

# Transport Services project management guide (SM011)

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#### Waka Kotahi NZ Transport Agency

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# Introduction

This *Transport Services project management guide* (SM011) is an activity-based guide designed around the Waka Kotahi NZ Transport Agency infrastructure project lifecycle, for use by Transport Services project managers.

This guide will ensure there is consistency in the Transport Services approach to the project management of infrastructure projects. It provides accurate and reliable information that incorporates current guidelines, frameworks and standards, and aligns with the *Waka Kotahi project control framework*.

Following the activities outlined in this guide will enable successful delivery of capital projects that meet objectives and statutory requirements, within budget, on programme and to the required quality and standards.

This guide focuses on the specific requirements for Transport Services infrastructure projects, and assumes an understanding of general project management and project management processes. For more general information about project management consult the Waka Kotahi Enterprise Portfolio Management Office (EPMO): [epmo@nzta.govt.nz](mailto:epmo@nzta.govt.nz)

For more detail on project management and project management processes, you can also refer to the [Austroads Guide to Project Delivery](#).

# How to use this guide

The guide is set out by project lifecycle phase, and outlines the required activities for each phase, providing links to the relevant templates, standards, frameworks and guidelines. It is presented in a table format to be used as a quick reference guide, allowing you to easily find the tasks required for the project phase you are in.

## Project lifecycle flowchart

The project lifecycle flowchart shows the entire project management process, from point of entry start-up to post-implementation. The flowchart is interactive – you can click on the phases to navigate to the relevant sections of this guide.

## Structure of this guide

The project lifecycle has six phases, and these phases are then broken down into sections. Each section contains:

- a brief introduction
- a table showing:
  - what activities need to be completed in this part of the phase
  - roles and responsibilities for each activity
  - additional information, including links to templates
- links to further useful information:

- **Relevant standards, legislation and manuals** formal documentation that relate to these activities
- **Helpful tools and resources** guidance, tools and other relevant information
- **Sections of this guide** are not sequential; they are where applicable to be read in parallel
- **Who can help you?** which roles and teams can provide advice and assistance with these activities.

## Roles and responsibilities

In the context of this guide:

- **accountable** means the role that ensures an activity is completed
- **responsible** means the role that actually completes the activity.

For more detail about specific roles, see the section on [key roles](#).

## Links to documents

The guide includes hyperlinks to useful documents so you can find them straight away. If you click the hyperlink you will be taken to the linked document.

*Example:* [Contract procedures manual \(SM021\)](#)

Most of these documents are available on the web. Where a link includes (OnRamp) or (InfoHub), this means they are on the Waka Kotahi intranet or document management system, and may only be accessed by Waka Kotahi staff. If you don't have access to something you need, you will need to get in touch with your Waka Kotahi contact.

*Example:* [Stakeholder engagement template \(InfoHub\)](#)  
[Engaging with Māori \(OnRamp\)](#)

If the link is to a file that will automatically download, the link will be followed by the file type and size.

*Example:* [Request for approval to commence procurement process form \[dotx, 175KB\]](#)

## Further information

For further guidance or information about this *Transport Services project management guide* (SM011), or to provide feedback, contact the Transport Services Project Management Process team:  
[projectmanagementprocess@nzta.govt.nz](mailto:projectmanagementprocess@nzta.govt.nz)

More general project management information can be found on the Enterprise Portfolio Management Office (EPMO) page on OnRamp.

[Enterprise Portfolio Management Office \(OnRamp\)](#)

# Key roles

Each activity is assigned to roles, so it is clear who is accountable and responsible for tasks. Most of these roles will be an individual person, while others are a team.

Role	Description	Role	Description
<b>Project Sponsor</b>	Internal champion for the programme or project, who assures ongoing alignment with Waka Kotahi strategy and project outcomes.	<b>Procurement Manager</b>	Responsible for review and approval of procurement planning and implementation, including delivery model selection and procurement process.
<b>Project Director</b>	Ensures major and large programmes or projects are successfully delivered, providing the intended benefits and outcomes across the full lifecycle of the project. Project directors are utilised where a project is assessed as critical, and it may require multiple project managers.	<b>Transport Property Lead</b>	Responsible for all property elements of the project.
<b>Project Manager</b>	Responsible for daily management of the project team, ensuring that all workstreams are supported and integrated to deliver the project successfully across the full lifecycle of the project.	<b>Consenting Lead</b>	Ensures an appropriate consenting strategy is set and implemented, and consenting requirements are closed out or handed over on completion of the project.
<b>Design Lead</b>	Guides the business case and design processes, ensuring that an overall system design perspective and approach is applied to enable the benefits and outcomes to be achieved.	<b>Communications and Engagement Lead</b>	Ensures consistent external messaging across the project, programme, corridor and region.
<b>Construction Lead</b>	Manages the detailed design process, ensuring constructability, and manages the physical works. Ensures the project is constructed on time, within budget and to the agreed scope.	<b>Maintenance and Operations (M&amp;O) team</b>	Responsible for ongoing maintenance and operations of the asset on completion. Provides input throughout the lifecycle (for example on maintenance and safety in design). Takes over the asset on completion of the project.
		<b>Tenders Secretary</b>	Assists in administration of the tender process.
		<b>Consultant</b>	External party who provides specialist services.
		<b>Project Controls Team</b>	Manages the capture of all relevant project data, ensuring quality, consistency is maintained. Coordinates project (and governance) activities, meeting acts as the key point of contact to the project.



# Acronyms

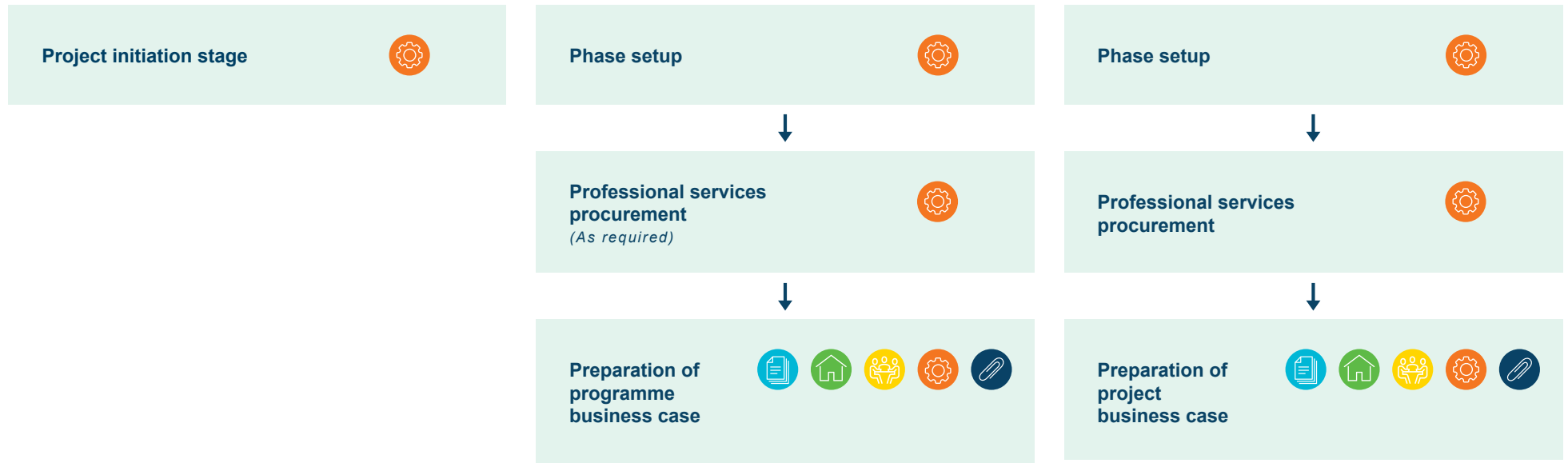
Acronym	Definition
<b>DBC</b>	Detailed business case.
<b>EPMO</b>	Enterprise Portfolio Management Office.
<b>IBC</b>	Indicative business case.
<b>LTO</b>	Licence to occupy.
<b>MSQA</b>	Management, surveillance and quality assurance.
<b>NLTP</b>	National Land Transport Programme.
<b>NoR</b>	Notice of requirement.
<b>NZUP</b>	New Zealand Upgrade Programme.
<b>PACE</b>	Performance assessment by coordinated evaluation – the performance evaluation system used by Waka Kotahi to assess contracts.

Acronym	Definition
<b>PoE</b>	Point of entry.
<b>QMP</b>	Quality management plan.
<b>RAMM</b>	Road assessment and maintenance management.
<b>RFT</b>	Request for tender.
<b>RLTP</b>	Regional land transport programme.
<b>SAP PPM</b>	The portfolio and project management module in the Waka Kotahi finance system.
<b>SME</b>	Subject matter expert.
<b>SSBC</b>	Single-stage business case.
<b>TIO</b>	Transport Investment Online.

For a full list of acronyms see [Acronyms and abbreviations used in Waka Kotahi \(InfoHub\)](#).

# Project lifecycle workflow

The project lifecycle flowchart shows the entire project management process, from point of entry to post-implementation. The flowchart is interactive – you can click on the phases to navigate to the relevant sections of this guide.



## KEY




Consenting



Engagement



Contract admin

 Task/activity undertaken by PM

 Task undertaken by others but with PM/Waka Kotahi feeding in



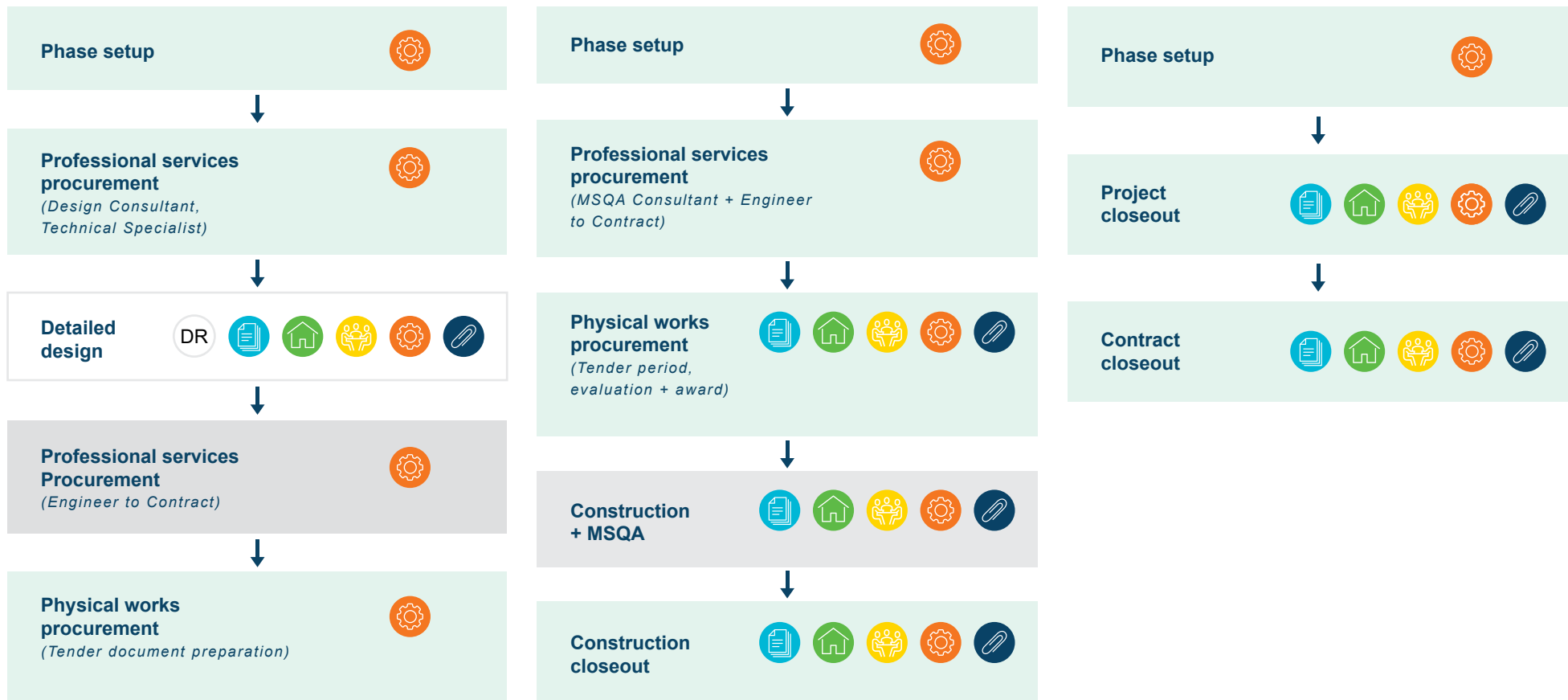
Transport property



Project management



DR Design review



**KEY**



Consenting



Engagement



Contract admin

Task/activity undertaken by PM

Task undertaken by others but with PM/Waka Kotahi feeding in



Transport property



Project management



Design review

# 1. Point of entry

## Phase introduction

The point of entry phase is the period where the project is scoped and started, resources are allocated, and project controls are put in place. The scope, strategic context, objectives and risks are defined, the business case approach is applied to the project. This is the best place to start the business case phase.

By the end of this phase the Project Manager will have an approved record of the point of entry and funding to move into the business case or alternate agreed phases.

It is expected that work on a point of entry will only start with the agreement of the relevant leadership team. Successful delivery requires organisational commitments and sufficient resources to deliver in a timely way.



Project initiation stage



### KEY



Consenting



Transport property



Engagement



Project management



Contract admin



Design review



Task/activity undertaken by PM



Task undertaken by others but with PM/Waka Kotahi feeding in

# 1.1 Project initiation stage

The point of entry phase is where the known scope, strategic context, objectives and risks are defined, and evidence is compiled around the investment proposal.

Activities	Accountable	Responsible	Detail
Project Sponsor is assigned to a project or programme.	National Manager	Regional Manager	The Project Sponsor needs to have the right level of experience for the scale of the project and time to commit to the role.
A Project Manager is assigned to the project or programme.	Regional Manager	Resourcing Manager	
Handover discussion or email from the Resourcing Manager and/or Regional Manager to the Project PoE and Design Lead.	Resourcing Manager	Resourcing Manager and Project Manager	The portfolio plan should include project background, context, knowns and unknowns.  Some projects may already have a completed and endorsed PoE, while others will require completion.
Put in place a resourcing plan. Confirm availability, capability and capacity of resources. Confirm Project Sponsor is available and is the right level of experience for the scale of project. Confirm key end-to-end project members (they should be named and available).	Project Sponsor	Project Manager	<a href="#">Document Overview: DPE - Project Management - roles.pptx (nzta.govt.nz)</a>
Engage with Investment Advisor to understand and confirm funding requirements and ensure appropriate pathways, for example investment quality assurance (IQA), delegations etc. A PoE conversation to be undertaken.	Project Manager	Project Manager	Contact Advisors from the Business Case Process team: <a href="mailto:businesscaseprocess@nzta.govt.nz">businesscaseprocess@nzta.govt.nz</a>  PoE document undertaken to reflect this conversation and agreement.

Activities	Accountable	Responsible	Detail
Prepare high-level schedule, including key milestones.	Project Manager	Project Manager and Project Controls	
Prepare a record of point of entry document.	Design Lead	Design Lead with support from Regional Manager	<p>Develop PoE in collaboration with Investment Advisor from the Business Case Process team: <a href="mailto:businesscaseprocess@nzta.govt.nz">businesscaseprocess@nzta.govt.nz</a></p> <p>If a Project Manager is onboard, they should input into the PoE while concurrently developing the project management plan.</p> <p><a href="#">Record of point of entry template [docx, 51KB]</a></p>
<p>Project Manager initiates project management plan and checks the following items have been completed prior to the funding request process:</p> <ul style="list-style-type: none"> <li>• governance structure confirmed</li> <li>• complexity model completed</li> <li>• project is set up in TIO</li> <li>• project is in the NLTP or other funding stream/programme</li> <li>• funding in TIO is in line with NLTP or other funding stream forecast</li> <li>• a memorandum of understanding is in place with local and/or effected iwi partners</li> <li>• parameters and status are confirmed in portfolio plan.</li> </ul>	Project Sponsor	Project Manager	<a href="#">Project management plan template (InfoHub)</a>
Review available documentation to understand scope, strategic context, objectives and risks.	Project Manager	Project Manager and Design Lead	Ensure all relevant context and risks are understood. Engage with regional managers, local government partnership, system leadership or others as relevant to project. Identify any gaps in available information. Include critical dependencies.

Activities	Accountable	Responsible	Detail
Set up project controls, including Planview, finance, SAP WBS codes, document structure etc.	Project Manager	Project Manager and Project Controls	
Hold a meeting with the Project Sponsor and wider project team to agree roles and responsibilities. Put a plan in place to agree common purpose, shared goals, agreed behaviours and a project charter.	Project Sponsor	Project Manager	
Get the request signed by the Project Sponsor.	Project Manager	Project Manager	<a href="#">VOS OnRamp page</a> for request, process and submission details.
Ensure that you have all the information and resourcing required to move into the next phase.	Project Manager	Project Manager	Including market capacity.
Prepare procurement plan.	Project Manager	Design Lead	Request latest template from the Procurement team: <a href="mailto:procurement@nzta.govt.nz">procurement@nzta.govt.nz</a>  The procurement plan should be prepared in line with the <i>Procurement manual</i> .

Activities	Accountable	Responsible	Detail
Prepare high-level schedule, including key milestones.	Project Manager	Project Manager and Project Controls	
Submit the record of point of entry for endorsement and approval by the VOS Committee.	Project Manager	Project Manager	<a href="#">Document Overview: Record of Point of Entry for SSBC 24-27 RtZ System Management March 2023.docx (nzta.govt.nz)</a>
Check in TIO to see that funding is correct for the next phase of the project.	Project Manager	Project Manager	Ensure programme and subsequent project information is correct.

## Helpful tools and resources

- [Quick reference guide: project status reporting & Planview reporting \(InfoHub\)](#)
- [SAP Portfolio and Project Management guidance \(InfoHub folder\)](#)
- [Planview information, including project set-up form \(OnRamp\)](#)
- [Business Case Approach guidance](#)
- [Arataki](#)
- [Transport Services Portfolio Plan & Portfolio Plan Dashboard \(OnRamp\)](#)
- [NLTP project naming guideline \(infoHub\)](#)
- [VOS OnRamp page](#)
- [Document Overview: DPE - End to End Project Management - roles.pptx \(nzta.govt.nz\)](#)
- [Transport infrastructure projects – Systems Requirements \(nzta.govt.nz\)](#)

## Who can help you?

- For advice about the business case process, contact the Business Case Process team: [businesscaseprocess@nzta.govt.nz](mailto:businesscaseprocess@nzta.govt.nz)



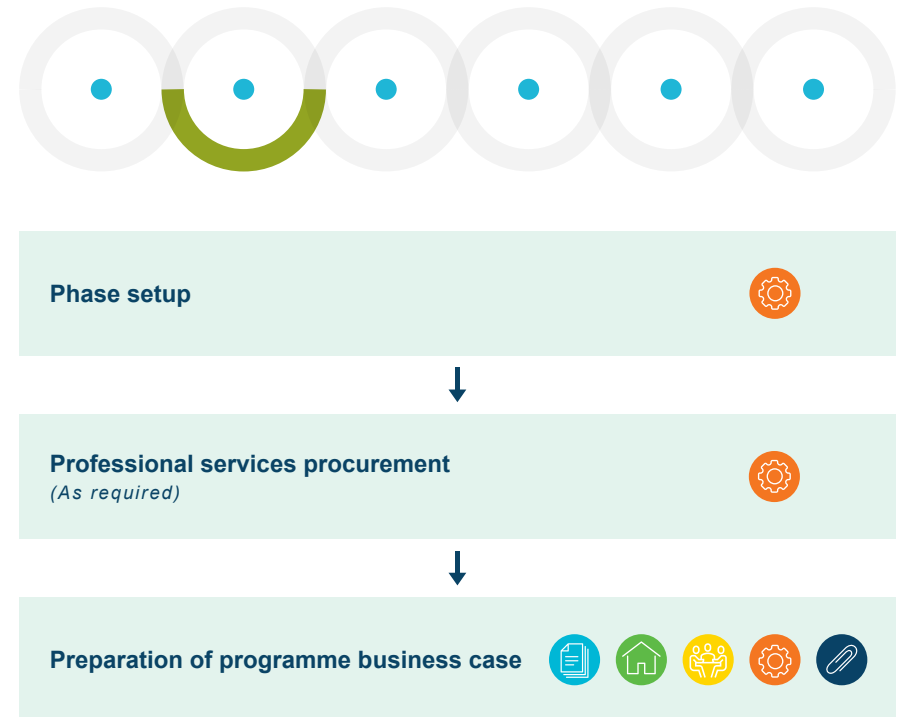
## 2. Programme business case

### Phase introduction

Through the programme business case phase the project team tests and refines the system or area-wide strategic case. They gather evidence and investigate a mix of alternatives and options to address the strategic case. This provides an in-depth understanding of the problems, opportunities and constraints relating to the programme of works and how we can achieve transport outcomes utilising multiple levers and combinations of activities. By the end of this phase the Project Manager will have a programme of options that address the objectives identified in the strategic case and can be taken forward into the project business case(s).

### KEY

-  Consenting
  -  Transport property
  -  Engagement
  -  Project management
  -  Contract admin
  -  Design review
-  Task/activity undertaken by PM
  -  Task undertaken by others but with PM/Waka Kotahi feeding in



## 2.1 Phase setup

Phase setup activities ensure that the required funding and approvals are in place ready to start the programme business case phase of the project.

Activities	Accountable	Responsible	Detail
Review the record of the point of entry and minutes from the VOS committee meeting where the record was approved.	Project Manager	Project Manager	This is to ensure understanding of agreed objectives, pathway, scope, assumptions and parameters and any conditions that may exist. Departures from the endorsed parameters will need to be agreed.
Check funding allocations in TIO are correct.	Project Manager	Project Manager	Confirm funding, as identified in the PoE approval, is allocated in TIO.  Ensure Treasury Gateway review requirements are also triggered, where relevant.
Set up programme in SAP PPM.	Project Manager	Project Manager	Ensure understanding of budget, on-charge costs and other allocations, and ensure allocations are distributed as expected.

Activities	Accountable	Responsible	Detail
Review and update the project management plan.	Project Manager	Project Manager	<p>A project management plan will most likely have been initiated during the PoE process. In this case the Project Manager should review the plan to ensure that it is still relevant and accurate for the programme business case phase.</p> <p>Liaise with internal SMEs and project resources to confirm support for the project management plan.</p> <p>If a project management plan was not previously completed, create one using the template.</p> <p><a href="#">Project management plan template (InfoHub).</a></p>
Set up programme business case as a project in Planview.	Project Manager	Project Manager	
Prepare schedule for programme business case.	Project Manager	Project Manager	<p>Prepare a schedule/programme for the programme business case to ensure that procurement (if required), works and approvals are completed within the required timeframes and funding period.</p> <p>Ensure sufficient timeframes for assurance, decision gates, external liaison etc are included.</p>
Review relevant strategic documents such as the network operating plan, local, regional and/or national policy plans etc.	Project Manager	Project Manager, Design Lead and M&O team	Review relevant strategic documents and ensure that they are considered when undertaking the programme business case.

## Helpful tools and resources

- [Planning and investment on the Waka Kotahi website](#)
- [Treasury Gateway reviews](#)
- [NLTP project naming guideline \(infoHub\)](#)

## 2.2 Professional services procurement

Professional services procurement activities ensure that consultants with suitable skills and experience level are engaged to undertake services required for the preparation of the programme business case.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Complete a request for approval to commence procurement process (SM021 appendix 1).	Project Manager	Project Manager	<p><a href="#">Request for approval to commence procurement process form [dotx, 175KB]</a></p> <p>Ensure appropriate delegations are followed in approval.</p>
Prepare and gain approval of procurement plan.	Project Manager	Design Lead with input from Procurement Manager	<p>Request the latest template from the Procurement team: <a href="mailto:procurement@nzta.govt.nz">procurement@nzta.govt.nz</a></p> <p>Your procurement plan should be prepared in line with the <i>Procurement manual</i>.</p> <p>The procurement plan should be right-sized to the individual project and take into account endorsed PoE regarding parameters constraints and risks.</p> <p>The available supplier selection methods (including when they can be used, and the evaluation procedure) can be found in appendix C of the <i>Procurement manual</i>.</p> <p>The maximum dollar values for direct appointment and closed contest procurement can be found in section 10.9 of the <i>Procurement manual</i>.</p> <p>Depending on level of risk and complexity, engagement with the Commercial team may be beneficial.</p>

Activities	Accountable	Responsible	Detail
Obtain contract number from the Tenders Secretary.	Project Manager	Tenders Secretary and Project Manager	Email your regional Tenders Secretary to be allocated a contract number, or obtain via the Teams channel.
Form a tender evaluation team (TET) if required.	Project Manager	Project Manager	This is usually completed under advice from your Procurement Manager.
Prepare procurement documentation.	Project Manager	Design Lead and Project Manager	<p>This should be undertaken in line with the <i>Contract procedures manual</i> (SM021) and <i>Procurement manual</i>.</p> <p>Depending on the supplier selection method chosen, this could include preparation of full tender documentation for open tender, invitation to tender for closed contest or preparation of a scope of works for direct appointment.</p> <p>If preparing open tender documentation, request the latest templates from the procurement team: <a href="mailto:procurement@nzta.govt.nz">procurement@nzta.govt.nz</a></p> <p>Depending on level of risk and complexity, engagement with the Commercial team may be beneficial</p>
Internal review of tender documentation.	Project Manager	Project Director, Procurement team and Project Sponsor	All tender documentation must be reviewed and approved prior to going out to market.
Advertise tender or send out scope of works for direct appointment.	Project Manager	Tenders Secretary or Project Manager	

Activities	Accountable	Responsible	Detail
Evaluate tenders or offers received.	Project Manager	Design Lead or TET with assistance from the Procurement team	<p>Follow the process set out in the <i>Contract procedures manual</i> (SM021) and <i>Procurement manual</i>, and outlined in the RFT documentation (where relevant).</p> <p>Form tender evaluation team (TET) and undertake assessment, following the process set out in SM021.</p> <p>Ensure all evaluation notes and reports are filed appropriately.</p> <p>Commercial team may be involved to help resolve any commercial tender tags or queries.</p>
Hold pre-award/pre-letting meeting (if required).	Project Manager	Project Manager and Design Lead	Meeting to close out any tender tags and clarifications prior to awarding the contract. Ensure meeting is minuted, minutes distributed to all attendees and included in the final contract documentation.
Award professional services contract.	Project Manager	Design Lead with assistance from the Procurement team and Tenders Secretary	<p>This step should be completed as set out in the <i>Contract procedures manual</i> (SM021), the <i>Procurement manual</i>, and the <i>Professional services contract proforma manual</i> (SM030).</p> <p>Ensure appropriate delegations are followed while awarding contracts.</p> <p>If direct award is used, then use a <a href="#">short form contract agreement</a>.</p> <p>For other contracts, use the <a href="#">standard form contract agreement</a>.</p>
Ensure contract documentation is signed and filed.	Project Manager	Project Manager and Design Lead	<p>Contract file and record keeping is included in section 6.1 of the <i>Contract procedures manual</i> (SM021).</p> <p>Document signing requirements are included in section 6.2 of the <i>Contract procedures manual</i> (SM021).</p>

Activities	Accountable	Responsible	Detail
Hold a post-award/project start-up meeting with the Consultant to discuss expectations and how the project will be managed.	Project Manager	Design Lead and Project Manager	
Request and review Consultant's budget, cashflow and programme.	Project Manager	Project Manager and Design Lead	

## Relevant standards, legislation and manuals

- [Professional services forms, State highway professional services contract proforma manual \(SM030\)](#)
- [Contract procedures manual \(SM021\)](#)
- [Procurement manual](#)

## Helpful tools and resources

- [Procurement manual tools](#)

## Who can help you?

- Engaging with the wider project team and SME groups while producing the procurement plan and tender material will reduce the risk of variations/issues later in the project
- Each Waka Kotahi office has a Tenders Secretary, who has experience in the tendering process and are key people in the administration of the tender process
- For assistance with the tender process, probity issues or any other non-standard tender query, contact the Procurement team at the Waka Kotahi National Office: [procurement@nzta.govt.nz](mailto:procurement@nzta.govt.nz)

## 2.3 Business case preparation

Programme business case preparation activities test and refine the strategic case, fill any evidence gaps, and investigate a mix of alternatives and options to address the strategic case. This provides an in-depth understanding of the problems, opportunities and constraints relating to the programme of works and how we can achieve transport outcomes. These activities will be led by the Design Lead with the Project Manager overseeing programme coordination and financial management. A consultant may be engaged for part or all of the business case preparation and will be overseen by the Design Lead.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Review the record of point of entry and strategic case (if there is one for the project), to ensure the problem identified is still valid and relevant.	Project Manager	Design Lead	<p>Confirm the case is still relevant.</p> <p>Confirm there is strong support from management and other stakeholders.</p> <p>Ensure you understand constraints and parameters to prevent rework of previously completed work.</p>
Establish an uncertainty log.	Project Manager	Project Manager and Design Lead	<p>Establish and maintain an uncertainty log. This will provide a living list of uncertainties and assumptions that underpin the work. Some of these will be embedded and raised for scenarios and sensitivity testing, some will be resolved as evidence or timing evolves.</p> <p>An example uncertainty log is available in the 'Issues and constraints' section of the <a href="#">Programme business case document information guide [docx, 4.4 MB]</a></p>



Activities	Accountable	Responsible	Detail
Conduct risk workshop and complete a risk register and risk management plan.	Project Manager	Project Manager and Design Lead	<p>This is to be undertaken in line with the <i>Z/44 Risk management practice guide</i>.</p> <p>If there are high risk/complexity elements to your project it may be helpful to invite relevant SMEs to attend your workshop.</p> <p>Z/19 – Environmental Screening. Helpful tool to understand and identify risk</p> <p><a href="#">Risk register template [xlsx, 554KB]</a></p> <p><a href="#">Risk management plan template [docx, 145KB]</a></p>
Download the programme business case template.	Project Manager	Design Lead	<a href="#">Programme business case template (InfoHub)</a>

Activities	Accountable	Responsible	Detail
Review information required for the programme business case, storyboard your assumed case and identify any evidence gaps.	Project Manager	Design Lead	
Analyse available information to define the problem and benefits, identify the strategic context and performance measures, propose investment objectives and the organisational structure required.	Project Manager	Design Lead	<p>Review and collate relevant project materials such as previous long-term plans, prior work, management plans, council strategies, and other relevant documentation such as MapHub data sets.</p> <p>Assess and refine the problem statement.</p> <p>Gather additional data on any gaps identified during the PoE.</p> <p>Engage with system leadership, council partners and others to confirm relevant strategic context.</p> <p>Develop investment objectives based on your current analysis (these should be specific, measurable, achievable, relevant and time-bound).</p> <p>Determine the organisational structure for the programme – does it encompass multiple organisations or a single organisation, what is it seeking to achieve and what are the available resources?</p>

Activities	Accountable	Responsible	Detail
Undertake investment logic mapping (ILM) workshops (if required).	Project Manager	Design Lead	<p>ILMs are a whole-of-life analysis used to define problems and identify potential benefits and measures of successfully investing to address issues/opportunities in agreement with partners and stakeholders.</p> <p><a href="#">Investment logic map template [pptx, 56KB]</a></p> <p><a href="#">Benefits map template [pptx, 65KB]</a></p> <p>This can be on a spectrum from desk assessment to workshop run by an accredited facilitator.</p>
Gather evidence to demonstrate problems identified.	Project Manager	Design Lead	<p>Engage specialist consultants if required, depending on complexity. If required, see section <a href="#">‘2.2 Professional services procurement’ on page 20</a>.</p>
Confirm strategic case.	Project Manager	Design Lead	<p>Map the investment objectives back to the problems and benefits identified.</p> <p>Confirm benefit map to identify how you would measure investment objectives to determine whether you have achieved them.</p> <p>Ensure that objectives are clearly linked to the strategic case.</p> <p>Agree expectations and approach for the programme with the programme business case team.</p>
Develop a longlist of options and high-level cost estimates for discussion at the stakeholder workshop.	Project Manager	Design Lead	<p>Develop the longlist of options. The longlist should give consideration to all alternatives and levers, including non-capital options such as regulatory, policy and pricing.</p> <p>Engagement needs to be right-sized for project, complexity and stakeholder risk.</p>

Activities	Accountable	Responsible	Detail
<p>Undertake multi-criteria analysis (MCA) of longlisted options to determine shortlist.</p> <p>Short list the options and undertake any further analysis or evidence collection required to assess or differentiate.</p>	Project Manager	Design Lead	<p>Agree criteria with stakeholders then undertake an MCA.</p> <p><a href="#">MCA template [xltx, 26KB]</a></p> <p>Relevant SMEs should be included in the MCA process.</p> <p>A robust shortlist should ensure that trade-off choices and low-cost options are considered, not just incremental options.</p>
<p>Develop indicative costs and economics for the programme shortlist options (cost–benefit analysis) and undertake risk analysis.</p>	Project Manager	Design Lead	<p>Using the evidence collected, the scale of the problem and the predicted benefits, options should be priced using simplified procedures, typical rates or other primary methods to provide indicative scale to options.</p>
<p>Complete appraisal summary table and upload into TIO.</p>	Project Manager	Design Lead	<p><a href="#">Appraisal summary table template [xlsx, 31KB]</a></p>

Activities	Accountable	Responsible	Detail
Identify and develop the recommended programme. This may include high-level conceptual designs such as spatial or network plans, and typical cross sections.	Project Manager	Design Lead	<p>Consider the following:</p> <ul style="list-style-type: none"> <li>• Is the recommended programme going to alleviate the identified or perceived problems?</li> <li>• What synergies or conflicts are there between alternatives and options if packaged together?</li> <li>• Is the recommended programme consistent with the strategic case and investment objectives?</li> <li>• What are the likely impacts of the preferred programme?</li> <li>• Is the recommended programme likely to be acceptable to the public, affordable and feasible?</li> <li>• Is there a clear rationale for the rejection of alternatives on completion of the programme business case?</li> <li>• What are the measures to identify the success of the programme?</li> <li>• Reconfirm the investment profile. Investment profile can be completed using the Investment Prioritisation Method.</li> </ul>
Engage with relevant SMEs.	Project Manager	Design Lead	
Undertake cost estimate.	Project Manager	Project Manager and Design Lead	<p>To be undertaken in line with the <i>Cost estimation manual</i> (SM014). Includes parallel cost estimates and peer reviews.</p> <p>Construction Leads can provide valuable input during this process.</p>
Undertake investment quality assurance (IQA).	Project Manager	Investment Advisor	Use the <a href="#">IQA template</a> , and action any identified gaps or issues as appropriate.

Activities	Accountable	Responsible	Detail
Prepare stage 1 procurement strategy for resultant projects.	Project Manager	Project Manager	Apply critical thinking and right-sizing to next steps, reflective of risk and complexity.  <a href="#">Stage 1 procurement strategy template [docx, 176KB]</a>
Identify project management and key milestones for the programme business case.	Project Manager	Design Lead	Can include the following: <ul style="list-style-type: none"> <li>• overall methodology and approach to manage the programme</li> <li>• programme management strategy and framework</li> <li>• governance arrangements</li> <li>• organisational structure</li> <li>• programme reporting arrangements and requirements</li> <li>• key roles and responsibilities</li> <li>• programme schedule, dependencies and key milestones</li> <li>• benefits realisation management</li> <li>• dependencies and sequencing for programme delivery.</li> </ul>
Update risk register to reflect recommended programme.	Project Manager	Project Manager	Update risk register prepared above.
Pull all documentation together to present programme business case.	Project Manager	Design Lead	

Activities	Accountable	Responsible	Detail
Undertake independent peer review of PBC (if required).	Project Manager	Design Lead	
<p>Complete the Request for VOS decision form for endorsement and/or funding.</p> <p>Get the request signed by the Project Sponsor.</p>	Project Manager	Project Manager	<a href="#">VOS OnRamp page</a> for request, process and submission details.
Ensure that the next phase of the project is in the NLTP, or other relevant delivery programme.	Project Manager	Design Lead	<ol style="list-style-type: none"> <li>1. Check the current NLTP, and if the project is in there you can move onto the next phase.</li> <li>2. If the project is not in the NLTP, check whether it has been included in an RLTP. If it is in an RLTP, but not the NLTP, start process to get it added into the NLTP also.</li> <li>3. If it is in neither the NLTP nor an RLTP, talk to the Business Case Process team to start the variation process.</li> </ol>
<p>Review programme business case approval and endorsement.</p> <p>Confirm short-term programme recommendations are included in the forward portfolio plan. The full programme should be represented in relevant, short-, medium- and long-term programmes eg Arataki, Investment Plan, Pipeline.</p> <p>Close out any conditions in TIO.</p>	Project Manager	Project Manager	<p>Review approval once received. To progress to the project business case phase, the programme business case must have two approvals:</p> <ol style="list-style-type: none"> <li>1. programme business case endorsement – commitment for the programme to proceed</li> <li>2. funding approval – funding for the first priority project business case phase(s).</li> </ol> <p><b>Note:</b> Partial approval may be provided, that is approval and/or funding for only some of the projects within the programme to proceed to project business case. Funding may also be split over different funding periods. Ensure you are clear what has been approved and when the funding will be available.</p>

Activities	Accountable	Responsible	Detail
Check in TIO to see that costs are correct for the next phase of the project.	Project Manager	Project Manager	Ensure programme and subsequent project information is correct.
Submit programme business case and next phase request for endorsement and approval by the VOS Committee.	Project Manager	Project Manager	



## Relevant standards, legislation and manuals

- [Cost estimation manual \(SM014\)](#)
- [Non-monetised benefits manual](#)
- [Monetised benefits and costs manual](#)
- [Contract procedures manual \(SM021\)](#)
- [State highway professional services contract proforma manual \(SM030\)](#)
- [State highway constructing contract proforma manual \(SM031\)](#)
- [Z/44 Risk management practice guide](#)
- [Z/19 Taumata Taiao – Environmental and Sustainability Standard \(\[nzta.govt.nz\]\(http://nzta.govt.nz\)\)](#)

## Helpful tools and resources

- [Programme business case guidance](#)
- [Business Case Approach tools and templates](#)
- [Waka Kotahi Planning and Investment Knowledge Base](#)
- [Optioneering guidance](#)
- [MapHub cycling and walking map \(login required\)](#)
- [BCA strategic options toolkit \[xls, 199KB\]](#)
- [Multi-criteria analysis \(MCA\) guidance and template](#)
- [Appraisal summary table \(AST\) guidance and template](#)
- [Investment logic mapping guidance](#)
- [Benefits management guidance](#)

## Who can help you?

- For assistance with the business case process, contact the Business Case Process team: [businesscaseprocess@nzta.govt.nz](mailto:businesscaseprocess@nzta.govt.nz)
- For help with benefit management, measures and non-monetised benefits, email [investment.benefits@nzta.govt.nz](mailto:investment.benefits@nzta.govt.nz)
- For advice about economic evaluation of monetised benefits and costs, email [mbcm@nzta.govt.nz](mailto:mbcm@nzta.govt.nz)

## 2.4 Stakeholder engagement

Stakeholder engagement activities ensure that engagement and communications related to the project are effective. This is essential for managing risks and opportunities on a project, and protecting and enhancing the reputation of Waka Kotahi. The project team will produce a stakeholder engagement plan to identify key stakeholders, including iwi partners, project partners, landowners and wider communities, and set out how the project will engage with them. Workshops help us understand the community's concerns and needs, which are considered throughout the options assessment process.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Prepare a customer and stakeholder engagement management plan (CSEMP) and communications and engagement strategy.	Project Manager	Communications and Engagement team	<p>Identify key partners and stakeholders and how and when they will be engaged with throughout the phase. Consider appropriate engagement approaches for different stakeholders, based on level of risk.</p> <p><a href="#">Communications and engagement strategy template (InfoHub)</a></p> <p><a href="#">Stakeholder engagement management plan template [docx, 77KB]</a></p> <p>Ensure costs and timeframes associated with consultation are included in project budget.</p>
Prepare Māori engagement plan.	Project Manager	Communications and Engagement team	At this phase you are identifying the high-level aspirations for the project and planning the engagement throughout the coming phases.
Implement customer and stakeholder engagement management plan throughout phase.	Project Manager	Design Lead and Communications and Engagement team	As per the approved customer and stakeholder engagement management plan.

Activities	Accountable	Responsible	Detail
Undertake stakeholder engagement workshops.	Project Manager	Design Lead and Communications and Engagement team	<p>At a minimum, engagement should cover the following:</p> <ul style="list-style-type: none"> <li>• Introduce and reinforce engagement between the stakeholder group and project team, review strategic case to ensure it is fit for purpose, agree the problem, benefits and measures. Start developing investment objectives.</li> <li>• Brainstorm possible alternatives and options.</li> <li>• Present shortlist, gain feedback, develop a recommended programme.</li> </ul>
Engage with Waka Kotahi technical services team, SMEs and Advisors from the Business Case Process team.	Project Manager	Design Lead	

## Relevant standards, legislation and manuals

- [Z/19 Taumata Taiao – environmental and sustainability standard](#)
- [Z/17 Branding and communications standard](#)

## Helpful tools and resources

- [Business Case Approach engagement and relationship management guidance](#)
- [Programme business case workshops information sheet](#)
- [Engaging with Māori \(OnRamp\)](#)
- [Māori and Waka Kotahi NZ Transport Agency](#)
- [Hononga ki te Iwi – Our Māori Engagement Framework](#)
- [Public engagement guidelines](#)
- [Engagement guidance](#)
- [Guide to assessing social impacts for state highway projects](#)

## Who can help you?

- Contact your regional communications and engagement manager.

## 2.5 Contract administration

Contract administration activities ensure that both the Principal and the Consultant are fulfilling their contractual obligations and that a positive relationship is built between all parties. Clear and open communication and documentation are key to this relationship and help to ensure that any issues are identified early and actions taken to minimise their impact on the project.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Update contract details in contracts register after the award of the contract.	Project Manager	Tenders Secretary	
Prepare contract management plan.	Project Manager	Project Manager	<a href="#">Contract management plan template (InfoHub)</a>
Set up folder system, and ensure that contract documentation is signed and saved in folder.	Project Manager	Project Controls and Project Manager	
Review project set-up in Planview, SAP and WBS. Update forecasting based on final agreed price.	Project Manager	EPMO	Review to ensure that all items are correct and up to date for this phase of the project.
Confirm Consultant has required insurances in place.	Project Manager	Project Manager	Receive copies of consultant's insurance documentation and confirm they are in line with the contract requirements.
Receive, review and approve Consultant's financial forecasting.	Project Manager	Project Manager	Ensure adequate funding is available for all costs. Ensure you have included funding for independent reviewer services.

Activities	Accountable	Responsible	Detail
<p>Review consultant's management plans and agree on business case quality performance criteria and associated reporting.</p> <p>Ensure management plans are reviewed and updated regularly, for example six-monthly.</p>	Project Manager	Design Lead	<p>Quality management plan (QMP) to be in accordance with <i>Z/01 Minimum standard for quality management plans</i>.</p> <p>It should be regularly updated and should include all key deliverables and methodologies proposed to achieve the required standard and outcomes.</p>
Hold regular contract meetings.	Project Manager	Design Lead and Project Manager	Hold and minute regular meetings with the Consultant/project team to discuss progress, quality, issues, budget and any other items. These should be held monthly at a minimum, or as agreed.
Review and accept deliverables and reports.	Project Manager	Design Lead	The Project Manager and Design Lead must understand all the requirements of the contract as detailed in the various specifications, and ensure that the consultant delivers each of these to the required quality and on time. They should review and/or accept all deliverables and provide comments or concerns within the time frames indicated in the contract.
Track estimates against cashflow and schedule progress. Ensure accrual and forecast information is accurate. Review cashflow forecast.	Project Manager	Project Manager	<a href="#">Finance management, cost estimation and control (PCF chapter)</a> (InfoHub folder)
Track and approve payments.	Project Manager	Project Manager	<p>Review progress claims against services completed and ensure payments are made according to the payment schedule.</p> <p>Approve payments in AIP (Automated Invoice Processing).</p> <p>Track and monitor payments made in SAP.</p>

Activities	Accountable	Responsible	Detail
Document all instructions and changes.	Project Manager	Design Lead and Project Manager	All instructions or changes in scope should be formally issued in writing via a notice to consultant and a register kept of all contract communications.  <a href="#">Consultant notice template [doc, 149KB]</a>
Review and approve fee variation requests.	Project Manager	Design Lead and Project Manager	Ensure that the total contract value still fits within the appropriate level of delegated authority.  The Commercial team is available to provide advice if required.
File all contract records.	Project Manager	Project Controls	
Undertake consultant PACE reviews.	Project Manager	Design Lead and Project Manager	<a href="#">PACE evaluation forms [xls, 232KB]</a>
Review deliverables against the contract.	Project Manager	Design Lead	Review deliverables received against the contract documentation and agreed scope to ensure they met the required standard and all deliverables are received.

### Only complete activities below if contract ends during this phase

Confirm receipt of all contract deliverables, including all drawings, registers, intellectual property etc.	Project Manager	Design Lead	As per contract document.
Complete final PACE evaluation.	Project Manager	Design Lead and Project Manager	PACE evaluation to be undertaken in line with Z/11 Performance evaluation.  <a href="#">PACE evaluation forms [xls, 232KB]</a>

Activities	Accountable	Responsible	Detail
Ensure return of any Waka Kotahi supplied equipment such as laptops.	Project Manager	Project Manager	
Complete final payments.	Project Manager	Project Manager	
Notify consultant that the contract is complete.	Project Manager	Project Manager	
Terminate any access agreements into Waka Kotahi systems.	Design Lead	Technology Service Desk	
Close professional services contract file.	Project Manager	Project Manager	
Close out financials in SAP.	Project Manager	Project Manager	

## Relevant standards, legislation and manuals

- [Z/01 Minimum standard for quality management plans](#)
- [Z/44 Risk management practice guide](#)
- [Z/11 Performance evaluation](#)

## Helpful tools and resources

- [Planview information \(OnRamp\)](#)
- [Finance management, cost estimation and control \(PCF chapter\) \(InfoHub folder\)](#)
- [Planview quick help guide: RAG criteria guideline for project status reporting \(InfoHub\)](#)
- [Quick reference guide: project status reporting & Planview reporting \(InfoHub\)](#)
- [SAP Portfolio and Project Management guidance \(InfoHub folder\)](#)

## Who can help you?

- For further information on insurance, email [insurance@nzta.govt.nz](mailto:insurance@nzta.govt.nz)
- For further information on contract management, contact the Procurement team: [procurement@nzta.govt.nz](mailto:procurement@nzta.govt.nz)

## 2.6 Project management

Project management administration activities ensure all relevant reporting is completed and finances are well managed throughout the programme business case phase. This allows risks to be identified early and mitigations to be put in place, with the aim of minimising the impacts on the project and key stakeholders.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Review project setup in Planview, SAP, WBS.	Project Manager	Project Manager	Review to ensure that all items are correct and up to date for this phase of the project.
Update project financials and forecast to reflect any scope changes and progress, refine as the business case progresses (in Planview, SAP, TIO and other relevant reporting requirements, for example for national programmes).	Project Manager	Project Manager	Ensure adequate funding is available for all costs, including funding for independent reviewer services.
Track estimates against cashflow and schedule progress. Ensure accrual and forecast information is accurate.	Project Manager	Project Manager	
Update project control registers in Planview: risks, issues, lessons, decisions and changes.	Project Manager	Project Manager	
Update project schedule.	Project Manager	Project Manager	
Monitor funding conditions and outputs against business case objectives.	Project Manager	Project Manager	



Activities	Accountable	Responsible	Detail
Complete monthly reporting.	Project Manager	Project Manager with input from the Design Lead	
Complete cost scope adjustments if required.	Project Manager	Project Manager and Design Lead	<a href="#">Cost scope adjustment template [doc, 188KB]</a>
Undertake lessons-learned discussion.	Project Manager	Project Manager and Design Lead	<p>This should be a two-way, open discussion with the Consultant around what worked well and what didn't, receive feedback, and gather learnings for future projects.</p> <p>Lessons learned are to be recorded in Planview, using the template.</p> <p><a href="#">Lessons learned agenda template (InfoHub)</a></p>
Close phase in SAP, TIO and Planview.	Project Manager	Project Manager	

## Relevant standards, legislation and manuals

- [Z/01 Minimum standard for quality management plans](#)
- [Z/11 Performance evaluation](#)

## Helpful tools and resources

- [Planview information, including project set-up form \(OnRamp\)](#)
- [Planview quick help guide: RAG criteria guideline for project status reporting \(InfoHub\)](#)
- [Quick reference guide: project status reporting & Planview reporting \(InfoHub\)](#)
- [Schedule of level 1 and level 2 mandatory milestones \(InfoHub\)](#)
- [Project Planview standards: EPMO](#)

[guidance on the minimum requirements for projects in Planview \(InfoHub\)](#)

- [EPMO mandatory milestone descriptions \(InfoHub\)](#)
- [Finance management, cost estimation and control \(PCF chapter\) \(InfoHub folder\)](#)
- [Variation request process, procedure and checklist \(InfoHub\)](#)
- [Lessons learned guidance \(InfoHub\)](#)
- [Lessons learned dashboard user guide \(InfoHub\)](#)

## Who can help you?

- For assistance with your project continuity plan, email: [resilience@nzta.govt.nz](mailto:resilience@nzta.govt.nz)
- For further information on insurance, email: [insurance@nzta.govt.nz](mailto:insurance@nzta.govt.nz)

# 3. Project business case

## Phase introduction

The project business case phase assesses multiple options and confirms the preferred option through detailed analysis of the strategic fit, cost, risks and benefits achieved. It provides evidence and analysis around the investment proposal.







There are three pathways that can be taken to complete the project business case, based on scope, complexity and risk:

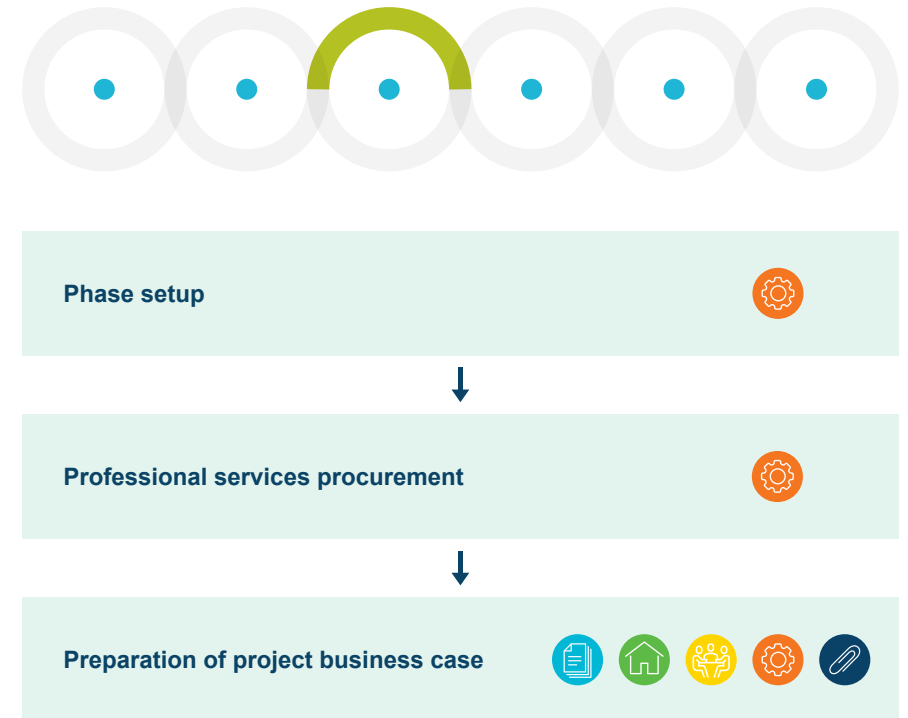
1. indicative business case (IBC) followed by detailed business case (DBC), which is used for projects with high complexity, risk and cost
2. single-stage business case (SSBC) for projects where there are limited options and low complexity and risk.
3. detailed business case (DBC) only, when the preferred option was sufficiently developed in the programme business case or other prior work.

By the end of this phase the Project Manager will have an approved project that addresses the objectives identified in the strategic case and programme business case, and can be taken forward into the pre-implementation phase.

**Note:** *If the project has not originated from a programme business case (or significant time has elapsed), a point of entry phase is likely to be required. This can be confirmed in discussion with your investment advisor.*

### KEY

- |  |  |  |
|--|--|--|
|  Consenting         |  Engagement         |  Contract admin |
|  Transport property |  Project management |  Design review  |



- |  |  |
|--|--|
|  Task/activity undertaken by PM |  Task undertaken by others but with PM/Waka Kotahi feeding in |
|--|--|

## 3.1 Phase setup

Phase setup activities ensure that the required funding and approvals are in place ready to start the project business case phase of the project. The Project Manager will need to determine the type of project business case required for this project, whether IBC + DBC, or SSBC. This may have been determined during the programme business case phase; if so, then progress as approved in the programme business case.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
If funding approval was not obtained from the previous phase(s), complete the point of entry (PoE) to initiate the phase and set project up for success.	Project Manager	Project Manager	<a href="#">Point of entry Section (1.1)</a>
Review and update project management plan.	Project Manager	Project Manager	<p>A project management plan will most likely have been initiated during the programme business case or point of entry. If so, this should be reviewed and refined further to be project specific. Confirm project specific governance structure.</p> <p>If a project management plan was not previously completed, create one using the <a href="#">project management plan template (InfoHub)</a>.</p>
Confirm project team/resourcing for project.	Project Director and Project Manager	Project Manager	Review required resources for successful completion of the project. Establish project team, including governance.
Review PoE approval documentation, and the programme business case and approval documentation.	Project Manager	Project Manager	<p>Not all projects will have a programme business case.</p> <p>Particularly note conditions, dependencies and identified risks.</p>
Check funding allocations are correct in SAP and TIO.	Project Manager	Project Manager	

Activities	Accountable	Responsible	Detail
Review relevant strategic documents such as network operating plan, and local, regional and/or national policy plans.	Project Manager	Project Manager and Design Lead	<p>Review network operation plan to understand how the network operates, what issues there are, and how your project will interact with or effect with the wider network.</p> <p>Engage with local maintenance and operation teams for management context.</p>
Confirm type of project business case required.	Project Manager	Design Lead	<p>If not previously completed, undertake <a href="#">Point of entry</a>.</p> <p>The type of project business case required (SSBC or IBC + DBC) may have been determined during the programme business case phase. If so, progress as approved in the programme business case.</p> <p>If the type of project business case required was not determined during the programme business case phase, use the following criteria. An SSBC may be used when the following criteria are met:</p> <ul style="list-style-type: none"> <li>• the project scope is well defined</li> <li>• the project has low complexity</li> <li>• there are limited options available for the project</li> <li>• the project is low risk.</li> </ul> <p>An SSBC-lite may be used when the project meets the above criteria and has a total value of less than \$15 million.</p> <p>Projects that do not meet the above criteria must use the two-stage (IBC + DBC) process.</p> <p>The Business Case Process team can help you decide which type of project business case is suitable for your project.</p>
Prepare project schedule, including key milestones.	Project Manager	Project Manager	Schedule should outline entire project and should be set up in Planview.

## Helpful tools and resources

- [NLTP project naming guideline \(InfoHub\)](#)
- [Further detail on when an SSBC is appropriate](#)
- [Project assurance and approval process](#)
- [Planning and investment on the Waka Kotahi website](#)
- [Phase transition agreement \(PTA\)](#)

## Who can help you?

- For advice on which type of project business case to use, contact the Business Case Process team: [businesscaseprocess@nzta.govt.nz](mailto:businesscaseprocess@nzta.govt.nz)
- For advice on investment assurance, contact: [investmentassurance@nzta.govt.nz](mailto:investmentassurance@nzta.govt.nz)

## 3.2 Professional services procurement

Professional services procurement activities ensure that consultants with suitable skills and experience levels are engaged to undertake services required for the preparation of the project business case.

Activities	Accountable	Responsible	Detail
Complete a request for approval to commence procurement process (SM021 appendix 1).	Project Manager	Design Lead	<a href="#">Request for approval to commence procurement process form [dotx, 175KB]</a>
Confirm and gain approval of procurement plan.	Project Manager	Project Manager with input and approval from Procurement Manager and Design Lead	<p>Request the latest template from the Procurement team: <a href="mailto:procurement@nzta.govt.nz">procurement@nzta.govt.nz</a></p> <p>Your procurement plan should be prepared in line with the <i>Procurement manual</i>.</p> <p>The available supplier selection methods (including when they can be used, and the evaluation procedure) can be found in appendix C of the <i>Procurement manual</i>.</p> <p>The maximum dollar values for direct appointment and closed contest procurement can be found in section 10.9 of the <i>Procurement manual</i>.</p> <p>Ensure appropriate delegations are followed in signing of the procurement plan.</p> <p>The Commercial team can provide advice if required due to high risk or complexity.</p>

Activities	Accountable	Responsible	Detail
Obtain contract number.	Project Manager	Tenders Secretary	Email your regional Tenders Secretary to be allocated a contract number, or obtain via the Teams channel.
Form a tender evaluation team (TET) if required.	Project Manager	Project Manager	
Prepare procurement documentation.	Project Manager	Project Manager with input from the Design Lead	<p>This should be undertaken in line with the <i>Contract procedures manual</i> (SM021) and <i>Procurement manual</i>.</p> <p>Depending on the supplier selection method chosen this could include preparation of full tender documentation for open tender, invitation to tender for closed contest or preparation of a scope of works for direct appointment.</p> <p>If preparing open tender documentation, request the latest templates from the Procurement team: <a href="mailto:procurement@nzta.govt.nz">procurement@nzta.govt.nz</a></p>
Internal review of tender documentation.	Project Manager	Project Director, Procurement team and Regional Manager	<p>All tender documentation must be reviewed and approved prior to going out to market.</p> <p>For complex or high-risk projects, the Commercial team can provide advice and assistance.</p>
Advertise tender.	Project Manager	Tenders Secretary with assistance from the Project Manager	

Activities	Accountable	Responsible	Detail
Evaluate tenders or offers received.	Project Manager	Design Lead and Project Manager or TET, with assistance from the Procurement team	<p>Follow the process set out in the <i>Contract procedures manual</i> (SM021) and <i>Procurement manual</i>, and outlined in the RFT documentation (where relevant).</p> <p>Form a tender evaluation team (TET) and undertake evaluation in line with SM021.</p> <p>Ensure all evaluation notes and reports are filed appropriately.</p> <p>For complex or high-risk projects, the Commercial team can provide advice and assistance. They can also advise on commercial tender tags.</p>
Hold pre-award/pre-letting meeting (if required).	Project Manager	Project Manager and Design Lead	Meeting to close out any outstanding tender tags and clarifications. Ensure meeting is minuted, minutes distributed to all attendees and included in the final contract documentation.
Award professional services contract.	Project Manager	Procurement team with assistance from the Design Lead and Tenders Secretary	<p>If direct award is used, then use a <a href="#">short form contract agreement</a>.</p> <p>For other contracts, use the <a href="#">standard form contract agreement</a>.</p> <p>This step should be completed as set out in the <i>Contract procedures manual</i> (SM021), the <i>Procurement manual</i>, and the <i>Professional services contract proforma manual</i> (SM030).</p>
Ensure contract documentation is signed and filed.	Project Manager	Project Manager and Design Lead	<p>Contract file and record keeping is included in section 6.1 of the <i>Contract procedures manual</i> (SM021).</p> <p>Document signing requirements are included in section 6.2 of the <i>Contract procedures manual</i> (SM021).</p>



Activities	Accountable	Responsible	Detail
Hold a post-award/project start-up meeting with the Consultant to discuss project and expectations.	Project Manager	Project Manager and Design Lead	
Request and review Consultant's budget, cashflow and programme.	Project Manager	Project Manager and Design Lead	

## Relevant standards, legislation and manuals

- [Professional services forms, State highway professional services contract proforma manual \(SM030\)](#)
- [Contract procedures manual \(SM021\)](#)
- [Procurement manual](#)

## Helpful tools and resources

- [Procurement manual tools](#)

## Who can help you?

- Each Waka Kotahi office has a Tenders Secretary, who has experience in the tendering process and are key people in the administration of the tender process
- For assistance with the tender process, probity issues or any other non-standard tender query, contact the Project Services team at the Waka Kotahi National Office: [procurement@nzta.govt.nz](mailto:procurement@nzta.govt.nz)

## 3.3 Business case preparation

Project business case preparation activities establish the case for change, select the preferred option, and involve detailed analysis of the strategic fit, cost, risks and their mitigations and benefits to be achieved. It provides evidence and analysis around the investment proposal. A workshop-based approach is used to ensure that key stakeholders are engaged with early and have the opportunity to challenge and shape the direction of the investment proposal. These activities will be led by the Design Lead with the Project Manager overseeing project coordination and financial management. A Consultant may be engaged to undertake part or all of the business case preparation managed by the Design Lead.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Review existing strategic case, PoE and programme business case, if available.	Project Manager	Design Lead	Develop the case and identify any significant changes since the programme business case. Outline the agreed investment story, problem/opportunity statements, and how the proposed investment fits with existing strategies and operational needs of the organisation.
Establish uncertainty log.	Project Manager	Project Manager and Design Lead	Highlight uncertainties and assumptions in an uncertainty log.  An example uncertainty log is available in the 'Issues and constraints' section of the <a href="#">Programme business case document information guide [docx, 4.4MB]</a>

Activities	Accountable	Responsible	Detail
Conduct risk workshop and update risk register and risk management plan.	Project Manager	Project Manager	<p>This is to be undertaken in line with the <a href="#">Z/44 Risk management practice guide</a>.</p> <p>If there are high-risk/complexity elements to your project, it may be helpful to invite relevant SMEs to attend your workshop.</p> <p><a href="#">Risk register template [xlsx, 554KB]</a></p> <p><a href="#">Risk management plan template [docx, 145KB]</a></p>
Download relevant project business case template.	Project Manager	Design Lead	<a href="#">Project business case template [docx, 1.2MB]</a>
Review information required for the project business case, storyboard your assumed case and identify any evidence gaps.	Project Manager	Design Lead	

Activities	Accountable	Responsible	Detail
Analyse available information to further define the problem/opportunity, benefits and performance measures, identify its strategic context, and propose investment objectives and the organisational structure required.	Project Manager	Design Lead	<p>Gather additional data on any gaps identified during the PoE.</p> <p>Assess and refine the problem statement.</p> <p>Engage with system leadership, council partners and others to confirm relevant strategic context.</p> <p>Develop investment objectives based on your analysis. (These should be specific, measurable, achievable, relevant and time-bound.)</p> <p>Identify how you would measure investment objectives to determine whether you have achieved them.</p> <p>Ensure that objectives are clearly linked to the strategic case and organisational strategies.</p> <p>Identify key constraints, dependences and assumptions.</p> <p>Determine the organisational structure for the programme – does it encompass multiple organisations or a single organisation, what is it seeking to achieve and what are the available resources?</p> <p>Agree expectations and approach for the project.</p>
<p>Undertake investment logic mapping (ILM) workshops, if required, and benefits workshop.</p> <p>Include relevant SMEs in workshop.</p>	Project Manager	Design Lead	<p>ILMs define problems and identify potential benefits and measures of successfully investing to address issues/opportunities. Investment objectives need to be obtainable, acceptable expectations, not aspirational. This can be on a spectrum from desk top assessment to a workshop run with an accredited facilitator.</p> <p><a href="#">Investment logic map template [pptx, 56KB]</a></p> <p><a href="#">Benefits map template [pptx, 65KB]</a></p> <p><a href="#">An example of a benefits map</a></p> <p><a href="#">Benefits framework and benefits management guidance</a></p>

Activities	Accountable	Responsible	Detail
Gather evidence to demonstrate problems identified in workshops.	Project Manager	Design Lead	Engage specialist consultants if required/depending on complexity. If required, see section <a href="#">‘3.2 Professional services procurement’ on page 46.</a>
Confirm strategic case.	Project Manager	Design Lead	<p>Confirm based on latest evidence.</p> <p>Map investment objectives back to problems and benefits.</p> <p>Confirm benefits map to ensure measurement framework for investment objectives.</p> <p>Ensure investment objectives are consistent with strategic context and evidence.</p>
Develop longlisted options and high-level cost estimates for discussion at the stakeholder workshop.	Project Manager	Design Lead	<p>Develop the longlist of options. The <a href="#">intervention hierarchy</a> can be used to assist in generation of options.</p> <p>Engagement needs to be right-sized for the project, complexity and stakeholder risk.</p> <p>The longlist should give consideration to all alternatives and levers, including non-capital options such as regulatory, policy and pricing.</p> <p>Options development should consider the Safe System approach to road safety, Road to Zero safety strategy and the One Network Framework.</p> <p>Include Construction Lead in review of cost estimates.</p>

Activities	Accountable	Responsible	Detail
Undertake multi-criteria analysis (MCA) of options to determine shortlist/preferred way forward.	Project Manager	Design Lead	<p>Agree criteria with stakeholders then undertake MCA.</p> <p><a href="#">MCA template [xlsx, 26KB]</a></p> <p>This should include consideration of the following:</p> <ul style="list-style-type: none"> <li>• how the shortlisted options align with other elements of the programme within the programme business case</li> <li>• ability to deliver against investment objectives</li> <li>• time to deliver and interdependencies</li> <li>• trade-offs.</li> </ul> <p>Include internal stakeholders, for example Transport Property Lead, M&amp;O, Construction Lead and relevant SMEs.</p> <p>A robust shortlist should ensure that trade-off choices and low-cost options are considered, not just incremental options.</p>
Develop concept designs for shortlisted options to allow further analysis and economics to be undertaken, and undertake further analysis or evidence collection to understand and minimise risks/give confidence to option selection. This may result in some tasks being brought forward from later or subsequent phases.	Project Manager	Design Lead	
Determine possible construction methodologies and undertake constructability review.	Project Manager	Construction Lead and Design Lead	

Activities	Accountable	Responsible	Detail
Develop indicative costs and economics for the shortlisted options (cost–benefit analysis).	Project Manager	Design Lead	<p>For guidance on how to use the benefits framework in business cases, see <a href="#">Using the benefits framework in planning and business cases</a>.</p> <p>For guidance on monetised benefits and risk analysis guidance, see the <a href="#">Monetised benefits and costs manual</a>.</p> <p>Where a shortlisted option is offline, costs and economics must consider potential revocation impacts, in line with the revocation policy.</p>
Select the recommended option.	Project Manager	Design Lead	<p>Clearly define the scope of the recommended technical option, including core activities to be completed, desirable requirements to be met, and out-of-scope items (to prevent scope creep).</p> <p>Include preliminary technical or planning assessments.</p> <p>Identify residual risks to cost and scope.</p> <p>Develop the IBE (indicative business case estimate) costs using the <a href="#">Estimate summary reporting forms [xlsx, 91KB]</a></p>
Complete the appraisal summary table and upload into TIO.	Project Manager	Design Lead	<a href="#">Appraisal summary table template [xlsx, 31KB]</a>
Undertake concept stage Safe System audit on preferred technical option.	Project Manager	Design Lead and Consultant	<p>To be undertaken in line with the Safe System audit procedures for road safety projects. Safe System audits are usually undertaken by an external specialist.</p> <p><a href="#">Safe System audit template [docx, 186KB]</a></p>

Activities	Accountable	Responsible	Detail
Undertake detailed economic analysis of the preferred option.	Project Manager	Design Lead	<p>Detailed economic analysis includes:</p> <ul style="list-style-type: none"> <li>• cost–benefit analysis</li> <li>• first year rate of return</li> <li>• sensitivity analysis of monetised and non-monetised benefits and costs</li> <li>• overall affordability (cost/lifetime)</li> <li>• risk analysis of economic evaluation.</li> </ul>
Undertake detailed financial case for the preferred option.	Project Manager	Project Manager	<p>Detailed financial analysis, includes:</p> <ul style="list-style-type: none"> <li>• financial costing, which is to be completed in line with the <a href="#">Cost evaluation manual</a> (SM014) – DBE estimate</li> <li>• identification of funding approaches, sources and requirements.</li> </ul> <p>Include Construction Lead in review of preferred option costing, including application of risk into contingency.</p>
Update the risk register based on preferred option. Undertake quantitative risk analysis.	Project Manager	Project Manager	<p>To be completed in line with <a href="#">Z/44 Risk management practice guide</a>.</p> <p>If there are high-risk/complexity elements to your project, it may be helpful to invite relevant SMEs to attend your workshop.</p>



Activities	Accountable	Responsible	Detail
Engage with internal specialist teams to undertake commercial planning for project.	Project Manager	Design Lead	Engage with the relevant internal teams to complete the following documentation (overseen by the Design Lead): <ul style="list-style-type: none"> <li>• procurement strategy (Procurement team), which identifies key services and procurement required for next/subsequent phases and how this will be undertaken</li> <li>• consenting strategy (Planning team), which outlines consents required, the plan for obtaining them and any issues identified</li> <li>• property strategy (Transport Property team), which outlines properties required, the plan to obtain them, and any risks identified</li> <li>• operations strategy (Maintenance and Operations team).</li> </ul>
Identify project management and key milestones for the project.	Project Manager	Project Manager	Can include the following: <ul style="list-style-type: none"> <li>• overall methodology and approach to managing the project</li> <li>• programme management strategy and framework</li> <li>• governance arrangements</li> <li>• organisational structure</li> <li>• programme reporting arrangements and requirements</li> <li>• key roles and responsibilities</li> <li>• programme and key milestones</li> <li>• benefits realisation management</li> <li>• risk management</li> <li>• programme assurance arrangements – use assurance tools such as peer reviews and parallel cost estimates to ensure delivery and investment objectives are met.</li> </ul>

Activities	Accountable	Responsible	Detail
Technical reviews of content.	Project Manager	Project Manager	Engage subject specialists to undertake specialist technical reviews as required. Includes SMEs, Construction Lead and Asset Manager.
If completing an IBC, compile documentation to present for approval.	Project Manager	Project Manager	
Undertake independent peer review of submission (if required).	Project Manager	Project Manager	
Undertake investment quality assessment.	Project Manager	Investment Advisor	If completing an SSBC, it can be beneficial to complete an interim 19A at this time.
Submit business case (IBC, DBC or SSBC) and the Request for a VOS decision form, for endorsement and approval by the VOS Committee.  Get the request signed by the Project Sponsor.	Project Manager	Project Manager	<a href="#">VOS OnRamp page</a> for request, process and submission details.
If IBC is approved, confirm funding is available to proceed to DBC.	Project Manager	Project Manager	Check TIO and SAP for available funding, confirm status in portfolio plan

Activities	Accountable	Responsible	Detail
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**Items between double lines to be completed if undertaking detailed business case (DBC)  
or single-stage business case (SSBC)**

Review the strategic assessment and strategic context.	Project Manager	Design Lead	<p>Show how the option fits within the preferred programme of activities and with the related business cases of other activities within the programme.</p> <p>Identify which investment objectives it is linked to.</p> <p>Identify issues, opportunities and constraints.</p>
Reiterate the options development process and how the preferred option was selected.	Project Manager	Design Lead	<p>Provide a brief summary of the optioneering and shortlisting process undertaken during the IBC.</p> <p>Describe preferred option, and its costs and benefits.</p> <p>Outline factors that influenced the selection and why the preferred option was deemed the best course of action.</p> <p>Understand if any key uncertainties have changed.</p>
Undertake detailed risk review of preferred option.	Project Manager	Project Manager and Design Lead	<p>Clearly define risks associated with the preferred option. Including risks to meeting the project objectives and for the proposed costs.</p> <p>If there are high-risk/complexity elements to your project it may be helpful to invite relevant SMEs to attend your workshop.</p>
Undertake any investigations, evidence collection or analysis required to mitigate or minimise risk and confirm option selection.	Project Manager	Design Lead and Project Manager	Seek to minimise, or price, risks to cost and scope and benefit realisation.

Activities	Accountable	Responsible	Detail
Engage with internal specialist teams to undertake commercial planning for project.	Project Manager	Design Lead	<p>Engage with the relevant internal teams to complete the following documentation (overseen by Design Lead):</p> <ul style="list-style-type: none"> <li>• procurement plan (Procurement team) which identifies key services and procurement required for next/ subsequent phases and how this will be undertaken</li> <li>• consenting plan (Planning team), which outlines consents required, the plan for obtaining them and any issues identified</li> <li>• property strategy (Transport Property team), which outlines properties required, the plan to obtain them and any risks identified</li> <li>• operations plan (Maintenance and Operations team).</li> </ul>
Produce preliminary design for preferred technical option.	Project Manager	Design Lead and Consultant	
Engage with relevant SMEs.	Project Manager	Design Lead	
Undertake relevant traffic modelling for the preferred option.	Project Manager	Design Lead and Consultant	<p>Traffic modelling will feed into the economic analysis of the preferred option.</p> <p><b>Note:</b> this may be bought forward if required to confirm recommended option selection.</p>
Review insurance requirements for the recommended option.	Project Manager	Project Manager and Insurance team	<p>Determine if your project falls under the Waka Kotahi Principal Arranged Insurance (PAI) programme, or if additional insurances will be required. This can be done by reviewing the schedules relevant to your project on the <a href="#">PAI portal</a>.</p> <p>If your project falls outside the parameters covered by the PAI programme, or you are unsure of your project's insurance requirements, contact the Insurance team: <a href="mailto:insurance@nzta.govt.nz">insurance@nzta.govt.nz</a></p>

Activities	Accountable	Responsible	Detail
Undertake detailed planning for implementation.	Project Manager	Design Lead and Construction Lead	<p>Develop the preferred option through detailed whole-of-life analysis of costs, benefits, risks and uncertainties. This will look at how the option will be funded, run and how procurement will be managed.</p> <p>Include the following:</p> <ul style="list-style-type: none"> <li>• delivery, consenting, procurement, property plans</li> <li>• risk allocation, contractual issues</li> <li>• funding availability and affordability</li> <li>• management plans for successful delivery</li> <li>• resources required for delivery.</li> </ul>
Evaluate the project against the Investment Prioritisation Method (IPM).	Project Manager	Design Lead	IPM self-assessment is to be completed and results entered into TIO by the Project Manager.
Undertake readiness and assurance assessment.	Project Manager	Design Lead	This should include commercial case, management case, and availability of adequate funding. The strength of the business case should be assessed against the 16 business case assessment questions and 'Effective and aligned business cases' guidance.
Compile documentation to present for approval.	Project Manager	Design Lead	Ensure your document covers all the required information.
Determine what approvals are required for your project based on your programme's funding.	Project Manager	Project Manager and Design Lead	Talk to Investment Advisor for support.
Submit business case (IBC, DBC or SSBC) and the Request for a VOS decision form, for endorsement and approval by the VOS Committee.	Project Manager	Design Lead	<a href="#">VOS OnRamp page</a> for request, process and submission details.
Get the request signed by the Project Sponsor.			

Activities	Accountable	Responsible	Detail
Review project business case approval.	Project Manager	Design Lead	<p>Review approval once received. The project business case must have two approvals to proceed to pre-implementation:</p> <ol style="list-style-type: none"> <li>1. project business case endorsement – commitment for the project to move into the pre-implementation phase</li> <li>2. funding approval – funding for the pre-implementation phase.</li> </ol> <p><b>Note:</b> Funding may also be split over different funding periods. Ensure you are clear what has been approved and when the funding will be available.</p> <p>If either approval is not received, business case is to be reviewed and resubmitted at a later date.</p> <p>Ensure that next steps are included in the portfolio plan.</p>
Check in TIO to see that funding has been allocated to the next phase of the project.	Project Manager	Project Manager and Design Lead	Ensure project information is correct.
Ensure that the project is in the NLTP.	Project Manager	Project Manager and Design Lead	<p>Check the current NLTP, and if the project is in there you can move onto the next phase.</p> <p>If the project is not in the NLTP, check whether it has been included in an RLTP. Talk to the Business Case Process team to start the variation process.</p>

## Relevant standards, legislation and manuals

- [Cost estimation manual \(SM014\)](#)
- [Non-monetised benefits manual](#)
- [Monetised benefits and costs manual](#)
- [Contract procedures manual \(SM021\)](#)
- [State highway professional services contract proforma manual \(SM030\)](#)
- [State highway constructing contract proforma manual \(SM031\)](#)
- [Z/44 Risk management practice guide](#)

## Helpful tools and resources

- [Strategic case guidance](#)
- [Investment logic mapping guidance](#)
- [Benefits management guidance](#)
- [Intervention hierarchy](#)
- [Business case template: guidance for forming a single stage, indicative or detailed business case \[docx, 1.2MB\]](#)
- [Business Case Approach guidance](#)
- [Business Case Approach tools and templates](#)
- [Waka Kotahi Planning and Investment Knowledge Base](#)
- [BCA strategic options toolkit \[xls, 199KB\]](#)
- [Multi-criteria analysis guidance and template](#)
- [MapHub cycling and walking map \(login required\)](#)
- [Investment Prioritisation Method](#)
- [How to self-assess your business case](#)
- [Using the benefits framework in planning and business cases](#)
- [Safe System audit procedures for transport projects](#)
- [PAI portal](#)

## Who can help you?

- Business Case Process team: [businesscaseprocess@nzta.govt.nz](mailto:businesscaseprocess@nzta.govt.nz)
- For further information on the benefits framework and benefit measures, email: [investment.benefits@nzta.govt.nz](mailto:investment.benefits@nzta.govt.nz)
- For information on monetised benefits and costs, email: [mbcm@nzta.govt.nz](mailto:mbcm@nzta.govt.nz)
- For more about the Investment Prioritisation Method, email: [decisionmaking@nzta.govt.nz](mailto:decisionmaking@nzta.govt.nz)
- For assistance with insurance, contact the Insurance team: [insurance@nzta.govt.nz](mailto:insurance@nzta.govt.nz)
- For road safety advice, contact: [trafficandsafety@nzta.govt.nz](mailto:trafficandsafety@nzta.govt.nz)

## 3.4 Stakeholder engagement

Stakeholder engagement activities ensure that engagement and communications related to the project are effective. This is essential for managing risks and opportunities on a project, and protecting and enhancing the reputation of Waka Kotahi. The project team will produce a stakeholder engagement plan to identify key stakeholders, including iwi partners, project partners, landowners and wider communities, and set out how the project will engage with them. Workshops help us understand the community's concerns and needs, which are considered throughout the options assessment process. The aim is to identify and access possible options and alternative to ensure that the final preferred option is fit for purpose.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Update (or create) the customer and stakeholder engagement management plan (CSEMP) and communications and engagement strategy.	Project Manager	Communications and Engagement team	<p>Identify and confirm key partners and stakeholders and how they will be engaged with throughout the phase.</p> <p><a href="#">Communications and engagement strategy template (InfoHub)</a></p> <p>Ensure costs and timeframes associated with consultation are included in the project budget.</p>
Update Māori engagement plan and undertake engagement as set out in the plan.	Project Manager	Communications and Engagement team	<p>During this phase you will:</p> <ul style="list-style-type: none"> <li>• Identify aspirations for the project</li> <li>• identify resources required for building iwi capacity/capability, putting in place a project cultural agreement</li> <li>• commence Māori engagement plan</li> <li>• include iwi participation in MCA options</li> <li>• commence site visits and hui</li> <li>• begin cultural values assessment or cultural impact assessment</li> <li>• begin Māori values in design opportunities</li> <li>• begin identifying economic and social opportunities.</li> </ul>



Activities	Accountable	Responsible	Detail
Undertake stakeholder engagement.	Project Manager	Communications and Engagement team and Design Lead	<p>At a minimum, engagement covers the following:</p> <ul style="list-style-type: none"> <li>• Introduce and reinforce engagement between the stakeholder group and project team, review the programme business case documentation and strategic case to ensure they are fit for purpose. Agree on the problem, root causes, consequences, benefits and measures. Start developing investment objectives.</li> <li>• Brainstorm possible alternatives and options.</li> <li>• Present shortlist, gain feedback, develop preferred technical option.</li> <li>• Present preferred technical option.</li> </ul>
Undertake wider partner, stakeholder and community engagement as per the CSEMP	Project Manager	Communications and Engagement team and Design Lead	<p>Refer to the Public Engagement guidelines. Target public engagement that complements your stakeholder workshops to the customers and community groups impacted by the project, and who can provide insights into your short listed options and preferred technical option. Involve key groups in collaborative engagement opportunities such as interactive workshops, meetings and feedback sessions. Consider other feedback, consultation or inform/educate opportunities with wider audiences.</p>
Engage with Waka Kotahi technical services team, SMEs and Advisors from the Business Case Process team.	Project Manager	Design Lead	

## Relevant standards, legislation and manuals

- [Z/19 Taumata Taiao – environmental and sustainability standard](#)
- [Z/17 Branding and communications standard](#)

## Helpful tools and resources

- [Business Case Approach engagement and relationship management guidance](#)
- [How we engage: engagement guidelines \(InfoHub\)](#)
- [Engaging with Māori \(OnRamp\)](#)
- [Māori and Waka Kotahi NZ Transport Agency](#)
- [Hononga ki te Iwi – Our Māori Engagement Framework](#)
- [Te Mātangi – Māori Partnerships \(OnRamp\)](#)
- [Public engagement guidelines](#)
- [Engagement guidance](#)
- [Guide to assessing social impacts for state highway projects](#)

## Who can help you?

- For further information on engagement, contact your regional communications and engagement lead
- For assistance with the business case process, contact the Business Case Process team: [businesscaseprocess@nzta.govt.nz](mailto:businesscaseprocess@nzta.govt.nz)

## 3.5 Contract administration

Contract administration activities ensure that both the principal and the Consultant are fulfilling their contractual obligations, and that a positive relationship is built between all parties. Clear and open communication and documentation are key to this relationship and help to ensure that any issues are identified early and actions taken to minimise their impact on the project. Good contract administration also ensures that all contract communications, deliverables and payments are well managed and any disputes are resolved as quickly and easily as possible.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Update contract details in contracts register after award of the contract.	Project Manager	Tenders Secretary	
Prepare contract management plan.	Project Manager	Project Manager	<a href="#">Contract management plan template (InfoHub)</a>
Set up folder system and ensure that contract documentation is signed and saved in folder.	Project Manager	Project Controls	
Review project set-up in Planview, SAP, WBS. Update forecasting based on final agreed price.	Project Manager	EPMO	Review to ensure that all items are correct and up to date for this phase of the project.
Confirm Consultant has required insurances in place.	Project Manager	Project Manager	Receive copies of Consultant's insurance documentation and confirm they are in line with the contract requirements.
Receive, review and approve Consultant's financial forecasting.	Project Manager	Project Manager	Ensure adequate funding is available for all costs, including funding for independent reviewer services.

Activities	Accountable	Responsible	Detail
<p>Review Consultant's management plans and agree on pre-implementation quality performance criteria and associated reporting.</p> <p>Ensure management plans are reviewed and updated regularly, for example six-monthly.</p>	Project Manager	Design Lead	Quality management plan (QMP) to be in accordance with <i>Z/01 Minimum standard for quality management plans</i> . It should be regularly updated and should include all key deliverables and methodologies proposed to achieve the required standard and outcomes.
Hold regular contract meetings.	Project Manager	Design Lead and Project Manager	Hold and minute regular meeting with the Consultant/project team to discuss progress, quality, issues, budget, any other items. These should be held at a minimum monthly, or as agreed.
Review and accept deliverables and reports.	Project Manager	Design Lead	The Project Manager and Design Lead must understand all the requirements of the contract as detailed in the various specifications and ensure that the Consultant delivers each of these to the required quality and on time. They should review and/or accept all deliverables, and provide comments or concerns within the time frames indicated in the contract.
Track estimates against cashflow and schedule progress. Ensure accrual and forecast information is accurate. Review cashflow forecast.	Project Manager	Project Manager	
Track and approve payments.	Project Manager	Project Manager	<p>Review progress claims against services completed and ensure payments made according to the payment schedule.</p> <p>Approve payments in AIP.</p> <p>Track and monitor payments made in SAP.</p>
Document all instructions and changes.	Project Manager	Project Manager	<p>All instructions or changes in scope should be formally issued in writing via a notice to consultant.</p> <p><a href="#">Consultant notice template [doc, 149KB]</a></p>

Activities	Accountable	Responsible	Detail
Review and approve fee variation requests.	Project Manager	Design Lead and Project Manager	Ensure that the total contract value still fits within the appropriate level of delegated authority.
File all contract records.	Project Manager	Project Controls	
Undertake Consultant PACE reviews.	Project Manager	Design Lead and Project Manager	<p>PACE evaluations to be undertaken in line with Z/11 Performance evaluation.</p> <p>Consultant undertakes physical works PACE in consultation with the Contractor and reports back to Project Manager.</p> <p>Project manager undertakes professional services PACE in consultation with the Consultant.</p> <p><a href="#">PACE evaluation forms [xslm, 232KB]</a></p>
Review deliverables against the contract.	Project Manager	Project Manager and Design Lead	Review deliverables received against the contract documentation and agreed scope to ensure they met the required standard and all deliverables are received.

### Only complete activities below if contract ends during this phase

Confirm receipt of all contract deliverables, including all drawings, registers, intellectual property etc.	Project Manager	Design Lead	As per contract document.
Complete final PACE evaluation	Project Manager	Design Lead and Project Manager	<p>PACE evaluation to be undertaken in line with Z/11 Performance evaluation.</p> <p><a href="#">PACE evaluation forms [xslm, 232KB]</a></p>

Activities	Accountable	Responsible	Detail
Ensure return of any Waka Kotahi supplied equipment such as laptops.	Project Manager	Project Controls	
Complete final payments.	Project Manager	Project Manager	
Notify Consultant that the contract is complete.	Project Manager	Project Manager	
Terminate any access agreements into Waka Kotahi systems.	Project Manager	Project Manager	
Close professional services contract file.	Project Manager	Project Manager	
Close out financials in SAP.	Project Manager	Project Manager	

## Relevant standards, legislation and manuals

- [Z/01 Minimum standard for quality management plans](#)
- [Z/44 Risk management practice guide](#)
- [Z/11 Performance evaluation](#)

## Helpful tools and resources

- [Planview information \(OnRamp\)](#)
- [Finance management, cost estimation and control \(PCF chapter\) \(InfoHub folder\)](#)
- [Planview quick help guide: RAG criteria guideline for project status reporting \(InfoHub\)](#)
- [Quick reference guide: project status reporting & Planview reporting \(InfoHub\)](#)
- [SAP Portfolio and Project Management guidance \(InfoHub folder\)](#)

## Who can help you?

- For further information on insurance, email [insurance@nzta.govt.nz](mailto:insurance@nzta.govt.nz)
- For further information on contract management, contact the Procurement team: [procurement@nzta.govt.nz](mailto:procurement@nzta.govt.nz)

## 3.6 Project management

Project management activities ensure all relevant reporting is completed and finances are well managed throughout the project business case phase. This allows risks to be identified early and mitigations to be put in place with the aim of minimising the impacts on the project and key stakeholders.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Review project set up in Planview, SAP, WBS.	Project Manager	Project Manager	Review to ensure that all items are correct and up to date for this phase of the project.
Update project financials and forecast to reflect the preferred options (in Planview, SAP, TIO and other relevant reporting requirements such as national programmes).	Project Manager	Project Manager	Ensure adequate funding is available for all costs, including funding for independent reviewer services.  Keep up to date for any scope or milestone changes.
Track estimates against cashflow and schedule progress. Ensure accrual and forecast information is accurate.	Project Manager	Project Manager	
Update project control registers in Planview: risks, issues, lessons, decisions and changes.	Project Manager	Project Manager	Project controls registers are to be updated monthly in Planview.
Update project schedule.	Project Manager	Project Manager	
Monitor funding conditions and outputs against business case objectives.	Project Manager	Project Manager	
Complete monthly reporting.	Project Manager	Project Manager	

Activities	Accountable	Responsible	Detail
Complete cost scope adjustment (if required).	Project Manager	Project Manager	<a href="#">VOS OnRamp page</a> for request, process and submission details.
Undertake lessons-learned workshop.	Project Director and Project Manager	EPMO Capability team	This workshop will be led by the EPMO Capability team. <ol style="list-style-type: none"> <li>1. Project Director or Project Manager liaises with the EPMO Enterprise Change Capability team.</li> <li>2. Capability team facilitates the workshop and drafts the lessons-learned summary report.</li> <li>3. Project Director and Project Manager review and approve lessons-learned summary report.</li> </ol>

## Relevant standards, legislation and manuals

- [Z/01 Minimum standard for quality management plans](#)
- [Z/11 Performance evaluation](#)

## Helpful tools and resources

- [Planview information, including project set-up form \(OnRamp\)](#)
- [Planview quick help guide: RAG criteria guideline for project status reporting \(InfoHub\)](#)
- [Quick reference guide: project status reporting & Planview reporting \(InfoHub\)](#)
- [Project Planview standards: EPMO guidance on the minimum requirements for projects in Planview \(InfoHub\)](#)
- [Finance management, cost estimation and control \(PCF chapter\) \(InfoHub folder\)](#)
- [Variation request process, procedure and checklist \(InfoHub\)](#)

## Who can help you?

- For assistance with your project continuity plan, email: [resilience@nzta.govt.nz](mailto:resilience@nzta.govt.nz)
- For further information on insurance, email: [insurance@nzta.govt.nz](mailto:insurance@nzta.govt.nz)











# 4. Pre-implementation

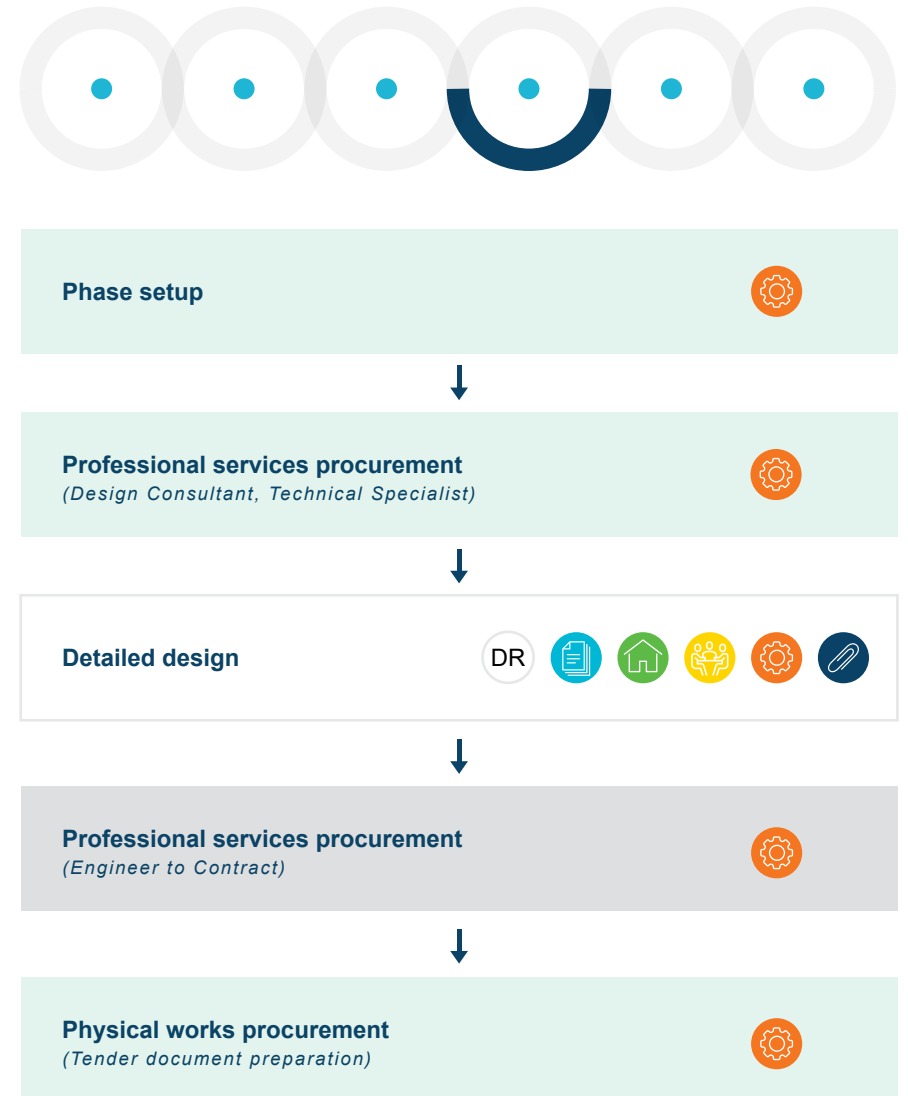
## Phase introduction

During this phase the Project Manager oversees the specimen and detailed design process to ensure the design outcome achieves the required standard and meets the strategic objectives outlined in the approved business case. The Project Manager facilitates internal engagement with stakeholders and SMEs to ensure that the design is fit for purpose. They also work closely with the Transport Property and Consenting teams to ensure all property acquisitions and consenting requirements are in place to enable the construction phase. By the end of this phase the Project Manager will prepare all documentation required for the project to go out to construction tender.

### KEY

-  Consenting
-  Transport property
-  Engagement
-  Project management
-  Contract admin
-  Design review

-  Task/activity undertaken by PM
-  Task undertaken by others but with PM/Waka Kotahi feeding in



## 4.1 Phase setup

Phase setup activities ensure that the required funding and approvals are in place ready to start the pre-implementation phase of the project.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Apply for and receive pre-implementation funding.	Project Manager	Project Manager	<a href="#">VOS OnRamp page</a> for request, process and submission details.
Set up folder structure.	Project Manager	Project Controls	
Review/set up project team and, if required, office, for pre-implementation phases.	Project Manager	Project Manager	
Review the approved business case to ensure project scope and outcomes are achieved throughout design phase.	Project Manager	Design Lead and Construction Lead	
Update project management plan.	Project Manager	Project Manager	<a href="#">Project management plan template (InfoHub)</a>
Update project schedule.	Project Manager	Project Manager	To be done in Planview.
Review and update network operating plan.	Project Manager	Construction Lead and M&O team	

## Relevant standards, legislation and manuals

- [NLTP project naming guideline \(InfoHub\)](#)
- [InfoHub project folder structure v2.0 \(InfoHub\)](#)

## Who can help you?

- Project Management Process team:  
[projectmanagementprocess@nzta.govt.nz](mailto:projectmanagementprocess@nzta.govt.nz)

## 4.2 Professional services (detailed design) procurement

Professional services (design) procurement activities ensure that a Consultant with a suitable skill and experience level is engaged to undertake the detailed design works and ensure that value for money is being achieved while procuring professional services.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Request for approval to commence procurement process (SM021 appendix 1).	Project Manager	Project Manager	<a href="#">Request for approval to commence procurement process form [dotx, 175KB]</a>
Prepare and gain approval of procurement plan.	Project Manager	Project Manager with input from Procurement Manager	<p>Request latest template from procurement team: <a href="mailto:procurement@nzta.govt.nz">procurement@nzta.govt.nz</a></p> <p>Your procurement plan should be prepared in line with the <i>Procurement manual</i>.</p> <p>The available supplier selection methods (including when they can be used, and the evaluation procedure) can be found in appendix C of the <i>Procurement manual</i>.</p> <p>The maximum dollar values for direct appointment and closed contest procurement can be found in section 10.9 of the <i>Procurement manual</i>.</p>
Obtain contract number from the Tenders Secretary.	Project Manager	Tenders Secretary or Construction Lead	Email your regional Tenders Secretary to be allocated a contract number, or obtain via the Teams channel.

Activities	Accountable	Responsible	Detail
Prepare procurement documentation.	Project Manager	Construction Lead with input from Design Lead and Project Manager	<p>This should be undertaken in line with the <i>Contract procedures manual</i> (SM021) and <i>Procurement manual</i>.</p> <p>Depending on the supplier selection method chosen, this could include preparation of full tender documentation for open tender, invitation to tender for closed contest or preparation of a scope of works for direct appointment.</p> <p>If preparing open tender documentation, request the latest templates from the Procurement team: <a href="mailto:procurement@nzta.govt.nz">procurement@nzta.govt.nz</a></p> <p>The Commercial team is available to provide advice during this process.</p>
Internal review of tender documentation.	Project Manager	Project Director, Procurement team and Regional Manager	All tender documentation must be reviewed and approved prior to going out to market.
Organise appropriate insurance and liability levels (where applicable).	Project Manager	Project Manager and Construction Lead	<p>The Project Manager is required to submit their insurance proposal for approval in accordance with the process outlined in section 1.8 of the <a href="#">Contract procedures manual (SM021)</a>.</p> <p>The professional services requirements can be found in section E of the <a href="#">State highway professional services contract proforma manual (SM030)</a>.</p>

Activities	Accountable	Responsible	Detail
Evaluate tenders or offers received.	Project Manager	TET or Construction Lead, with assistance from the Procurement team	<p>Follow the processes set out in the <i>Contract procedures manual</i> (SM021) and <i>Procurement manual</i>, and outlined in the RFT documentation (where relevant).</p> <p>Form tender evaluation team (TET) to undertake tender evaluations following the procedures in SM021.</p> <p>Design Lead should be involved to ensure alignment with scope and objectives. The Commercial team can provide advice during this process.</p> <p>Ensure all evaluation notes and reports are filed appropriately.</p>
Undertake pre-award/pre-letting meeting (if required).	Project Manager	Project Manager and Construction Lead	<p>Meeting to close out any remaining tender tags or clarifications prior to award.</p> <p>Meeting should be minuted, with minutes distributed to attendees and included in the contract documentation.</p>
Award professional services contract.	Project Manager	Project Manager with assistance from the procurement team and Tenders Secretary	<p>This step should be completed as set out in the <i>Contract procedures manual</i> (SM021), the <i>Procurement manual</i>, and the <i>State highway professional services contract proforma manual</i> (SM030).</p> <p>If direct award is used, then use a <a href="#">short form contract agreement</a>.</p> <p>For other contracts, use the <a href="#">standard form contract agreement</a>.</p>
Ensure contract documentation is signed and filed.	Project Manager	Construction Lead	<p>Contract file and record keeping is included in section 6.1 of the <i>Contract procedures manual</i> (SM021).</p> <p>Document signing requirements are included in section 6.2 of the <i>Contract procedures manual</i> (SM021).</p>

Activities	Accountable	Responsible	Detail
Hold a post-award project start-up meeting with Consultant to discuss project and expectations.	Project Manager	Construction Lead with input from Design Lead	
Request and review Consultant's budget, cashflow and programme.	Project Manager	Construction Lead and Project Manager	

## Relevant standards, legislation and manuals

- [Professional services forms, State highway professional services contract proforma manual \(SM030\)](#)
- [Contract procedures manual \(SM021\)](#)
- [Procurement manual](#)

## Helpful tools and resources

- [Procurement manual tools](#)

## Who can help you?

- Engaging with the wider project team and SME groups while producing the procurement plan and tender material will reduce the risk of variations/issues later in the project
- Each Waka Kotahi office has a Tenders Secretary, who has experience in the tendering process and are key people in the administration of the tender process
- For further information on procurement, contact the Procurement team at [procurement@nzta.govt.nz](mailto:procurement@nzta.govt.nz)

## 4.3 Transport property

Property activities ensure property processes progress in parallel to the design process and to ensure that it is incorporated into the overall project programme.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Complete a property strategy.	Project Manager	Consultant and Transport Property team	The Consultant will determine property requirements and then engage with the Transport Property team, who will complete the property strategy. This should include land encumbrances to protect statutory environmental and climate change requirements, for example Emissions Trading Scheme (ETS) compliance.
Complete licence to occupy (LTO) and land entry agreements (third-party land entry).	Project Manager	Transport Property Lead with assistance from Consultant	Contact the Transport Property team to proceed with negotiations by LINZ-accredited service providers. Consultant to provide information package as required.  Allow a timeline of up to six months to get agreement and access to properties.
Update property cost estimates.	Project Manager	Transport Property Lead	These must be produced in line with the <i>Cost estimation manual</i> (SM014).
Communicate with landowners.	Project Manager	Transport Property Lead in conjunction with Communications and Engagement team	Support the Communications and Engagement team with specific Public Works Act 1981 (PWA) queries until required land is confirmed, then the Transport Property team will take the lead with affected landowner relationships.



Activities	Accountable	Responsible	Detail
Liaise with the Transport Property team to undertake property acquisition.	Project Manager	Transport Property team	<p>Once the requirement for property acquisition is identified (in the project business case phase) the Transport Property team will lead the acquisition process. A LINZ-accredited external provider is required to undertake this process.</p> <p>Acquisitions are undertaken pursuant to the Public Works Act 1981.</p> <p>Undertake due diligence on land to be acquired, including checks for statutory compliance risks, for example ETS compliance.</p>
Identify required accommodation works and ensure that these are incorporated into the design and contract document.	Project Manager	Design Lead, Transport Property team and Project Manager	Engage early with the Transport Property team. Once the extent of acquisition is agreed, then work with the Design team to incorporate the accommodation works into the design.
Incorporate property agreement requirements/outcomes into the physical works contract.	Project Manager	Project Manager and Consultant	<p>Engage early with the Transport Property team.</p> <p>Once the property agreements are in place, ensure that they are included in the tender documentation and all requirements set out in the property agreements are incorporated into the physical works contract.</p>
Align project programme with property programme.	Project Manager	Transport Property team and Project Manager	Liaise with the Transport Property team to ensure the property programme is imbedded into the project programme.
Identify properties required for construction. Provide up-to-date construction dates and timelines to the Transport Property team.	Project Manager	Transport Property team	Provide clearance schedule based on construction team deadlines, which should include accommodation works. Include Transport Property team in project meetings on monthly basis.

Activities	Accountable	Responsible	Detail
Ensure that where revocation agreements are required with local authorities, these are in place and any works required are incorporated into the design and physical works contract.	Project Manager	Agreements by Transport Property team, design incorporation by Designer and Construction Lead	Engage early with the Transport Property Lead. Incorporate outcomes into the design and physical works.
Identify all land outside designation that required LTOs during project.	Project Manager	Transport Property team	Identify and discuss project requirements with the Transport Property team, including access during construction, site office, geotechnical engineering, borrow sites, third-party land, and land which will become landlocked during construction.
Get Transport Property team input into detailed design (land-use planning).	Project Manager	Transport Property team	The Transport Property team need to be involved in the design process.

## Relevant standards, legislation and manuals

- [Public Works Act 1981](#)
- [Cost estimation manual \(SM014\)](#)

## Helpful tools and resources

- [Overview of the Waka Kotahi property acquisition and disposal process](#)
- [Guidance on best practice landowner engagement processes \(InfoHub\)](#)
- [SAP Real Estate Module](#)
- [SAP real estate acquisitions and disposals course workbook](#)
- [State highway revocation: policy and guidance](#)

## Who can help you?

- For further information about property, contact the Transport Property team: [property@nzta.govt.nz](mailto:property@nzta.govt.nz)

## 4.4 Consenting

Consenting activities ensure that all environmental effects, required mitigations and statutory requirements have been identified and required consents and designations are in place prior to works commencing.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Set up briefing meeting with Consenting team and ensure that Consenting team member is allocated to the project.	Project Manager	Project Manager, Consenting team and Construction Lead	
Update the consenting strategy for project (as required)	Project Manager	Consenting team and Consultant	Completed by Consenting team and Consultant, with input from the Project Manager.
Undertake an assessment of environmental effects (specialist reports to feed into this document).	Project Manager	Consenting team and Consultant	Specialists are engaged to prepare reports on specific environmental issues relevant to the project. The Consultant uses these reports to compile the assessment of environmental effects, which will be submitted with the NoR and consent applications.
Engage with Heritage New Zealand and archaeological authorities.	Project Manager and Design Manager	Consultant and Construction Lead	
Lodge NoR and gain designation (if required).	Project Manager	Consenting team and Consultant	Documentation will be compiled by the Consultant, lodgement undertaken by the Consenting team. Seek advice from Legal Advisors as required.
Complete preliminary geotechnical appraisal report and supplement with testing, and factual and interpretive reporting (as required).	Project Manager	Construction Lead and Consultant	Completed by the Design Consultant involving the Consenting team.

Activities	Accountable	Responsible	Detail
Obtain resource consents	Project Manager	Consenting team and Consultant	Completed by the Consultant and reviewed by the Waka Kotahi Planner, as per relevant authority process.
Submit outline plan of works and gain approval.	Project Manager	Consenting team and Consultant	Completed by the Design Consultant, reviewed by a Waka Kotahi planner as per relevant authority process. All approvals will be in Waka Kotahi NZ Transport Agency's name.
Obtain and upload resource consent conditions into CS-VUE	Project Manager	Consenting team and Consultant	

## Helpful tools and resources

- [Consenting and consent compliance](#)
- [Consent Compliance Management System \(CS-VUE\) guidance \(OnRamp\)](#)
- [Heritage guidance](#)

## Who can help you?

- You can seek advice from your regional manager or direct manager
- For further information on consenting, contact the Consenting team: [environmentalplanning@nzta.govt.nz](mailto:environmentalplanning@nzta.govt.nz)
- For further information on environmental planning, contact the Environmental Planning team: [environmentalplanning@nzta.govt.nz](mailto:environmentalplanning@nzta.govt.nz)
- For advice on heritage and archaeology, contact the Environment and Sustainability team: [environment@nzta.govt.nz](mailto:environment@nzta.govt.nz)

## 4.5 Stakeholder engagement

Stakeholder engagement activities ensure that engagement and communications related to the project are effective. This is essential for managing risks and opportunities on a project, and protecting and enhancing the reputation of Waka Kotahi. In this phase the stakeholder engagement plan is reviewed and updated. Engagement with key stakeholders, including iwi partners, is undertaken to inform the design process. This can include cultural values and impact assessments, and identification of risks and opportunities with the aim of ensuring stakeholder buy-in to the final design solution.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Brief Communications and Engagement team on project and ensure that a Communication and Engagement team member is allocated to the project.	Project Manager	Communications and Engagement Lead, Construction Lead and Design Lead	
Update the communications and engagement management plan and stakeholder map.	Project Manager	Communications and Engagement team with support from the Project Manager	To be undertaken in line with the <i>Public engagement guidelines</i> and <i>Z/17 Branding and communications standard</i> .  <a href="#">Communications and engagement strategy template (InfoHub)</a>

Activities	Accountable	Responsible	Detail
<p>Undertake iwi engagement, agree cultural mitigations required and feed outputs into design process.</p> <p>Complete relationship agreement template.</p>	Project Manager	Māori Partnerships team, with support from the Project Manager and Construction Lead.	<p>This will be undertaken by an Iwi Engagement Advisor overseen by the Te Matangi Māori Partnerships team or an external specialist employed at project cost. They will be supported by the Communications and Engagement team.</p> <p><a href="#">Relationship agreement template (InfoHub)</a></p> <p>Engagement during this phase may include the following:</p> <ul style="list-style-type: none"> <li>• update Māori engagement plan</li> <li>• regular hui</li> <li>• completion of cultural impact assessment and/or cultural values assessment, archaeology authorisations and cultural mitigation plan</li> <li>• enable employment and social opportunities, previously identified, through procurement</li> <li>• completion of Māori values in design</li> <li>• agreement of protocols for archaeology and cultural monitoring.</li> </ul>
<p>Implement communications and engagement management plan throughout pre-implementation phase.</p>	Project Manager	Communications and Engagement team, with support from the Project Manager, Construction Lead and Consultant	<p>Refer to the <i>Public engagement guidelines</i> and Māori Engagement Framework.</p> <p>Generally, engagement during the pre-implementation phase will be at the inform level as we go through the statutory process. This is because wider public engagement would have been undertaken as part of the option selection and analysis during the project business case phase. However, engagement with individual affected parties and submitters will be at an involve/ collaborate level.</p>

Activities	Accountable	Responsible	Detail
Respond to ministerial, media and public enquiries and complaints.	Project Manager	Communications and Engagement team, with support from the Project Manager, Construction Lead and Consultant	As per the communications and engagement management plan and under guidance from the Communications and Engagement team.  Ensure appropriate delegations are followed for ministerial and media inquiries.

## Relevant standards, legislation and manuals

- [Z/19 Taumata Taiao – environmental and sustainability standard](#)
- [Z/17 Branding and communications standard](#)

## Helpful tools and resources

- [Stakeholder mapping chart template \(InfoHub\)](#)
- [Hononga ki te Iwi – Our Māori Engagement Framework](#)
- [Engaging with Māori \(OnRamp\)](#)
- [Te Mātangi – Māori Partnerships \(OnRamp\)](#)
- [Māori and Waka Kotahi NZ Transport Agency](#)
- [Stakeholder mapping \(OnRamp\)](#)
- [Stakeholder mapping guide \(InfoHub\)](#)
- [Public engagement guidelines](#)
- [Engagement guidance](#)
- [Guide to assessing social impacts for state highway projects](#)
- [Project Control Framework – communication and stakeholders engagement \(InfoHub\)](#)

## Who can help you?

- For further information on engagement, contact your regional communications and engagement lead

## 4.6 Design management and reviews

Design management and review activities ensure that the design process is well managed, and the required reviews are undertaken during the design process. The overall aim is ensuring quality, safe outcomes that meet current statutory and regulatory requirements.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Review approved business case to ensure design philosophy and engagement are in line with approved business case and project objectives.	Project Manager	Project Manager and Construction Lead	
Create design philosophy statement.	Project Manager	Construction Lead and Consultant	
Review and approve Consultant's quality management plan.	Project Manager	Construction Lead	
Oversee design process to produce design that achieves the project objectives.	Project Manager	Construction Lead	Review against contract requirements.
Review and approve structure options reports and structure design statements (if required).	Project Manager	Consultant and SMEs with input from and Construction Lead.	
Confirm technical specifications with internal technical specialists, and engage throughout design process to ensure these are achieved.	Project Manager	Construction Lead	
Ensure that geotechnical testing is undertaken as required during the design process.	Project Manager	Design Lead	



Activities	Accountable	Responsible	Detail
Engage a Consultant to undertake preliminary design Safe System audit.	Project Manager	Construction Lead	<p><a href="#">Professional services short form contract agreement</a></p> <p>To be undertaken in line with the Safe System audit procedures for road safety projects.</p> <p><a href="#">Safe System audit template [docx, 186KB]</a></p>
Engage with utility operators and ensure that utility requirements are included in the design. Negotiate cost share arrangements where appropriate.	Project Manager	Construction Lead	
<p>Undertake a design cost review, as per the <i>Cost estimation manual</i> (SM014). All cost estimates are to be internally peer reviewed (by the Consultant preparing the cost estimate). In addition, depending on the size of the pre-implementation phase estimate and the risk profile, the Project Manager may request an external peer review or independent parallel estimating process. This may be required if the project has changed significantly from the scheme or the project has been completed over many years.</p> <p><b>Pre-implementation estimate 1 (PE1)</b> – Prepared during the pre-Implementation phase prior to detailed design. It is an estimate of the approved project option, updated to include any hearing or Environment Court conditions (for example notice of requirement and/or resource consent).</p> <p><b>Pre-implementation estimate 2 (PE2)</b> – Prepared during the pre-implementation phase once the design has been completed. It is an estimate for the implementation phase, with both the project development and pre-implementation phase costs set to nil.</p>	Project Manager and Construction Lead	Independent Specialist Consultant	<p>Peer reviews can be split into two areas:</p> <ol style="list-style-type: none"> <li>1. Peer reviews of cost estimates (this has a potential secondary component, namely parallel estimate).</li> <li>2. Peer reviews of activities such as studies, strategies, scheme assessments, economic evaluations and reviews of other professional advice such as risk, procurement, geotechnical and structural.</li> </ol> <p>The general procedure for conducting peer reviews is:</p> <ol style="list-style-type: none"> <li>1. Develop the review brief and document review request.</li> <li>2. Engage reviewer and agree brief and time frame.</li> <li>3. Receive review report and check it complies with brief.</li> <li>4. Discuss its findings with appropriate parties and document agreed course of action.</li> <li>5. Ensure agreed course of action is implemented.</li> <li>6. Retain and file review request brief, review report, and agreed actions and follow-up notes.</li> </ol> <p><a href="#">Professional services short form contract agreement</a></p> <p>Cost reviews are to be undertaken as per the <i>Cost estimation manual</i> (SM014).</p>

Activities	Accountable	Responsible	Detail
<p>Undertake a design review. The Project Manager may consider it appropriate to undertake formal external or informal internal peer reviews of the following technical areas:</p> <ul style="list-style-type: none"> <li>• geotechnical investigation</li> <li>• geometric design</li> <li>• structural design</li> <li>• pavement design</li> <li>• risk management</li> <li>• traffic signals</li> <li>• environmental aspects</li> <li>• integrated planning/travel demand management</li> <li>• other technical areas as required.</li> </ul> <p>Where a project includes alteration to existing signals or installation of new signals, it is good practice to include peer review by an experienced designer/operator of traffic signals.</p>	Project Manager and Construction Lead	Specialist Consultant	<p>Structural design reviews must be undertaken as per section A4.7 of the <i>Highway structures design guide</i>.</p> <p>For internal SME reviews, complete the <a href="#">internal review request form [doc, 145KB]</a>.</p>
<p>Engage a Consultant to undertake a detailed/specimen design Safe System audit.</p> <p>The detailed-design Safe System audit relates to all aspects of the design. It represents the last opportunity to ensure a safe project outcome – after this correction of any safety issues can become a costly, protracted task, and potentially involve dispute or litigation.</p>	Project Manager	Construction Lead	<p><a href="#">Professional services short form contract agreement</a></p> <p>To be undertaken in line with the Safe System audit procedures for road safety projects.</p> <p><a href="#">Safe System audit template [docx, 186KB]</a></p>

Activities	Accountable	Responsible	Detail
Hold a safety in design/maintenance workshop, where key risks are identified and eliminated and/or mitigated where possible.	Project Manager	Design Consultant with input from the Construction Lead and the M&O team	
Hold a constructability workshop.	Project Manager	Design Consultant, Construction Lead	
Confirm compilation of inspection, sampling and test requirement schedules for transfer into implementation phase.	Project Manager	Construction Lead	To be completed in line with <i>Z/8 Standard for inspection, sampling and testing</i> .
Identify delivery alignment opportunities to optimise the M&O programme before the implementation phase.	Project Manager	Construction Lead and M&O team	Engage with M&O team throughout design process.
Identify and agree any necessary departures from standard specifications as appropriate.	Project Manager	Construction Lead	<a href="#">Departures template (InfoHub)</a>
Ensure property agreement outcomes, accommodation works, and revocation agreement requirements are incorporated into the design.	Project Manager	Construction Lead	
Ensure design meets agreed scope and is in line with the approved business case.	Project Manager	Construction Lead	Throughout the design process regularly review the design deliverables against the design contract, agreed scope, and approved business case.

## Relevant standards, legislation and manuals

- [Contract procedures manual \(SM021\)](#)
- [State highway professional services contract proforma manual \(SM030\)](#)
- [Z/8 Standard for inspection, sampling and testing](#)
- [Cost estimation manual \(SM014\)](#)
- [Health and safety in design minimum standard](#)

## Helpful tools and resources

- [Safe System audit procedures for transport projects](#)
- [Highways structures design guide](#)
- [Departures cover sheet \(InfoHub\)](#)
- [Departures flow diagram \(InfoHub\)](#)
- [Departures process description \(InfoHub\)](#)
- [SM011 Peer review document \(InfoHub\)](#)
- [State highway revocation: policy and guidance](#)

## Who can help you?

- Waka Kotahi has a number of independent professional advisors available to project managers
- For advice on quality assurance, contact [gafeedback@nzta.govt.nz](mailto:gafeedback@nzta.govt.nz)
- For road safety advice, contact: [trafficandsafety@nzta.govt.nz](mailto:trafficandsafety@nzta.govt.nz)

## 4.7 Professional services procurement (Engineer to Contract)

Professional services procurement activities ensure that a Consultant/person with a suitable skill and experience level is engaged to undertake the role of Engineer to Contract.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Complete a request for approval to commence procurement process (SM021 appendix 1).	Project Manager	Project Manager	<p><a href="#">Request for approval to commence procurement process form [dotx, 175KB]</a></p> <p>Ensure appropriate delegations are followed in approval.</p>
Obtain contract number from the Tenders Secretary.	Project Manager	Tenders Secretary and Project Manager	Email your regional Tenders Secretary to be allocated a contract number, or obtain via the Teams channel.
Prepare procurement documentation.	Project Manager	Design Lead and Project Manager	<p>This should be undertaken in line with the <i>Contract procedures manual</i> (SM021) and the <i>Procurement manual</i>.</p> <p>This role will likely be procured via direct appointment, therefore a scope of works will be required to allow for offer of service and price submission.</p>
Evaluate offer of service and price submission.	Project Manager	Design Lead or TET with assistance from the Procurement team	Follow the process set out in the <i>Contract procedures manual</i> (SM021) and <i>Procurement manual</i> .
Award professional services contract.	Project Manager	Design Lead with assistance from the Procurement team and Tenders Secretary.	<p>As this will be direct award, a <a href="#">short form contract agreement</a> will be used.</p> <p>Ensure appropriate delegations are followed while awarding contracts.</p>

Activities	Accountable	Responsible	Detail
Ensure contract documentation is signed and filed.	Project Manager	Project Manager and Design Lead	Contract file and record keeping is included in section 6.1 of the <i>Contract procedures manual</i> (SM021).  Document signing requirements are included in section 6.2 of the <i>Contract procedures manual</i> (SM021).
Hold a post-award/project start-up meeting to discuss expectations and how the project will be managed.	Project Manager	Design Lead and Project Manager	

## Relevant standards, legislation and manuals

- [Professional services forms, State highway professional services contract proforma manual \(SM030\)](#)
- [Contract procedures manual \(SM021\)](#)
- [Procurement manual](#)

## Helpful tools and resources

- [Procurement manual tools](#)

## Who can help you?

- Each Waka Kotahi office has a Tenders Secretary, who has experience in the tendering process and are key people in the administration of the tender process
- For assistance with the tender process, probity issues or any other non-standard tender query, contact the Procurement team at the Waka Kotahi National Office: [procurement@nzta.govt.nz](mailto:procurement@nzta.govt.nz)

## 4.8 Physical works procurement

Pre-implementation physical works procurement activities prepare the documentation for the tender process and obtain the required approvals prior to moving into the implementation phase. Project Managers need to understand the tender process and ensure that the tender documents are fit for purpose, easy to administer and attract tenderers with the right attributes.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Complete request for approval to commence procurement process.	Project Manager	Construction Lead	<a href="#">Request for approval to commence procurement process form [dotx, 175KB]</a>
Prepare procurement plan/strategy.	Project Manager	Construction Lead with input from Procurement Manager	Physical works procurement should be undertaken in line with the <i>Contract procedures manual (SM021)</i> , <i>State highway construction contract proforma manual (SM031)</i> and the <i>Procurement manual</i> .  Request the latest template from the Procurement team: <a href="mailto:procurement@nzta.govt.nz">procurement@nzta.govt.nz</a>  Also refer to the New Zealand Standard relevant to the contract type, for example NZS3910:2013 or NSZ3916:2013.
Obtain approval of procurement plan/strategy.	Project Manager	Procurement Manager	
Obtain contract number from the Tenders Secretary.	Construction Lead	Tenders Secretary	Email your regional Tenders Secretary to be allocated a contract number, or obtain via the Teams channel.
Complete approval to advertise (SM021 appendix 1).	Project Manager	Construction Lead	As per the <i>Contract Procedures Manual (SM021)</i>

Activities	Accountable	Responsible	Detail
Prepare tender documentation.	Construction Lead	Consultant	To be in line with the <i>Contract procedures manual</i> (SM021), <i>State highway construction contract proforma manual</i> (SM031) and the <i>Procurement manual</i> .  Also refer to the New Zealand Standard relevant to the contract type, for example NZS3910:2013 or NSZ3916:2013.
Internal review of tender documentation.	Project Manager	Project Director, Procurement team and Regional Manager	

## Relevant standards, legislation and manuals

- [Contract procedures manual \(SM021\)](#)
- [State highway construction contract proforma manual \(SM031\)](#)
- [Procurement manual](#)

## Helpful tools and resources

- [Procurement manual tools](#)

## Who can help you?

- Each Waka Kotahi office has a Tenders Secretary, who has experience in the tendering process and are key people in the administration of the tender process
- For assistance with the tender process, probity issues or any other non-standard tender query, contact the Project Services team at the Waka Kotahi National Office: [procurement@nzta.govt.nz](mailto:procurement@nzta.govt.nz)



## 4.9 Contract administration

Contract administration activities ensure that both the principal and the Consultants are fulfilling their contractual obligations and that a positive relationship is built between all parties. Clear and open communication and documentation are key to this relationship and help to ensure that any issues are identified early and actions taken to minimise their impact on the project. Good contract administration also ensures that all contract communications, deliverables and payments are well managed and any disputes are resolved as quickly and easily as possible.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Update contract details in contracts register after award of the contract.	Project Manager	Tenders Secretary	
Prepare contract management plan.	Project Manager	Construction Lead	<a href="#">Contract management plan template (InfoHub)</a>
Set up folder system, and ensure that contract documentation is signed and saved in folder.	Project Manager	Construction Lead	
Review project set up in Planview, SAP and WBS. Update forecasting based on final agreed price.	Project Manager	Senior Portfolio Controls/Project Controls	Review to ensure that all items are correct and up to date for this phase of the project.  Planview change requests made via <a href="#">Planview page (OnRamp)</a> .
Confirm Consultant has required insurances in place.	Project Manager	Construction Lead	Receive copies of Consultant's insurance documentation and confirm they are in line with the contract requirements.

Activities	Accountable	Responsible	Detail
Receive, review and approve Consultant's financial forecasting.	Project Manager	Project Manager and Construction Lead	<p>Ensure adequate funding is available for all costs, including funding for independent reviewer services.</p> <p><a href="#">Finance management, cost estimation and control (PCF chapter) (InfoHub folder)</a></p> <p><a href="#">Planview quick help guide: RAG criteria guideline for project status reporting (InfoHub)</a></p> <p><a href="#">Quick reference guide: project status reporting &amp; Planview reporting (InfoHub)</a></p> <p><a href="#">Planview information (OnRamp)</a></p>
<p>Review Consultant's management plans and agree on pre-implementation quality performance criteria and associated reporting.</p> <p>Ensure management plans are reviewed and updated regularly, for example six-monthly.</p>	Project Manager	Project Manager	<p>Quality management plan (QMP) to be in accordance with <i>Z/01 Minimum standard for quality management plans</i>. It should be regularly updated and should include all key deliverables and methodologies proposed to achieve the required standard and outcomes.</p>
Hold regular contract meetings.	Project Manager	Construction Lead	<p>Hold and minute regular meeting with the Consultant/project team to discuss progress, quality, issues, budget and any other items. These should be held monthly at a minimum, or as agreed.</p>
Review and accept deliverables and reports.	Project Manager	Construction Lead	<p>The Project Manager/Design Lead must understand all the requirements of the contract as detailed in the various specifications, and ensure that the Consultant delivers each of these to the required quality and on time. They should review and/or accept all deliverables and provide comments or concerns within the time frames indicated in the contract.</p>

Activities	Accountable	Responsible	Detail
Track estimates against cashflow and schedule progress. Ensure accrual and forecast information is accurate. Review cashflow forecast.	Project Manager	Project Manager with assistance from and information provided by Consultant	<a href="#">Finance management, cost estimation and control (PCF chapter) (InfoHub folder)</a>
Track and approve payments.	Project Manager	Project Manager with assistance from and information provided by consultant	<p>Review progress claims against services completed and ensure payments made according to the payment schedule.</p> <p>Approve payments in AIP.</p> <p>Track and monitor payments made in SAP.</p> <p><a href="#">SAP Portfolio and Project Management guidance (InfoHub folder)</a></p>
Document all instructions and changes.	Project Manager	Construction Lead	<p>All instructions or changes in scope should be formally issued in writing via a Notice to Consultant. All contract communications should be recorded in a register.</p> <p>The Commercial team can provide advice as required.</p> <p><a href="#">Consultant notice template [doc, 149KB]</a></p>
Review and approve fee variation requests.	Project Manager	Construction Lead	Ensure that the total contract value still fits within the appropriate level of delegated authority.
File all contract records.	Project Manager	Project Manager and Construction Lead	
Undertake consultant PACE reviews.	Project Manager	Construction Lead and Design Consultant	<p>Construction Lead undertakes professional services PACE in consultation with the Consultant.</p> <p><a href="#">PACE evaluation forms [xlsx, 232KB]</a></p>

Activities	Accountable	Responsible	Detail
Review deliverables against the contract.	Project Manager	Construction Lead	Review deliverables received against the contract documentation/agreed scope to ensure they met the required standard and all deliverables are received.

**Only complete activities below if contract ends during this phase**

Confirm receipt of all contract deliverables, including all drawings, registers, intellectual property etc.	Project Manager	Construction Lead	As per contract document.
Complete final PACE evaluation.	Project Manager	Construction Lead	PACE evaluation to be undertaken in line with Z/11 <i>Performance evaluation</i> .  <a href="#">PACE evaluation forms [xslm, 232KB]</a>
Ensure return of any Waka Kotahi supplied equipment such as laptops.	Project Manager	Project Manager	
Complete final payments.	Project Manager	Project Manager	
Notify consultant that the contract is complete.	Project Manager	Project Manager	
Terminate any access agreements in Waka Kotahi systems.	Design Lead	Technology Service Desk	
Close professional services contract file.	Project Manager	Project Manager	
Close out financials in SAP.	Project Manager	Project Controls	

## Relevant standards, legislation and manuals

- [Z/01 Minimum standard for quality management plans](#)
- [Z/44 Risk management practice guide](#)
- [Z/11 Performance evaluation](#)

## Helpful tools and resources

- [Planview information \(OnRamp\)](#)
- [Finance management, cost estimation and control \(PCF chapter\) \(InfoHub folder\)](#)
- [Planview quick help guide: RAG criteria guideline for project status reporting \(InfoHub\)](#)
- [Quick reference guide: project status reporting & Planview reporting \(InfoHub\)](#)
- [SAP Portfolio and Project Management guidance \(InfoHub folder\)](#)

## Who can help you?

- For further information on insurance, email [insurance@nzta.govt.nz](mailto:insurance@nzta.govt.nz)
- For further information on contract management, contact the Procurement team: [procurement@nzta.govt.nz](mailto:procurement@nzta.govt.nz)

## 4.10 Project management

Project management administration activities ensure all relevant reporting is completed and finances are well managed throughout the pre-implementation phase. This allows risks to be identified early and mitigations to be put in place, with the aim of minimising the impacts on the project and key stakeholders.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Review project set up in Planview, SAP, WBS.	Project Manager	Senior Portfolio Controls and Principal Portfolio Advisors	Review to ensure that all items are correct and up to date for this phase of the project.  Planview requests made via <a href="#">Planview page (OnRamp)</a>
Update project financials and forecast (Planview, SAP, TIO, and other relevant reporting requirements such as NZUP).	Project Manager	Project Manager and Construction Lead	
Develop business continuity plan.	Project Manager	Project Manager	<a href="#">Business continuity plan template [docx, 94KB]</a>
Prepare/update risk management plan and register.	Construction Lead	Consultant	Ensure this includes quality-related risks.  If there are high risk/complexity elements to your project it may be helpful to invite relevant SMEs to attend your workshop.  <a href="#">Risk register template [xlsx, 554KB]</a>  <a href="#">Risk management plan template [docx, 145KB]</a>
Agree maintenance responsibilities during construction.	Project Manager	Construction Lead and M&O team	Complete PSF15 form with M&O team.  <a href="#">PSF15 Maintenance responsibilities during construction form</a>

Activities	Accountable	Responsible	Detail
<p>Review insurance requirements for physical works and engage with the insurance team.</p> <p>Submit Insurance Proposal for approval.</p>	Project Manager	Construction Lead	<p>Determine if your project falls under the Waka Kotahi Principal Arranged Insurance (PAI) programme, or if additional insurances will be required.</p> <p>This can be done by reviewing the schedules on the <a href="#">PAI portal</a>.</p> <p>If your project falls outside the parameters covered by the PAI programme, or you are unsure of your project's insurance requirements, contact the Insurance team: <a href="mailto:insurance@nzta.govt.nz">insurance@nzta.govt.nz</a></p> <p>The Project Manager is required to submit their insurance proposal for approval in accordance with the process outlined in sections 1.8 and 1.9 of the <i>Contract procedures manual</i> (SM021).</p> <p>The professional services requirements can be found in section E of the <i>State highway professional services contract proforma manual</i> (SM030).</p>
<p>Monitor funding conditions and outputs against business case objectives.</p>	Project Manager	Design Lead	<p>Substantive scope decisions should be tested against outcomes and objectives.</p>
<p>Track forecasts against cashflow and schedule progress. Ensure accrual and forecast information is accurate.</p>	Project Manager	Project Manager with assistance from and information provided by Consultant	
<p>Update project schedule.</p>	Project Manager	Construction Lead and Project Manager	
<p>Update project control registers in Planview: risks, issues, lessons, decisions and changes.</p>	Project Manager	Project Manager	<p>Ensure quality risks identified during the design phase are transferred to the implementation phase.</p>

Activities	Accountable	Responsible	Detail
Monitor funding conditions.	Project Manager	Project Manager	
Complete monthly reporting.	Project Manager	Project Manager with input from Construction Lead	To be completed in Planview, plus any other programme specific reporting requirements.
Determine what approvals are required for your project based on your programme's funding.			Talk to Investment Advisor for support.
Submit a Request for a VOS decision form, for endorsement and approval by the VOS Committee (if required). Get the request signed by the Project Sponsor.			<a href="#">VOS OnRamp page</a> for request, process and submission details.
Complete cost scope adjustment (if required).	Project Manager	Construction Lead	<a href="#">VOS OnRamp page</a> for request, process and submission details.
Undertake lessons-learned discussion with the Consultant.	Project Manager	Project Manager, Construction Lead and Consultant	This should be an open, two-way discussion with the Consultant about what worked well and what didn't, and any learnings for future projects.  Include other relevant SME as appropriate. Assurance team to record findings.

## Relevant standards, legislation and manuals

- [Z/01 Minimum standard for quality management plans](#)
- [Z/44 Risk management practice guide](#)
- [State highway professional services contract proforma manual \(SM030\)](#)
- [Contract procedures manual \(SM021\)](#)

## Helpful tools and resources

- [Planview information \(OnRamp\)](#)
- [Planview quick help guide: RAG criteria guideline for project status reporting \(InfoHub\)](#)
- [Quick reference guide: project status reporting & Planview reporting \(InfoHub\)](#)
- [Finance management, cost estimation and control \(PCF chapter\) \(InfoHub folder\)](#)

- [Project Planview standards: EPMO guidance on the minimum requirements for projects in Planview \(InfoHub\)](#)
- [Variation request process, procedure and checklist \(InfoHub\)](#)

## Who can help you?

- For assistance with your project continuity plan, email: [resilience@nzta.govt.nz](mailto:resilience@nzta.govt.nz)
- For further information on insurance, email: [insurance@nzta.govt.nz](mailto:insurance@nzta.govt.nz)









# 5. Implementation

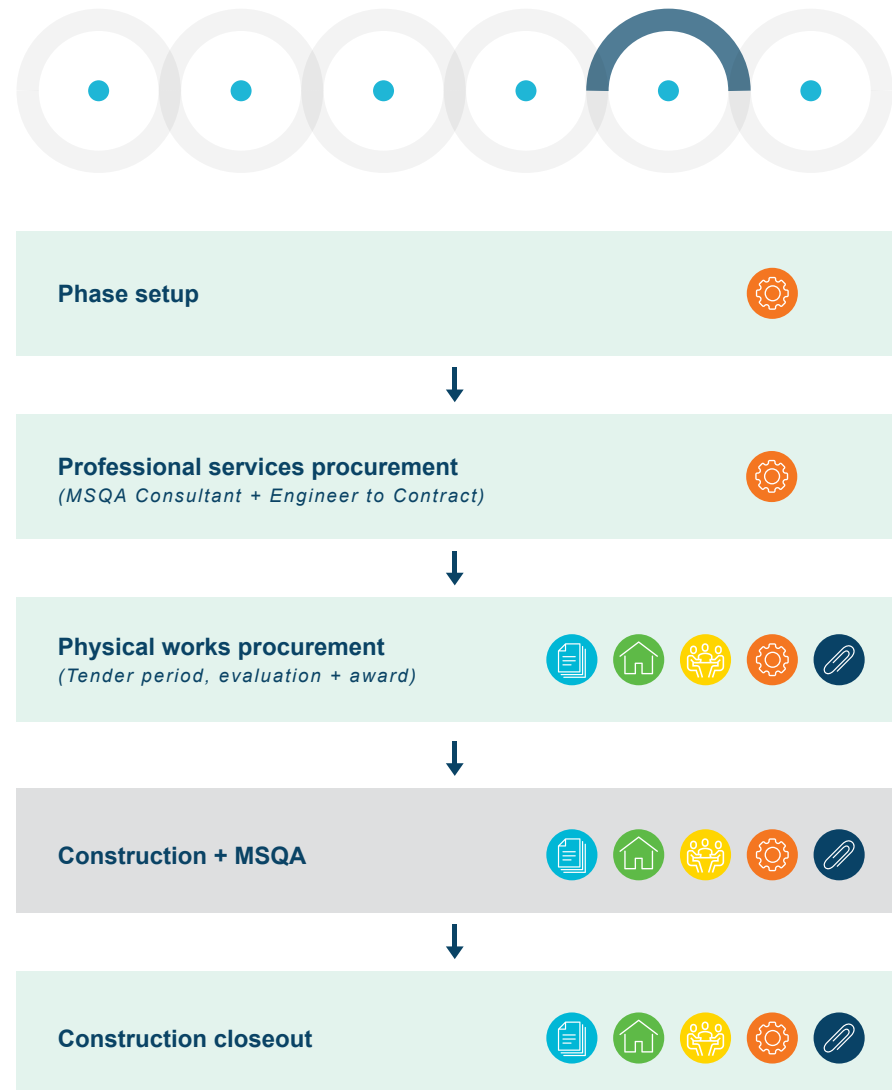
## Phase introduction

This is the construction phase of the project. During this phase the Project Manager oversees the financial forecasting, risk and quality aspects of the construction. This ensures the project is delivered to Waka Kotahi standards and strategic outcomes identified through the business case and design phases are achieved. During this phase the Project Manager works closely with Engineer to Contract, Engineer's Representative, Contractor and key stakeholders to ensure any issues and risks are identified early and are well managed to minimise impact.

### KEY

-  Consenting
-  Transport property
-  Engagement
-  Project management
-  Contract admin
-  Design review

- Task/activity undertaken by PM
- Task undertaken by others but with PM/Waka Kotahi feeding in



## 5.1 Phase setup

Phase setup activities ensure that the required funding, approvals and management plans are in place for the successful implementation of the project.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Review approved implementation phase funding.	Project Manager	Project Manager	
Update the project management plan.	Project Manager	Project Manager	<a href="#">Project management plan template (InfoHub)</a>  Plan should have been prepared during the business case phase and reviewed during pre-implementation. This is a chance to review and ensure that it is up to date for the implementation phase.
Update and re-baseline the project schedule.	Project Manager	Project Manager	
Review and update network operating plan.	Project Manager	Construction Lead	
Review approved implementation phase funding.	Project Manager	Construction Lead and M&O team	

### Helpful tools and resources

- [NLTP project naming guideline \(InfoHub\)](#)
- [InfoHub project folder structure v2.0 \(InfoHub\)](#)

### Who can help you?

- You can seek advice from your Project Sponsor or Director
- For information about project controls, contact your Project Controls Advisor or Senior Portfolio Controls Advisor
- For assistance with project management, contact the Project Management Process team: [projectmanagementprocess@nzta.govt.nz](mailto:projectmanagementprocess@nzta.govt.nz)
- For help with price-level adjustments, visit the [VOS OnRamp page](#)

## 5.2 Professional services procurement (MSQA)

Professional services procurement activities ensure that a Consultant with a suitable skill and experience level is engaged to undertake the role of Engineer's Representative and management, surveillance and quality assurance (MSQA) and ensure that value for money is being achieved while procuring professional services.

**Note:** In some cases the Design Consultant may undertake the MSQA under their existing contract. In others a separate Consultant will be engaged.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Complete request for approval to commence procurement process.	Project Manager	Construction Lead	
Complete procurement plan/strategy.	Project Manager	Construction Lead, with assistance from the Procurement team and Project Manager	Professional services procurement must be undertaken in line with the <i>Contract procedures manual</i> (SM021), <i>State highway professional services contract proforma manual</i> (SM030) and the <i>Procurement manual</i> .  Request the latest template from the Procurement team: <a href="mailto:procurement@nzta.govt.nz">procurement@nzta.govt.nz</a>
Receive approval of procurement plan/strategy.	Project Manager	Procurement Manager (or Senior Procurement Manager depending on value/complexity)	
Obtain contract number from the Tenders Secretary.	Project Manager	Tenders Secretary	Email your regional Tenders Secretary to be allocated a contract number, or obtain via the Teams channel.
Complete approval to advertise (SM021 appendix 1).	Project Manager	Construction Lead	As per the <i>Contract Procedures Manual</i> (SM021)

Activities	Accountable	Responsible	Detail
Prepare tender documentation.	Project Manager	Construction Lead	Undertake in line with the <i>Contract procedures manual</i> (SM021), <i>State highway professional services contract proforma manual</i> (SM030) and the <i>Procurement manual</i> .
Internal review of tender documentation.	Project Manager	Project Director, Regional Manager, Procurement Manager and Project Sponsor	
Advertise contract.	Project Manager	Tenders Secretary	As per the <i>Contract Procedures Manual</i> (SM021)
Provide RFT to Tenders Secretary so that copies can be made available for tenderers.	Project Manager	Tenders Secretary	
Organise appropriate insurance and liability levels (where applicable).	Project Manager	Construction Lead	<p>The Project Manager is required to submit their insurance proposal for approval in accordance with the process outlined in sections 1.8 and 1.9 of the <i>Contract procedures manual</i> (SM021). Relevant insurance approval request forms can also be found in the <a href="#">appendices to SM021</a>.</p> <p>The professional services requirements can be found in section E of the <i>State highway professional services contract proforma manual</i> (SM030).</p>
Provide response to any tender queries.	Project Manager	Project Manager, with assistance from Tenders Secretary	As per the <i>Contract procedures manual</i> (SM021) and <i>Procurement manual</i> .

Activities	Accountable	Responsible	Detail
Lead or participate in tender process.	Project Manager	Construction Lead with assistance from the Procurement team	To be undertaken as per the <i>Contract procedures manual</i> (SM021), <i>State highway professional services contract proforma manual</i> (SM030) and the <i>Procurement manual</i> .
Award professional services contract.	Project Manager	Procurement team with assistance from the Construction Lead and Tenders Secretary	To be undertaken as per the <i>Contract procedures manual</i> (SM021), <i>State highway professional services contract proforma manual</i> (SM030) and the <i>Procurement manual</i> .

## Relevant standards, legislation and manuals

- [Professional services forms, State highway professional services contract proforma manual \(SM030\)](#)
- [Contract procedures manual \(SM021\)](#)
- [Procurement manual](#)

## Helpful tools and resources

- [SM030 professional services forms](#)
- [Procurement manual tools](#)

## Who can help you?

- Each Waka Kotahi office has a Tenders Secretary, who has experience in the tendering process and are key people in the administration of the tender process

## 5.3 Transport property

Property activities include finalising property acquisition and revocation agreements so that construction may progress, and monitoring implementation of property agreement requirements throughout the construction process. On completion of the construction work it will involve disposal, revocation and legalisation actions as required. The Project Manager will work closely with the Transport Property team to achieve these activities.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Finalise any additional property acquisition and agreements or outstanding compensation.	Project Manager	Transport Property team	Engage with the Transport Property team.
Incorporate property agreement requirements/outcomes into the physical works contract.	Project Manager	Project Manager and Consultant	Engage with the Transport Property team. Consultant to include in contract or instruct works as a variation to the contract.
Finalise license to occupy (LTO) for land outside designation during construction on Waka Kotahi land.	Project Manager	Transport Property team	Issue LTOs for Waka Kotahi-owned land.
Transfer property to the project.	Project Manager	Transport Property team	At contract award the property to be handed over to project including: vacant possession, services connections, rates, removal of infrastructure, and management of landlocked land.
Undertake land-use planning (detailed/final design).	Project Manager	Transport Property team	Engage early with the Transport Property Lead.
Undertake agreed property works during the construction phase.	Project Manager	Contractor	As per property agreements.
Close out property agreements and complete contractor clearances.	Project Manager	Transport Property team	Via third-party agreements/accommodation works sign-off.

Activities	Accountable	Responsible	Detail
Completion and/or sign-off of property contract agreements.	Project Manager	Transport Property team	Waka Kotahi-owned property agreements and accommodation works sign-off.
Complete survey and legalisation.	Project Manager	Transport Property team	Engage early with the Transport Property Lead.
Complete hand back documents for property returning from the project to Waka Kotahi Transport Property team.	Transport Property team	Project Manager	Hand-back requirements include: <ul style="list-style-type: none"> <li>condition report for Crown-owned land under designation</li> <li>physical handover of property including any keys.</li> </ul>
Close out LTOs.	Project Manager	Transport Property Lead	
Undertake property disposal.	Transport Property Lead	Transport Property Lead	Engage early with the Transport Property Lead.

## Relevant standards, legislation and manuals

- [Public Works Act 1981](#)

## Helpful tools and resources

- [Overview of the Waka Kotahi property acquisition and disposal process](#)

## Who can help you?

- For further information about property, contact the Transport Property team: [property@nzta.govt.nz](mailto:property@nzta.govt.nz)

## 5.4 Consenting

Consenting activities ensure that all environmental effects are being mitigated and statutory requirements are being met throughout the construction works.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Ensure that all consent conditions are being met throughout the construction period and required documentation is collected for submission.	Project Manager	Construction Lead with support from Consenting team	Ensure the project team and contractors meet the full suite of environmental management compliance requirements and conditions. Be aware that this includes statutory requirements such as Emissions Trading Scheme compliance and climate change adaption requirements.
Complete ongoing consent management in CS-VUE.	Project Manager	Construction Lead with support from Consenting team	Refer to consent documents for conditions. Confirm all tasks complete before payment release and handover to next phase.

### Helpful tools and resources

- [Consenting and consent compliance](#)
- [Consent compliance management system \(CS-VUE\) guidance \(OnRamp\)](#)

### Who can help you?

- You can seek advice from your regional manager or direct manager
- For further information on consenting, contact the Consenting team: [environmentalplanning@nzta.govt.nz](mailto:environmentalplanning@nzta.govt.nz)



## 5.5 Stakeholder engagement

Stakeholder engagement activities throughout the implementation phase ensure that all communications are well managed and all stakeholders and partners, including iwi, are kept well informed throughout the construction works to an appropriate level and in a timely manner.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Prepare/update the customer and stakeholder engagement management plan (CSEMP) and communications and engagement strategy.	Project Manager	Communications and Engagement team.	To be undertaken in line with the <a href="#">Public engagement guidelines</a> and <a href="#">Z/17 Branding and communications standard</a> .  <a href="#">Communications and engagement strategy template (InfoHub)</a>
Prepare/update Māori engagement plan.	Project Manager	Communications and Engagement team with support from the Construction Lead	Review the Māori engagement framework and then develop an engagement plan for the project that will consider and document how Waka Kotahi will engage with Māori over the course of the project.  <a href="#">Relationship agreement template (InfoHub)</a>  During this phase the following engagement should be considered: <ul style="list-style-type: none"> <li>• kaitiaki cultural induction and karakia.</li> <li>• identifying employment, commercial and social opportunities that could be realised in construction.</li> <li>• kaitiaki monitoring.</li> </ul>

Activities	Accountable	Responsible	Detail
Implement CSEMP plan throughout construction process.	Project Manager	Communications and Engagement team and Contractor's Stakeholder Manager	<p>In most instances, engagement during implementation will be at an inform level for the general public. Directly affected parties or stakeholders with an interest greater than the general public will require higher levels of engagement. This can be achieved through meetings and workshops, open days, a project website, social media and newsletters.</p> <p>This will be largely completed by the Communications and Engagement team and the Contractor's Stakeholder Manager/Liaison, with input from the Construction Lead and Consultant.</p> <p>Ensure communications such as new letters are produced frequently to keep interested parties informed.</p>
Implement Māori engagement plan.	Project Manager	Communications and Engagement team and Contractor's Stakeholder Manager.	As per engagement plan.
Work with Communications and Engagement team to provide responses to Official Information Act 1982 (OIA) requests and media queries.	Project Manager	Communications and Engagement team	Responses will be prepared by the Communications and Engagement team, with input from the Media and Official Correspondence teams, Construction Lead, Consultant and Contractor.

## Relevant standards, legislation and manuals

- [Z/19 Taumata Taiao – environmental and sustainability standard](#)
- [Z/17 Branding and communications standard](#)

## Helpful tools and resources

- [Hononga ki te Iwi – Our Māori Engagement Framework](#)
- [Engaging with Māori \(OnRamp\)](#)
- [Te Mātangi – Māori Partnerships \(OnRamp\)](#)
- [Māori and Waka Kotahi NZ Transport Agency](#)
- [Public engagement guidelines](#)
- [Engagement guidance](#)
- [Guide to assessing social impacts for state highway projects](#)

## Who can help you?

- For further information on engagement, contact your regional communications and engagement lead

## 5.6 Physical works procurement

Physical works procurement activities ensure that a Contractor with the necessary attributes is engaged, through the tender process, to undertake construction works to the required standards and timeframe, while providing value for money.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Advertise contract.	Construction Lead	Tenders Secretary	As per <i>Contract Procedures Manual</i> (SM021).
Provide RFT to Tenders Secretary so that copies can be made available for tenderers.	Construction Lead	Tenders Secretary	
Provide response to any tender queries (provided by the Tenders Secretary).	Construction Lead	Construction Manager with assistance from Tenders Secretary	As per <i>Contract Procedures Manual</i> (SM021). The commercial team can provide advise throughout this process.
Form tender evaluation team (TET).	Project Manager	Construction Lead/ Procurement team	As per <i>Contract Procedures Manual</i> (SM021) and the <i>Procurement manual</i> .
Tender evaluation.	Project Manager	TET team.	To be undertaken as per the <i>Contract Procedures Manual</i> (SM021) and the <i>Procurement manual</i> . The commercial team can provide advise throughout this process.
Hold pre-award/pre-letting meeting	Project Manager	Construction Lead/ Project Manager	Pre-award/pre-letting meeting to close out any outstanding tender tags and clarifications. Ensure meeting is minuted, minutes distributed to all attendees and included in the final contract documentation.
Award physical works contract.	Project Manager	Construction Lead with assistance from the Tenders Secretary.	

Activities	Accountable	Responsible	Detail
Review Contractor's insurance documentation	Construction Lead	Contractor (checked by Consultant and filed with Waka Kotahi)	Review Contractor's insurance documentation to ensure that it is current and in line with the conditions of contract.
Ensure contract documentation is signed and filed.	Project Manager	Construction Lead	As per the <i>Contract procedures manual</i> (SM021).

## Relevant standards, legislation and manuals

- [Contract procedures manual \(SM021\)](#)
- [State highway construction contract proforma manual \(SM031\)](#)
- [Procurement manual](#)

## Helpful tools and resources

- [Procurement manual tools](#)

## Who can help you?

- Each Waka Kotahi office has a Tenders Secretary, who has experience in the tendering process and are key people in the administration of the tender process
- For assistance with the tender process, probity issues or any other non-standard tender query, contact the Project Services team at the Waka Kotahi National Office: [procurement@nzta.govt.nz](mailto:procurement@nzta.govt.nz)

## 5.7 Contract administration

Contract administration activities ensure that the principal, Consultants and Contractor are fulfilling their contractual obligations and that a positive relationship is built between all parties. Clear and open communication and documentation are key to this relationship and help to ensure that any issues are identified early and actions taken to minimise their impact on the project. Good contract administration also ensures that all contract communications, deliverables and payments are well managed and any disputes are resolved as quickly and easily as possible.

The Project Manager works closely during this phase with the Engineer to Contract and the Engineer's Representative to administer the construction contract.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Prepare contract management plan.	Project Manager	Construction Lead	<a href="#">Contract management plan template (InfoHub)</a>
Set up folder system, and ensure that contract documentation is signed and saved in folder.	Project Manager	Project Manager and Construction Lead	
Review project set up in Planview, SAP and WBS. Update forecasting based on final agreed price.	Project Manager	Senior Portfolio Controls /Project Controls	Review to ensure that all items are correct and up to date for this phase of the project.  Request made via <a href="#">Planview page (OnRamp)</a> .

Activities	Accountable	Responsible	Detail
<p>Undertake a quality review, including:</p> <ul style="list-style-type: none"> <li>review quality assurance and control resources and structures to suit project specification and requirements</li> <li>review quality risks identified during the design phase to ensure mitigation</li> <li>review Consultant's quality management plan</li> <li>agree any random verification testing requirements</li> <li>agree on quality-related performance criteria</li> <li>agree on quality performance reporting elements and formats to support PACE reviews on quality-related aspects</li> <li>ensure management plans are reviewed and updated regularly, for example six-monthly.</li> </ul>	Project Manager	Construction Lead	<p>Consultant to undertake review of Contractor's management plans, followed by a review of final document by the Construction Lead.</p> <p>Resourcing is to be in accordance with complexity model and competency level requirements for key quality assurance roles, including independent reviewers and testing laboratories.</p> <p>Review against <i>Z/1 Minimum standards for quality management plans</i> and <i>Z/11 Performance evaluation standard</i>.</p>
Ensure insurance is in place prior to works commencing.	Project Manager	Construction Lead	Ensure that insurance certificates provided by the Consultant and Contractor are in line with the contract.
Receive, review and approve consultant and contractor financial forecasting.	Project Manager	Construction Lead	Ensure adequate funding is available for all costs, including funding for independent reviewer services.
Review and accept deliverables and reports.	Project Manager	Construction Lead	Ensure that all contractual deliverables are provided to an appropriate standard.
Track forecasts against allocation and schedule progress. Ensure accrual and forecast information is accurate. Review cashflow forecast.	Project Manager	Construction Lead	

Activities	Accountable	Responsible	Detail
Track and approve payments.	Project Manager	Construction Lead	<p>Review progress claims against services completed and ensure payments made according to the payment schedule.</p> <p>Approve payments in AIP.</p> <p>Track and monitor payments made in SAP.</p>
Document all instructions and changes.	Project Manager	Construction Lead	<p>All instructions or changes in scope should be formally issued in writing via a notice to consultant. (Contractor instructions will be issued by the Engineer to Contract and Engineer's Representative)</p>
Review and approve fee variation requests.	Project Manager	Construction Lead	<p>Review and approve consultant variation requests.</p> <p>The Engineer's Representative will review Contractor's variations and provide financial forecasting that reflects these to the Project Manager.</p> <p>The Commercial team is available to provide advice if required.</p>
File all contract records.	Project Manager	Construction Lead	
Undertake Consultant PACE reviews.	Project Manager	Construction Lead	<p>The Construction Lead undertakes professional services PACE in consultation with the Consultant.</p> <p>PACE evaluation to be undertaken in line with <i>Z/11 Performance evaluation standard</i>.</p> <p><a href="#">PACE evaluation forms [xslm, 232KB]</a></p>



Activities	Accountable	Responsible	Detail
Undertake Contractor PACE reviews.	Construction Lead	Consultant and Construction Lead	<p>The Consultant undertakes physical works PACE in consultation with Contractor and reports back to the Project Manager.</p> <p>PACE evaluation to be undertaken in line with <i>Z/11 Performance evaluation standard</i>.</p> <p><a href="#">PACE evaluation forms [xlsm, 232KB]</a></p>
Review deliverables against the contract.	Project Manager	Construction Lead	Review contractor and consultant deliverables received against the contract documentation/agreed scope to ensure they met the required standard and all deliverables are received.

## Relevant standards, legislation and manuals

- [Z/15 Asset owner's manual](#)
- [State highway professional services contract proforma manual \(SM030\)](#)

## Helpful tools and resources

- [Inspection for practical completion checklist \[doc, 152KB\]](#)
- [Capital project handover checklist](#)
- [Project handover agreement \[doc, 146KB\]](#)

## 5.8 Project management

Project management administration activities ensure all relevant reporting is completed and finances are well managed throughout the implementation phase.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Undertake appropriate risk assessment for scale and complexity of project.	Project Manager	Construction Lead and Consultant	<p>This is to be completed in line with the <i>Z/44 Risk management practice guide</i>.</p> <p>If there are high risk/complexity elements to your project it may be helpful to engage with relevant SMEs.</p>
Complete the implementation estimate (IE).	Project Manager	Construction Lead and Consultant	<p>The IE is an implementation phase cost estimate based on the preferred physical works tender(s), with both the project development and pre-implementation phase costs set to nil. The IE includes escalation and allowance for any information received during the physical works tender process.</p> <p>This is to be completed in line with the <i>Cost estimation manual</i> (SM014).</p>
Update benefit–cost ratio (BCR) once preferred tender price is known.	Project Manager	Design Lead and Construction Lead	Refer to the <i>Monetised benefits and costs manual</i> .
Ensure project is set up in SAP to allow efficient financial management of the physical works and professional services contracts.	Project Manager	Construction Lead with assistance from Project Controls	
Attend start-up meeting between the Consultant and Contractor to introduce the team and ensure all parties understand their roles and responsibilities.	Project Manager	Construction Lead	

Activities	Accountable	Responsible	Detail
Ensure the Contractor adequately complies with Waka Kotahi health and safety requirements.	Project Manager	Construction Lead	Undertake regular site visits to ensure that health and safety requirements are being met.
Ensure insurance is in place prior to works commencing.	Project Manager	Construction Lead	<p>Review insurance proposal completed during pre-implementation phase. Ensure that the project either falls under the Principal Arranged Insurance (PAI) or additional insurance has been arranged through the insurance team.</p> <p>To determine if project is covered by PAI, review the schedules found on the <a href="#">PAI portal</a>.</p> <p>If your project falls outside the parameters covered by the PAI programme, or you are unsure of your project's insurance requirements, contact the Insurance team: <a href="mailto:insurance@nzta.govt.nz">insurance@nzta.govt.nz</a></p>
Ensure cost share agreements are in place with utility owners and payments are made on time. Ensure adequate liaison and coordination takes place.	Project Manager	Construction Lead with assistance from Consultant	
Establish a control budget, including base contingency amounts.	Project Manager	Construction Lead	
Review allocations to determine whether any surplus funds can be released.	Project Manager	Construction Lead	
Track forecasts against allocations and schedule progress. Ensure accrual and forecast information is accurate. Review cashflow forecast.  Produce regular reports.	Project Manager	Construction Lead with assistance from Consultant	Set up implementation phase forecasts against each cost code, monthly for current year and annually for future years. Track actual costs against the forecast costs.

Activities	Accountable	Responsible	Detail
Track and approve actual payments for Consultant, Contractor and Engineer to Contract.	Project Manager	Construction Lead with assistance from Consultant	To be completed in SAP. Ensure reporting line is kept informed of cost and time risks (no surprises escalation).
Manage changes and report on any significant variations.	Project Manager	Construction Lead with assistance from Consultant	Project controls registers are to be updated monthly in Planview: risks, issues, lessons, decisions and changes. Understand delegations rules and where further approvals are required.
Attend project and quality meetings.	Project Manager	Construction Lead with assistance from Consultant	Meetings held between Construction Manager, Consultant, Contractor and Quality Manager (quality meetings).
Update the risk register quarterly. The Project Manager is to ensure this is happening and report on any significant risks.	Project Manager	Consultant and Construction Lead.	<a href="#">Risk register template [xlsx, 554KB]</a> Also update in Planview. If there are high risk/complexity elements to your project it may be helpful to invite relevant SMEs to attend your workshop.
Ensure timely response and resolution to any design ambiguities, errors or emissions to avoid construction delays.	Project Manager	Consultant with assistance from Construction Lead	
Manage contingency based on items identified in the risk register, adjust as the project progresses.	Project Manager	Construction Lead	
Consider the departures process.	Project Manager	Construction Lead	<a href="#">Departures template (InfoHub)</a> <a href="#">Departures flow diagram (InfoHub)</a>

Activities	Accountable	Responsible	Detail
Maintain awareness of potential interdependencies with other projects and their impact.	Project Manager	Construction Lead	Undertake regular communications with internal stakeholders.
Keep relevant asset manager informed of progress during construction and of any concerns arising.	Project Manager	Construction Lead and Asset Manager	Undertake regular communications with internal stakeholders.
On substantial completion of the construction phase, ensure that the project financials are reconciled and release any surplus funding.	Project Manager	Construction Lead	
Ensure project controls are updated on a monthly basis in Planview: risks, issues, lessons learned, decisions and lessons.	Project Manager	Construction Lead	
Regularly update project schedule in Planview.	Project Manager	Construction Lead	
Engage regularly with the Engineer to Contract to ensure they are kept up to date and assist in resolution of disputes should they occur.	Project Manager	Construction Lead	
Complete cost scope/price level adjustment (if required).	Project Manager	Construction Lead	<a href="#">VOS OnRamp page</a> for request, process and submission details.

## Relevant standards, legislation and manuals

- [Z/8 Standard for inspection, sampling and testing](#)
- [Z/11 Performance evaluation standard](#)
- [Z/15 Asset owner's manual](#)
- [Z/44 Risk management practice guide](#)

## Helpful tools and resources

- [SM011 risk process \(InfoHub\)](#)
- [Capital project – maintenance and operations interaction guideline \(InfoHub\)](#)
- [Planview information, including project set-up form \(OnRamp\)](#)
- [Project Planview standards: EPMO guidance on the minimum requirements for projects in Planview \(InfoHub\)](#)
- [Cost control record form \[dotx, 28KB\]](#)
- [Cost control schedules \[dotx, 31KB\]](#)
- [Quick reference guide: project status reporting & Planview reporting \(InfoHub\)](#)
- [Planview quick help guide: RAG criteria guideline for project status reporting \(InfoHub\)](#)
- [Environmental management plan guidance and template](#)
- [Setting up information management in infrastructure projects with alliances and partnerships](#)
- [Information management guide for physical works contractors](#)
- [Information management guide for projects](#)
- [Departures flow diagram \(InfoHub\)](#)
- [Health and safety information for our partners](#)

## Who can help you?

- Contact your SMEs for advice on their specialist areas
- For project controls advice, contact your senior Project Controls team member
- For technical advice, contact your direct manager
- For advice on the project management process, contact the Project Management Process team: [businesscaseprocess@nzta.govt.nz](mailto:businesscaseprocess@nzta.govt.nz)
- For information on the VOS Committee and process, visit the [VOS OnRamp page](#)
- You can contact the Performance Improvement team
- Discuss maintenance and operations with your regional Maintenance and Operations team
- For advice on quality assurance, contact: [QAFeedback@nzta.govt.nz](mailto:QAFeedback@nzta.govt.nz)

## 5.9 Construction closeout

Implementation construction closeout activities ensure the project meets the specifications required to hand over to the Maintenance and Operations team and issue practical completion. On completion of these activities the project can move into the defects liability period.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Agree on handover and closeout requirements and procedures.	Project Manager	Project Manager, Construction Lead and M&O team	To be undertaken in accordance with <i>Z/15 Asset owner's manual</i> and <a href="#">Project handover checklist [doc, 152KB]</a> .
Organise post-construction Safe System audit.	Project Manager	Construction Lead	<a href="#">Professional services short form contract agreement</a> To be undertaken in line with the Safe System audit procedures for road safety projects. <a href="#">Safe System audit template [docx, 186KB]</a>
Organise structural asset inspection.	Project Manager	Construction Lead and Consultant	

Activities	Accountable	Responsible	Detail
Pre-opening inspections.	Project Manager	Construction Lead and Consultant	<p>To be undertaken in accordance with the <i>State highways control manual</i> (SM012).</p> <p>Fit-for-purpose inspection to be undertaken with M&amp;O team and NOC contractor.</p> <p><a href="#">Fit for purpose safety inspection report template [doc. 131KB]</a></p> <p>Undertake inspection of the entire project, identifying any issues or non-conformances. Review and agree remediation of non-compliant works and deviation requests.</p> <p>The Regional Traffic Engineer should be included in this inspection.</p>
Review and settle on remediation of non-compliant works and deviation requests.	Project Director	Project Manager	As per minimum standards <i>Z/1 Minimum standards for quality management plans</i> and <i>Z/8 Standard for inspection, sampling and testing</i> .
Organise review of asset owner's manual and as-built documentation.	Project Manager	Construction Lead and Consultant	
Complete Highway Structure System Information Management System structural data input forms.	Project Manager	Design Consultant	<a href="#">Structural data input forms [doc. 152KB]</a>
Issue practical completion.	Project Manager and Construction Lead	Consultant	Refer to relevant conditions of contract, eg NZS 3910: schedule 15.
Partially release bond in lieu of retentions, or release retentions.	Project Manager	Construction Lead	Refer to conditions of contract for bond or retentions requirements.



Activities	Accountable	Responsible	Detail
Complete operational handover and review maintenance responsibilities during defects liability period.	Project Manager	Construction Lead and M&O team	<a href="#">Project handover agreement [doc, 146KB]</a> <a href="#">Capital project handover checklist</a>
Upload Contractor deliverables into InfoHub, including as-builts, RAMM data, HSIMS, LRMS, construction report, O&M manual.	Project Manager	Construction Lead and Contractor	Once the Contractor deliverables are received, they are provided to the M&O team for review and acceptance.
Hand over asset to the Maintenance and Operations team.	Project Manager	Construction Lead and M&O team	
Hand over communications and engagement records to NOCs (network outcomes contracts).	Project Manager	Communications and Engagement Lead, Stakeholder Manager and M&O team	
Declare surplus funds.	Project Manager	Construction Lead	

## Relevant standards, legislation and manuals

- [Z/15 Asset owner's manual](#)
- [State highway professional services contract proforma manual \(SM030\)](#)
- [State highway control manual \(SM012\)](#)

## Helpful tools and resources

- [Inspection for practical completion checklist \[doc, 152KB\]](#)
- [Capital project handover checklist](#)
- [Project handover agreement \[doc, 146KB\]](#)
- [Safe System audit procedures for transport projects](#)

## Who can help you?







- For road safety advice, contact: [trafficandsafety@nzta.govt.nz](mailto:trafficandsafety@nzta.govt.nz)



# 6. Post-implementation

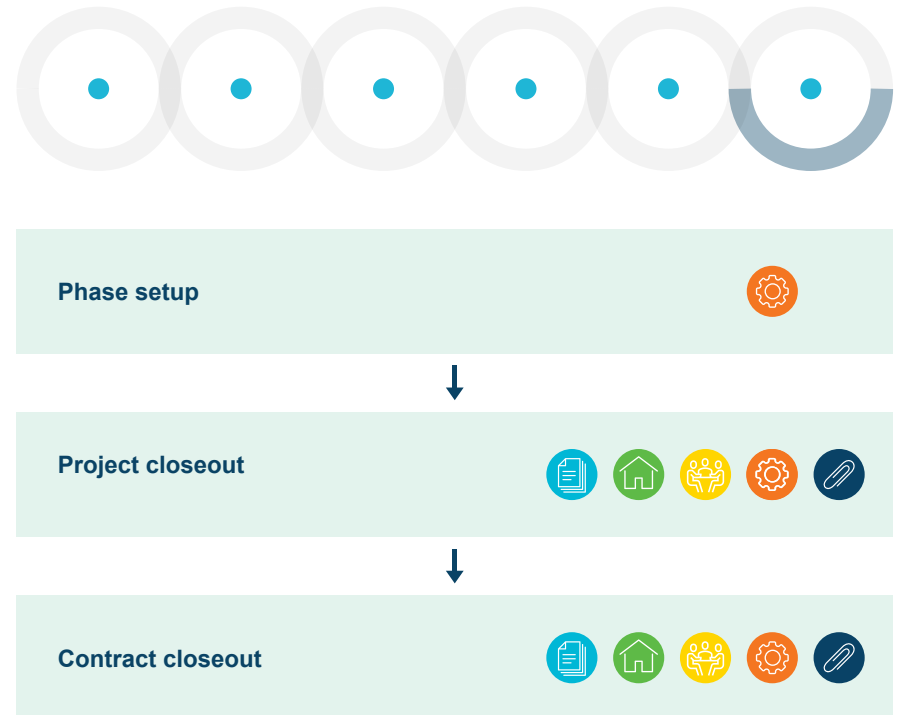
## Phase introduction

Post-implementation phase is the formal project closeout, including finalisation of property agreements and closeout of contracts. All consenting requirements must have been complied with or transitioned to the Maintenance and Operations team. By the end of this phase the final completion certificate will be issued and the completed asset is handed over to the Maintenance and Operations team.

### KEY

-  Consenting
-  Transport property
-  Engagement
-  Project management
-  Contract admin
-  DR Design review

-  Task/activity undertaken by PM
-  Task undertaken by others but with PM/Waka Kotahi feeding in



# 6.1 Phase setup

Phase setup activities ensure that management plans are in place for successful closure of the project.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Update project management plan.	Project Manager	Construction Lead	<a href="#">Project management plan template (InfoHub)</a>
Advise internal stakeholders that project has moved into the post-implementation phase.	Project Manager	Construction Lead	Notify relevant parties, such as the M&O, Risk and Insurance teams.

## 6.2 Property

Final closeout of all outstanding property interests associated with the project.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Complete final sign-off of property survey and legalisation, and project closeout property agreements.	Project Manager	Transport Property Lead	Engage early with the Transport Property Lead.
Develop plans to manage ongoing consent and statutory environmental compliance requirements on project land.	Project Manager	Consenting team	To be undertaken by the Consenting team supported by Transport Property.

### Relevant standards, legislation and manuals

- [Public Works Act 1981](#)

### Helpful tools and resources

- [Overview of the Waka Kotahi property acquisition and disposal process](#)

### Who can help you?

- For further information about property, contact the Transport Property team: [property@nzta.govt.nz](mailto:property@nzta.govt.nz)

## 6.3 Contract closeout

Contract closeout activities ensure that all contract deliverables have been received, final payments completed, and contracts formally closed.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Complete performance reviews for professional services and physical works contracts.	Project Manager	Construction Lead	<p>The Consultant undertakes the physical works PACE in consultation with the Contractor and Project Manager.</p> <p>The Project Manager undertakes the professional services PACE in consultation with the Consultant.</p> <p>PACE evaluation to be undertaken in line with <i>Z/11 Performance evaluation standard</i>.</p> <p><a href="#">PACE evaluation forms [xslm, 232KB]</a>.</p>
Obtain contract deliverables.	Project Manager	Construction Lead	As per contract document requirements. This will include all quality records and information required for M&O purposes. Refer to contract document and <i>Z/8 Standard for inspection, sampling and testing</i> .
Complete final payments for professional services and physical works contracts, including retentions for physical works where applicable.	Project Manager	Construction Lead	
Release bonds for physical works contracts where applicable.	Project Manager	Construction Lead	
Resolve any contingent liabilities or contractual disputes.	Project Manager	Construction Lead	

Activities	Accountable	Responsible	Detail
Notify Consultants that contract is complete.	Project Manager	Construction Lead	
Close professional services and physical works contract files.	Project Manager	Construction Lead	
Ensure all third-party agreements (for example with KiwiRail or utility owners) are closed out.	Project Manager	Construction Lead	Works completed and accepted, final payments made.

## Relevant standards, legislation and manuals

- [Z/8 Standard for inspection, sampling and testing](#)
- [Z/11 Performance evaluation](#)

## 6.4 Stakeholder engagement

Stakeholder engagement activities throughout the post-implementation phase ensure that any outstanding stakeholder issues are closed and all records handed over to the Maintenance and Operations team for future reference.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Tidy up all stakeholder records for the project.	Project Manager and Construction Lead	Contractor's Stakeholder Manager, with support from the Communications and Engagement Lead	
Close out iwi engagement.	Project Manager	Māori Engagement team and Construction Lead	Actions to close out this phase: <ul style="list-style-type: none"> <li>• blessing and karakia</li> <li>• realise employment and social opportunities, including maintenance.</li> </ul>
Handover communications and engagement to the NOCs (network outcome contracts).	Project Manager	Construction Lead, M&O team, Communications and Engagement Lead	

## Relevant standards, legislation and manuals

- [Z/19 Taumata Taiao – environmental and sustainability standard](#)

## Helpful tools and resources

- [Hononga ki te Iwi – Our Māori Engagement Framework](#)
- [Engaging with Māori \(OnRamp\)](#)
- [Te Mātangi – Māori Partnerships \(OnRamp\)](#)
- [Māori and Waka Kotahi NZ Transport Agency](#)
- [Public engagement guidelines](#)
- [Engagement guidance](#)
- [Guide to assessing social impacts for state highway projects](#)

## Who can help you?

- For further information on engagement, contact your regional communications and engagement lead



## 6.5 Consenting closeout

Post-implementation consenting activities close out construction-related consent conditions and environmental compliance requirements. Any ongoing conditions are transitioned to the Maintenance and Operations team.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Engineer to confirm that all designation and consent conditions have been complied with. If any conditions are outstanding, the Engineer must recommend a course of action for their completion, for approval by the Project Manager. This can be included in the defects list or asset owner's manual.	Project Manager	Construction Lead and Consultant	
Check CS-VUE to ensure any outstanding consents for which compliance is expected to occur during construction (not ongoing) are closed out.	Project Manager	Construction Lead and Consultant	
For any structures, ensure the contractor has gained the necessary building consents prior to the structure being made available for public use (a certificate for public use and code of compliance).	Project Manager	Contractor and Consultant	The Contractor and Consultant will organise for the building consent officer to inspect the structure and issue the building consent.
Transition operational consent conditions to M&O.	Project Manager	Construction Lead and M&O team	

### Helpful tools and resources

- [EPMO guidance on the minimum requirements for projects in Planview \(InfoHub\)](#)

### Who can help you?

- You can seek advice from your regional manager or direct manager
- For further information on consenting, contact the

Consenting team: [environmentalplanning@nzta.govt.nz](mailto:environmentalplanning@nzta.govt.nz)

## 6.6 Project closeout

Project closeout activities include issue of the final completion certificate and closeout documentation. Lessons learned are recorded and shared with the wider business to help improve future projects, and the project is formally closed in all Waka Kotahi systems.

ACTIVITIES	ACCOUNTABLE	RESPONSIBLE	DETAIL
Ensure that monthly reporting activities are completed through to the end of the project.	Project Manager	Construction Lead	Reporting to be undertaken in Planview.
Conduct a lessons learned session and enter lessons into Planview lessons learned register.	Project Manager	Construction Lead	<p>This should be an open discussion with the project team (including contractor and consultant) around what worked well and what didn't, to receive feedback, and gather learnings for future projects.</p> <p>Lessons learned are to be recorded in Planview, using the template.</p> <p><a href="#">Lessons learned agenda template (InfoHub)</a></p>
Ensure landscape maintenance is being undertaken and is adequate.	Project Manager	Construction Lead	Refer to the conditions of contract to confirm landscape maintenance period.
Ensure that identified post-construction Safe System audit recommendations are actioned and adequate.	Project Manager	Construction Lead and Road Safety team	Items identified in post-construction Safe System audit, and agreed by the Designer and Project Manager as per the <a href="#">Safe System audit guidelines for transport projects</a> .
Undertake end of defects liability inspections.	Project Manager	Construction Lead and Consultant	
Agree any required remedial works.	Project Manager	Construction Lead and Consultant	

Activities	Accountable	Responsible	Detail
Accept remedial works and issue final completion certificate.	Project Manager	Consultant	
Complete project handover agreement (PMM 6.3i).	Project Manager	Construction Lead and Consultant	<a href="#">Project handover agreement [doc, 146KB]</a>
Complete physical works contract completion notice (PMM 10.2).	Project Manager	Construction Lead	<a href="#">Physical works contract completion notice template [doc, 134KB]</a>
Notify Insurance team that project has been completed.	Project Manager	Project Manager	Email insurance team to notify them that the project has been completed: <a href="mailto:insurance@nzta.govt.nz">insurance@nzta.govt.nz</a>
Document project close report.	Project Manager	Construction Lead	<a href="#">Project close checklist (InfoHub)</a> <a href="#">Project close report template (InfoHub)</a>
Close project in SAP financials.	Project Manager	Construction Lead	
Close project in TIO.	Project Manager	Construction Lead	Contact the EPMO: <a href="mailto:epmo@nzta.govt.nz">epmo@nzta.govt.nz</a>
Close project in Planview.	Project Manager	Construction Lead	

## Helpful tools and resources

- [SAP guide – how to close a project \(InfoHub\)](#)
- [EPMO project close checklist \(InfoHub\)](#)
- [Lessons learned review brochure](#)
- [Lessons learned process \(InfoHub folder\)](#)
- [Quick reference guide: project status reporting & Planview reporting \(InfoHub\)](#)
- [Transport infrastructure projects – Systems Requirements \(nzta.govt.nz\)](#)

## Who can help you?

- For project management advice, contact: [epmo@nzta.govt.nz](mailto:epmo@nzta.govt.nz)
- For further information on insurance, email: [insurance@nzta.govt.nz](mailto:insurance@nzta.govt.nz)

# Appendix 1: Key subject matter expert areas

The list below highlights the key specialist areas where you should consider consulting SMEs.

- Resilience
- Structures
- Intelligent traffic systems (ITS)
- Traffic Operations Centre
- Stormwater
- Environment and sustainability
- Pavements and surfacing
- Geotechnical
- Asset management
- Land transport security
- Tunnels
- Urban design and place making
- Maintenance and operations
- Safety
- Traffic assets
- Commercial team
- Environmental planners
- Quality assurance
- Transport Property