

Vehicle dimensions and mass permitting manual (volume 2)

Part A

Receiving permit applications

Current as at 1 June 2022

Disclaimer

This publication is intended to provide general information about the permitting of vehicles that exceed dimension and mass limits. While every effort has been made to ensure the quality and accuracy of this information, readers are advised that the information provided does not replace or alter the laws of New Zealand, does not replace any legal requirement, and is not a substitute for expert advice applicable to the reader's specific situation. Readers should also be aware that the content in this publication may be replaced or amended subsequent to this publication, and any references to legislation may become out of date if that legislation is amended.

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Record of amendments in this part

Note: Amendments to the *Vehicle dimensions and mass permitting manual* can affect individual or multiple parts in a volume. Gaps in the amendment number in the table below indicate amendments in the other volume. For a complete record of all amendments to the manual, please refer to the 'Record of amendments' at the start of both volumes.

| Amendment to 2nd edition | Description of changes in this part | Effective date |
|--------------------------|--|----------------|
| Amendment 6, release 6 | <p>Applications for 'Same route' or 'New route': Information on route descriptions has been updated following changes to the application form. See <i>Route information</i> in section <i>A4.1 About application attachments</i>.</p> <p>Referring applications for regional processing: Guidelines for checking or changing the region selected on an application have been added. See section <i>A4.10 Referring the application for regional processing</i>.</p> <p>Renewals: Information about acceptable route changes with renewal applications has been added. A new step for checking for additional state highways has been added to the procedure for screening renewal applications. See section <i>A5.1 About higher mass permit renewal applications</i> and the following section.</p> <p>Feasibility applications: The requirements for applicants and what must be checked when screening a feasibility application have been clarified. See section <i>A5.4 Initial screening of higher mass permit feasibility applications</i>.</p> | 1 June 2022 |
| Amendment 6, release 1 | <p>Chapter A2: Conducting operator compliance checks: Procedures updated to reflect current practice (as at effective date) for assessing operator compliance and safety.</p> <p>Chapter A3: Declining a permit application: Procedures updated to clarify:</p> <ul style="list-style-type: none"> • when to return and when to decline an application • when to issue a notice of proposal (NOP) to decline an application, and • the various timeframes that must be observed during the decline process and for conducting a review of an adverse decision. <p>Chapter A4: Screening an HPMV higher mass permit application: The screening procedures in this chapter have been revised to clarify the checks that are done by the Permitting team. Duplication with PIO checks has been removed, for example tow connection and brake mass checks.</p> | 1 August 2021 |

Continued on next page

Record of amendments in this part continued

| Amendment to 2nd edition | Description of changes in this part | Effective date |
|------------------------------------|--|----------------|
| Amendment 6, release 1 (continued) | <p>Checking for an overlength permit: The procedure has been revised following changes to the application form. See section <i>A4.7 Issuing or confirming an overlength permit</i>.</p> <p>Full HPMV network: Information has been added about the full HPMV network and the implications for checking route descriptions. See sections:</p> <ul style="list-style-type: none"> • <i>A4.1 About application attachments</i> • <i>A5.1 About higher mass permit renewal applications</i> • <i>A5.3 About higher mass permit feasibility applications, and</i> • <i>A5.4 Initial screening of higher mass permit feasibility applications.</i> | 1 August 2021 |

Contents

| | See page |
|--|----------|
| Record of amendments in this part..... | A-i |
| Introduction | A-1 |
| Chapter A1: Process overview and general information..... | A1-1 |
| Overview | A1-1 |
| A1.1 How permit applications are received..... | A1-2 |
| A1.2 Overview diagrams of the receiving applications process | A1-4 |
| A1.3 Guidelines for dealing with applicants | A1-8 |
| A1.4 Receiving a new application in the permit portal | A1-9 |
| Chapter A2: Conducting operator compliance checks | A2-1 |
| Overview | A2-1 |
| A2.1 About operator compliance checks | A2-2 |
| A2.2 Overview diagrams of the operator compliance checks..... | A2-5 |
| A2.3 Checking legal eligibility..... | A2-7 |
| A2.4 Doing the initial operator compliance checks | A2-10 |
| A2.5 Making a decision | A2-12 |
| A2.6 Doing extended operator compliance checks | A2-16 |
| Chapter A3: Declining a permit application | A3-1 |
| Overview | A3-1 |
| A3.1 When to return and when to decline a permit application | A3-2 |
| A3.2 Notifying the operator of a proposal to decline a permit application..... | A3-4 |
| A3.3 Declining a permit application..... | A3-6 |
| A3.4 Managing reviews of decisions | A3-8 |

Continued on next page

Contents continued

| | See page |
|---|----------|
| Chapter A4: Screening a new HPMV higher mass permit application | A4-1 |
| Overview | A4-1 |
| A4.1 About application attachments | A4-3 |
| A4.2 Checking for eligibility and completeness..... | A4-6 |
| A4.3 Validating attributes check sheets..... | A4-9 |
| A4.4 Checking GVM and GCM | A4-11 |
| A4.5 Confirming multiple trailers are identical..... | A4-12 |
| A4.6 Checking roll stability | A4-14 |
| A4.7 Issuing or confirming an overlength permit..... | A4-16 |
| A4.8 Attempting to resolve issues with an application..... | A4-19 |
| A4.9 Returning an incomplete or inaccurate application..... | A4-20 |
| A4.10 Referring the application for regional processing..... | A4-21 |
| Chapter A5: Screening higher mass permit renewal and feasibility applications | A5-1 |
| Overview | A5-1 |
| A5.1 About higher mass permit renewal applications | A5-2 |
| A5.2 Initial screening of higher mass permit renewal applications..... | A5-3 |
| A5.3 About higher mass permit feasibility applications | A5-5 |
| A5.4 Initial screening of higher mass permit feasibility applications..... | A5-6 |

Part A: Receiving permit applications

Introduction

| | |
|---------------------------------------|---|
| About this part | <p>This part of the <i>Vehicle dimensions and mass permitting manual</i> (volume 2) describes how the Permitting team at Waka Kotahi NZ Transport Agency receives applications for permits to exceed standard vehicle dimension or mass limits. It explains the initial screening and assessment checks that are done to determine permit eligibility.</p> <p>This part focuses primarily on receiving HPMV permit applications, although some checks (especially the operator compliance checks), are also relevant to other permit types.</p> |
| Purpose | <p>The purpose of this part is to be a ‘how-to’ reference for the initial checking and screening tasks when a permit application is received. It is intended to document best practice and provide transparency of Waka Kotahi processes and procedures.</p> |
| Audience | <p>The main audience for this part is the Permitting team in the Waka Kotahi Palmerston North office.</p> <p>Permit applicants, local road controlling authorities, regional permit issuing officers (PIOs) and compliance and enforcement officers may also be interested in how permit applications are received and initially processed.</p> |
| Policy information in volume 1 | <p>This part should be read in conjunction with the permitting policies described in volume 1 of this manual.</p> <p>Familiarity with the policies in volume 1 helps to:</p> <ul style="list-style-type: none"> • advise permit applicants correctly and refer them to relevant information, and • understand the reasons for and background to the permitting process and procedures. |
| Terminology and abbreviations | <p>Specific terminology and abbreviations are used throughout this manual. For definitions and explanations, see <i>Part I: Definitions and glossary</i> in volume 1.</p> |

Continued on next page

Introduction continued

Systems access and use

The procedures described in this part require access to and familiarity with several systems and databases, including the Permit Issuing and Management System (referred to as the 'permit portal').

This manual assumes familiarity with the permit portal and other systems. It does not give detailed information on how to use the portal or other applications and databases.

If you need access to systems or training, please talk to your manager.

In this part

This part contains the following chapters:

| Chapter | See page |
|---|----------|
| Chapter A1: Process overview and general information | A1-1 |
| Chapter A2: Conducting operator compliance checks | A2-1 |
| Chapter A3: Declining a permit application | A3-1 |
| Chapter A4: Screening a new HPMV higher mass permit application | A4-1 |
| Chapter A5: Screening higher mass permit renewal and feasibility applications | A5-1 |

Chapter A1: Process overview and general information

Overview

About this chapter

This chapter gives an overview of the process for receiving HPMV permit applications.

In this chapter

This chapter contains the following sections:

| Section | See page |
|--|----------|
| A1.1 How permit applications are received | A1-2 |
| A1.2 Overview diagrams of the receiving applications process | A1-4 |
| A1.3 Guidelines for dealing with applicants | A1-8 |
| A1.4 Receiving a new application in the permit portal | A1-9 |

A1.1 How permit applications are received

Where permit applicants can apply

Depending on the permit type, applicants can apply:

- for HPMV and overweight permits, on the Waka Kotahi Heavy Vehicle Permit Portal at hpmvpermits.nzta.govt.nz, or
- for overdimension and HPMV 50MAX permits, on the Waka Kotahi website.

Email applications by exception

In exceptional cases, for example if an applicant has technical issues, Waka Kotahi may accept PDF application forms for HPMV and overweight permits. Applicants can download the PDF application forms from the permit portal and submit them as email attachments.

Where applications are received

The table below gives an overview of where applications for different permit types are received.

| Permit type | Application form is on... | Received where? |
|---|---|--|
| HPMV higher mass (including overlength) | the Heavy Vehicle Permit Portal | Permit portal database (or as a PDF via email in exceptional cases) |
| HPMV 50MAX (including overlength) | Waka Kotahi website | 50MAX inbox |
| Specialist vehicle | <ul style="list-style-type: none"> • Heavy Vehicle Permit Portal, and • Waka Kotahi website | <ul style="list-style-type: none"> • Permit portal database, or • Regional PIO via email |
| Overweight | <ul style="list-style-type: none"> • Heavy Vehicle Permit Portal, and • Waka Kotahi website | <ul style="list-style-type: none"> • Permit portal database, or • Regional PIO via email |
| Overdimension | Waka Kotahi website | OPIA inbox |

About the permit portal

The Permit Issuing and Management System (the 'permit portal') is the central database and management tool for HPMV higher mass, overlength and specialist vehicle permit applications.

The customer-facing part of the system allows applicants to register their company and vehicles, submit permit applications and track the progress of their applications.

All applications and documents submitted in the portal are captured and stored in the portal database.

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A1.1 How permit applications are received continued

About the permit portal (continued)

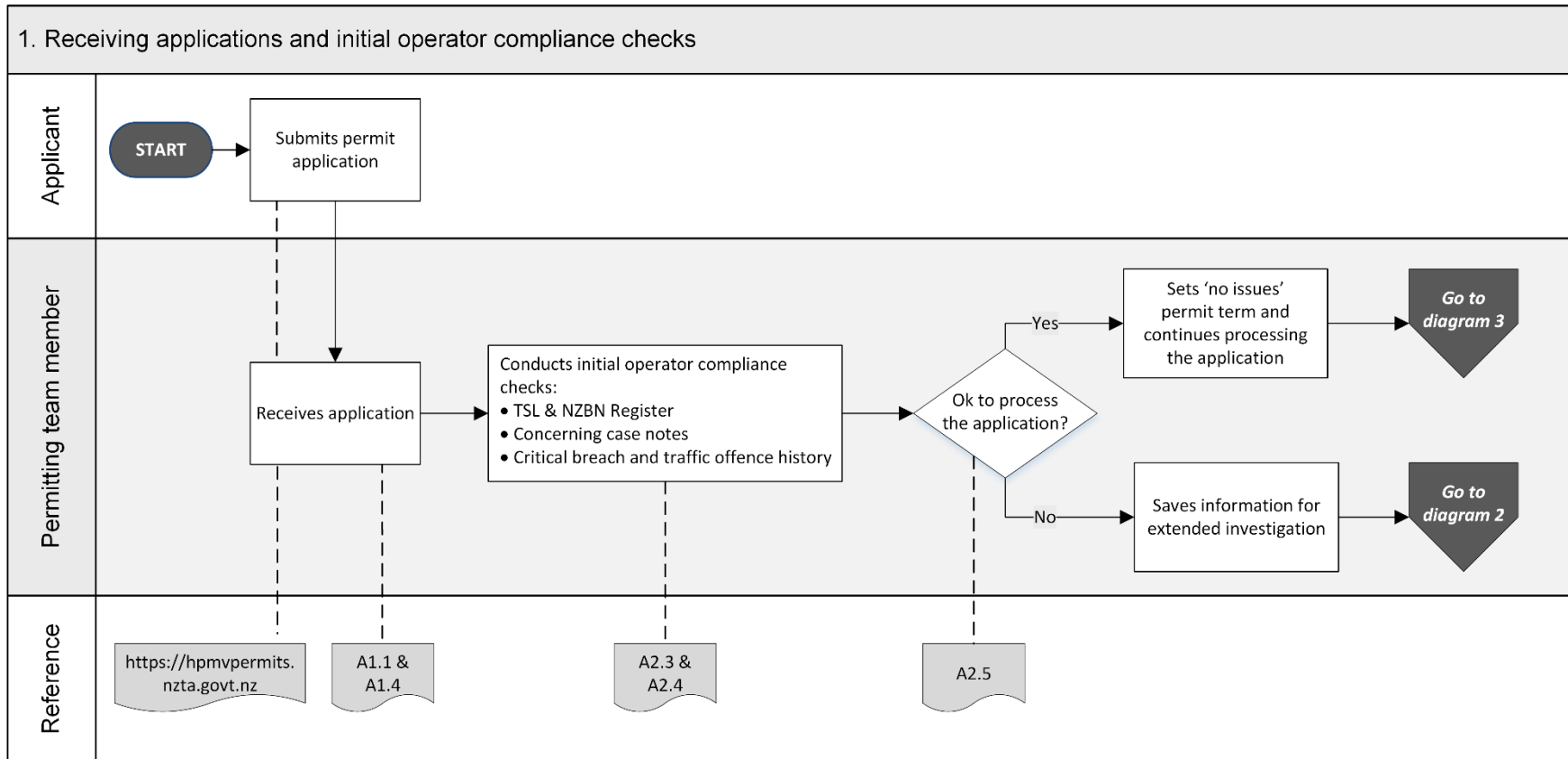
Permitting staff access submitted applications and documents for processing via the workflow and administration interface of the portal. This is where the status of applications gets updated throughout the permitting process.

Overweight permit applications

Overweight permit applications submitted via the portal are automatically forwarded to a regional PIO and require no central screening or processing.

A1.2 Overview diagrams of the receiving applications process

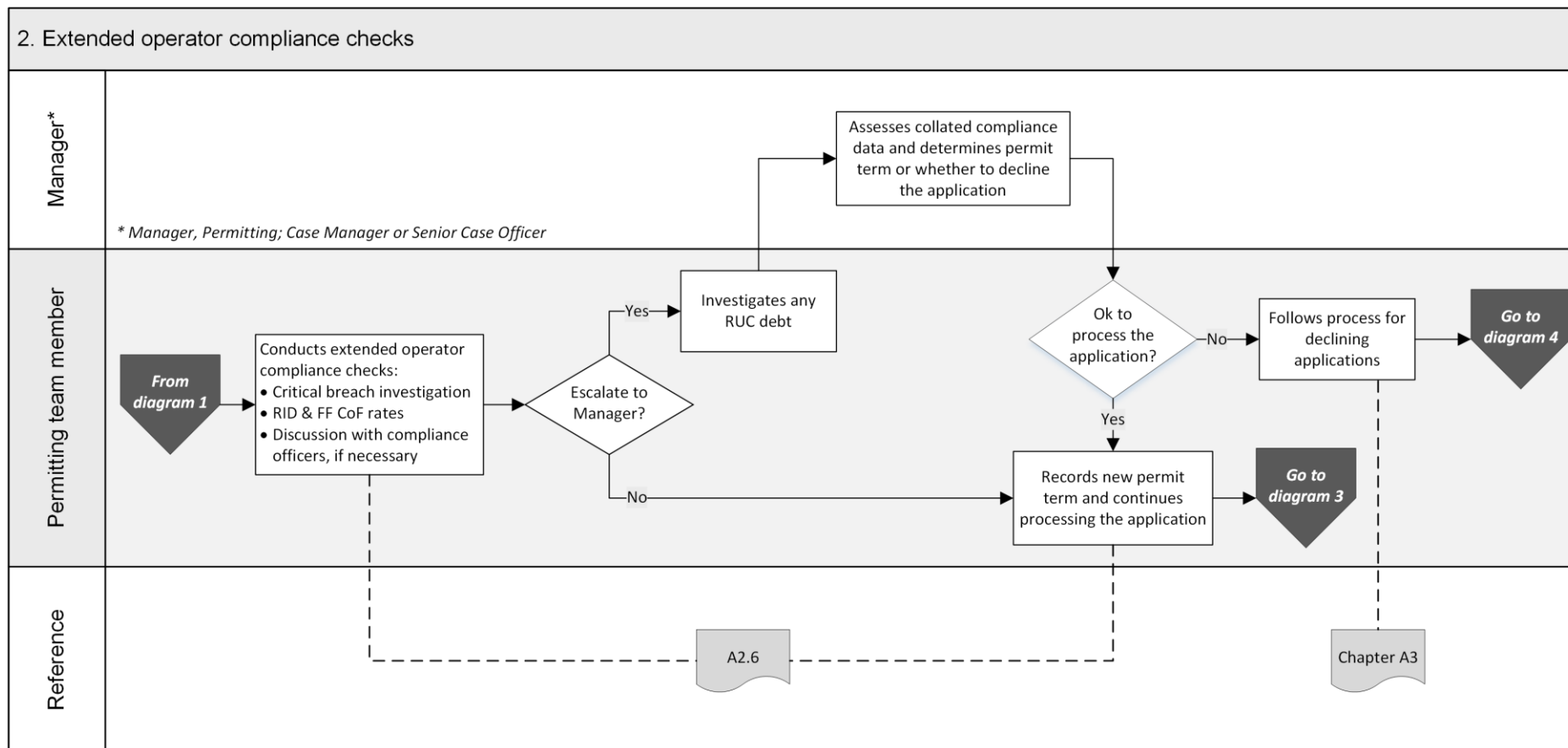
Diagram 1 The diagram below gives a high-level overview of the first stage of the receiving applications process.



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A1.2 Overview diagrams of the receiving applications process continued

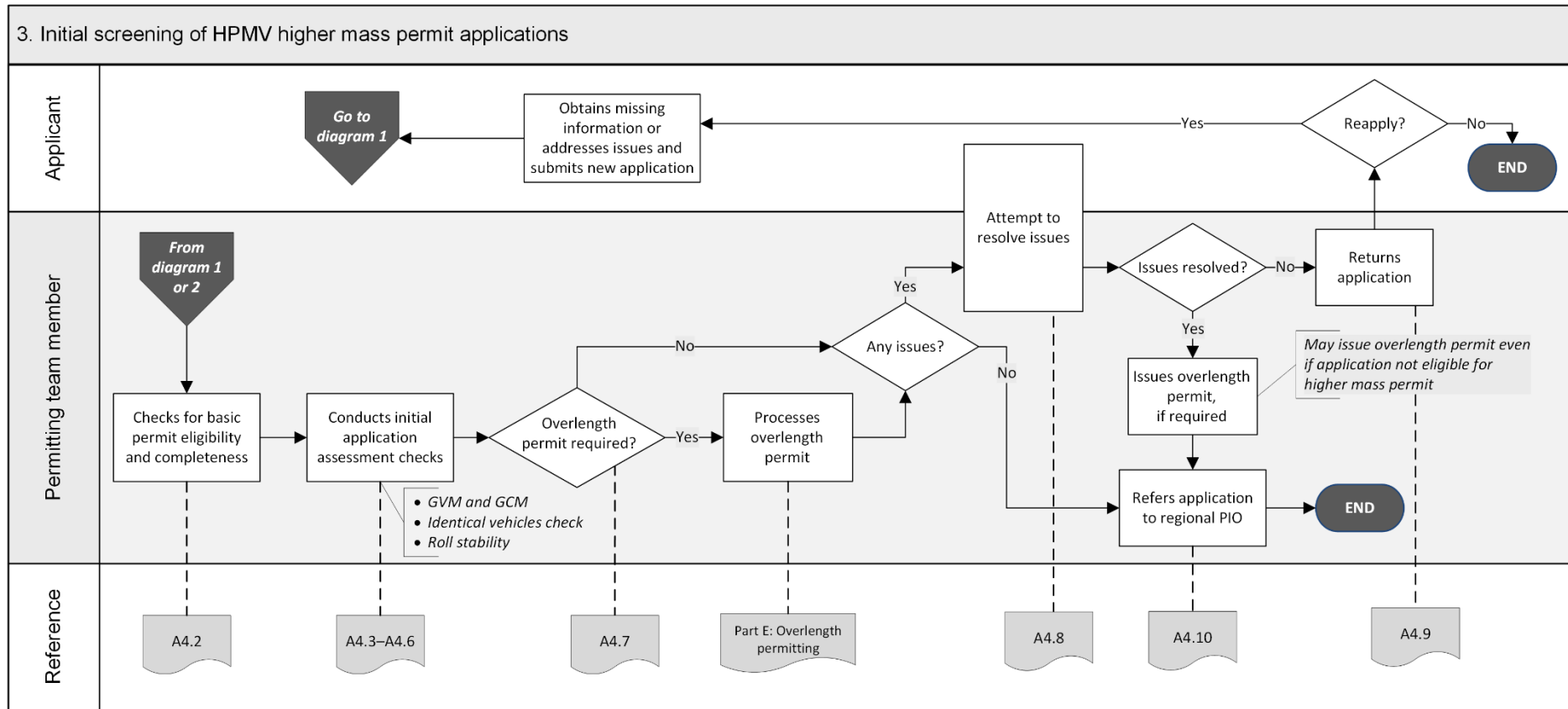
Diagram 2 This diagram illustrates the checks involved in an extended operator compliance investigation.



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A1.2 Overview diagrams of the receiving applications process continued

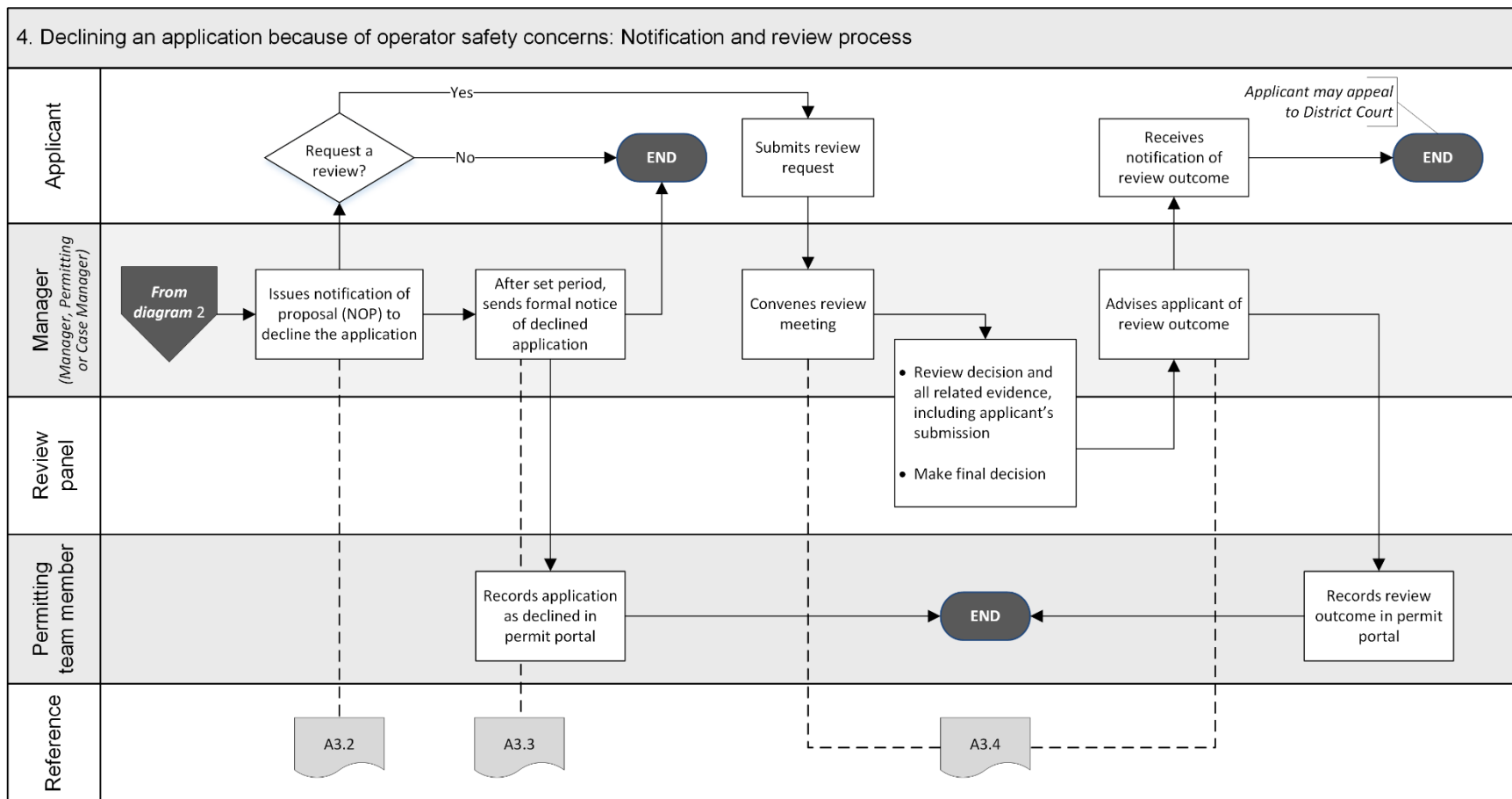
Diagram 3 The diagram below gives an overview of the initial screening tasks for HPMV higher mass permit applications.



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A1.2 Overview diagrams of the receiving applications process continued

Diagram 4 This diagram illustrates the process for declining permit applications because of operator safety concerns and dealing with review requests. **Note:** Declining applications on legal or technical grounds does not require a notification of proposal (NOP).



A1.3 Guidelines for dealing with applicants

Customer-focussed approach

Waka Kotahi policy is to assist permit applicants as much as possible so that permits can be issued. Permitting staff are expected to work with applicants in a proactive and helpful manner and attempt to resolve any issues with applications in consultation with applicants.

Exception

HPMV 50MAX permit applications are returned immediately to the applicant if they are incorrect or incomplete – for details see *Part F: Processing 50MAX permit applications* in this volume.

Email or telephone?

Use your judgment to determine whether it would be best to resolve issues on the telephone or send an email.

As a guideline, email is more appropriate if there are multiple or major issues with an application and you need a written record. Minor issues and straightforward queries can often be resolved more quickly by telephone.

A1.4 Receiving a new application in the permit portal

Applications are captured in the portal

When an applicant submits a permit application on the permit portal, the application is captured in the portal database.

The portal automatically assigns the status 'Received' to a new application in the workflow interface, or 'Submitted' if it has been edited.

Note: Overweight permit applications are automatically forwarded to the relevant regional PIO for full processing and require no input from the Permitting team.

Procedure

Follow the steps below to find newly received applications.

| Step | Action |
|------|--|
| 1 | Log on to the permit portal. |
| 2 | Click on the Manage Applications tab. Result: The Applications screen opens. Applications are displayed with the most recent ones on top. |
| 3 | Select the status filters 'Received' and 'Submitted', and any other applicable filters. |
| 4 | Select the application with the status 'Received' or 'Submitted' that you wish to process and open it. |

Next step

The next step is to conduct operator compliance checks. Continue with *Chapter A2: Conducting operator compliance checks*.

Chapter A2: Conducting operator compliance checks

Overview

About this chapter

This chapter explains why and how Waka Kotahi conducts operator compliance checks.

Technical instructions and other documentation

Permitting team members need to use a variety of databases, systems and tools to do operator compliance checks. This chapter assumes familiarity with the applications required and does not give step-by-step instructions for using the various systems.

For detailed system steps, refer to the Waka Kotahi *Process to conduct an operator compliance check* and other technical documents, or talk to your manager if you need training.

In this chapter

This chapter contains the following sections:

| Section | See page |
|--|----------|
| A2.1 About operator compliance checks | A2-2 |
| A2.2 Overview diagrams of the operator compliance checks | A2-5 |
| A2.3 Checking legal eligibility | A2-7 |
| A2.4 Doing the initial operator compliance checks | A2-10 |
| A2.5 Making a decision | A2-12 |
| A2.6 Doing extended operator compliance checks | A2-15 |

A2.1 About operator compliance checks

Legal requirement

When issuing permits, Waka Kotahi has a legal obligation to consider, among other factors, the safety of road users. To do this, the operator compliance checks assess an operator's compliance with safety-related legislation to ensure that issuing a permit to the operator poses no undue risk to other road users.

In addition, the compliance checks confirm that the operator is a valid legal entity and is entitled to hold a permit.

Other parts of the permitting process assess the safety of the vehicle and its impact on roads and bridges.

Legislation reference: VDAM Rule section 5.2.

Permit term depends on operator risk

The outcome of the operator compliance checks determines whether a permit may be issued (if the application also meets technical requirements), and for how long.

If there are no safety concerns, permits are issued for a term of 24 months.

If there are safety concerns, permits may be issued for a shorter permit term. Reduced permit terms are generally 3, 6 or 12 months, depending on an operator's assessed risk level and compliance trend.

Additional conditions

The compliance checks may also result in additional permit conditions, for example requirements for electronic logbooks or GPS monitoring.

Note: Additional conditions on HPMV permits must not restrict the vehicle from operating like a standard vehicle, so conditions such as travel time or speed restrictions must not be imposed on HPMVs.

What data is assessed?

The following information about an operator is investigated during operator compliance checks:

- traffic offences (for example speed infringements)
 - weight-based offending, particularly critical breaches of permit weight limits
 - driver fatigue or distraction concerns
 - road user charges (RUC) evasion or unpaid permit debt, and
 - roadside inspection data (RID) and failed certificate of fitness (CoF) inspections.
-

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A2.1 About operator compliance checks continued

Assessment period

The compliance checks generally cover available information from the preceding 12 months or from the date of the last check, if earlier.

Some compliance data, such as warning letters and RID information, is considered from the last 24 months.

Permit types

Operator compliance checks are currently done for applications for the following permit types:

- HPMV higher mass and 50MAX
 - specialist vehicle, and
 - overdimension.
-

Transparency and fairness

The outcome of an operator check can have a major commercial impact on an operator. The assessment process must therefore be fair and robust.

**IMPORTANT:
Follow
procedures
and keep
records**

Operators have the right to request a review by Waka Kotahi of adverse decisions such as a reduced permit term or a declined application. They also have the right to appeal against a decision to the District Court.

It is essential that you follow standard procedures, keep comprehensive records and document reasons for decisions to ensure that the process is fair and that this can be demonstrated if an operator requests a review or appeals against a decision.

Legislation reference: Land Transport Act 1998 section 106.

Continued on next page

A2.1 About operator compliance checks continued

Who does what?

This table gives an overview of the roles and responsibilities involved in operator compliance checks.

| Role | Responsibility |
|---|---|
| Permitting team member | <ul style="list-style-type: none"> • Checks an operator's legal eligibility and conducts the initial compliance checks described in sections A2.3 and A2.4. • Makes a decision whether to: <ul style="list-style-type: none"> – process the application, or – conduct an extended compliance investigation. • If necessary, conducts an extended compliance investigation as described in section A2.6. • Escalates the assessment to a Manager if there are serious concerns. • On conclusion of the compliance checks, sets the permit term or records the escalation outcome, and updates the permit portal. • Notifies applicants of reduced permit terms. |
| Case Manager or Senior Case Officer | <ul style="list-style-type: none"> • Investigate escalated operator compliance checks and make a final decision about permit eligibility and the permit term. • Notify operators of proposals to decline an application due to safety concerns. • Issue formal notices of declined applications. |
| Manager, Permitting and/or Case Manager | Manage reviews of decisions if an operator makes submissions in response to a notice of proposal to decline. |
| Compliance officers | <ul style="list-style-type: none"> • Provide additional information about the operator, if requested. • Advise on compliance trends and may recommend permit term or outcome. |

A2.2 Overview diagrams of the operator compliance checks

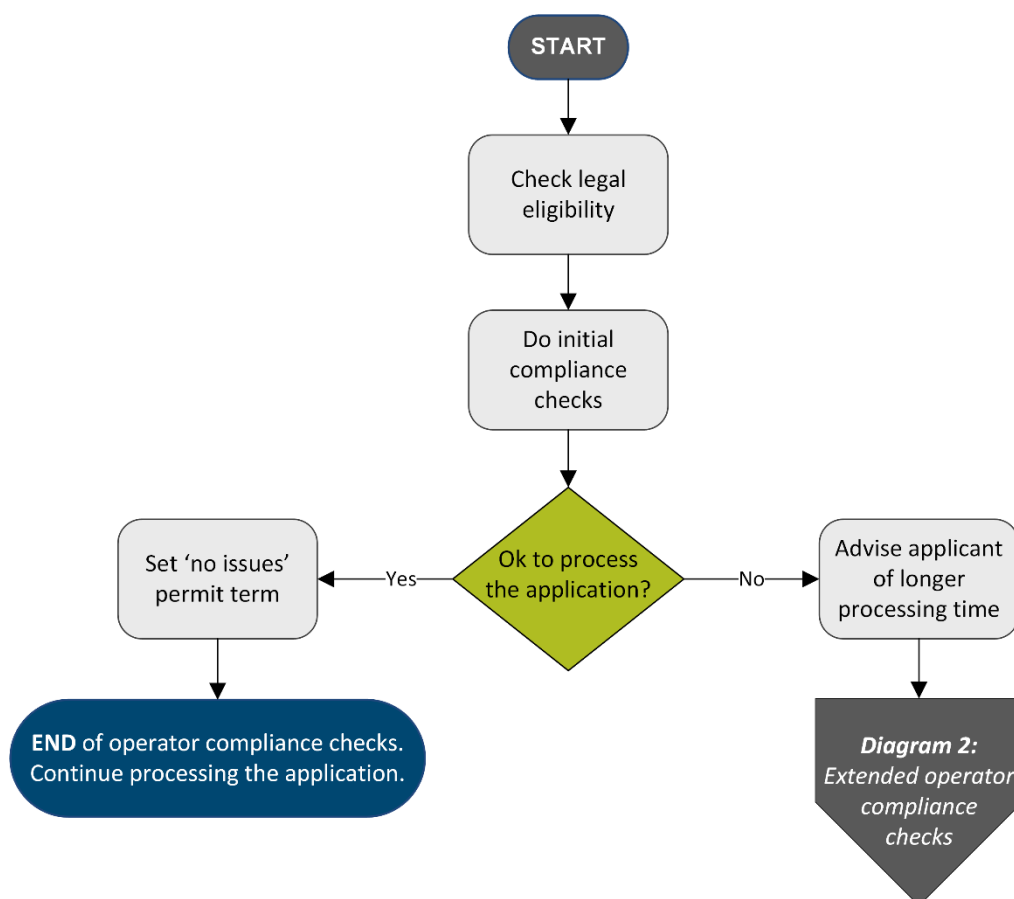
Two stages

Assessing an operator's safety compliance involves two stages, depending on the operator's compliance history:

- **initial** compliance checks, and
- **extended** compliance checks if the initial checks raise concerns that require further investigation or escalation to a manager for a decision.

Diagram 1: Initial checks

The diagram below gives an overview of the initial operator compliance checks.

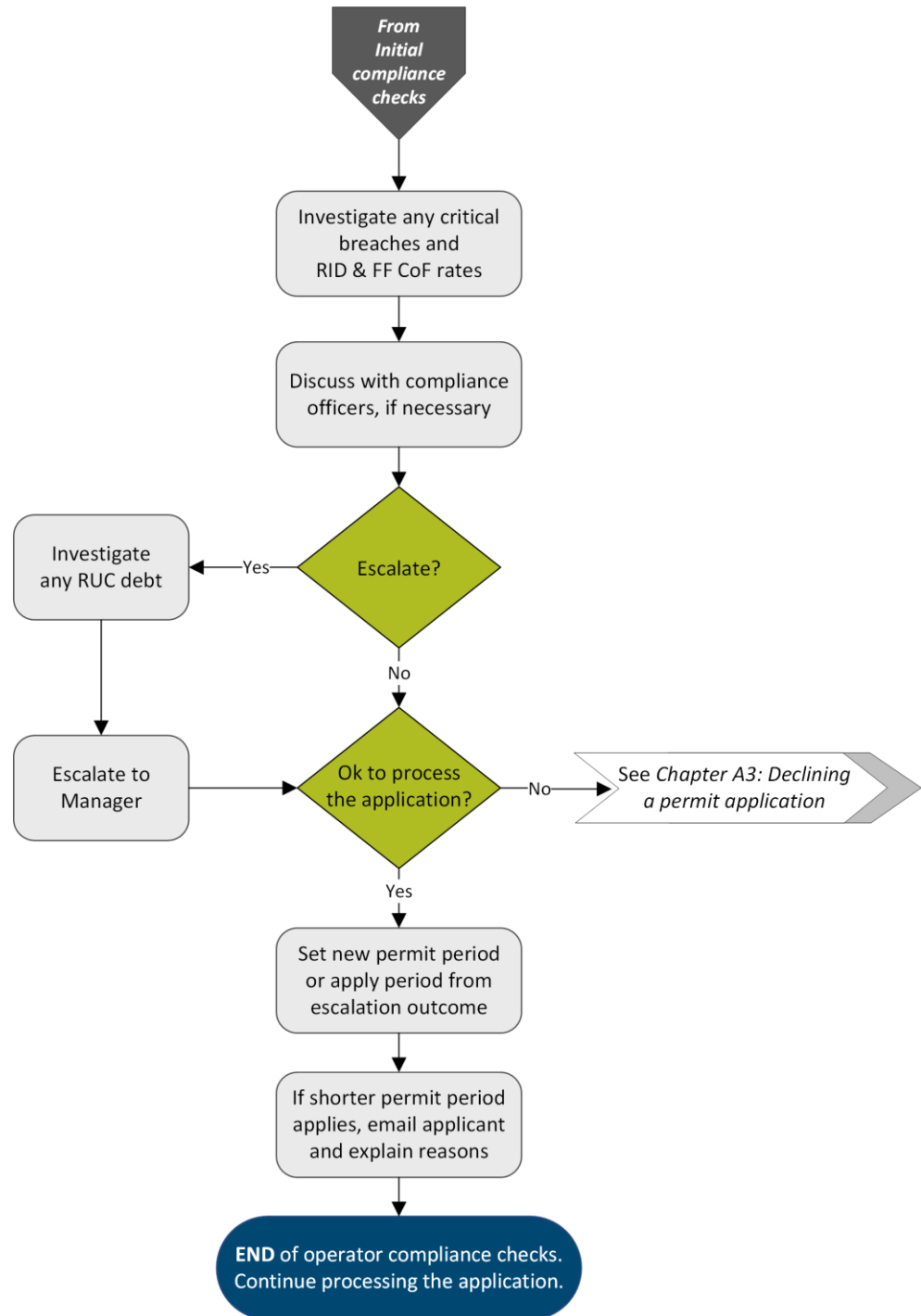


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A2.2 Overview diagrams of the operator compliance checks continued

Diagram 2:
Extended
checks

The diagram below gives an overview of how the Permitting team does the extended operator compliance checks.



A2.3 Checking legal eligibility

Why do this check? The purpose of this check is to confirm that the applicant is legally entitled to hold a permit.

Two subtasks Checking for legal eligibility consists of two subtasks:

1. **Validating the TSL number** to confirm that the permit applicant is the holder of a valid transport service licence (TSL), and
2. **Doing a legal entity check** to confirm that the applicant is a valid legal entity.

These two subtasks are explained in detail below.

About TSL numbers Operators who provide freight or goods transport, vehicle recovery, passenger transport or rental services must have a transport service licence (TSL) to operate.

There are different subtypes of TSL for each type of service, for example a bus operator would have a 'large passenger service licence' (LPSL).

Exceptions

For some vehicle types that may require an overweight or overdimension permit, no TSL is required. Such exceptions include:

- mobile cranes
- mobile plant and machinery
- special purpose vehicles, and
- agricultural vehicles.

However, companies that own such vehicles may have a TSL if they also own and operate other vehicle services.

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A2.3 Checking legal eligibility continued

1. Validating the TSL number

Follow the steps below to confirm that the applicant has a valid and current TSL.

Note: The Task column in the procedure tables in this chapter refers to the tasks in the Waka Kotahi document *Process to conduct an operator compliance check*, which has detailed instructions on how to use the various systems and tools involved in these checks.

| Step | Action | Task # |
|------|---|---------------------------------|
| 1 | Access the Driver Licence Register (DLR) and search for the TSL number provided on the application form. | Task 1: <i>Check Company</i> |
| 2 | Is the name of the TSL holder in DLR the same as the company name on the application? Note: Applicants must provide their legally registered company name on permit applications, not their trading name. <ul style="list-style-type: none"> • If yes, go to step 4. • If no, go to step 3. | |
| 3 | Contact the applicant and attempt to find out the correct TSL number or company name. Have you been able to establish the correct TSL number and/or TSL holder name and validate it in DLR? <ul style="list-style-type: none"> • If yes, go to step 4. • If no, decline the application. If the applicant is not the legal holder of the TSL number, they are not entitled to hold a permit. Continue with subtask 2. <i>Declining on legal or technical grounds</i> in section A3.3. | |
| 4 | Is the TSL in DLR 'Current'? <ul style="list-style-type: none"> • If yes, continue with subtask 2. <i>Doing a legal entity check</i>. • If no, decline the application. Continue with subtask 2. <i>Declining on legal or technical grounds</i> in section A3.3. | |

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A2.3 Checking legal eligibility continued

2. Doing a legal entity check

Follow the steps below to confirm that the applicant is a valid legal entity.

Note: This procedure does not apply in rare cases where the applicant is an individual and not a registered company or partnership.

| Step | Action | Task # | | | | | | | | |
|--|---|---------------------------------|-------------------------|----------|---|--|----------------------------------|---------------|--|---|
| 1 | Go to the New Zealand Business Number (NZBN) Register at nzbn.govt.nz . | Task 1: <i>Check company</i> | | | | | | | | |
| 2 | Enter the name of the applicant in the search field and click SEARCH . Note: Applicants must provide their legally registered name on the application form. | | | | | | | | | |
| 3 | Is the name listed in the search results? <ul style="list-style-type: none"> • If yes, go to step 4. • If no, go to step 5. | | | | | | | | | |
| 4 | Refer to the table below to determine your next step. <table border="1" data-bbox="384 1061 1225 1637"> <thead> <tr> <th>If the search finds ...</th> <th>Then ...</th> </tr> </thead> <tbody> <tr> <td>an exact match for the applicant's company name Important: The company name must be the same as the TSL holder's name.</td> <td>continue with section <i>A2.4 Doing the initial operator compliance checks</i>.</td> </tr> <tr> <td>a similar but not an exact match</td> <td>go to step 5.</td> </tr> <tr> <td>any of the following next to the name or as the company status: <ul style="list-style-type: none"> • 'Struck off' or 'Removed' • 'In receivership' or 'In rec' • 'In liquidation' or 'In liq' </td> <td>decline the application because the company is no longer legally entitled to hold a permit – continue with subtask <i>2. Declining on legal or technical grounds</i> in section A3.3.</td> </tr> </tbody> </table> | | If the search finds ... | Then ... | an exact match for the applicant's company name Important: The company name must be the same as the TSL holder's name. | continue with section <i>A2.4 Doing the initial operator compliance checks</i> . | a similar but not an exact match | go to step 5. | any of the following next to the name or as the company status: <ul style="list-style-type: none"> • 'Struck off' or 'Removed' • 'In receivership' or 'In rec' • 'In liquidation' or 'In liq' | decline the application because the company is no longer legally entitled to hold a permit – continue with subtask <i>2. Declining on legal or technical grounds</i> in section A3.3. |
| If the search finds ... | Then ... | | | | | | | | | |
| an exact match for the applicant's company name Important: The company name must be the same as the TSL holder's name. | continue with section <i>A2.4 Doing the initial operator compliance checks</i> . | | | | | | | | | |
| a similar but not an exact match | go to step 5. | | | | | | | | | |
| any of the following next to the name or as the company status: <ul style="list-style-type: none"> • 'Struck off' or 'Removed' • 'In receivership' or 'In rec' • 'In liquidation' or 'In liq' | decline the application because the company is no longer legally entitled to hold a permit – continue with subtask <i>2. Declining on legal or technical grounds</i> in section A3.3. | | | | | | | | | |
| 5 | Contact the applicant to confirm the correct registered legal name, then repeat steps 1 to 4. If you are unable to confirm a valid legal company name, return the application – see section <i>A4.9 Returning an incomplete or inaccurate application</i> . | | | | | | | | | |

A2.4 Doing the initial operator compliance checks

Systems and tools

You need access to (and familiarity with) the following systems and tools:

- the Operator List app (accessed in your Chrome browser)
- the Driver Licence Register (DLR)
- InsightHub and Qlik reports, and
- the 'Assessment Sheet Master' Excel template.

Doing initial compliance checks

Follow the steps below to do the initial compliance checks.

Note: Task references in the table are to the Waka Kotahi document *Process to conduct an operator compliance check* with detailed system steps.

| Step | Action | Task # |
|------|---|---|
| 1 | <p>In the Operator List app, search for the operator and check the operator's current state.</p> <p>Is the current state 'Checked'?</p> <ul style="list-style-type: none"> • If yes, go to step 2. • If no, confirm with the team that someone else is working on this operator. Wait until the state is 'Checked', then use the assessment outcome recorded in the Operator List app for the application you are processing. Continue with <i>Chapter A4: Screening a new HPMV higher mass permit application</i> or, if applicable, with <i>Chapter A3: Declining a permit application</i>. | Task 2: <i>Check current operator status</i> |
| 2 | <p>Is the date of the last check less than 8 weeks ago?</p> <ul style="list-style-type: none"> • If yes, go to step 3. • If no (that is the last check was done <i>more than 8 weeks ago</i>), go to step 4. | |

Continued on next page

A2.4 Doing the initial operator compliance checks

continued

Doing initial compliance checks (continued)

| Step | Action | Task # |
|------|---|---|
| 3 | <p>Check DLR and Casey notes. Any new concerning notes about the applicant since the date of the last check?</p> <p>Note: A 'concerning note' is any information that may indicate a potential safety risk. If in doubt, err on the side of caution or consult with team members.</p> <ul style="list-style-type: none"> • If yes (that is there are concerning notes), go to step 4. • If no, use the current permit term and continue processing the application – continue with <i>Chapter A4: Screening a new HPMV higher mass permit application</i>. | Task 2 cont'd |
| 4 | Change the state in the Operator List app to 'Checking' and create a new Assessment spreadsheet for the application. | |
| 5 | Check DLR and Casey notes in detail and copy snips of concerning notes into the Assessment spreadsheet. | Task 4: <i>Check notes</i> |
| 6 | <p>Export TOH data and paste it into the 'TOHData' worksheet of the Assessment spreadsheet. Then click on Calc TOH Score.</p> <p>Note: The Assessment spreadsheet automatically filters out the last 12 months of TOH data for calculating the TOH index score.</p> | Tasks 5 & 6: <i>TOH & critical breach assessment</i> |
| 7 | In the Assessment spreadsheet, scroll down to the 'Traffic Offence and Critical Breach' section and record the date of the last warning letter from the Operator List app. | |
| 8 | Scroll back to the top of the Assessment spreadsheet and complete the 'Identifying Information' section. | |
| 9 | Continue with the next section <i>A2.5 Making a decision</i> . | |

A2.5 Making a decision

Introduction

When you have completed the initial compliance checks described in the previous section, you need to decide whether to:

- process the application, or
- do an extended investigation with more in-depth compliance checks.

This section describes how to make this decision and what the next steps are.

Making a decision

Review the information you entered into the Assessment spreadsheet. Then refer to this table to determine your next step:

| If... | Then... |
|--|---|
| <p>ONE or more of the following apply:</p> <ul style="list-style-type: none"> • Concerning case notes found in DLR or Casey • One or more critical breaches since the last warning letter • TOH index score is more than 1 | <p>save information for an extended investigation – continue with <i>Preparing for extended checks</i> below.</p> |
| <p>ALL of the following apply:</p> <ul style="list-style-type: none"> • No concerning case notes found • No confirmed critical breaches since the last warning letter or within the last 12 months, whichever is most recent • TOH index score is 1 or lower | <ul style="list-style-type: none"> • discard the Assessment spreadsheet (close it without saving), and • process the application – continue with <i>Setting 'No issues' permit term</i> below. |

Continued on next page

A2.5 Making a decision continued

Preparing for extended checks If an extended compliance investigation is needed, follow the steps below.

| Step | Action | Task # |
|------|---|--|
| 1 | Complete and save the Assessment spreadsheet and attach it to the Operator List app. | Task 7: <i>Save information for more investigation</i> |
| 2 | In the Operator List app, change the current state to Reviewing . | |
| 3 | Open the HV Compliance spreadsheet and enter the application details. Note: All applications with a status of 'Reviewing' must be recorded in the HV Compliance spreadsheet. | |
| 4 | Advise the operator by email that there will be a delay in processing the application. | |
| 5 | Continue with section <i>A2.6 Doing extended operator compliance checks</i> . Note: The extended checks may be done later or by someone else, depending on workflow and experience. | |

Continued on next page

A2.5 Making a decision continued

Setting 'No issues' permit term

If you have decided to process the application, follow the steps below to set the permit term.

| Step | Action | Task # |
|------|---|-------------------------------------|
| 1 | <p>In the Operator List app, look up the date of the last roadside inspection data (RID) and first failed certificate of fitness (FF CoF) check.</p> <p>Is the date older than 26 weeks?</p> <ul style="list-style-type: none"> • If yes, go to step 2. • If no, go to step 3. | Task 8: Set 'no issues' permit term |
| 2 | <p>In the TSL Operator Overview report in InsightHub, look up the operator's current RID rate and FF CoF percentage.</p> <p>Is either the RID or the FF CoF rate below 75%?</p> <ul style="list-style-type: none"> • If yes, go to step 3. • If no, go to step 4. | |
| 3 | <p>Send an email to the compliance officers advising them of the low rates. Ask them about any safety concerns.</p> <p>In the Operator List app, add a note 'CT Referral' and copy any responses you receive into the Note field.</p> <p>Has the compliance officer recommended a reduced permit term and do you agree with their concerns?</p> <ul style="list-style-type: none"> • If yes, reduce the permit term as recommended and go to step 6. • If no, go to step 4. | |
| 4 | <p>Is:</p> <ul style="list-style-type: none"> – the date of the last warning letter less than 52 weeks ago, OR – either the RID or the FF CoF rate below 85%? <ul style="list-style-type: none"> • If yes, use the current permit term from the Operator List app for this application and go to step 6. • If no, go to step 5. | |

Continued on next page

A2.5 Making a decision continued

Setting 'No issues' permit term (continued)

| Step | Action | Task # |
|------|--|--|
| 5 | <p>Is:</p> <ul style="list-style-type: none"> – the date of the last warning letter more than 52 weeks ago, AND – both the RID and the FF CoF rate 85% or more? <ul style="list-style-type: none"> • If yes, update the current permit term to 24 months (if applicable), then go to step 6. • If no, use the current permit term from the Operator List app for this application and go to step 6. | Task 8: Set 'no issues' permit term (cont'd) |
| 6 | Change the current state in the Operator List app to Checked and continue with <i>Chapter A4: Screening a new HPMV higher mass permit application</i> . | |

A2.6 Doing extended operator compliance checks

Who does extended compliance checks?

Extended operator compliance checks may be done by a different Permitting team member from the person who did the initial checks, depending on workflow requirements, capacity and experience.

Five parts

The extended operator compliance checks consist of five parts, as follows:

1. **Investigating critical breaches and RID rates**
2. **Consulting with compliance officers**, if necessary
3. **Assessing risk for escalation**
4. **Escalating to the Manager**, if required, and
5. **Completing the compliance checks.**

Each part is described in detail below.

1. Investigating critical breaches and RID rates

Follow the steps in the table to investigate and assess the severity and frequency of any critical breaches.

| Step | Action | Task # ¹ |
|------|--|---|
| 1 | <p>Open the current Assessment spreadsheet for the applicant and look up the number of critical breaches.</p> <p>Have there been any confirmed critical breaches since the last warning or within the last 12 months, whichever is most recent?</p> <ul style="list-style-type: none"> • If yes, go to step 2. • If no, go to step 3. | Task 9: <i>Complete critical breach assessment</i> |
| 2 | <p>Look up the details of each critical breach and complete the relevant details in the 'CVIR Details' section of the Assessment spreadsheet.</p> | |
| 3 | <p>In the Operator List app, look up the date of the 'Last Rates Check'.</p> <p>Was the last rates check less than 26 weeks ago?</p> <ul style="list-style-type: none"> • If yes, copy the RID and FF CoF rates from the Operator List app into the Assessment spreadsheet and then go to step 4. • If no, look up the most recent RID and FF CoF rates as well as variable CoF details (if any) in InsightHub and then go to step 4. | Task 10: <i>Check RID & CoF rates are up to date</i> |

Continued on next page

A2.6 Doing extended operator compliance checks

continued

1. Investigating critical breaches and RID rates (continued)

| Step | Action | Task # |
|------|---|-------------------|
| 4 | <p>Is either the RID or the FF CoF rate lower than 75%?</p> <ul style="list-style-type: none"> • If yes, go to step 5. • If no, continue with 2. <i>Consulting with compliance officers.</i> | Task 10 cont'd |
| 5 | <p>Send an email to the compliance officers advising them of the low rates and asking about any safety concerns.</p> <p>In the Operator List app, add a note about the low rates and select the Note type 'CT Referral'.</p> <p>Then continue with 2. <i>Consulting with compliance officers.</i></p> | |

Continued on next page

A2.6 Doing extended operator compliance checks

continued

2. Consulting with compliance officers

Review the screenshots of the DLR and Casey notes you copied into the Assessment spreadsheet during the initial checks and decide whether you need to discuss the notes with the compliance officers.

If you need to consult with a compliance officer, follow the steps below.


| Step | Action | Task # | | | | | | |
|--|--|---|------------------------------|-----------------------------------|--|---|------------------------------------|----------------------------|
| 1 | If you have not already done so, send an email to the relevant compliance officers with a brief explanation of the issues you wish to discuss. Attach the operator's current Assessment spreadsheet to the email. | Task 11: <i>Discuss with Compliance Officers</i> | | | | | | |
| 2 | <p>Consider the information you receive from the compliance officers.</p> <p>You may also have received a response to the email you sent previously about low RID and FF CoF rates.</p> <p>If necessary, contact the compliance officer to discuss any issues in more detail.</p> <p>Record the compliance officer responses and any notes you have made in the Assessment spreadsheet.</p> | | | | | | | |
| 3 | <p>Refer to this table to determine which option to select in the 'Outcome from CO' field in the Assessment spreadsheet:</p> <table border="1" data-bbox="386 1274 1225 1597"> <thead> <tr> <th>If the compliance officer...</th> <th>Then select the outcome option...</th> </tr> </thead> <tbody> <tr> <td>has raised additional concerns that affect the permit term</td> <td>'Compliance Officer influences permit term'</td> </tr> <tr> <td>has not raised additional concerns</td> <td>'Process sets permit term'</td> </tr> </tbody> </table> | | If the compliance officer... | Then select the outcome option... | has raised additional concerns that affect the permit term | 'Compliance Officer influences permit term' | has not raised additional concerns | 'Process sets permit term' |
| If the compliance officer... | Then select the outcome option... | | | | | | | |
| has raised additional concerns that affect the permit term | 'Compliance Officer influences permit term' | | | | | | | |
| has not raised additional concerns | 'Process sets permit term' | | | | | | | |
| 4 | Continue with 3. <i>Assessing risk for escalation</i> on the next page. | | | | | | | |

Continued on next page

A2.6 Doing extended operator compliance checks

continued

3. Assessing risk for escalation Follow the steps below to determine whether to escalate the assessment to the Case Manager or Senior Case Officer.

| Step | Action | Task # |
|------|--|---|
| 1 | On the Assessment spreadsheet, look up the 'Calculated Initial Permit Term' and the 'Outcome from CO' fields. | Task 12 <i>Assess operator risk for escalation</i> |
| 2 | <p>Consider all factors you investigated, then select the appropriate option from the drop-down list in the 'Confirmed Initial Permit Term' field.</p>  <p>Note: If there are serious safety concerns that may result in an application being declined, you must always escalate the assessment to the Manager for a decision.</p> | |
| 3 | Enter your name in the 'Completed by' field. | |
| 4 | <p>Have you selected 'Escalate' in the 'Confirmed Initial Permit Term' field?</p> <ul style="list-style-type: none"> • If yes, continue with 4. <i>Escalating to the Manager</i>. • If no (that is you have set a permit term), continue with 5. <i>Completing the compliance checks</i>. | |

Continued on next page

A2.6 Doing extended operator compliance checks

continued

4. Escalating to the Manager

Follow the steps below to escalate an operator compliance investigation to the Case Manager or Senior Case Officer for a decision.

This involves investigating RUC debt. Unpaid debts may indicate safety risks in other areas (such as vehicle maintenance), or could mean that an operator is under investigation.

| Step | Action | Task # |
|------|---|--|
| 1 | <p>Look in the 'CVIR Details' section of the Assessment spreadsheet.</p> <p>Is there any RUC debt to investigate?</p> <ul style="list-style-type: none"> • If yes, go to step 2. • If no, go to step 3. | Task 13: <i>Investigate RUC debt (repeated)</i> |
| 2 | <p>Look up each CVIR with debt in LANDATA and, if necessary, in HEAT or by checking with the RUC team.</p> <p>Take a snip of the debt details and copy into the Assessment spreadsheet.</p> | |
| 3 | Refer the assessment to the Manager by creating a new task in the Manager Escalations tab in the Permits channel in Teams. | Task 14: <i>Manage escalation process</i> |
| 4 | <p>When the Manager has marked the escalation task as complete, check the result in the Assessment spreadsheet.</p> <p>Has the Manager set a new permit term?</p> <ul style="list-style-type: none"> • If yes, continue with 5. <i>Completing the compliance checks.</i> • If no (that is the decision is to decline the permit), continue with section A3.2 <i>Notifying the operator of a proposal to decline a permit application.</i> | |

Continued on next page

A2.6 Doing extended operator compliance checks

continued

- 5. Completing the compliance checks** Follow the steps below to record the outcome of the operator compliance checks and file important records.

| Step | Action | Task # |
|------|---|--|
| 1 | In the Assessment spreadsheet, look up the confirmed new permit term, which is either: <ul style="list-style-type: none"> – the 'Confirmed Initial Permit Term' in the Assessment spreadsheet, or – the permit term determined by the Manager and recorded in the 'Escalation Outcome' section of the Assessment spreadsheet. | Task 15: <i>Record latest permit term</i> |
| 2 | In the Operator List app, update the permit term details for the confirmed new permit term. | |
| 3 | Complete any other actions noted in the Assessment spreadsheet, such as drafting a warning letter. | |
| 4 | Update the current operator state in the Operator List app to Checked and save the changes. | |
| 5 | File the Assessment spreadsheet in InfoHub. | |
| 6 | In the permit portal, add a comment to the application with the confirmed new permit term along with any conditions. | |
| 7 | If a reduced permit term applies, notify the applicant by email and explain the reasons for the reduced permit term. | |

- Next step** This completes the operator compliance checks. Continue processing the application:
- For HPMV higher mass permits, continue with *Chapter A4: Screening a new HPMV higher mass permit application*.
 - For 50MAX permits, continue with section *F2.3 Checking a 50MAX pro-forma vehicle design* in part F of this volume.

Chapter A3: Declining a permit application

Overview

About this chapter

This chapter describes the process for declining a permit application.

It explains:

- when to return and when to decline an application
 - when a notice of proposal (NOP) to decline needs to be sent before declining an application, and
 - how to conduct a review of an adverse decision if an applicant makes submissions in response to an NOP.
-

In this chapter

This chapter contains the following sections:

| Section | See page |
|---|----------|
| A3.1 When to return and when to decline a permit application | A3-2 |
| A3.2 Notifying the operator of a proposal to decline a permit application | A3-3 |
| A3.3 Declining a permit application | A3-6 |
| A3.4 Managing reviews of decisions | A3-8 |

A3.1 When to return and when to decline a permit application

Introduction This section explains the difference between returning and declining a permit application.

Exception: 50MAX permit applications 50MAX permit applications are always **returned** immediately to the applicant if they fail to meet the requirements for a permit.

When to return an application You should return a permit application if the application has missing information or mistakes, and the applicant has failed to rectify the issues within a reasonable timeframe (generally five working days).

Reasons for returning an application include:

- the application is for the wrong permit type or no permit is required
- there is missing or incorrect information that the applicant has not provided or corrected within a reasonable time, or
- the applicant decides to cancel or withdraw the application.

If you need to return an application, see section *A4.9 Returning an incomplete or inaccurate application*.

When to decline an application

You must decline a permit application if it fails to meet the legal, technical or safety requirements for the permit type applied for.

Reasons for declining an application include:

- the applicant does not have a valid TSL or company registration and is therefore not legally entitled to hold a permit
- there are serious concerns about operator safety
- the mass applied for exceeds legal mass limits
- the mass applied for exceeds the vehicle's design limits, or
- the route is not suitable for the mass or the dimensions applied for.

You must also decline an application if it fails to meet specific technical requirements for the permit type, for example if:

- the engineering requirements for an overdimension category 4B permit are not met, or
- a trailer does not meet the SRT requirements for an HPMV overlength permit.

The process for declining a permit application differs depending on whether the application is declined because of operator safety concerns or on legal or technical grounds. This is explained in the following sections.

Continued on next page

A3.1 When to return and when to decline a permit application continued

Decline process timeframes

It is important to observe the following timeframes in the decline process, as some timeframes are specified in legislation.

| Decline process stage | Timeframe | Legislation reference |
|--|--|--|
| Notice of proposal (NOP) to decline an application | An operator can make submissions and request a review within 21 days after the date of the NOP. | Land Transport Act (LTA) section 30W(1)(c) |
| Reviews of NOP | If an operator makes submissions in response to an NOP, Waka Kotahi should conclude a review of the submissions within 20 days . | |
| Notice of decision (NOD) to decline | <ul style="list-style-type: none"> A formal NOD should be sent 21 days after the date of the NOP. The decision takes effect 28 days after the date of the NOP. <p>Note: Waka Kotahi may extend the effective date if the operator has requested a review.</p> | LTA section 30W(1)(d) |
| Appeal to the District Court | An operator can appeal a decision to decline a permit within 28 days after the date of the NOD. | LTA section 111 |

A3.2 Notifying the operator of a proposal to decline a permit application

When to issue a notice of proposal (NOP)

If an application is to be declined because of operator safety and compliance concerns, then a notice of proposal (NOP) to decline must be sent to the applicant before a formal notice of a decision (NOD) to decline is issued.

The NOP gives an applicant the opportunity to request a review if they feel that the decision to decline their application was not made in a fair and reasonable way or based on incorrect evidence. They can submit evidence to support their view for consideration during a review.

Decline because of legal or technical issues

If an application is declined on legal or technical grounds, then no prior notice of proposal is required. See subtask 2. *Declining on legal or technical grounds* in section A3.3.

Who can issue an NOP to decline?

An NOP to decline an application must be issued (that is signed) by the Manager, Permitting or a senior person delegated to do so.

However, the documents involved may be drafted and collated by a Permitting team member.

Drafting an NOP to decline

Follow the steps below to draft a notice of proposal (NOP) to decline a permit application.

| Step | Action |
|------|--|
| 1 | Draft a formal letter using the NOP to decline letter template. In the letter, explain the specific reasons for the proposed decline. Ensure that the letter ends with the signature, name and title of the Manager, Permitting (or delegated person). |
| 2 | Refer to earlier compliance-related correspondence, if applicable, or copy and paste evidence of non-compliance into a document with Waka Kotahi letterhead and save the document as a PDF named 'Schedule B'. |
| 3 | Using the NOP to decline email template, draft an email to the applicant. Ensure that the email includes the email signature of the Manager, Permitting (or delegated person). |

Continued on next page

A3.2 Notifying the operator of a proposal to decline a permit application continued

Drafting an NOP to decline (continued)

| Step | Action |
|------|---|
| 4 | <p>Attach to the email:</p> <ul style="list-style-type: none"> – the relevant permit applications as ‘Schedule A’, and – Schedule B from step 2 (if applicable). <p>Then send the draft email and attached documents to the Case Manager or Senior Case Officer for review.</p> |
| 5 | <p>If requested, email the NOP to decline on behalf of the Manager from a shared mailbox after the Manager has reviewed it.</p> |
| 6 | <p>Set a task in Teams under the ‘Submissions Due’ tab that a formal notice of the decision (NOD) to decline should be issued after 21 days.</p> |

Next step

When it is time to issue a notice of decision to decline, continue with section *A3.3 Declining a permit application*.

If the applicant has requested a review of the decision to decline, wait for the outcome of the review.

A3.3 Declining a permit application

- Two subtasks** Declining a permit application involves either one or the other of the following subtasks, depending on the reason for declining:
1. **Issuing a notice of decision (NOD)** to decline an application if the application is declined because of operator safety concerns and an NOP was issued previously, OR
 2. **Declining on legal or technical grounds** if the applicant is not legally entitled to hold a permit or the application fails to meet technical requirements.

These two subtasks are described in detail below.

1. Issuing a notice of decision (NOD)

When to issue an NOD

You must issue a formal notice of decision to decline a permit application:

- 21 days after a notice of proposal (NOP) was issued, or
- when the Case Manager or Senior Case Officer has concluded a review of the applicant's submissions in response to the NOP and has confirmed the decision to decline the application.

Follow the steps below to confirm a decision to decline an application because of operator safety concerns.

| Step | Action |
|------|--|
| 1 | Using the 'Notice of decision' (NOD) letter template, draft a formal letter confirming the decision to decline the application. |
| 2 | In the NOD letter, refer to the proposal to decline (NOP) issued previously, and to the applicant's submissions, if applicable. Note: Make sure you delete the reference to submissions if the applicant did not make any. Save the letter as a PDF. |
| 3 | Using the 'Notice of decision' email template, draft an email to the applicant. Ensure that the email includes the email signature of the Manager, Permitting (or delegated person). |
| 4 | Attach the PDF of the NOD letter to the email. Then email the draft letter to the Case Manager or Senior Case Officer for review. |

Continued on next page

A3.3 Declining a permit application continued

1. Issuing a notice of decision (NOD) (continued)

| Step | Action |
|------|---|
| 5 | When the Manager advises you that the NOD has been sent (or you have sent it on their behalf), update the status of the application in the permit portal to Declined . |

2. Declining on legal or technical grounds

If you are declining an application on legal or technical grounds, follow the steps below.

| Step | Action |
|------|--|
| 1 | Draft an email notifying the applicant that their permit application has been declined. |
| 2 | Describe the reasons for the decision to decline the application. If applicable, refer to efforts made to resolve issues. |
| 3 | Attach a PDF of the application documents to the email. Ensure you include your full email signature. |
| 4 | Quickly read through the email. When you are satisfied that all details are correct, send the email. |
| 5 | Save the email in InfoHub and update the applications status in the portal to Declined . |

End of process for declined applications

This ends the process for declined applications.

A3.4 Managing reviews of decisions

When operators can request a review

When operators receive a notice of proposal (NOP) to decline a permit application, they are legally entitled to make submissions and request that Waka Kotahi review the adverse decision.

Operators must submit a review request to Waka Kotahi in writing (email or letter) within 21 days of the date of the NOP.

Who deals with review requests?

The Manager, Permitting or the Case Manager manage the review process.

Time to complete a review

Reviews should be completed within 20 days of receiving an operator's submissions and review request.

Managing reviews

The Manager dealing with a review request follows the steps below to manage a review of a decision to decline.

| Step | Action |
|------|---|
| 1 | When you receive an operators submissions in writing, acknowledge receipt of the request by email or letter. |
| 2 | Advise the review panel immediately of the request by sending an email to: <ul style="list-style-type: none"> • the Manager, Permitting or the Case Manager (as applicable) • the relevant regional road compliance manager • a Waka Kotahi operational manager, and • a Waka Kotahi legal counsel. |
| 3 | Convene a meeting with the review panel as soon as practicable. Attach any relevant information to the meeting request, for example the Assessment spreadsheet with evidence of the operator's concerning compliance record and the operator's submissions. |
| 4 | Chair the meeting with the review panel. Review and discuss all information considered during the initial decision as well as submissions made by the operator. Record the review panel's decision. |

Continued on next page

A3.4 Managing reviews of decisions continued

Managing review requests (continued)

| Step | Action | | | | | | |
|-------------------------|--|--------------------------|---------|-------------------------|--|------------------|--|
| 5 | Refer to this table for your next step: | | | | | | |
| | <table border="1"> <thead> <tr> <th>If the decision is to...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>decline the application</td> <td>issue a notice of decision to decline.</td> </tr> <tr> <td>grant the permit</td> <td>advise the operator by formal letter that their submissions have been accepted and the permit application will be processed.</td> </tr> </tbody> </table> | If the decision is to... | Then... | decline the application | issue a notice of decision to decline. | grant the permit | advise the operator by formal letter that their submissions have been accepted and the permit application will be processed. |
| | If the decision is to... | Then... | | | | | |
| decline the application | issue a notice of decision to decline. | | | | | | |
| grant the permit | advise the operator by formal letter that their submissions have been accepted and the permit application will be processed. | | | | | | |
| | | | | | | | |
| 6 | Advise the Permitting team of the outcome of the review so that they can either continue processing the application or change the status of the application in the permit portal to Declined . | | | | | | |
| 7 | Save and file all documents and notes pertaining to the review in InfoHub. | | | | | | |

Court appeals

Operators can file an appeal against an adverse decision to the District Court within 28 days of receiving notice of the decision.

The appeal process is managed by the Waka Kotahi legal team, but you may be requested to provide evidence. You must therefore follow standard procedures and keep good records at all times.

Legislation reference: Land Transport Act 1998 section 106.

Chapter A4: Screening a new HPMV higher mass permit application

Overview

About this chapter

This chapter describes the initial screening tasks done by the Permitting team on receipt of an HPMV higher mass permit application before the application is referred to a regional PIO for processing.

Applications for other permit types

Overweight permit applications are forwarded directly to regional PIOs and do not get screened by the Permitting team.

For details on other permit types, refer to this table:

| Permit type | See in this volume... |
|---------------------|---|
| HPMV 50MAX | <i>Part F: Processing HPMV 50MAX permit applications</i> |
| Overlength | <i>Part E: Processing HPMV overlength permit applications</i> |
| Overdimension | <i>Part C: Processing overdimension permit applications</i> |
| Specialist vehicles | <i>Chapter G2: Receiving and screening specialist vehicle permit applications in part G</i> |

Order of checks

The checks described in this chapter can be done in any order, but must all be completed before an application is referred to a regional PIO.

If you find issues with an application

If you find issues with an application that would prevent it from being successfully processed, you need to try to resolve the issues, for example:

- missing or incomplete information
- incorrect information, and
- missing or incorrect attachments.

Make notes of issues that can be remedied easily as you are doing the checks in this chapter and contact the applicant when you have completed all checks.

Continued on next page

Overview continued

If you find issues with an application
(continued)

Immediate returns

Applications with serious issues that cannot be remedied easily or in a reasonable timeframe should be returned without completing all checks first.

For example, a serious issue warranting an immediate return would be an ineligible vehicle design.

In this chapter

This chapter contains the following sections:

| Section | See page |
|---|----------|
| A4.1 About application attachments | A4-3 |
| A4.2 Checking for eligibility and completeness | A4-6 |
| A4.3 Validating attributes check sheets | A4-9 |
| A4.4 Checking GVM and GCM | A4-11 |
| A4.5 Confirming multiple trailers are identical | A4-12 |
| A4.6 Checking roll stability | A4-14 |
| A4.7 Issuing or confirming an overlength permit | A4-16 |
| A4.8 Attempting to resolve issues with an application | A4-19 |
| A4.9 Returning an incomplete or inaccurate application | A4-20 |
| A4.10 Referring the application for regional processing | A4-21 |

A4.1 About application attachments

Required and optional attachments

The application form prompts applicants to provide attachments with an HPMV higher mass permit application. Some attachments are required and some are optional, as follows:

| Required attachments | Optional attachments |
|--|---|
| Attributes check sheets | Route descriptions |
| Overlength permit if the vehicle length exceeds 20 metres | Existing permit to mirror route (for 'Same route' applications) |
| Pro-forma design diagram if the application is also for an overlength permit, or if the applicant has selected 'Pro-forma' in Step 1 of the application form | Existing permit for renewals |

HPMV attributes check sheets

All HPMV permit applications must include HPMV attributes check sheets for the vehicle units applied for.

There are two different types of attributes check sheets:

- The 'High Productivity Motor Vehicle/ISO Permit Attributes Check Sheet' for HPMV higher mass and overlength permit applications. A separate attributes check sheet is required **for each vehicle unit** applied for.
- The '50MAX High Productivity Combination Motor Vehicle Attributes Check Sheet' for 50MAX permit applications. A separate combination attributes check sheet is required **for each vehicle combination**.

Acceptable attributes check sheets

With HPMV higher mass and overlength permit applications, both types of attributes check sheets are acceptable. A mix of the two different types of attributes check sheets for different vehicle units is also acceptable provided that, together, the attributes check sheets cover all the required information.

However, for 50MAX permit applications, only combination attributes check sheets are acceptable.

Older versions and SRT certificates

Waka Kotahi accepts older versions of attributes check sheets that may not include static roll threshold (SRT) information. If an attributes check sheet for a trailer does not include SRT information, the applicant must also provide a copy of the 'Static Roll Threshold Compliance Certificate' (SRT certificate) for the trailer.

Continued on next page

A4.1 About application attachments continued

HPMV attributes check sheets (continued)

Unacceptable attributes check sheets

Occasionally certifiers modify Waka Kotahi approved forms and use their own check sheets to provide vehicle attributes information. These forms are **not acceptable**.

Certifiers are only allowed to add their letterhead to the attributes check sheets issued by Waka Kotahi and must not make any changes to the attributes check sheet itself.

To view the approved versions of attributes check sheets, search for attributes check sheets on the Waka Kotahi website or on its vehicle inspection portal at vehicleinspection.nzta.govt.nz/.

Route information

Automatic access to full HPMV network

HPMV higher mass permits give operators automatic access to routes that Waka Kotahi has approved for full HPMV.

'Full HPMV' means the maximum mass limits available under the VDAM Rule (generally up to 62,000kg). The approved full HPMV routes are published on the Waka Kotahi website at nzta.govt.nz/commercial-driving/high-productivity/full-hpmv-network-map/.

'Same route' and 'New route' options

The application form prompts applicants to choose between these two route options:

- 'Same route' if the applicant wants to mirror the route on an existing permit. Minor changes, such as additional drop-off or pick-up addresses, are acceptable.
- 'New route' if the applicant requires a new route with state highways that are not already approved for full HPMV and local authority roads they want to travel on.

The application form has prominent warnings that Waka Kotahi will take significantly longer to process a new route application, particularly if the route includes local roads in both the South Island and the North Island.

Acceptable route description format

Waka Kotahi prefers route information as follows:

- separate lists of state highways and local roads
- clear start and end points, as applicable, and
- ideally, local roads listed separately by council.

Maps with routes marked on them are discouraged.

The application form includes a link to a sample route description that illustrates the preferred format.

Continued on next page

A4.1 About application attachments continued

Route information (continued)

Return non-compliant route information

You may return an application if the route information is unclear. Include the link to the sample route description in your return email:

hpmvpermits.nzta.govt.nz/includes/docs/sample-hpmv-route-description.pdf.

A4.2 Checking for eligibility and completeness

Why check for eligibility and completeness? The purpose of checking for eligibility and completeness is to ensure early on that a permit application includes all required information so that it can be successfully processed.

Two subtasks Checking for eligibility and completeness consists of two subtasks:

1. **Establishing basic eligibility:** Confirming that basic requirements for an HPMV higher mass permit are met.
2. **Checking completeness:** Confirming that the applicant has provided all required information and attachments to enable successful processing of the application.

These two subtasks are described in detail below.

1. Establishing basic eligibility Follow the steps below to establish basic permit eligibility.

| Step | Action |
|------|--|
| 1 | In the permit portal, open the application you wish to process. |
| 2 | On the application form, look up the total mass applied for. Is the total mass applied for greater than 44,000kg? <ul style="list-style-type: none"> • If yes, go to step 3. • If no, return the application and advise the applicant that they do not require an HPMV permit – see section <i>A4.9 Returning an incomplete or inaccurate application</i>. |
| 3 | Is the total mass applied for 46,000kg or less? <ul style="list-style-type: none"> • If yes, go to step 4. • If no (that is the application mass is higher than 46,000kg), continue with subtask 2. <i>Checking completeness</i>. |

Continued on next page

A4.2 Checking for eligibility and completeness continued

1. Establishing basic eligibility (continued)

| Step | Action | | | | | | |
|---|--|---|---------------------------|---|----------|---|----------|
| 4 | <p>Refer to this table to determine whether the vehicle is eligible for carrying higher weights without a permit:</p> <table border="1"> <thead> <tr> <th>Distance from the centre of the first axle to the centre of the last axle</th> <th>General access mass limit</th> </tr> </thead> <tbody> <tr> <td>16.8m or more, and a minimum of 7 axles</td> <td>45,000kg</td> </tr> <tr> <td>17.4m or more, and a minimum of 8 axles</td> <td>46,000kg</td> </tr> </tbody> </table> <p>Is the vehicle eligible for carrying 45,000kg or 46,000kg without a permit?</p> <ul style="list-style-type: none"> • If yes, return the application and advise the applicant that they do not require an HPMV permit – see section <i>A4.9 Returning an incomplete or inaccurate application</i>. • If no, go to step 5. | Distance from the centre of the first axle to the centre of the last axle | General access mass limit | 16.8m or more, and a minimum of 7 axles | 45,000kg | 17.4m or more, and a minimum of 8 axles | 46,000kg |
| Distance from the centre of the first axle to the centre of the last axle | General access mass limit | | | | | | |
| 16.8m or more, and a minimum of 7 axles | 45,000kg | | | | | | |
| 17.4m or more, and a minimum of 8 axles | 46,000kg | | | | | | |
| 5 | <p>Refer to the unit information on the application form and confirm that it matches the vehicle type on the application. For example, check that the number of axles and the axle configurations conform to the vehicle type.</p> <p>Does the unit information match the vehicle type?</p> <ul style="list-style-type: none"> • If yes, continue with subtask 2. <i>Checking completeness</i>. • If no, return the application – see section <i>A4.9 Returning an incomplete or inaccurate application</i>. | | | | | | |

2. Checking completeness

Follow the steps below to do a completeness check.

| Step | Action |
|------|--|
| 1 | <p>Scan through the application form.</p> <p>Has the applicant provided valid-looking information in all required fields, particularly in the comment fields?</p> <ul style="list-style-type: none"> • If yes, go to step 2. • If no, make a note of any missing or incorrect information and then go to step 2. |

Continued on next page

A4.2 Checking for eligibility and completeness continued

2. Checking completeness (continued)

| Step | Action |
|------|--|
| 2 | <p>Confirm that all required attachments are included with the application, that is:</p> <ul style="list-style-type: none"> <input type="checkbox"/> HPMV attributes check sheet for each vehicle unit, or a 50MAX combination attributes check sheet (see <i>HPMV attributes check sheets</i> in section A4.1 for acceptable versions) <input type="checkbox"/> SRT compliance certificates for trailers with older attributes check sheets without SRT information <input type="checkbox"/> Details of routes that are not on the approved full HPMV network <input type="checkbox"/> Pro-forma vehicle design diagram with vehicle dimensions if the applicant has also applied for an overlength permit. |
| 3 | <p>Open each attachment and confirm that the content meets requirements (such as correct attributes check sheet and sufficiently detailed route information).</p> <p>Has the applicant provided all required attachments in the correct format?</p> <ul style="list-style-type: none"> • If yes, continue with the next section <i>A4.3 Validating attributes check sheets</i>. • If no, make a note of any missing or incorrect attachments and then continue with section A4.3. |

A4.3 Validating attributes check sheets

Why validate attributes check sheets?

The purpose of this check is to confirm that the attributes check sheets submitted with an application meet Waka Kotahi requirements and are for the vehicle units on the application.

Procedure

Follow the steps below to validate attributes check sheets.

Note: Repeat this check for each vehicle unit on the application.

| Step | Action |
|------|--|
| 1 | <p>Quickly glance through the attributes check sheet. Is it an approved version?</p> <p>You can check this here:</p> <ul style="list-style-type: none"> – HPMV/ISO attributes check sheet for each unit: vehicleinspection.nzta.govt.nz/virms/hvsc/tb/attributes-sheet – 50MAX combination attributes check sheet: vehicleinspection.nzta.govt.nz/virms/hvsc/tb/attributes-sheet-for-50max-permit <ul style="list-style-type: none"> • If yes, go to step 2. • If no, return the application and advise the applicant of the requirements. Continue with section <i>A4.9 Returning an incomplete or inaccurate application</i>. |
| 2 | <p>Has each HPMV attributes check sheet submitted with the application been signed by a Waka Kotahi approved heavy vehicle specialist certifier?</p> <p>To check whether the certifier is approved, see the list of approved Heavy Vehicle Specialist Certifiers on the Waka Kotahi website at nzta.govt.nz/resources/heavy-vehicle-specialist-certifiers/.</p> <ul style="list-style-type: none"> • If yes, go to step 3. • If no, make a note of this issue and then go to step 3. |

Continued on next page

A4.3 Validating attributes check sheets continued

Procedure (continued)

| Step | Action |
|------|--|
| 3 | <p>Do the registration plate numbers on the attributes check sheets match the registration numbers:</p> <ul style="list-style-type: none">– on the application form, and– in LANDATA? <p>Note: You can search records for the vehicle identification number (VIN) to find a match.</p> <ul style="list-style-type: none">• If yes (that is the registration numbers match), continue with section <i>A4.4 Checking GVM and GCM</i>.• If no, make a note of any discrepancies and then continue with section A4.4. |

A4.4 Checking GVM and GCM

Why do this check?

The purpose of this check is to confirm that the total mass applied for is within the vehicle's certified safety ratings for gross vehicle mass (GVM) and, for towing vehicles, gross combination mass (GCM).

Procedure

Follow the steps below to confirm that each vehicle on the application meets basic safety requirements.

| Step | Action |
|------|---|
| 1 | For each vehicle unit on the application, refer to the 'HIGHER MASS' section on the attributes check sheet and note the gross vehicle mass (GVM) for the unit. |
| 2 | <p>On the application form, look up the total unit mass for the unit.</p> <p>Tip: If the applicant has not entered the total unit mass, add up the individual axle masses for the unit to calculate the total.</p> <p>Is the total unit mass for the unit less than or equal to the GVM on the attributes check sheet?</p> <ul style="list-style-type: none"> • If yes, go to step 3. • If no, the application is not eligible for a permit. Continue with subtask 2. <i>Declining on legal or technical grounds</i> in section A3.3. |
| 3 | <p>For the prime mover and for a semi-trailer in a B-train towing another trailer, look up the gross combination mass (GCM) on the application form.</p> <p>Is the GCM on the application form less than or equal to the GCM rating on the attributes check sheet?</p> <ul style="list-style-type: none"> • If yes, go to step 4. • If no, the application is not eligible for a permit. Continue with subtask 2. <i>Declining on legal or technical grounds</i> in section A3.3. |
| 4 | Record in the permit portal that you have completed the unit safety requirements check and continue with section <i>A4.5 Confirming multiple trailers are identical</i> . |

A4.5 Confirming multiple trailers are identical

Why do this check?

The purpose of this check is to confirm that multiple trailers on an application meet the criteria for being considered identical and are eligible to be covered by a single permit.

Applicants can apply for several identical trailer units but only **one prime mover**.

Procedure

Follow the steps below to confirm that multiple trailer units on an application are identical.

| Step | Action |
|------|--|
| 1 | <p>Is the application for one prime mover only?</p> <ul style="list-style-type: none"> • If yes, go to step 2. • If no, make a note of the issue and then go to step 2. |
| 2 | <p>If the application is also for an overlength permit, do all combinations applied for match the same pro-forma design diagram?</p> <ul style="list-style-type: none"> • If yes, go to step 3. • If no, make a note of any issues and then go to step 3. |
| 3 | <p>Do the multiple identical trailers applied for have:</p> <ul style="list-style-type: none"> <input type="checkbox"/> the same tyre size <input type="checkbox"/> identical outer wheel tracks, and <input type="checkbox"/> identical axle spacings? <p>Note: If the applicant has entered multiple registration plate numbers for the same unit as in the example below, you can assume that all listed units are identical.</p> |

Unit Reg. ABC123

| | | |
|---|--------------------|--------------------|
| Reg. Number: ABC123, BCD234, CDE345, DEF456, EFG567 | SVM (kg): 34000.00 | GCM (kg): |
| Total Unit Mass (kg): 31,000 | No. Of Axles: 5 | Is Prime Mover: No |

Axle information for unit ABC123

| Steering Axle | Axle Set | Axle Type | Tyre Size | Suspension Type | Track Outer | Mass (kg) | Max Mass | Spacing from prev (m) |
|---------------|------------|---------------------|-----------|-----------------|-------------|-----------|----------|-----------------------|
| No | (T) Tandem | (T) Twin Tyred Axle | Standard | (A) Air Bag | 2.20 | 6500.00 | | 4.90 |
| No | (T) Tandem | (T) Twin Tyred Axle | Standard | (A) Air Bag | 2.20 | 6500.00 | | 1.31 |

Otherwise –

- If **yes** (that is the trailers have the same tyre size, same outer wheel tracks and the same axle spacings), go to step 4.
- If **no**, make a note of any issues and then go to step 4.

Continued on next page

A4.5 Confirming multiple trailers are identical continued

Procedure
(continued)

| Step | Action |
|------|--|
| 4 | <p>Have you answered all questions in steps 1-3 above with 'yes'?</p> <ul style="list-style-type: none">• If yes, record in the permit portal that you have completed the identical vehicles check and then continue with section <i>A4.6 Checking roll stability</i>.• If no, do not update the permit portal yet as you may need to repeat this check. Ensure you have written down the issues you found and then continue with section A4.6. |

A4.6 Checking roll stability

Roll stability requirements for HPMVs

To meet stability requirements and be eligible for an HPMV permit, trailers must have a minimum static roll threshold (SRT) of 0.35g and roll stability control (RSC) must be activated. This must be indicated on the attributes check sheet.

SRT of 0.4g

Trailers that do not have an electronic braking system (EBS) and RSC may be eligible for an HPMV permit if they meet a minimum SRT of 0.4g and were first registered:

- before 1 May 2010, or
- before 1 April 2016 if they are log trailers carting round wood.

SRT certificate with permit application

Applicants must submit an SRT compliance certificate for a trailer together with their HPMV permit application if there is no SRT information on the attributes check sheet. This could happen if, for example, the certifier has used an old attributes check sheet (generally older than versions 5 or 5A) without fields for SRT details.

Procedure

Follow the steps below to confirm on the attributes check sheets that trailers meet roll stability requirements.

Note: If you need to do this check using SRT compliance certificates, follow the procedure in section E2.5, subtask 2. *Checking roll stability on the SRT compliance certificate* in part E in this volume.

| Step | Action | | | | | | |
|---|--|---|---------|---|--|---|---------------|
| 1 | <p>Note the SRT information on the attributes check sheet and then refer to the table below to determine your next step:</p> <table border="1"> <thead> <tr> <th>If the attributes check sheet indicates that...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> • roll stability control is activated, and • the trailer meets an SRT of 0.35g </td> <td>the trailer meets stability requirements – go to step 3.</td> </tr> <tr> <td> <ul style="list-style-type: none"> • roll stability control is not fitted and/or activated, and • the trailer meets an SRT of 0.4g (at specified load and height limits) </td> <td>go to step 2.</td> </tr> </tbody> </table> | If the attributes check sheet indicates that... | Then... | <ul style="list-style-type: none"> • roll stability control is activated, and • the trailer meets an SRT of 0.35g | the trailer meets stability requirements – go to step 3. | <ul style="list-style-type: none"> • roll stability control is not fitted and/or activated, and • the trailer meets an SRT of 0.4g (at specified load and height limits) | go to step 2. |
| If the attributes check sheet indicates that... | Then... | | | | | | |
| <ul style="list-style-type: none"> • roll stability control is activated, and • the trailer meets an SRT of 0.35g | the trailer meets stability requirements – go to step 3. | | | | | | |
| <ul style="list-style-type: none"> • roll stability control is not fitted and/or activated, and • the trailer meets an SRT of 0.4g (at specified load and height limits) | go to step 2. | | | | | | |

Continued on next page

A4.6 Checking roll stability continued

Procedure (continued)

| Step | Action |
|------|---|
| 2 | <p>Was the trailer first registered before:</p> <ul style="list-style-type: none"> - 1 May 2010, or - 1 April 2016 if it is a log trailer carrying round wood? <ul style="list-style-type: none"> • If yes, the trailer is eligible for an HPMV permit. Go to step 3. • If no, the trailer is not eligible for an HPMV permit. Decline the application – continue with subtask 2. <i>Declining on legal or technical grounds</i> in section A3.3. |
| 3 | <p>Repeat this check for each trailer on the application.</p> <p>If all trailers meet roll stability requirements, continue with section <i>A4.7 Issuing or confirming an overlength permit</i>.</p> |

A4.7 Issuing or confirming an overlength permit

When is an overlength permit required?

An overlength permit is required for a vehicle combination that is:

- longer than 20 metres, or
 - longer than 19 metres if it is a truck and semi-trailer.
-

Overlength permits must be issued first

If an application is for both an overlength and a higher mass permit, the overlength permit must be issued first. This is because a vehicle may be operated under an overlength permit even it is not eligible for a higher mass permit.

Existing overlength permit

Applicants may already have an existing overlength permit because overlength permits have no expiry date, whereas higher mass and 50MAX permits need to be renewed at least every two years.

The application form prompts applicants to attach a copy of an existing overlength permit, but this is not enforced and applicants can submit an application without attaching an overlength permit.

Three subtasks

You need to do one of three subtasks, depending on what information the applicant has provided on the application form:

1. **Issuing an overlength permit** if the applicant has applied for one.
2. **Validating an overlength permit** if the applicant has attached an existing overlength permit or has provided the permit number. OR
3. **Checking for an existing overlength permit** if the applicant requires an overlength permit but has not provided any information about an existing permit.

These subtasks are described in detail below.

1. Issuing an overlength permit

Follow the standard procedures in *Part E: Overlength permitting* in this volume to issue an overlength permit.

After you have issued the overlength permit and you have completed all other screening checks described in the previous sections, and if there are no unresolved issues, continue with section *A4.10 Referring the application for regional processing*.

Note: Overlength permits are issued separately from HPMV higher mass permits, whereas 50MAX permits are issued together with an overlength permit.

Continued on next page

A4.7 Issuing or confirming an overlength permit continued

2. Validating an overlength permit

Follow the steps below if the applicant has attached an existing overlength permit or provided the number of an existing permit on the application form.

| Step | Action |
|------|--|
| 1 | <p>Open the attached overlength permit.</p> <p>Alternatively, if the applicant has provided an overlength permit number, open the Overlength HPMV Permit Register (Excel spreadsheet in InfoHub). Search for the permit number to find the overlength permit details in the spreadsheet.</p> |
| 2 | <p>Do the following details for the existing overlength permit match the corresponding details on the current application:</p> <ul style="list-style-type: none"> – the operator name, and – the registration plate numbers of all the vehicle units? <ul style="list-style-type: none"> • If yes, go to step 4. • If no, go to step 3. |
| 3 | <p>Contact the applicant to find out whether there has been a change in ownership or whether additional trailers need to be added to the overlength permit.</p> <p>Reissue the overlength permit in the new owner's name or with the additional trailers added.</p> <p>Note: If you are adding extra trailers, confirm with the operator that they are identical to the other trailers. Confirmation by email or telephone is sufficient.</p> |
| 4 | <p>Have you made any notes in previous checks of issues to follow up with the applicant?</p> <ul style="list-style-type: none"> • If yes, continue with section <i>A4.8 Attempting to resolve issues with an application</i>. • If no, continue with section <i>A4.10 Referring the application for regional processing</i>. |

Continued on next page

A4.7 Issuing or confirming an overlength permit continued

3. Checking for an existing overlength permit

Follow the steps below if:

- the vehicle combination length exceeds 20 metres (or 19 metres if it is a truck and semi-trailer)
- the applicant has **not** applied for an overlength permit, and
- the applicant has **not** attached an existing overlength permit or provided an overlength permit number.

| Step | Action |
|------|---|
| 1 | <p>Search the Overlength HPMV Permit Register (Excel spreadsheet) for either the:</p> <ul style="list-style-type: none"> – applicant name – TSL number – vehicle registration number, or – vehicle identification number (VIN). |
| 2 | <p>Does the applicant have a valid existing overlength permit for the vehicles applied for (that is the operator name and registration plate numbers match)?</p> <ul style="list-style-type: none"> • If yes, go to step 3. • If no, return the application, advising the applicant that they need to apply for an overlength permit and provide a pro-forma design diagram with dimensions. Continue with section <i>A4.9 Returning an incomplete or inaccurate application</i>. |
| 3 | <p>Have you made any notes of issues in previous checks to follow up with the applicant?</p> <ul style="list-style-type: none"> • If yes, continue with section <i>A4.8 Attempting to resolve issues with an application</i>. • If no, continue with section <i>A4.10 Referring the application for regional processing</i>. |

A4.8 Attempting to resolve issues with an application

Procedure

Follow the steps below to attempt to resolve issues with a permit application.

| Step | Action |
|------|---|
| 1 | Refer to your notes of issues and contact the applicant by telephone or email. |
| 2 | Explain the issues and allow the applicant to respond. If appropriate, offer options or solutions. |
| 3 | If the issues are minor and can be resolved immediately, update the application data in the portal. Otherwise request missing or correct information by email. |
| 4 | Repeat any of the screening checks as necessary. For example, if the applicant provided an incorrect attributes check sheet, repeat the GVM/GCM and roll stability checks described in the previous sections. |
| 5 | Does the application now pass all initial checks? <ul style="list-style-type: none"> • If yes, continue with section <i>A4.10 Referring the application for regional processing</i>. • If no, return or decline the application – see the next section <i>A4.9 Returning an incomplete or inaccurate application</i> or section <i>A3.3 Declining a permit application</i>. |

A4.9 Returning an incomplete or inaccurate application

When to return an application You should return an application if you have not been able to resolve issues such as incorrect or missing information or missing attachments in a reasonable timeframe (generally five working days).

If you are unsure whether to return or decline an application, see section *A3.1 When to return and when to decline a permit application*.

Procedure Follow the steps below to return an incomplete or inaccurate application.

| Step | Action |
|------|--|
| 1 | Email the applicant using the 'Returned Application' template. |
| 2 | Attach all attachments submitted with the application to your email. |
| 3 | Explain the reasons for returning the application in the email and send it to the applicant. |
| 4 | Record in the permit portal that the application was incomplete and/or inaccurate and change the status to Returned . |

Note: Returned applications are not saved.

End of process This ends the process for incomplete or inaccurate applications.

A4.10 Referring the application for regional processing

When to refer an application

When an HPMV higher mass permit application has passed the operator compliance and the initial assessment checks, the application is referred to a regional PIO for further processing.

Assigning a 'lead region'

The region selected in the permit application is the 'lead region' and determines which regional office the application will be referred to for further processing.

However, applicants do not always select the correct region. Permitting team members need to check and sometimes change the region.

Follow these guidelines for assigning a 'lead region':

| If the applicant has applied for... | then the lead region is... |
|-------------------------------------|---|
| the 'Same route' | the region that issued the previous permit with the route to be mirrored. |
| a 'New route' | where the route starts or where the operator depot is located. |
| a renewal | the region that issued the permit to be renewed. |

Assigning a lead region is not always clear-cut, and you may need to use your judgment and make case-by-case decisions.

PIOs can contact you and request a change to the lead region. You can reassign applications or change the portal settings so that PIOs can see applications for multiple regions to share the workload.

Procedure

Follow these steps to refer an application for regional processing.

| Step | Action |
|------|--|
| 1 | Access the application in the permit portal. |
| 2 | Ensure that comments and notifications are complete. Important: Make sure you have recorded a reduced permit term if there are operator safety concerns. |

Continued on next page

A4.10 Referring the application for regional processing continued

Procedure
(continued)

| Step | Action |
|------|--|
| 3 | Refer to the route description and confirm that the applicant has selected the correct region. If not, change the region in the portal – see the guidelines in <i>Assigning a 'lead region'</i> above. |
| 4 | Update the status of the application in the permit portal to Sent to PIO . The regional PIO in the lead region will receive an email that the application is ready for further processing. |

End of process This ends the receiving applications process.

Chapter A5: Screening higher mass permit renewal and feasibility applications

Overview

About this chapter

This chapter describes how to do the initial checks for HPMV higher mass renewal and feasibility applications.

For details about processing 50MAX renewal applications, see section *F2.5 Processing 50MAX permit renewal applications* in part F of this volume.

In this chapter

This chapter contains the following sections:

| Section | See page |
|---|----------|
| A5.1 About higher mass permit renewal applications | A5-2 |
| A5.2 Initial screening of higher mass permit renewal applications | A5-3 |
| A5.3 About higher mass permit feasibility applications | A5-5 |
| A5.4 Initial screening of higher mass permit feasibility applications | A5-6 |

A5.1 About higher mass permit renewal applications

When permits can be renewed

Operators can renew an HPMV higher mass permit if they applied for the original permit in the permit portal **and** they:

- are using the same vehicle combination specified in the original permit
- have made no modifications to the vehicle units since the original permit was issued
- continue to operate with the same total mass, individual axle masses and axle spacings
- originally applied for either general access (formerly Class 1) or HPMV axle weight flexibility (AWF) and there is no change to the AWF option, and
- are able to provide the previous application reference number or the existing permit number on the renewal application.

If any of the above application details has changed, advise the applicant that they must submit a new permit application.

Minor changes to the route are acceptable – see below for details.

Acceptable route changes

Permits can be renewed with different local roads because new local RCA approvals are required for renewals anyway.

Changes to state highways are also acceptable if any new state highways requested are approved for full HPMV.

However, if applicants want additional state highways that are not approved for full HPMV, they must submit a new application.

Automatic access to full HPVM routes

Renewed permits give operators automatic access to the approved full HPMV network, even if the original permit did not include the link to the network.

No more renewals for user defined AWF

Permits with ‘User Defined’ or ‘No AWF’ can no longer be renewed because these axle weight flexibility options have been phased out. Applicants need to apply for a new permit with either general access or HPMV AWF.

50MAX permit renewals

To renew a 50MAX permit, applicants must complete the 50MAX renewal application form on the Waka Kotahi website.

A5.2 Initial screening of higher mass permit renewal applications

About this section

This section describes how to screen an application to renew an HPMV higher mass permit.

The checks are different for 50MAX renewal applications – see section *F2.5 Processing 50MAX permit renewal applications* in part F of this volume.

Two subtasks

Screening a renewal application for an HPMV higher mass permit involves two subtasks:

1. **Checking eligibility** to confirm that the existing permit qualifies for renewal.
2. **Conducting operator compliance checks** to confirm that the operator's safety performance still meets permit requirements.

These subtasks are described below.

1. Checking eligibility

Follow the steps in the table to confirm that the existing permit is eligible for renewal.

| Step | Action |
|------|--|
| 1 | Depending on the details the applicant has provided, open either: <ul style="list-style-type: none"> – the PDF file of the original application, or – the existing permit that is to be renewed. |
| 2 | Are the following details on the renewal application the same as on the original application or on the existing permit: <ul style="list-style-type: none"> <input type="checkbox"/> company name and TSL number <input type="checkbox"/> vehicle registration numbers, and <input type="checkbox"/> total mass, individual axle masses and axle spacings? <ul style="list-style-type: none"> • If yes, go to step 3. • If no, the existing permit is not eligible for renewal. Return the application and advise the applicant to apply for a new permit. |

Continued on next page

A5.2 Initial screening of higher mass permit renewal applications continued

1. Checking eligibility (continued)

| Step | Action |
|------|---|
| 3 | <p>If the applicant has requested new state highways on the renewal application, are all additional state highways on the approved full HPMV network?</p> <p>A quick way to check this is to search the PDF lists of approved full HPMV routes at nzta.govt.nz/commercial-driving/high-productivity/full-hpmv-network/.</p> <ul style="list-style-type: none"> • If yes, the existing permit is eligible for renewal. Continue with subtask 2. <i>Conducting operator compliance checks</i>. • If no, the permit is not eligible for renewal. Return the application and advise the applicant to apply for a new permit. |

2. Conducting operator compliance checks

When you have confirmed that the application qualifies as a renewal, follow the steps below.

| Step | Action |
|------|---|
| 1 | Conduct the operator compliance checks according to the standard procedures described in <i>Chapter A2: Conducting operator compliance checks</i> . |
| 2 | <p>Does the operator pass the compliance checks?</p> <ul style="list-style-type: none"> • If yes, go to step 3. • If no, follow the process for declining applications as described in <i>Chapter A3: Declining a permit application</i>. |
| 3 | Record the new permit term in the portal and change the status of the application to Sent to PIO . |

End of process This ends the process for screening applications to renew a higher mass permit.

A5.3 About higher mass permit feasibility applications

What is a feasibility application?

Transport operators and vehicle manufacturers can submit a 'Feasibility' application to find out the feasibility of carrying higher loads on certain routes or on new vehicles under an HPMV higher mass permit.

Feasibility application requirements

To apply for a feasibility study, operators must complete the regular HPMV higher mass permit application form and select the 'Feasibility' option.

Applicants must provide the same details as for a regular permit application except for:

- vehicle registration numbers (unregistered vehicles are acceptable), and
 - attributes check sheets (they are not required).
-

Not a permit

Operators who submit a feasibility application get issued a 'Feasibility Study' document that looks similar to a permit but has a prominent watermark 'Feasibility Study Only'.

A 'Feasibility Study' document has no legal status and cannot be used as a permit.

A5.4 Initial screening of higher mass permit feasibility applications

Streamlined process

The following checks are **not** required for screening a feasibility application:

- operator compliance checks (including TSL and company registration checks)
- identical vehicles check
- attributes check sheet validation, and
- basic unit safety (GVM and GCM) check.

What you **do** need to check on receipt of a feasibility application is described in the procedure below.

Procedure

On receipt of a feasibility application, follow the steps below.

| Step | Action |
|------|--|
| 1 | Scan through the application and any attachments. |
| 2 | <p>Has the applicant submitted:</p> <ul style="list-style-type: none"> – full unit mass details, and – details of any state highways and local roads required in addition to the approved full HPMV routes? <ul style="list-style-type: none"> • If yes, refer the application to the relevant regional PIO – see section <i>A4.10 Referring the application for regional processing</i>. • If no, contact the applicant and request the missing information. If the applicant does not provide the missing information within 5 working days, return the feasibility application. |
| 3 | Update the status of the application in the permit portal to either Sent to PIO or Returned , as applicable. |

End of process This ends the initial screening process of feasibility applications.