
Register process manual for network standards & guidelines

Version 3.0
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Record of amendments

Amendment no.	Detail of amendment/s	Effective date	Updated by
1	<ul style="list-style-type: none">Amendments to Funding and inclusion of Local Status processes, delegations and document ownership	11/11/10	Bill Greenwood
2	<ul style="list-style-type: none">Amendment to Investment, Local and State Highway Status processes plus minor title and editorial changes	8/4/11	Bill Greenwood
3	<ul style="list-style-type: none">Re-write of definitions of State Highway Standard, State Highway Guidelines, Reference Documents, addition of Appendices 1 & 2	14/7/11	Bill Greenwood

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Register process manual

In this section This section contains the following topics:

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Manual management plan

Purpose

This process manual management plan details:

- how updates and amendments are made to this manual.
- who to contact.
- other information relevant to this manual and its distribution.

Document information

Manual name	Register process manual
Manual no.	TFM1A
Availability	This manual is located in electronic, PDF format on the NZTA website at: http://www.nzta.govt.nz/planning/managing-network/index.html
Manual sponsor	National Manager Investment, NZTA National Office
Manual manager	Principal Engineer National Programmes, NZTA National Office

Amendment and review strategy

- All suggested changes to this process manual should be sent to the manual manager, and will be acknowledged by him/her.
- Amendments to the manual will comply with this management plan and will be detailed in the [Record of amendments](#) section of this document.

	Comments	Frequency
Amendments (of a minor nature)	Minor updates to information in this manual will be incorporated after they have been approved by the manual sponsor.	As required.
Review (major changes)	Amendments fundamentally changing the content or structure of this manual will be incorporated after appropriate consultation by the manual sponsor and approval by the ratification group and Board or its delegate. This may require coordinating with the timetable for updating the <i>Network standards and guidelines register</i> .	Possibly 2 yearly
Notification	All users that have registered their interest by email to networkstandards@nzta.govt.nz will be advised by email of amendments and reviews.	Immediately.

Other information

There will be occasions, depending on the subject matter, when proposed amendments to this manual will need to be considered by the NZTA and the industry, before an amendment is approved. This may cause some variation to the above noted timeframes.

Distribution

Any amendments to this process manual management plan are to be sent to the register sponsor and register manager, so they can be included on the NZTA website.

Registered users will then be notified of the changes to this manual.

About this process manual

Purpose	The prime purpose of this process manual is to provide a fit-for-purpose process for managing 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 NZTA Investment and revenue policies. • Contribute to the NZTA’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.”
This manual and the Register of <i>network standards and guidelines</i>	This process manual, together with the <i>Register of network standards and guidelines</i> , replace 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>In this manual, for each of the three different types of document (ie standards, guidelines or other reference documents) the following is provided:</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 variations from the standard, guideline or reference document in those documents for particular projects. <p>The inclusion of new, or changes to, an existing documents in the <i>Register of network standards and guidelines</i> is 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 detail provided in the above manual management plan.</p> <p>Users of this manual may contact the manual manager with any suggested amendments at networkstandards@nzta.govt.nz</p>

Network standards

In this section

This section contains the following topics:

Topic	See Page
Investment standard: Definition, rules and variations	9
State highway standard: Definition, rules and variations	10
Local authority standard: Definition, rules and variations	11

Investment standard

Definition

An investment standard is documentation that is:

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

Example

- *Government Policy Statement*
- *Planning, programming and funding manual (NZTA August 2008).*

Rules

Government statute, regulation and policy must be complied with.

Investment standards developed or adopted by the NZTA 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, and
- be developed in consultation with Approved Organisations and others in the transport industry.

Inclusion of new and changes to document 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 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 NZTA has developed. If harm or damage results from the correct application of that standard, liability may consequently rest with the NZTA.

Where the NZTA 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.

State highway standard

Definition

Those things established by statute, regulation or industry-wide acceptance and related to dimensions, properties, procedures or characteristics which must be complied with. 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*
- *NZTA P17 Performance Based Specification for Bituminous Reseals*
- *State Highway Maintenance Contract Pro-forma Manual (SM032)*

Rules

All state highway standards **MUST** be clearly labeled 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 Network [Documents inclusion and change process](#) section and the *Process map for State highway document inclusion and change* included in Appendix 1.

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 1 *Process map 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 assist with trialing 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 advised 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 NZTA has developed. If harm or damage results from the correct application of that standard, liability may consequently rest with the NZTA.

Where the NZTA 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 1 *Process map 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 assist with trialing 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.

Local authority standard

Definition

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 given effect to.

Examples

- NA

Rules

All local authority standards **MUST** be clearly labeled as such.

A local authority standard must have a document sponsor and 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 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, and
- takes into account local circumstances or materials, and
- has minor significance beyond the organisation's activities, and
- 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 NZTA 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, and
 - the date of approval of variation or change by the organisation.
-

Network Guidelines

In this section This section contains the following topics:

Topic	See Page
Investment guideline: Definition, rules and variation process	16
State highway guideline: Definition, rules and variation process	17
Local authority guideline: Definition, rules and variation process	18

Investment guideline

Definition

A statement of good practice that, when given effect to, is acceptable to receiving funds from the National Land Transport Programme (NLTP) account.

Examples

- *Road safety audit procedures for projects (Transfund November 2004).*

Rules

An investment guideline developed or adopted by the NZTA will:

- always require the approval of the Board or its delegate,
- apply to all agencies receiving funds from the NLTP account, and
- be developed in consultation with controlling authorities and others in the transport industry.

Inclusion of new and changes to 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 variations applied as follows indicate this.

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 NZTA 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 NZTA 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.

State highway guideline

Definition

When improving, operating or maintaining the state highway network the use of guidelines is mandatory.

Guidelines become legally binding when invoked in contract documents.

Guidelines contain recommended good practice suitable for use on state highways as determined by NZTA Highway and Network Operations (Highways). Guidelines include specifications where these are instructions, frameworks, processes, pro-formas, or procedures where variations are permitted in accordance with the sections below.

Examples

- State Highway Geometric Design Manual
- *Planning practice guidelines 2002.*
- *Project management manual version 2.*
- *Notes for specification for earthworks construction.*

Rules

All state highway guidelines MUST be clearly labeled as such in the *Register of network standards and guidelines*.

All state highway guidelines must have a sponsor and an owner listed in the *Register of network standards and guidelines*. 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 1 *Process map 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

Where the need has been identified for a new state highway guideline the document owner is responsible for following the process in Appendix 1.

The person or committee requesting the new guideline is responsible for working with the document owner to develop the proposal and where appropriate assist with trialing 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.

Changed Guidelines

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 1 *Process map for state highway document inclusion and change*.

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 assist with trialing 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 2 *Process map for variations to state highway documents* shall be followed.

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.

Local authority guideline

Definition

A document approved by the ratification group and established by industry-wide acceptance as providing recommended good practice.

Examples

- *Code of practice for temporary traffic management Low volume road supplement (RCA Forum October 2008)*

Rules

All local authority guidelines MUST be clearly labeled 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 on pages 19 to 22. 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 NZTA 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 NZTA Regional Advisor is encouraged, to ensure the guideline continues to reflect best practice.

Reference documents

In this section This section contains the following topic:

Topic	See Page
Other network reference documents: Definition, rules and variation process	20

Reference documents

Definition	<p>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, and may be used to inform best practice.</p> <p>Documents covering regional or local issues, drafts under development or out of print, superseded or archived (but still relevant).</p>
Examples	<ul style="list-style-type: none"> • <i>Standard conditions of contract for building and civil engineering construction NZS 3910.1998</i> • <i>Air Quality Web-based Training Modules</i>
Rules	<p>All reference documents MUST be clearly labeled as such.</p> <p>Any reference documents must be considered and, if appropriate, approved for inclusion in the register by a document sponsor.</p> <p>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. PS/NP BUDMT or VAT) and some may have a steering group.</p> <p>When considering the use of a reference document:</p> <ul style="list-style-type: none"> • 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 NZTA Regional Advisor, or relevant governance group (if State highway document) and identify the extent of the lack of appropriate coverage. • The NZTA Regional Advisor, or governance group may consult with appropriate NZTA 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 an other reference document.
New Reference Documents	<p>Inclusion of 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</p>
Changed Reference Documents	<p>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.</p>
Variations	<p>Reference documents are generally used to inform a decision and therefore any variations are usually context or contract specific.</p> <p>It is expected that users of reference documents apply judgment and follow a quality process in decision making and that this is documented and applied.</p>

Network document inclusion and change process

In this section This section contains the following topic:

Topic	See Page
Network document inclusion or change process details	22
Rules	22
Document inclusion and change process diagram Figure 1	23
Document attributes required to be considered by the Ratification Group	24

Network document inclusion or change process details

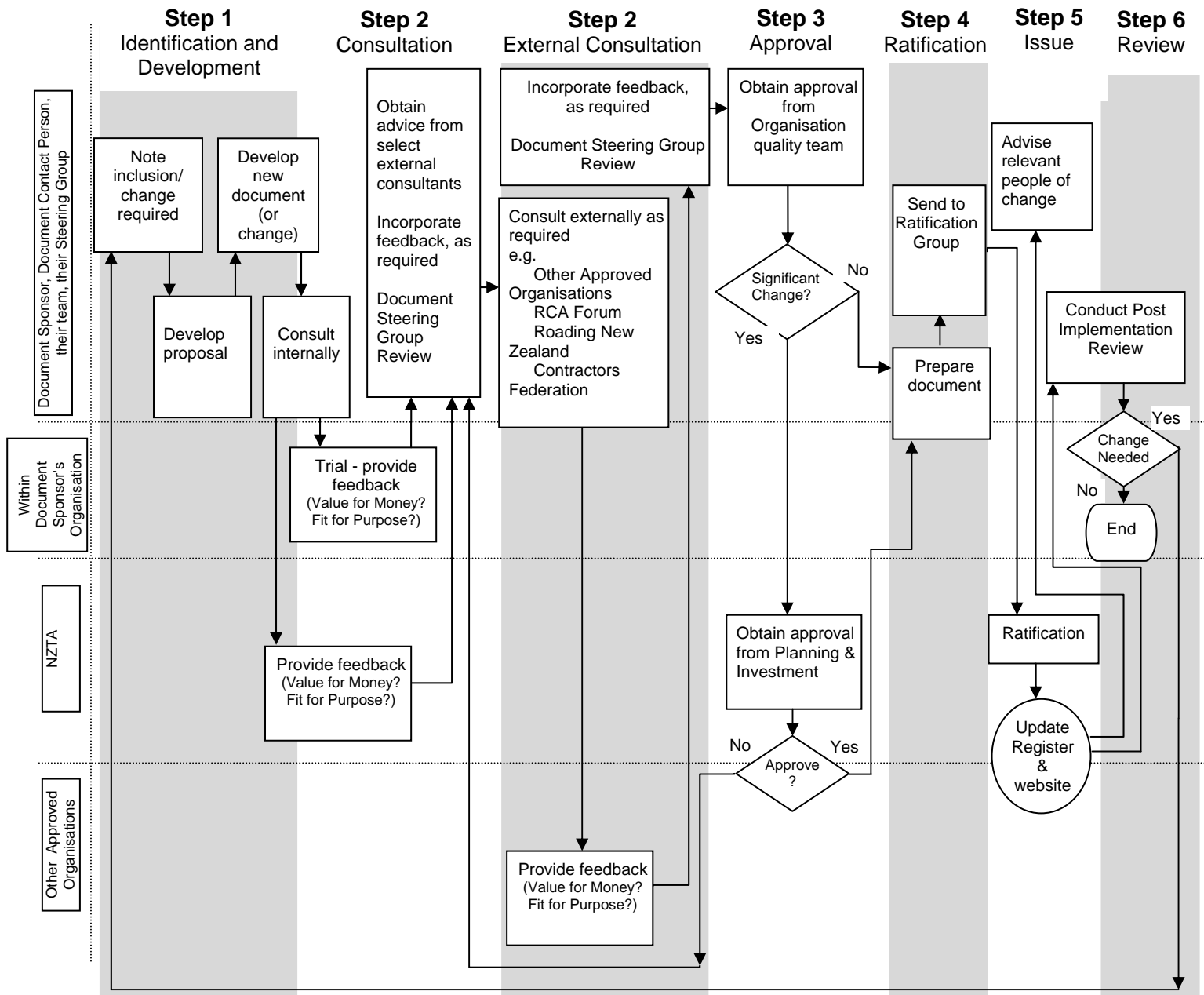
Purpose	To provide a continuous improvement process for controlling the inclusion of, or changes to, network documents in the <i>Register of network standards and guidelines</i> . The process covers all document types and utilise inputs from the NZTA and transport industry stakeholders (refer to the Process diagram Figure 1).
Examples	<ul style="list-style-type: none"> • <i>Guidelines for developing and implementing a safety management system for road controlling authorities Part 3-1 (LTNZ November 2005).</i>
Rules	<p>A network document must not be listed in the Register unless it has been subject to the following inclusion or change processes.</p> <p>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.</p> <p>1/ Minor changes to existing documents in the register</p> <ul style="list-style-type: none"> • 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 NZTA Investment and revenue policies. If it has merit then manage the document through the network document inclusion and change process. <p>Documents may also have a local authority status (as either 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 web-site www.rcaforum.org.nz</p> <p>2/ Inclusion of new and major changes to existing documents in the register</p> <p>This process applies to:</p> <ul style="list-style-type: none"> • 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. <p>A Document contact person proposing these documents for the Register should provide:</p> <ul style="list-style-type: none"> • 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, and • 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 1). • A statement that the National Manager Investment is satisfied that the proposed changed or new document represents value for money and is aligned with NZTA investment and revenue policies. <p>A recommended Investment and State Highway Status.</p>

Continued on next page

Rules continued

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

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



Network document inclusion and change process details, Continued

Document attributes	<p>Before a document can be considered for inclusion in the Register, as a minimum, the following information should be provided to the ratification group:</p> <ul style="list-style-type: none"> • Category: 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 [& traffic management] etc). • Sub-category: searchable key words which provide a brief description of the document scope. • Full title: as it appears on the document cover. • Reference number: the author's or publisher's if it exists or ISBN number. • Version: including details of previous versions and amendments. • Document type: whether the document is either a standard, guideline or other reference document. • Status: whether the document has "investment", "State highway" or "local" status. • Document format: 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 (and dates of amendments). • Author: name/s of the person/s who compiled or approved the document (if known). • Publisher: document publisher or current owner (eg the NZTA, Austroads). • Document sponsor. • Document contact person. • Proposed review date.
Issue	<p>Following ratification the Register Sponsor to update the register and forward Document Attributes form to Website Management Team for loading onto website along with:</p> <ul style="list-style-type: none"> • approved document • updated index (if required) • changes document (if required) • re-categories the previous version of a network technical document to Other network reference documents and/or archive were appropriate.
Review	<p>9 to 18 months after issue, document sponsor to initiate post-implementation review of inclusion/change, for effectiveness and value for money.</p>

Terminology used in Register and process manual

In this section This section contains the following topics:

Topic	See Page
Definitions	24
Abbreviations	26

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	An NZTA 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	An NZTA person who assists the document sponsor with 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 a investment, State highway and/or local authority guideline, refer to the Investment , 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 NZTA National Manager Investment (in the Regional Partnerships and Programmes group) is responsible for release and update of this manual.
Process manual manager	The NZTA person responsible (delegated by the manual sponsor) for managing this manual. Responsibilities are detailed in the Process manual management plan .
Network	A land transport system (including water and rail) which includes the planning, design, investing in and provision of services and facilities that enable public access, between an origin and destination, for people and goods.
Network technical document	A generic term for network standards, guidelines and other reference documents referenced in the Register.

Continued on next page

Definitions, Continued

Term	Definition
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, and • a maintenance manager. <p>The group may also include an NZTA Programme Advisor.</p> <p>The Value Adding Team (VAT) and Highways Value Assurance Committee (VAC) have this role for State highways within NZTA Highway Network Operations.</p>
Other reference document	<p>For a definition of an other reference document, refer to the Other reference documents section.</p>
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 the RCA Forum Research and Guidelines Convenor and at least two of the following NZTA personal (or their nominated representatives):</p> <ul style="list-style-type: none"> • National Manager Investment (Convenor) • National Manager Planning • Information Manager • National Manager Professional Services (Highways).
Register	<p>The <i>Register of network standards and guidelines</i> which contains a list of all land transport network documents.</p>
Register sponsor	<p>The NZTA Information Manager (in the Organisational Support group).</p>
Register manager	<p>The NZTA 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>.</p>
Standard	<p>For a definition of a investment, State highway and/or local authority standard, refer to the Investment standard, State highway standard and/or Local authority standard sections.</p>
Value for money	<p>The concepts detailed in the NZTA Planning, Programming and Funding Manual which describes processes for investment from the National Land Transport Fund.</p>

Abbreviations

Introduction

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

Abbreviation	Definition
ACENZ	Association of Consulting Engineers NZ
ARRB	ARRB Group Ltd
AS	Australian Standards
ITS	Intelligent Transport Systems
LTNZ	Land Transport NZ (now the NZTA)
LTSA	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 NZTA)
ORD	Other reference document
PADS	Property Acquisitions Disposals
PROMAN	NZTA Project and Programme Management system
RCA	Road Controlling Authority
RRU	Road Research Unit (now the NZTA)
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 NZTA)
TNZ	Transit New Zealand (now the NZTA)
UTC	Urban Transport Council

Appendix 1

Document Owners: Process map for State highway document inclusion and change

Purpose

This process map (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. May be driven by:

- Legislative change.
- Internal sources, e.g. from within Highways & Network Operations.
- External sources e.g. Austroads, Roadng NZ.
- Evaluation of Document Sponsor e.g. 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 "is there anyone else we must consult with?"

Consult internally. 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.

Step 2 consultation, continued

Incorporate feedback, as required.

Consult externally, as required. 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)
- Professional Services or Network Performance Business Unit Decision Making Team (PS/NP BUDMT)
The request for approval should be escalated to PS/NP 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 Professional Services or Network Performance Business Unit Decision Making Team (PS/NP BUDMT).

The approval of the inclusion/change should be escalated to PS/NP BUDMT if:

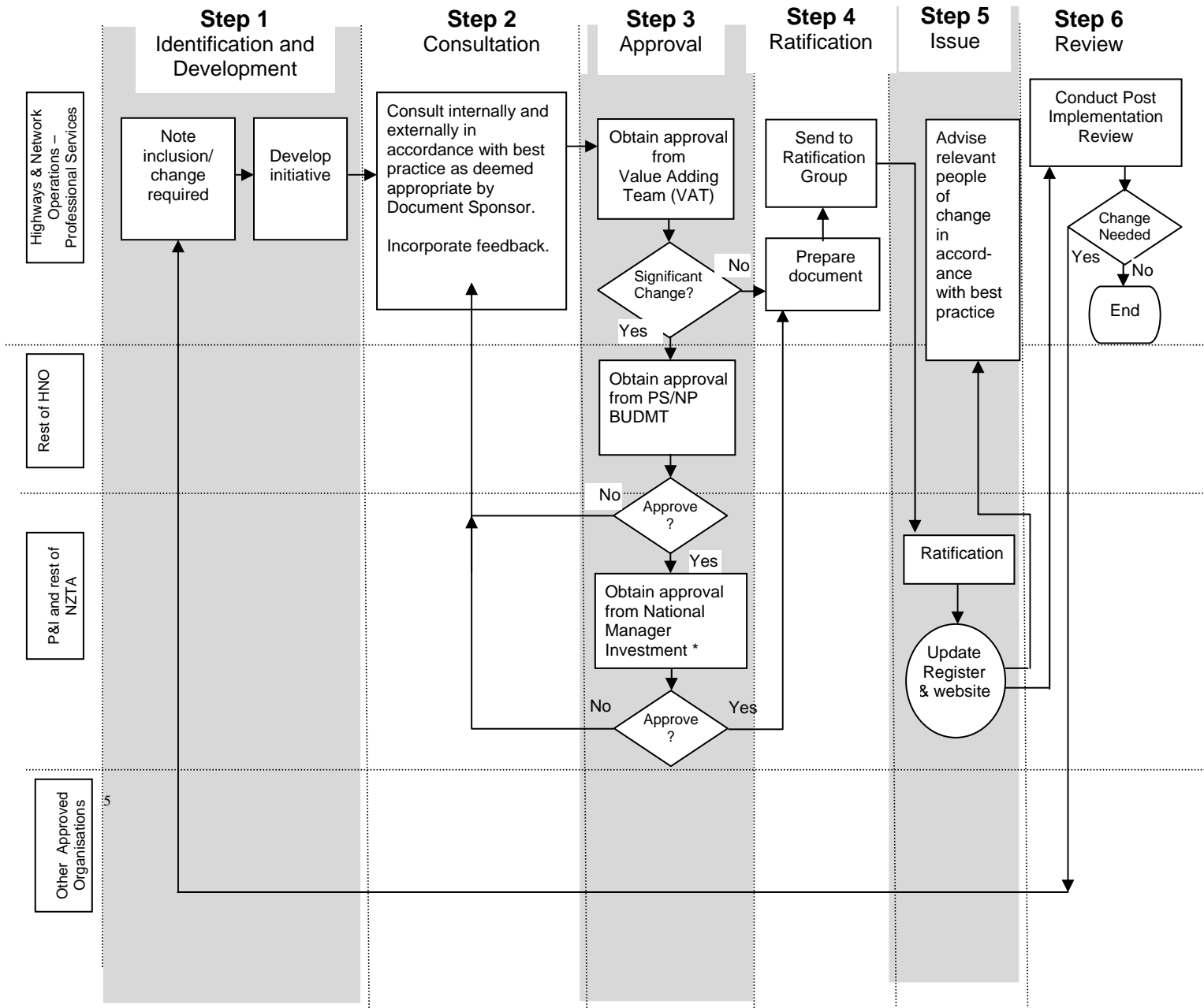
- The financial impact arising from the change is significant.
- There are significant operational implications such as:
 - Termination of existing predetermined processes.
 - Impacts the relationship with other stakeholders.
 - Impacts levels of service for end users (customers).
 - New skill sets or 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 minutes of meetings.

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 NZTA investment and revenue policies.
Step 4 Ratification	To obtain ratification for the inclusion/change and update the <i>Register of network standards and guidelines</i> , the document sponsor shall follow the steps in the Document inclusion and change process section.
Step 5 Issue (admin)	<p>Pass Highways and Planning & Investment approved version of new (or changed) State highway standard, guideline or reference document to Technical Administrator, Highways and Network Operations, National Office.</p> <p>Technical Administrator to:</p> <ul style="list-style-type: none"> • Load approved version of State highway standard, guideline or reference document into Document Management (DM). • Format to approved NZTA branding. • Transition from Draft to Review in DM. • Update relevant index (e.g. Specifications Index or Technical Memorandum Index) if required. • Update relevant register (e.g. Specifications Master Register or Manuals Master Register in DM) if required. <p>Document contact person to:</p> <ul style="list-style-type: none"> • Transition from Review to “Ready for Approval” in DM • Write covering e-mail • Write “Changes” document, if required (to accompany updated State highway standard or guideline) • Write covering memo for ratification <p>Document sponsor to:</p> <ul style="list-style-type: none"> • Transition to “Approved” in DM <p>Technical Administrator to:</p> <ul style="list-style-type: none"> • Complete Document Attributes form.
Step 5 Issue (advice)	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 Check List”.
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 map for State highway document inclusion or change (major or significant)



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

Appendix 2

Document users: Process map for variations to State highway guidelines

Purpose	This process map (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	<p>Identify need for variation. May be identified at various points in a project, for example:</p> <ul style="list-style-type: none"> • At the beginning of a project i.e. as part of a project feasibility report (PFR). • In the early stages of a project e.g. as part of Investigation & Reporting (I&R). • During a project e.g. as part of design and construction (D&C). <p>The need for a variation may also be initiated by a Business Unit (BU) or by a Value Adding Team (VAT)</p> <p>Following identification, a project manager or committee nominee shall apply for approval of a variation using the following process.</p>
Step 2 Business case (preliminary)	<p>Develop preliminary business case⁶ including cost benefit analysis of the variations.</p> <p>The Economic Evaluation Manual provides the conceptual framework including the importance of cost and benefits. The Planning, Programming & Funding Manual provides the rules and guidelines that support planning, programming and funding.</p> <p>The Economic Evaluation Manual and the Planning, Programming & Funding Manual can be found in the New Zealand Transport Agency (NZTA) website.</p>

⁶ This is a provisional requirement: the meaning of “business case” needs more development.

Step 3 Evaluate preliminary business case – Worthwhile?

Evaluation of Preliminary Business Case by document sponsor.

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 – Significant?

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

If the document sponsor:

- assesses the variation as not worthwhile
- if they agree but consider the variation significant (see definition in Step 5),
- disagrees with the variation but the project manager, BU or VAT still wants to pursue it

Then the project manager develops a Full Business Case & Strategy⁷ and presents to the Highways Professional Services or Network Performance Business Unit Decision Making Team (PS/NP 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.

⁷ the meaning of “Full Business Case & Strategy” needs more development.

Step 5 Evaluate full business case (PS/NP BUDMT)

Evaluation of full business case by PS/NP 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 minutes of meetings.

If a full Business Case is approved by the PS/NP BUDMT and is < \$20,000,000 then proceed, implement the variation and proceed to Step 7 and Step 8 below.

If a full Business Case is approved by the PS/NP 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 & Strategy by Value Assurance Committee (VAC).

If the Highways VAC gives approval then proceed, 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

Project manager shall fully document the full Business Case, Strategy and variation approved by the VAC and pass to the Highways PS/NP BUDMT.

Highways Professional Services or Network Performance Business Unit to:

- Assess the variation for wider impact
- If no wider impact, no further action from Highways Professional Services Unit
- If wider impact, pass to document sponsor who considers whether to change the underlying guideline using the following criteria:

The decision to change the underlying guideline is dependent on:

- Nature of the variation
- Frequency of the variation
- Cost-benefit of the variation

The decision is to be made by the document sponsor.

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 realization of expected benefits within 18 months of implementation of the variation. The results of the evaluation are to be provided to the PS/NP BUDMT and to the document sponsor. Confirm success/lessons learnt.

Figure 3: Process map for Variations of Existing Guidelines for Roads

