



State Highway Professional Services Contract Proforma Manual

NZ TRANSPORT AGENCY WAKA KOTAHI

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DOCUMENT MANAGEMENT PLAN

Purpose

This is the Manual Management Plan which details updates, amendments and contact points for the *State Highways Professional Services Contract Proforma Manual (SM030)*.

This Manual is the property of NZTA and its issue is controlled. No part of it may be communicated to any person outside the organisation without written authority. Any copy released outside NZTA is not a controlled copy and will not be updated.

Document Information

This document has the status of a standard as defined in the NZTA Register of network standards and guidelines manual.

The objectives of this manual are to set out the standards for professional services contracts for NZTA business in a best practice manner that meets NZTA goals.

The content is based on the NZTA current best business practices and those developed in the past.

While all care has been taken in compiling this document, NZTA accepts no responsibility for failure in any way related to the application of this standard or any reference noted in it.

Document Name	State Highways Professional Services Contract Proforma Manual
Manual Number	SM030
Manual Owner	Procurement Strategy and Methods
Manual Sponsor	Head of Procurement

Amendment and Review Strategy

This document is subject to review and amendment from time-to-time. Document revisions will be noted in an accompanying Summary of Amendments detailing the changes and section(s) affected.

All Corrective Action/Improvement Requests (CAIRs) suggesting changes will be acknowledged by Manual Owner.

A summary of amendments for each publication is available for viewing on the NZTA [website](#).

	COMMENTS	FREQUENCY
Amendments (of a minor nature)	Incorporate in Annual Review may require coordinating with NZTA Board meetings	Annual: January – March Quarter or as required

Review (major changes)	Amendments fundamentally changing the content or structure of the manual will be incorporated as soon as practicable	Annually: January – March Quarter or as required
Notification	All users that have registered their interest by email to sm030@nzta.govt.nz will be advised by email of amendments and updates	Annually or as required

Other Information (at Manual Owner’s discretion)

There will be occasions, depending on the subject matter, when amendments will need to be worked through by subject matter experts under the direction of the Steering Group before the amendment is actioned. This may cause some variation to the above noted timeframes.

Feedback

If you have any comments with regard to this manual, please email procurement@nzta.govt.nz with the subject line of “**Feedback for SM030**”. Your request will be forwarded to the Steering Group for review.

Distribution

The Manual Management Plan is included in the manual and sent to the NZTA Information Management team.

RECORD OF AMENDMENT

This document is a controlled document subject to review and amendment from time to time. Amendments will be recorded on this Amendment Control Sheet.

All individuals seeking to rely on, or implement, NZTA *State Highway Professional Services Proforma Manual*, or any other manual referred to in this document, have a duty to ensure that they are familiar with the most recent amendments.

AMENDMENT NUMBER	DESCRIPTION OF CHANGE	EFFECTIVE DATE	UPDATED BY
1	Entire Manual Update	1 March 2009	U Cardiff
2	Request for Tender changes incorporating new Procurement Manual rules	1 October 2010	U Cardiff
3	Refer to manual documentation lists for latest edition / amendment / versions	1 March 2011	U Cardiff
4	Refer to manual documentation lists for latest edition / amendment / versions	1 March 2013	P Alkema
5	Update to reflect issue of Minimum Standard Z/44 – Risk Management	1 September 2013	P Alkema
6	Entire Manual Update to reflect Business Case Approach	1 April 2015	P Alkema
7	Entire Manual Update	31 March 2016	P Alkema
8	E-tendering and single stage business case changes	31 March 2017	P Alkema
9	Update to reflect changes in terminology and technical content	1 September 2019	P Alkema
10	Entire manual update to reflect new structure and branding	11 June 2024	J Emmerson

FOREWORD

A key activity for NZTA is the management of consultants through the use of Professional Services Contracts as defined by the NZTA Procurement manual.

This latest edition of the *State highways professional services contract proforma manual (SM030)* continues to be an important part of the NZTA Business Case Approach and other relevant frameworks for project development and delivery.

This manual is designed to be a series of interconnected documents that can be pulled together to form a single professional services contract, together with a series of Minimum Standards for the presentation of the Contract deliverables, and to serve as the primary reference for most state highway consultancy contracts.

As such, to function successfully, this manual must continue to include current NZTA business practices which develop and change, therefore being subject to future amendment and change. As greater experience is gained in the application of the Business Case Approach, further refinements will be incorporated into the manual.

We look forward to the further contribution of NZTA people and consultancy suppliers to ensure that this manual continues to be consistent with current business practice and meet the needs of all the NZTA groups.

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Introduction

1. How to Use This Manual

1.1 Purpose

- 1.1.1 The purpose of this manual is to hold the NZTA's standard professional services contract documentation and to provide a guide to staff preparing professional services contract documents for NZTA.
- 1.1.2 The manual contains the NZTA's *Request for Tender* (RFT) document relating to professional services. The manual includes relevant Minimum Standard documents, Guidelines and Standard Forms as appendices. The manual also references supporting specifications and guidelines that are to be found on the Highways Information Portal.
- 1.1.3 This manual forms the basis of all formal contract documentation used to engage a consultant for professional services, including the investigation, development, design and surveillance of any construction or improvement project, maintenance management, bridge and other structures management and traffic monitoring.

1.2 Highways Information Portal

- 1.2.1 The [Highways Information Portal](#) is a comprehensive central hub, which accommodates all current standards, advice notes and other published documents relating to the design, assessment, operation and maintenance of state highways.
- 1.2.2 The Portal has been developed from a number of separate series of documents previously published by NZTA. These documents, together with new material, have been gathered in a single website to help in meeting our quality standards and is intended for use by NZTA staff and our suppliers.
- 1.2.3 The link between content on the Portal and SM030 is discussed further in section 4 below.

1.3 Interrelationships with other manuals

- 1.3.1 This manual contains the NZTA proforma contract documentation for preparing professional services RFTs. In addition, staff shall refer to other NZTA manuals, standard guidelines and strategies in the preparation of RFTs, including, but not limited to the following:
 - a) [Procurement Manual](#)
 - b) [Infrastructure Procurement Strategy](#)
 - c) [Contract Procedures Manual \(SM021\)](#)
 - d) [State Highway Construction Contract Proforma Manual \(SM031\)](#)
 - e) [Broader Outcomes Strategy](#)
 - f) [Privacy guide for suppliers and service providers](#)

1.4 Document availability

- 1.4.1 SM030 is available in PDF form on the NZTA [website](#).
- 1.4.2 The following sections of SM030 are available to NZTA staff in MS Word format for use in preparing contracts for the engagement of professional services suppliers:

- a) Consultancy agreement template (short form)
- b) Consultancy agreement template (standard form)
- c) Request for Tender (RFT) - professional services template
- d) RFT pricing schedule template
- e) RFT declaration form template
- f) RFT personnel schedule template
- g) Professional services – specifications - contract scope (default template)

1.4.3 The proforma manual (word and PDF versions) are held electronically on the NZTA fileserver.

2. Proforma Document Use and Structure

2.1 Overview

2.1.1 NZTA has developed multiple proforma contract documents, with the objective of providing a consistently high quality of tender documentation, incorporating national and international best practices.

2.2 Roles and responsibilities

2.2.1 The NZTA Procurement Lead is responsible for the following tasks relating to document preparation and tender evaluation:

- a) Prepare the tender documentation using the proforma and submit to the project sponsor for review
- b) Prepare the contract estimate and submit to the project sponsor for review.
- c) Lead or participate in any interactive tender process, as outlined in the Contract Procedures Manual (SM021) and the Project Management Manual (SM011).
- d) Lead or participate in the tender evaluation and contract award process, as outlined in SM021 and SM011.
- e) Identify and assist with resolution of any conflicts of interest of the evaluation team.

2.2.2 The Tender Secretary is responsible for administering the tender in accordance with this manual and shall ensure that all procedures followed are in accordance with the NZTA *Contract Procedures Manual* (SM021).

2.3 Short form contract

2.3.1 The Short Form Contract should be used for any State Highway professional services contract where the supplier is selected by the negotiation method (expedited procedures) as described in the NZTA *Procurement Manual*. The Short Form Contract is primarily used for contracts less than \$200,000 and must be issued with a contract number.

2.3.2 The standard conditions of contract are ACENZ's *Conditions of Contract for Consultancy Services, Fourth Edition (CCCS)* – December 2017. These conditions of contract can be freely downloaded from ACENZ's website.

2.3.3 The process for customising the contract proforma and the subsequent compilation of the signing contract document sets is described below.

2.4 Standard form contract

2.4.1 The Standard Form Contract is primarily used for any State Highway professional services contracts in excess of \$200,000 and must be issued with a contract number.

2.4.2 The standard conditions of contract are ACENZ's *Conditions of Contract for Consultancy Services, Fourth Edition (CCCS)* – December 2017. These conditions of contract can be downloaded from ACENZ's website.

2.4.3 The process for customising the contract proforma and the subsequent compilation of the signing contract document sets is described below.

2.5 How to use the proforma Contract

2.5.1 The contract proforma documents are accessed using MS Word.

2.5.2 The document compiler is required to enter a number of details in creating a Contract. This data will include, but is not limited to, the following:

- a) Contract name;
- b) Contract number (supplied by the NZTA Procurement Officer);
- c) Supplier selection method (only for standard form contract);
- d) Project Specific data including scope, contact details, tender close, and other key contract data.

2.5.3 The document creator will note that this manual copy uses a number of coloured text within the proforma. These colours have the following meanings:

COLOUR	STATUS
Black text	Is mandatory and may not be changed.
Red text	Is used for data which requires fields to be updated or at least considered for each contract and marked at the beginning with [and the end with]. Text can be used as is, modified or replaced.
Blue text	Is used for optional clauses which can be included as is or deleted in full.
Pink Text	Is used for required clauses and fields to be included for geotechnical tender documentation.
<<Guidance notes>>	Is used for guidance notes for the tender document creator and marked at the beginning with << and the end with >>. These must be removed prior to tender document release.

2.5.4 The text colour should be reset to black, and all guidance notes removed prior to printing the final document.

2.5.5 As a guide for the document creator, the proforma RFT has been developed to comprise a typical layout with examples of a tender schedule, payment schedule, headings for the scope of services, etc. Much of this information is in blue or red text and may be used, modified or replaced as the document creator sees fit.

2.5.6 The draft RFT is normally prepared by the Procurement Lead and then reviewed and approved by the Project Sponsor, and after any amendments, is then issued.

- 2.5.7 Any standard specifications are not required to be included into RFTs when issued for tender.
- 2.5.8 Where, during the tender period, a page of the RFT is reissued, the replacement page should be tagged with a footer identifying the notice number and date, eg “Revised by NTT #3 - 1 May 2017”.
- 2.5.9 The signing sets will include full copies of the Specifications with appendices, and any relevant documentation as specified.
- 2.5.10 The contract documents are ultimately compiled for signing as required in the Contract Procedures Manual.

3. Contract Document preparation

3.1 General information

- 3.1.1 The proforma has been developed with default values and guidance that should be used to develop the RFT document.

3.2 Electronic tender documentation

- 3.2.1 Where practicable tender documentation should be made available, in an appropriate electronic form, for example an excel spreadsheet for the schedule of prices, or a word document for sections the tenderer is required to complete, or.pdf format for tender documents.
- 3.2.2 Electronic documents are provided in good faith, to assist tenderers. No hard copy documentation will be provided.
- 3.2.3 It is the Procurement Lead’s responsibility to have procedures in place for managing and checking any electronic information sent to and/or received for tendering purposes.
- 3.2.4 An electronic copy (.pdf) of the RFT document and appropriate electronic versions of forms and schedules shall be provided to the Procurement Officer to issue with the GETS tender advertisement.

4. Manual Structure

4.1 Business case approach

- 4.1.1 Following the adoption of the Business Case Approach by NZTA, there has been a significant restructuring of this manual to account for the new templates and guidance housed on the [Highways Information Portal](#).
- 4.1.2 To leverage off the Highways Information Portal, a number of the professional services specifications have been decoupled from SM030 and housed under their associated technical discipline. However SM030 still serves as the contractual link between the service requested in our RFT documentation and the Highways Information Portal.

APPENDICES

Z Series: minimum standards

The following Minimum Standards have been developed for use in the standard contract environment. The latest versions are available in the Appendices of the Manual, via the NZTA website, or electronically on the NZTA fileserver.

MINIMUM STANDARD NUMBER	MINIMUM STANDRD TITLE	CONTRACT SCOPE REFERENCE
Z/1	Quality management plan	CM
Z/2	Consultants programme	CM
Z/7	Physical works contract documentation	PI
Z/8	Inspection, sampling and testing	PI
Z/11	Performance evaluation	CM
Z/14	Liquidated damages	CM PI I
Z/15	Asset owner's manual	I
Z/16	Survey specification	PI
Z/17	Branding and communications standard	CM

Z/19	Taumata Taiao - environmental and sustainability standard	SSBC PI I
P/45	Heritage specification for land transport infrastructure	CM PI I
Z/44	Risk management practice guide	All
--	Contractor Health and safety expectations	All
--	Traffic Management Technology	All

Professional services forms

The following forms have been developed for use in the standard contract environment. The latest versions are available in the Appendices of the Manual, via the NZTA website, or electronically on the NZTA fileserver .

Consultants can request relevant Professional Services forms in electronic format from the Client's Representative (NZTA Project Manager).

FORM NUMBER	FORM TITLE	CONTRACT SCOPE REFERENCE
PSF/3a	Presentation of survey data	DBC
PSF/3b	Road construction information form	PI
PSF/3g	Capital project handover checklist	PI
PSF/4a	Justification of additional services	CM
PSF/4b	Request for extension of contract budget - physical works	CM I
PSF/4d	Notice to contractor	I
PSF/5b	Project completion certificate	CM
PSF/6a	Liquidated damages pre-assessment	PI I
PSF/6b	Agreement for entry onto land	CM
PSF/9a-9e, Guidelines (xls format)	9a - Performance evaluation of consultant 9b - Performance evaluation of contractor 9c - Performance evaluation of contractor (Maintenance) 9d - Performance evaluation of consultant (Maintenance) 9e - Performance evaluation of non-engineering consultant	CM
PSF/10b	Traffic counter operational check	TM

PSF/10c	Traffic classification operational check	TM
PSF/10d	Acceptable data submission formats	TM
PSF/14	Travel demand management checklist	DBC
PSF/15	Maintenance responsibilities during construction	PI I

Professional services guidelines

The following guidelines have been developed as references for the Project Manager, to assist in the development and use of standard contract documents. The latest versions are available in the Appendices of the Manual, via the NZTA website or electronically on the NZTA fileserver .

PSG NUMBER	GUIDELINE TITLE	CONTRACT SCOPE REFERENCE
PSG/2	Performance evaluation (refer to PSF9a-9e and guidelines)	CM
PSG/3	Asset management guide for project design	PI
PSG/4	Risks known to the client	RFT
PSG/5	Pavement life assessment	PI
PSG/7	Traffic monitoring	TM
PSG/9	Delivery of as-built documentation	I
PSG/10	Coding, symbols and line types guideline for presentation of detailed survey data	DBC PI
PSG/11	Preferred framework for positioning/branding capital projects	CM
PSG/14	Travel demand management guide	DBC
PSG/15	Asset owner's manual	I