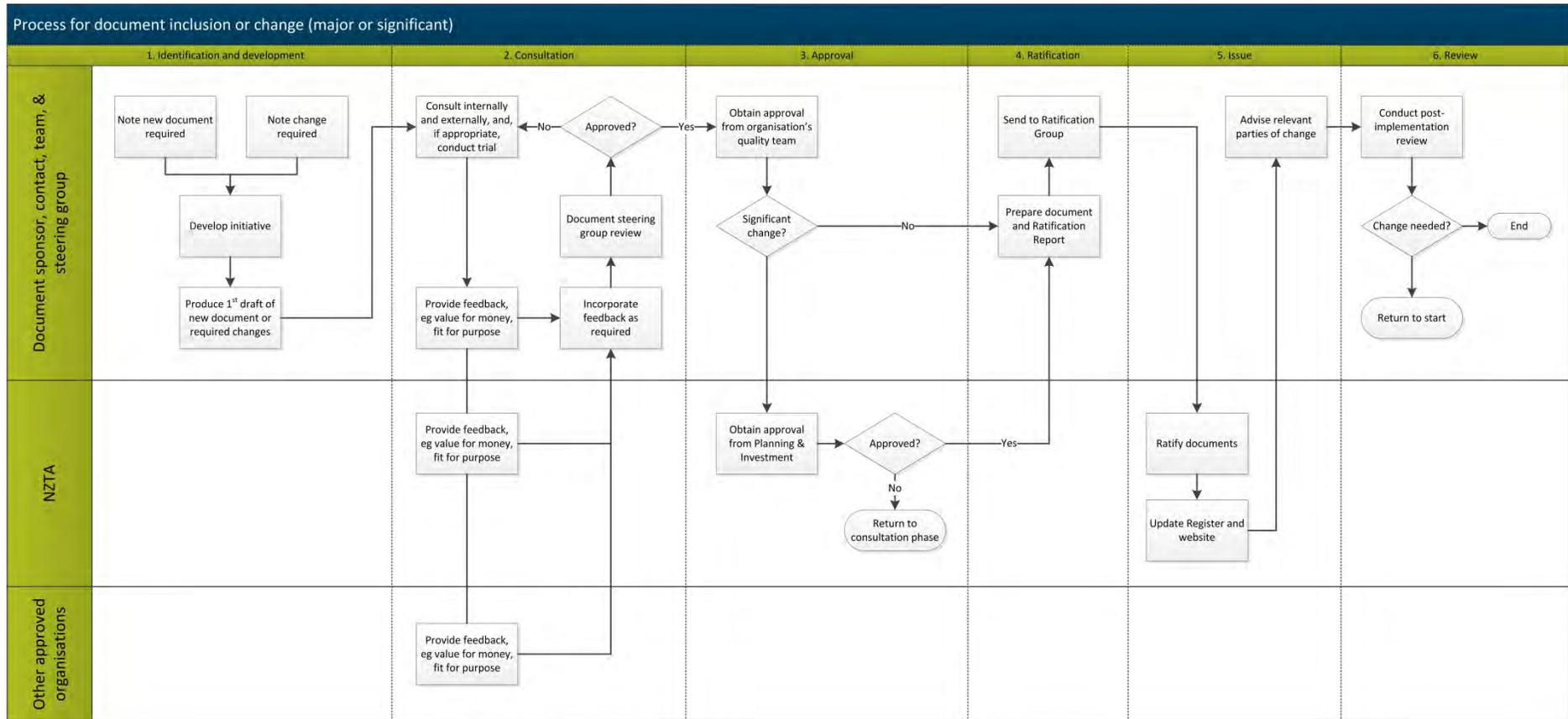
The Register sponsor will also re-categorise the previous version of a network technical document to 'Other reference documents' and/or archive were

appropriate.

Review

9 to 18 months after issue, the document sponsor will initiate a post-implementation review of the inclusion/change for effectiveness and value for money.

Figure 1: Process for document inclusion or change (major or significant)



5.0 Terminology used in the Register and *Register process manual*

5.1 Definitions

Introduction

The terms defined in the table below are relevant to both the Register of network standards and guidelines and this process manual.

Term	Definition
Document	Refers to one of the following three types of document: a standard, guideline, or other reference document. These are listed in the <i>Register of Network standards and guidelines register</i> and may be used within the New Zealand land transport network.
Document change	A change to a document, listed in the <i>Register of network standards and guidelines</i> , including the amendment, modification, replacement or removal of that document, using the process detailed in the Document inclusion and change process section.
Document variation	The adoption by an organisation of a fit-for-purpose solution to a transport issue that is a modification to the prescribed method, procedure or result set out in a document. This does not result in a document change (see above).
Document sponsor	A Transport Agency manager who has responsibility for managing a document (having responsibility for the field of activity covered by the document) and is responsible for regular (sponsor-defined) reviews of the document and for informing the ratification group of proposed changes to that document.
Document contact person	A Transport Agency person who assists the document sponsor with the administration of the document. This includes answering questions related to the document and administering variations and changes to the document, on behalf of the document sponsor. The contact person is also responsible for the controlled storage of the document and its amendments.
Guideline	For a definition of an investment, state highway and/or local authority guideline, refer to the Investment guideline , State highway guideline and/or Local authority guideline sections of this process manual.
Local authority	A non state highway organisation including territorial and regional councils and their consultants and contractors that may plan, design, invest in or provide services and facilities that enable public access, between an origin and destination, for people and goods.
Process manual	This document, which details the process to be followed to manage the <i>Register of network standards and guidelines</i> and the documents listed in it.
Process manual sponsor	The Transport Agency National Manager Investment (in the Planning and Investment Group group) is responsible for release and update of this manual.
Process manual manager	The Transport Agency person responsible (delegated by the manual sponsor) for managing this manual. Responsibilities are detailed in the document management plan .
Network	A land transport system (including water and rail) which includes the planning, design, investment in and provision of services and facilities that enable public access for people and goods between an origin and destination.
Network technical document	A generic term for network standards, guidelines and other reference documents referenced in the Register.

Organisation quality team	<p>A group that manages any variations from or changes to a documents in the <i>Register of network standards and guidelines</i> in accordance with the processes detailed in this guidance manual.</p> <p>This group, within an organisation, is generally composed of the following roles (if they, or similar roles, exist):</p> <ul style="list-style-type: none"> • a quality, risk or safety champion • an asset manager • an operations manager • a maintenance manager. <p>The group may also include a Transport Agency Programme Advisor.</p> <p>The Value Adding Team (VAT) and Highways Value Assurance Committee (VAC) have this role for State highways within Transport Agency Highway Network Operations.</p>
Other reference document	Refer to the Other reference documents section.
Ratification Group	<p>The group that must approve documents included in the <i>Register of network standards and guidelines</i> if they are in compliance with the intent of this guidance manual.</p> <p>This group consists of a representative of the RCA Forum Executive and at least two of the following Transport Agency personal (or their nominated representatives):</p> <ul style="list-style-type: none"> • National Manager Investment (Convenor) • National Manager Planning • Chief of Assurance and Risk • National Manager Network Outcomes (Highways).
Register	The <i>Register of network standards and guidelines</i> which contains a list of all land transport network documents.
Register sponsor	The Transport Agency National Manager Investment (in the Planning and Investment group) is responsible for this manual.
Register manager	The Transport Agency person responsible (delegated by the register sponsor) for managing the <i>Register of network standards and guidelines</i> . Responsibilities are detailed in the Register management plan, which is in the <i>Register of network standards and guidelines</i> .
Standard	For a definition of an investment, state highway and/or local authority standard, refer to the Investment standard , State highway standard and/or Local authority standard sections.
Value for money	The concepts detailed in the Transport Agency Knowledge Base which describes processes for obtaining investment from the National Land Transport Fund.

5.2 Abbreviations

Introduction

The abbreviations in the table below are relevant to both the Register of network standards and guidelines and this process manual.

Term	Definition
ACENZ	Association of Consulting Engineers NZ
ARRB	ARRB Group Ltd
AS	Australian Standards
ITS	Intelligent Transport Systems
LTNZ	Land Transport NZ (now the Transport Agency)
L TSA	Land Transport Safety Authority (now the NZTA)
MOT	Ministry of Transport
NAMS	National Asset Management Steering Group
NLTP	National Land Transport Programme
NTCIP	ITS protocol and communications standard
NZS	New Zealand Standard
NZTA	New Zealand Transport Agency
NRB	National Roads Board (now the Transport Agency)
ORD	Other reference document
PADS	Property Acquisitions Disposals
PROMAN	Transport Agency HNO Project and Programme Management system
RCA	Road Controlling Authority
RRU	Road Research Unit (now the Transport Agency)
RSMA	Road Safety Manufacturers' Association
SNZ	Standards New Zealand
SSRP	Scope and Standards Review Panel
Trafinz	New Zealand Local Authority Traffic Institute
Transfund	Transfund New Zealand (now the Transport Agency)
TNZ	Transit New Zealand (now the Transport Agency)
UTC	Urban Transport Council

Appendix A Process for state highway document inclusion and change

Purpose

The process map below (Figure 2) provides a high-level 'walk-through' of the process for the inclusion of new, or changes to, state highway standards, guidelines and reference documents for document owners.

Step 1: Identification and development

Note inclusion/change required. This may be driven by:

- Legislative change.
- Internal sources, eg from within Highways & Network Operations.
- External sources, eg Austroads, Roding NZ.
- Evaluation of Document Sponsor, eg from an approved variation.

Develop initiative. Set parameters including:

- Issue at hand
- Scope of inclusion/change
- Options available
- Recommendations

Develop new (or changed) state highway standard, guideline or reference document.

Step 2: Consultation

Consult internally and externally as deemed appropriate by document sponsor.

Consider what the document pertains to. Some key partners will always be included. Always consider whether you have consulted with all interested parties.

Consult internally. Consultation may include:

- Document working group
- Advice from select external consultants
- Value Adding Teams (VAT)
- National office subject matter experts (Highways and P&I)
- Regional subject matter experts (Highways and P&I)
- Strategy and Performance where appropriate

Consultation may take the form of written documents, meetings, forums, etc.

The consultation addresses issues pertaining to:

- value for money
- fitness for purpose.

The consultation stage may involve regional trials, which help to accurately price the change, determining value for money and fitness for purpose.

Incorporate feedback, as required.

Consult externally, as required. External consultation may include:

-
- Document working group
 - Advice from select external consultants
 - Other approved organisations
 - RCA Forum
 - Roothing New Zealand
 - Contractors Federation

Consultation may take the form of written documents, meetings, forums, etc.

The consultation addresses issues pertaining to:

- value for money
- fitness for purpose.

The consultation stage may involve trials in a local authority area, which can help to accurately price the change, determine value for money and fitness for purpose.

Incorporate feedback, as required.

Step 3: Approval

Obtain Highways approvals.

Final approvals must address the funding and levels of service. Therefore approvals to be obtained may include:

- Value Adding Teams (VAT)
- Network Outcomes or Network Directions & Performance Business Unit Decision Making Team (NO/NDP BUDMT). The request for approval should be escalated to NO/NDP BUDMT if:
 - The VAT does not reach consensus regarding approval of the inclusion/change.
 - The change is significant (the criteria below are met) so approval of the inclusion/change needs to be escalated to the Network Outcomes or Network Directions & Performance Business Unit Decision Making Team (NO/NDP BUDMT).

The approval of the inclusion/change should be escalated to NO/NDP BUDMT if:

- The financial impact arising from the change is significant.
- There are significant operational implications such as:
 - Termination of existing predetermined processes.
 - Impacts the relationship with other stakeholders.
 - Impacts levels of service for end users (customers).
 - New skill sets or training required as a result of the change.
 - Changes which are likely to have a significant financial impact.

The specifics of each decision (with regards to worthiness and significance of the inclusion/change) are documented in the minutes of meetings. To determine the basis of the decisions made, reference should be made to the meeting minutes.

For standards and guidelines, obtain a statement that the National Manager Investment is satisfied that the proposed changed or new document represents value for money and is aligned with Transport Agency investment and revenue policies.

Step 4: Ratification

To obtain ratification for the inclusion/change and update the *Register of network standards and guidelines*, the document sponsor shall follow the steps in the [Document inclusion and change process](#) section.

Step 5: Issue (admin)

Pass Highways and Planning & Investment approved version of new (or changed) state highway standard, guideline or reference document to Process and Document Controller, Highways and Network Operations, National Office.

Process and Document Controller to:

- Load approved version of state highway standard, guideline or reference document into Kete
 - Check formatting
 - Transition from Draft to Review in Kete (specifications) and transition from Draft to Final in Kete (all other documents)
 - Update relevant register (e.g. Specifications Master Register or Manuals)
-

Master Register in Kete) if required.

Document contact person to:

- Transition from Review to “Ready for Approval” in Kete
- Write covering email
- Write “Changes” document, if required (to accompany updated state highway standard or guideline)
- Write covering memo for ratification.

Document sponsor to:

- Transition to “Approved” in Kete

Process and Document Controller to:

Complete Document Attributes form.

Step 5: Issue (advise)

Advise those people who need to know that the document has been created /updated and is available. Follow the actions on the ‘Specification Development and Review Project Checklist’.

Process and Document Controller to:

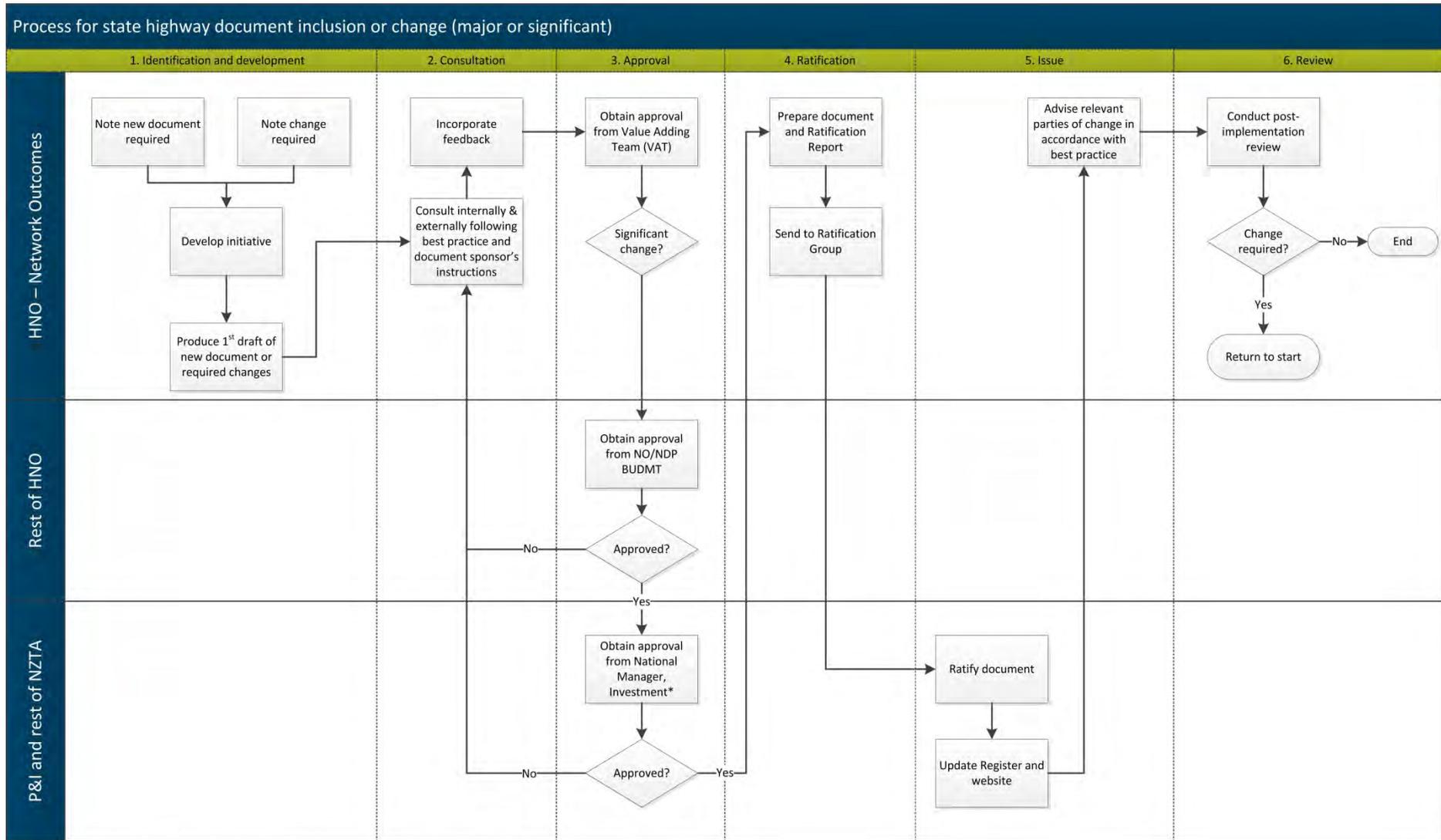
- Complete the [new resources & manuals item request form](#) and email it to the Web Team
- Update the Register
- Email the Web Team to request the updated Register is loaded onto the Transport Agency website

Email the Specifications mailing list to advise interested parties that the document is now available on the website.

Step 6: Review

9 to 18 months after issue, document sponsor to initiate post-implementation review of inclusion/change, for effectiveness and value for money.

Figure 2: Process for state highway document inclusion or change (major or significant)



*Or appropriate Organisational Support Manager where the document does not have investment implications.

Appendix B Process for variations to state highway guidelines

Purpose

The process map below (Figure 3) provides a high-level 'walk-through' of the process for variations to state highway standards, guidelines and reference documents for document users.

Step 1: Identification

Identify need for variation. This need may be identified at various points in a project, for example:

- At the beginning of a project, ie as part of a project feasibility report (PFR).
- In the early stages of a project, eg as part of Investigation & Reporting (I&R).
- During a project, eg as part of design and construction (D&C).

The need for a variation may also be initiated by a Business Unit (BU) or by a Value Adding Team (VAT).

Following identification, a project manager or committee nominee shall apply for approval of a variation using the following process.

Step 2: Preliminary business case

Develop preliminary business case including cost benefit analysis of the variations.

The [Economic Evaluation Manual](#) provides the conceptual framework including the importance of cost and benefits. The Transport Agency [Knowledge Base](#) provides the rules and guidelines that support planning, programming and funding.

The *Economic Evaluation Manual* and the *Knowledge Base* can be found in the New Zealand Transport Agency website.

Step 3: Evaluate preliminary business case and whether the change is worthwhile

Evaluation of preliminary business case by document sponsor.

The document sponsor first assesses the merits of the variation as a subject matter expert. The document sponsor may reject the variation at this stage or ask for more information. The document sponsor then assesses if the variation is worthwhile.

A variation is considered worthwhile if:

- It is value for money (or the impact is not significant).
- It results in improved quality.
- It results in greater effectiveness.

The basis of the decisions made and the specifics of each decision (with regards to worthiness and significance of the variations) are documented by the document sponsor.

Step 4: Evaluate preliminary business case and whether the change is significant

If the document sponsor approves a variation that is worthwhile (definition in Step 3) but not significant (definition in Step 5), then proceed with implementing the variation and go to Step 7 and Step 8 below.

If the document sponsor:

- assesses the variation as not worthwhile;
- agrees with the variation but considers it significant (see definition in Step 5);

or

- disagrees with the variation but the project manager, BU or VAT still wants to pursue it

then the project manager must develop a Full Business Case & Strategy and present it to the Highways Network Outcomes or Network Directions & Performance Business Unit Decision Making Team (NO/NDP BUDMT).

The basis of the decisions made and the specifics of each decision (with regards to worthiness and significance of the variations) in Step 4 are documented by the document sponsor.

Step 5: Evaluate full business case (NO/NDP BUDMT)

Evaluation of full business case by NO/NDP BUDMT.

A variation is considered major if:

- The financial impact arising from the variation > \$300,000 (provisionally)

A variation is considered significant if:

- The financial impact arising from the variation > \$20,000,000 (provisionally).
- There are significant operational implications such as:
 - Termination of existing, predetermined processes.
 - Impacts the relationship with other stakeholders.
 - Impacts levels of service for end users (customers).
 - New skill sets or training required as a result of the change.

The specifics of each decision (with regards to worthiness and significance of the variations) are documented in the minutes of meetings. To determine the basis of the decisions made, reference should be made to the meeting minutes.

If a full business case is approved by the NO/NDP BUDMT and is < \$20,000,000, then implement the variation and proceed to Step 7 and Step 8 below.

If a full business case is approved by the NO/NDP BUDMT and is > \$20,000,000, follow the Value Assurance Gate (VAG) process ([Project Management Manual](#) Clause 2.6) and the final approval of the variation should be escalated to Highways VAC.

If the variation is not approved, the project must comply with the state highway guideline. In some instances, the business unit may need to seek additional funding in order to comply.

Step 6: Evaluate full business case (VAC)

Evaluation of a full business case and strategy by the Value Assurance Committee (VAC).

If the Highways VAC gives approval, implement the variation and proceed to Step 7 and Step 8 below.

If the variation is not approved, the Business Unit must comply with the guideline. In some instances, the Business Unit may need to seek additional funding in order to comply.

Step 7: Document variation to the guideline

The project manager must document the full business case, strategy and variation approved by the VAC and pass to the Highways NO/NDP BUDMT.

Highways Network Outcomes or Network Directions & Performance Business

Unit will assess the variation for wider impact. If there is:

- no wider impact, then no further action is required from Highways Network Outcomes unit.
- a wider impact, then pass the variation to the document sponsor who must decide whether to change the underlying guideline using the following criteria:
 - Nature of the variation
 - Frequency of the variation
 - Cost-benefit of the variation

If the decision is made to change the underlying the guideline, then the process for the inclusion of new, or changes to, state highway standards, guidelines and reference documents is initiated using the [Document inclusion and change process](#) section.

Step 8: Evaluate benefits

The project manager shall conduct a post-implementation review to assess the realisation of expected benefits, confirm success, and pass on lessons learnt within 18 months of the variation's implementation. The results of the evaluation are to be provided to the NO/NDP BUDMT and to the document sponsor.

Figure 3: Process for variations of state highway guidelines

