
Part 1 – Checklist

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Feasibility

1. Establishment

1.1 Establishment	Recognise problem, need or opportunity.	<input type="checkbox"/>
	Formulate goal and objectives.	<input type="checkbox"/>
	Prepare project charter.	<input type="checkbox"/>
	Obtain project number.	<input type="checkbox"/>
	Prepare project plan.	<input type="checkbox"/>
	Sponsor's approval of project plan.	<input type="checkbox"/>
	Setup project file.	<input type="checkbox"/>
	Option assessment.	<input type="checkbox"/>
	Prepare feasibility estimate order of magnitude costs and benefits.	<input type="checkbox"/>
	Identify assumptions and constraints.	<input type="checkbox"/>
	Prepare business case (project feasibility report).	<input type="checkbox"/>
	Appoint project manager.	<input type="checkbox"/>
1.2 Resources	Plan resources for feasibility phase.	<input type="checkbox"/>
	Appoint resources for feasibility phase.	<input type="checkbox"/>
	Manage team during feasibility phase.	<input type="checkbox"/>
	Plan resources for investigation, design and construction phases.	<input type="checkbox"/>
	Prepare project handover report.	<input type="checkbox"/>
	Arrange handover (if necessary).	<input type="checkbox"/>

2. Development		
2.1 Scope definition	Confirm problem and/or opportunity.	<input type="checkbox"/>
	Determine/confirm project objectives.	<input type="checkbox"/>
2.2 Consultation	Consultation with the NZ Transport Agency (NZTA) and strategic partners.	<input type="checkbox"/>
	Review consultant's consultation strategy.	<input type="checkbox"/>
	Review consultant's preliminary statement of identified Māori interest.	<input type="checkbox"/>
	Consultation with Tāngata Whenua.	<input type="checkbox"/>
2.3 Environmental and social	Prepare professional services form (PSF) 13 Social and environmental management (PSF/13) provided in the NZTA's <i>State highway professional services contract proforma manual</i> (SM030) appendix 4. 2.	<input type="checkbox"/>
	Prepare PSF 2a Checklist for statutory approvals, consents and agreements (PSF/2a) provided in SM030 appendix 4.2.	<input type="checkbox"/>
2.4 Resource management	Review project feasibility report for scoping of potential statutory approvals.	<input type="checkbox"/>
2.5 Integrated planning/travel demand management	Document the strategic context.	<input type="checkbox"/>
	Contact regional integrated planning manager, regional transportation planning manager, environmental management specialist and urban design specialist.	<input type="checkbox"/>
	Complete land use assessment report.	<input type="checkbox"/>
	Complete urban design assessment report.	<input type="checkbox"/>
	Complete environmental management assessment report.	<input type="checkbox"/>
	Complete public transport assessment report.	<input type="checkbox"/>
	Complete walking assessment report.	<input type="checkbox"/>
	Complete cycling assessment report.	<input type="checkbox"/>
2.6 Scope verification	Submit final strategic study/ feasibility report.	<input type="checkbox"/>
	Air quality assessment.	<input type="checkbox"/>
	Cycling, walking, public transport and land use impact assessment report.	<input type="checkbox"/>
	Obtain feasibility report sign-off.	<input type="checkbox"/>
2.7 Scope control	Review project scope.	<input type="checkbox"/>
	Define scope change.	<input type="checkbox"/>
	Analyse impacts.	<input type="checkbox"/>
	Obtain approval to scope change.	<input type="checkbox"/>

3. Risk		
3.1 Risk	Develop activity risk file (risk register and treatment plan).	<input type="checkbox"/>
	Identify major risks and opportunities for the project.	<input type="checkbox"/>
	Review risk assessment.	<input type="checkbox"/>
4. Cost		
4.1 Cost estimation	Prepare feasibility estimate.	<input type="checkbox"/>
	Review estimate (peer review or parallel estimate).	<input type="checkbox"/>
4.2 Funding	State highway strategy studies procedure.	<input type="checkbox"/>
5. Time		
5.1 Programming for time	Develop Highways and Network Operations (HNO) 'holistic' programme and set baseline.	<input type="checkbox"/>
	Mark up for progress monthly.	<input type="checkbox"/>
	Receive and approve consultants' detailed programme.	<input type="checkbox"/>
	Review progress against detailed programme.	<input type="checkbox"/>

6. Quality

6.1 Quality	Define quality reviews and approvals timing.	<input type="checkbox"/>
	Review and accept supplier quality plans.	<input type="checkbox"/>
	Review project outputs for fitness of purpose.	<input type="checkbox"/>
	Formally review each supplier's quality system.	<input type="checkbox"/>
	Obtain required formal approvals.	<input type="checkbox"/>
	Carry out quality inspections and/or audits of completed outputs.	<input type="checkbox"/>
	Keep appropriate records.	<input type="checkbox"/>

6.2 Value engineering	Not applicable.	
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6.3 Network operations review	Agree with Operations team which project feasibility reports (PFR's) are worth doing.	<input type="checkbox"/>
	Jointly review with Operations team all completed PFR's.	<input type="checkbox"/>
	Agree with Operations team which PFR's should be developed as projects.	<input type="checkbox"/>
	Ensure that all PFR's consider maintenance requirements.	<input type="checkbox"/>

6.4 Peer reviews	Carry out review of professional services contract documents for strategy studies.	<input type="checkbox"/>
	Carry out conceptual review.	<input type="checkbox"/>
	Carry out cost review.	<input type="checkbox"/>
	Carry out economic evaluation review.	<input type="checkbox"/>
	Carry out review of professional services contract documents.	<input type="checkbox"/>
	Carryout initial project review for strategic studies.	<input type="checkbox"/>

6.5 Road safety audit and inspection	Commission feasibility/Concept road safety audit (RSA).	<input type="checkbox"/>
	Complete decision-tracking form.	<input type="checkbox"/>
	Apply for departure approval.	<input type="checkbox"/>

7. Documentation

7.1 Documentation	Prepare professional services contract documentation.	<input type="checkbox"/>
	Review contract documents.	<input type="checkbox"/>

8. Procurement		
8.1 Property management	Consider cost and social/environmental/cultural implications of scheme(s) on owners and neighbours.	<input type="checkbox"/>
	Preserve the ability to design away from significant problem properties if required.	<input type="checkbox"/>
	Provide preliminary land requirement plan or schedule of properties likely to be affected.	<input type="checkbox"/>
8.2 Procurement	Prepare tender documentation.	<input type="checkbox"/>
	Advertise tender (or call for registration of interest)	<input type="checkbox"/>
	Evaluate (or negotiate) tender.	<input type="checkbox"/>
	Contact probity auditor, if necessary.	<input type="checkbox"/>
	Arrange pre-letting meeting, if necessary.	<input type="checkbox"/>
	Award contract.	<input type="checkbox"/>
8.3 Tendering	Ensure that the correct procedures for tendering have been followed, reference the NZTA's <i>Contract procedures manual</i> (SM021).	<input type="checkbox"/>
9. Project control		
9.1 Contract management	No specific contract management responsibility.	
9.2 Communication	Develop a communication plan and establish a budget for strategic studies.	<input type="checkbox"/>
	Discuss communication matters at strategic studies project meetings and monitor.	<input type="checkbox"/>
9.3 Contract administration	Complete procurement strategy.	<input type="checkbox"/>
	Obtain contract number.	<input type="checkbox"/>
	Complete approval to advertise.	<input type="checkbox"/>
	Draft the request for tender (RFT) and consider page limits carefully.	<input type="checkbox"/>
	Advertise contract (or call for registration of interest).	<input type="checkbox"/>
	Provide master RFT to tenders secretary.	<input type="checkbox"/>
	Tender queries.	<input type="checkbox"/>
	Opening tender process.	<input type="checkbox"/>
	Approvals to award.	<input type="checkbox"/>
	Check appropriate insurance coverage.	<input type="checkbox"/>
	PROMAN action.	<input type="checkbox"/>
	Update LTP online information.	<input type="checkbox"/>
	Approve payments.	<input type="checkbox"/>

9. Project control continued

9.4 Financial management	Create project structure.	<input type="checkbox"/>
	Prioritise project and request inclusion in the regional annual planning process.	<input type="checkbox"/>
	Apply for funding for strategic studies.	<input type="checkbox"/>
	Maintain a project structure.	<input type="checkbox"/>
	Verify supplier invoices for payment.	<input type="checkbox"/>
	Notify contingent liabilities.	<input type="checkbox"/>
	Verify forecast and accrual values and provide commentary on variances on a monthly basis.	<input type="checkbox"/>
	Prepare and submit funding review changes as required.	<input type="checkbox"/>
	Update project status and complete year end processing requirements.	<input type="checkbox"/>
	Update annual plan data.	<input type="checkbox"/>
9.5 Change control	Review the professional services contract.	<input type="checkbox"/>
	Establish a baseline.	<input type="checkbox"/>
	Review the minimum standards Z series in SM030.	<input type="checkbox"/>
	Review all requests for additional services and ensure that they are justified and beneficial.	<input type="checkbox"/>
	Look at the impact of the change and perform integrated change control.	<input type="checkbox"/>
	Seek approval for the proposed change.	<input type="checkbox"/>
	Adjust the baseline in a timely manner.	<input type="checkbox"/>
	Manage the project to the new baseline.	<input type="checkbox"/>
	Monitor the results of the change.	<input type="checkbox"/>
9.6 Cost control	Review the contract.	<input type="checkbox"/>
	Manage actual changes.	<input type="checkbox"/>
	Design good cost reports to detect potential problems.	<input type="checkbox"/>
	Forecast frequently.	<input type="checkbox"/>
9.7 Dispute resolution	Ensure professional services contracts include dispute resolution provisions or reference to clause 10 Conditions of contract for consultancy services (CCCS).	<input type="checkbox"/>
	Maintain regular and interactive communication with consultants/stakeholders to minimise any disputes.	<input type="checkbox"/>
	Undertake dispute resolution process as required.	<input type="checkbox"/>
9.8 Supplier performance	Complete interim performance evaluations.	<input type="checkbox"/>
	Complete final performance evaluation if contracted services are concluded.	<input type="checkbox"/>

10. Closeout

10.1 Project close-out	Completed project:	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Complete final summary report. • Pass actions to asset manager. 	
	Suspended project:	<input type="checkbox"/>
	<ul style="list-style-type: none"> • Update project plan. • Update PROMAN financials. 	
	Closed project.	<input type="checkbox"/>
	Terminated project.	<input type="checkbox"/>
	Forward memo to Business Unit Decision-Making team (BUDMT).	<input type="checkbox"/>
10.2 Contract close-out	Complete performance reviews.	<input type="checkbox"/>
	Obtain all expected deliverables.	<input type="checkbox"/>
	Complete final payments.	<input type="checkbox"/>
	Resolve any contingent liabilities.	<input type="checkbox"/>
	Notify consultants that contract is complete.	<input type="checkbox"/>
	Close contract files.	<input type="checkbox"/>
	Update project plan.	<input type="checkbox"/>

Investigation

1. Establishment		
1.1 Establishment	Develop project charter (sponsor's brief).	<input type="checkbox"/>
	Appoint Highways and Network Operations (HNO) project manager and allocate internal resources.	<input type="checkbox"/>
	Establish project register/document control.	<input type="checkbox"/>
	Develop preliminary scope statement.	<input type="checkbox"/>
	Write the project management plan.	<input type="checkbox"/>
	Approve the project management plan.	<input type="checkbox"/>
1.2 Resources	Appoint resources for the investigation phase.	<input type="checkbox"/>
	Manage team during investigation phase.	<input type="checkbox"/>
	Review design phase resources.	<input type="checkbox"/>
	Prepare project handover report, if necessary.	<input type="checkbox"/>
	Arrange handover, if necessary.	<input type="checkbox"/>
2. Development		
2.1 Scope definition	Review/analyse the outcomes from the project feasibility report (PFR).	<input type="checkbox"/>
	Review/analyse the outcomes from the scoping report (large projects).	<input type="checkbox"/>
	Confirm/determine project objectives.	<input type="checkbox"/>
	Undertake investigation and reporting (I&R) stage.	<input type="checkbox"/>
2.2 Consultation	Review and approve consultation plan.	<input type="checkbox"/>
	Establish consultation project in the stakeholder relationship management system.	<input type="checkbox"/>
	Review and approve statement of identified Māori interests.	<input type="checkbox"/>
	Ensure agreed consultation is undertaken appropriately.	<input type="checkbox"/>
	Review and approve report on the outcome of consultation undertaken.	<input type="checkbox"/>
2.3 Environmental and social	Prepare/update professional services form (PSF) 13 Social and environmental management form (PSF/13) provided in the NZ Transport Agency's <i>State highway professional services contract proforma manual</i> (SM030) appendix 4. 2.	<input type="checkbox"/>
	Prepare/update PSF 2a Checklist for statutory approvals, consents and agreements (PSF/2a) provided in SM030 appendix 4.2.	<input type="checkbox"/>

2. Development continued**2.4 Resource management**

- Obtain resource consents for drilling, etc. ☐
- Review and approve consenting strategy. ☐
- Review draft assessment of environmental effects (AEE) to support statutory applications (notice of requirement, resource consents). ☐
- Finalise and lodge statutory applications if included in the investigation and reporting (I&R) contract. ☐
- Meet with submitters if required. ☐
- Prepare and present proposal at hearing if required. ☐
- Assess decisions and recommendations. ☐
- Seek approval to decisions and any conditions if required. ☐
- Negotiate with appellants if required. ☐

2.5 Integrated planning/travel demand management

- Consult with planning and government agency partners, local authorities, rail, public transport, freight operators and other relevant road user groups. ☐
- Complete audit report for cycling, walking, public transport and priority lane connections. ☐
- Incorporate land use impact report recommendations. ☐
- Incorporate environmental management recommendations. ☐
- Incorporate urban design recommendations. ☐
- Incorporate integrated traffic assessment recommendations, eg where appropriate, priority lanes and traffic management. ☐

2. Development continued

2.6 Scope verification

Seek approval for:

- air quality assessment report
- archaeological assessment
- erosion and sediment control management plan
- landscape plan
- procurement strategy
- for traffic and construction noise mitigation plan
- stormwater management plan
- urban design framework
- vibration management plan.

Incorporation of cycling, walking, public transport, priority land recommendations into the design phase.

Mitigate against land use impact.

Obtain strategic study/scoping report/scheme assessment report approval.

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2.7 Scope control

Review project scope.

Define scope change.

Analyse impacts.

Obtain approval to scope change.

☐☐☐☐

3. Risk

3.1 Risk

Update risk register.

Develop option risks for comparison.

Finalise risk profile for preferred option.

☐☐☐

4. Cost

- 4.1 Cost estimation**
- Prepare and submit funding application assessment (investigation and reporting (I&R)). ☐
 - Prepare and review options estimate. ☐
 - Prepare and review scheme estimate. ☐
 - Prepare and review pre-design estimate. ☐
-
- 4.2 Funding**
- Complete LTP online funding application and collate required attachments. ☐
 - Obtain approval to seek funds from Business Unit Decision-Making team (BUDMT). ☐
 - Lodge application in LTP online and liaise with regional partnerships and programmes (RPP) case manager. ☐
 - Apply for funds in PROMAN. ☐

5. Time

- 5.1 Programming for time**
- Develop Highways and Network Operations (HNO) 'holistic' programme and set baseline. ☐
 - Mark up for progress monthly. ☐
 - Input into HNO Programming team risk adjusted programme process for large projects. ☐
 - Receive and approve consultants' detailed programme. ☐
 - Review progress against detailed programme. ☐

6. Quality

- 6.1 Quality**
- List the standards, guidelines and specifications that apply to the contract. ☐
 - Establish key performance indicators to define quality standards. ☐
 - Define quality reviews and approvals timing. ☐
 - Review and accept supplier quality plans. ☐
 - Review project outputs for fitness of purpose. ☐
 - Formally review each supplier's quality system. ☐
 - Obtain required formal approvals. ☐
 - Carry out quality inspections and/or audits of completed outputs. ☐
 - Keep appropriate records. ☐

6. Quality continued

6.2 Value engineering	Apply value management principles prior to preparation of options.	<input type="checkbox"/>
	Apply value management principles prior to preparing the scheme estimate.	
	Undertake value management process prior to finalising the pre-design estimate.	
6.3 Network operations review	Agree who the Operations team representative is for the investigation and reporting (I&R) phase.	<input type="checkbox"/>
	Jointly develop I&R request for tender (RFT) with Operations team representative.	<input type="checkbox"/>
	Involve Operations team representative throughout development of scheme assessment report.	
	Involve Operations team representative in scheme approval process.	<input type="checkbox"/>
	Agree all consent conditions with Operations team representative.	<input type="checkbox"/>
6.4 Peer reviews	Carry out:	
	• cost review	<input type="checkbox"/>
	• economic evaluation review	<input type="checkbox"/>
	• scheme assessment review	<input type="checkbox"/>
	• conceptual review if required	<input type="checkbox"/>
	• review of professional services contract documents for design phase if applicable	<input type="checkbox"/>
	• initial project review.	<input type="checkbox"/>
6.5 Road safety audit and inspection	Commission scheme assessment road safety audit (RSA).	<input type="checkbox"/>
	Sign off outstanding issues.	<input type="checkbox"/>
	Complete decision-tracking form.	<input type="checkbox"/>
	Assess departures required.	<input type="checkbox"/>
	Apply for and confirm departure approval.	<input type="checkbox"/>
	Additional RSA requirements for design and construct contract:	<input type="checkbox"/>
	• assemble contract documents	
	• commission scheme assessment RSA review of contract documents	
	• incorporate results of review in contract documents	
	• commission scheme assessment RSA review of tender submissions.	

7. Documentation

7.1 Documentation	Prepare professional services contract documentation. May include provision for design and construction phases.	<input type="checkbox"/>
	Review contract documents.	<input type="checkbox"/>

8. Procurement		
8.1 Property management	Make contact with landowners.	<input type="checkbox"/>
	Obtain land entry agreement for investigation. Use compulsory purchase process if necessary.	<input type="checkbox"/>
	Obtain landowners sign-off on notice of requirement.	<input type="checkbox"/>
	Produce an approved land requirement plan.	<input type="checkbox"/>
	Instruct senior project manager to appoint an acquisition supplier to acquire land.	<input type="checkbox"/>
	Use advance purchase by negotiation for critical sites.	<input type="checkbox"/>
	Assist property manager or acquisition supplier with negotiations with landowners.	<input type="checkbox"/>
	Initiate compulsory purchase if necessary	<input type="checkbox"/>
8.2 Procurement	Prepare tender documentation.	<input type="checkbox"/>
	Advertise tender.	<input type="checkbox"/>
	Evaluate (or negotiate) tender.	<input type="checkbox"/>
	Award contract.	<input type="checkbox"/>
8.3 Tendering	Ensure that the correct procedures for tendering have been followed, reference the NZ Transport Agency's <i>Contract procedures manual</i> (SM021).	<input type="checkbox"/>
9. Project control		
9.1 Contract management	Check robustness of investigation and reporting (I&R) phase contract document.	<input type="checkbox"/>
	Review consultant's contract deliverables.	<input type="checkbox"/>
	Hold consultant to tender proposals.	<input type="checkbox"/>
	Hold consultant to contract requirements.	<input type="checkbox"/>
	Ensure consultant is paid on time.	<input type="checkbox"/>
	Ensure consultant's performance is monitored.	<input type="checkbox"/>
9.2 Communication	Develop a communication plan and establish a budget.	<input type="checkbox"/>
	Discuss communication matters at project meetings and monitor.	<input type="checkbox"/>

9. Project control continued

9.3 Contract administration

- Complete procurement strategy. ☐
- Obtain contract number. ☐
- Complete approval to advertise. ☐
- Draft the request for tender (RFT) and consider page limits carefully. ☐
- Advertise contract. ☐
- Provide master RFT to tenders secretary. ☐
- Tender queries. ☐
- Opening tender process. ☐
- Approvals to award. ☐
- Check appropriate insurance coverage. ☐
- PROMAN action. ☐
- Review and update LTP online ☐
- Approve payments. ☐

9.4 Financial management

- Apply for investigation funding. ☐
- Maintain a project structure. ☐
- Verify supplier invoices for payment. ☐
- Notify contingent liabilities. ☐
- Verify forecast and accrual values and provide commentary on variances on a monthly basis. ☐
- Prepare and submit funding review changes as required. ☐
- Update project status and complete year end processing requirements. ☐
- Update annual pan data. ☐

9. Project control continued

9.5 Change control	Review the professional services contract.	<input type="checkbox"/>
	Establish a baseline.	<input type="checkbox"/>
	Review the NZ Transport Agency (NZTA) standard professional services specification for investigation and reporting and contract management and Z series.	<input type="checkbox"/>
	Review all requests for additional services and ensure that they are justified and beneficial.	<input type="checkbox"/>
	Look at the impact of the change and perform integrated change control.	<input type="checkbox"/>
	Seek approval for the proposed change.	<input type="checkbox"/>
	Adjust the baseline in a timely manner.	<input type="checkbox"/>
	Manage the project to the new baseline.	<input type="checkbox"/>
9.6 Cost control	Monitor the results of the change.	<input type="checkbox"/>
	Review the contract.	<input type="checkbox"/>
	Manage actual changes.	<input type="checkbox"/>
	Design good cost reports to detect potential problems.	<input type="checkbox"/>
9.7 Dispute resolution	Forecast frequently.	<input type="checkbox"/>
	Ensure professional services contracts include dispute resolution provisions or reference to clause 10 Conditions of contract for consultancy services (CCCS).	<input type="checkbox"/>
	Maintain regular and interactive communication with consultants/stakeholders to minimise any disputes.	<input type="checkbox"/>
	Undertake dispute resolution process as required.	<input type="checkbox"/>
9.8 Supplier performance	Ensure professional services contracts include dispute resolution provisions or reference to clause 10 Conditions of contract for consultancy services (CCCS).	<input type="checkbox"/>
	Complete interim performance evaluations.	<input type="checkbox"/>
	Complete final performance evaluation if contracted services are concluded.	<input type="checkbox"/>

10. Closeout

10.1 Project close-out

Completed project:

- Complete final summary report.
- Pass actions to asset manager.

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Suspended project:

- Update project plan.
- Update PROMAN financials.
- Close project.

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Terminated project:

- Forward memo to Business Unit Decision-Making team (BUDMT) (project estimated cost <\$4.5 million).
- Submit a report to group manager Highways and Network Operations (project estimated cost >\$4.5 million).

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10.2 Contract close-out

Complete performance reviews.

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Obtain all expected deliverables.

☐

Complete final payments.

☐

Resolve any contingent liabilities.

☐

Notify consultants that contract is complete.

☐

Close contract files.

☐

Update project plan.

☐

Design

1. Establishment		
1.1 Establishment	Review project charter.	<input type="checkbox"/>
	Update project management plan.	<input type="checkbox"/>
1.2 Resources	Appoint resources for the design phase.	<input type="checkbox"/>
	Manage team during design phase.	<input type="checkbox"/>
	Review construction phase resources.	<input type="checkbox"/>
	Arrange handover (if necessary).	<input type="checkbox"/>
2. Development		
2.1 Scope definition	Not applicable.	<input type="checkbox"/>
2.2 Consultation	Review and approve consultation plan.	<input type="checkbox"/>
	Review and approve updated statement of identified Māori interest.	<input type="checkbox"/>
	Ensure agreed consultation is undertaken appropriately.	<input type="checkbox"/>
	Review and approve report on the outcome of consultation undertaken.	<input type="checkbox"/>
2.3 Environmental and social	Prepare professional services form (PSF) 13 Social and environmental management form (PSF/13) provided in the NZ Transport Agency's <i>State highway professional services contract proforma manual</i> (SM030) appendix 4. 2.	<input type="checkbox"/>
	Update PSF 2a Checklist for statutory approvals, consents and agreements (PSF/2a) provided in SM030 appendix 4.2.	<input type="checkbox"/>
2. Development continued		
2.4 Resource management	Finalise and lodge statutory applications.	<input type="checkbox"/>
	Meet with submitters, if required.	<input type="checkbox"/>
	Prepare and present proposal at hearing, if required.	<input type="checkbox"/>
	Assess decision and recommendations.	<input type="checkbox"/>
	Seek approval to decision and conditions, if required	<input type="checkbox"/>
	Negotiate with appellants, if required	<input type="checkbox"/>
2.5 Integrated planning/travel demand management	Mitigate against land use impact.	<input type="checkbox"/>
	Incorporate cycling, walking, public transport, priority lane, traffic management and urban design recommendations into design plus other recommendations that arise through investigation phase.	<input type="checkbox"/>
	Mitigate against land use impact.	<input type="checkbox"/>

2. Development continued

2.6 Scope verification	Pavement design plan.	<input type="checkbox"/>
	Road safety audit.	<input type="checkbox"/>
	Public transport, priority lanes, walking and cycling plans.	<input type="checkbox"/>
	Structures specimen design.	<input type="checkbox"/>
	Landscape planting plan.	<input type="checkbox"/>
	Erosion and sediment control site plan.	<input type="checkbox"/>
	Traffic and construction noise detail plan.	<input type="checkbox"/>
	Stormwater management site plan.	<input type="checkbox"/>
	Urban design plan.	<input type="checkbox"/>
	Consent management system update.	<input type="checkbox"/>
	Building consent(s).	<input type="checkbox"/>
	Obtain design sign-off.	<input type="checkbox"/>
2.7 Scope control	Review project scope.	<input type="checkbox"/>
	Define scope change.	<input type="checkbox"/>
	Analyse impacts.	<input type="checkbox"/>
	Obtain approval to scope change.	<input type="checkbox"/>

3. Risk

3.1 Risk	Update risk register.	<input type="checkbox"/>
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4. Cost

4.1 Cost estimation	Prepare and submit funding application assessment (design and project documentation (D&PD)).	<input type="checkbox"/>
	Prepare design estimate.	<input type="checkbox"/>
4.2 Funding	Complete LTP online funding application and collate required attachments.	<input type="checkbox"/>
	Obtain approval to seek funds from Business Unit Decision-Making team (BUDMT).	<input type="checkbox"/>
	Lodge application in LTP online and liaise with regional partnerships and programmes (RPP) case manager.	<input type="checkbox"/>
	Apply for funds in PROMAN.	<input type="checkbox"/>

5. Time		
5.1 Programming for time	Refine Highways and Network Operations (HNO) 'holistic' programme (if necessary).	<input type="checkbox"/>
	Mark up for progress monthly.	<input type="checkbox"/>
	Input into HNO programming team risk adjusted programme process for large projects.	<input type="checkbox"/>
	Receive and approve consultants' detailed programme.	<input type="checkbox"/>
	Review progress against detailed programme.	<input type="checkbox"/>
6. Quality		
6.1 Quality	List the standards, guidelines and specifications that apply to the contract.	<input type="checkbox"/>
	Establish key performance indicators to define quality standards.	<input type="checkbox"/>
	Define quality reviews and approvals timing.	<input type="checkbox"/>
	Confirm the suppliers comply with all contractual requirements.	
	Confirm the suppliers comply with all systems and processes.	
	Seek approval to change the project plan for all deviations from standards.	
	Review and accept supplier quality plans.	<input type="checkbox"/>
	Review project outputs for fitness of purpose.	<input type="checkbox"/>
	Formally review each supplier's quality system.	<input type="checkbox"/>
	Obtain required formal approvals.	<input type="checkbox"/>
	Carry out quality inspections and/or audits of completed outputs.	<input type="checkbox"/>
	Keep appropriate records.	<input type="checkbox"/>
6.2 Value engineering	Undertake value management process prior to finalising the design estimate.	<input type="checkbox"/>
	Undertake value management process prior to finalising the contract estimate.	<input type="checkbox"/>

6. Quality continued

6.3 Network operations review	Agree who the Operations team representative is for the design and project documentation (D & PD) phase.	<input type="checkbox"/>
	Involve Operations team representative throughout development of the project design.	<input type="checkbox"/>
	Agree all consent conditions with Operations team representative.	<input type="checkbox"/>
	Agree all land purchase conditions with Operations team representative.	<input type="checkbox"/>
	Involve Operations team representative in physical works request for tender (RFT) approval process.	<input type="checkbox"/>
	Agree with Operations team representative responsibilities for second coat seals.	<input type="checkbox"/>
	Agree with Operations team representative maintenance responsibilities during construction.	<input type="checkbox"/>
	Involve Operations team representative in review of alternative designs received as necessary.	<input type="checkbox"/>
6.4 Peer reviews	Carry out cost review.	<input type="checkbox"/>
	Carry out economic evaluation review.	<input type="checkbox"/>
	Carry out physical works contract document review.	<input type="checkbox"/>
	Carry out conceptual review if required.	<input type="checkbox"/>
	Carry out other specialist reviews as appropriate, eg geotechnical, traffic signals.	<input type="checkbox"/>
	Carry out probity audit review of evaluation.	<input type="checkbox"/>
	Carry out review of professional services contract documents for management, surveillance and quality assurance (MSQA) phase if applicable.	<input type="checkbox"/>
	Carry out initial project review if necessary.	<input type="checkbox"/>
	Carry out progress project review.	<input type="checkbox"/>
6.5 Road safety audit and inspection	Commission detailed design road safety audit (RSA).	<input type="checkbox"/>
	Sign off outstanding issues.	<input type="checkbox"/>
	Complete decision-tracking form.	<input type="checkbox"/>
	Assess departures required.	<input type="checkbox"/>
	Apply for and confirm departure approval.	<input type="checkbox"/>

7. Documentation		
7.1 Documentation	Prepare physical works contract documentation. Will most likely include provision for the construction phase.	<input type="checkbox"/>
	Prepare professional services management, surveillance and quality assurance (MSQA) documentation for construction phase if not included in existing commission.	<input type="checkbox"/>
	Review contract documents.	<input type="checkbox"/>
8. Procurement		
8.1 Property management	Request that the property manager uses compulsory acquisition provisions (if necessary).	<input type="checkbox"/>
	Ensure physical works contractor obligations to owners are included in schedule of works.	<input type="checkbox"/>
8.2 Procurement	For all non-block capital improvement contracts, prepare and have approved a stage 1 project procurement strategy.	<input type="checkbox"/>
	Prepare project procurement strategy.	<input type="checkbox"/>
	Prepare tender documentation.	<input type="checkbox"/>
	Advertise tender.	<input type="checkbox"/>
	Evaluate (or negotiate).	<input type="checkbox"/>
	Award contract.	<input type="checkbox"/>
8.3 Tendering	Ensure that the correct procedures for tendering have been followed, reference the NZ Transport Agency's <i>Contract procedures manual</i> (SM021).	<input type="checkbox"/>
9. Project control		
9.1 Contract management	Check robustness of design and project documentation (D&PD) phase contract document.	<input type="checkbox"/>
	Review consultant's contract deliverables.	<input type="checkbox"/>
	Hold consultant to tender proposals.	<input type="checkbox"/>
	Hold consultant to contract requirements.	<input type="checkbox"/>
	Ensure consultant is paid on time.	<input type="checkbox"/>
	Ensure consultant's performance is monitored.	<input type="checkbox"/>
	Ensure coordination with land acquisition consultant.	<input type="checkbox"/>
9.2 Communication	Develop a communication plan and establish a budget.	<input type="checkbox"/>
	Discuss communication matters at project meetings and monitor.	<input type="checkbox"/>

9. Project control continued

9.3 Contract administration	Complete procurement strategy.	<input type="checkbox"/>
	Obtain contract number.	<input type="checkbox"/>
	Draft the request for tender (RFT) and consider page limits carefully.	<input type="checkbox"/>
	Complete approval to advertise.	<input type="checkbox"/>
	Advertise contract.	<input type="checkbox"/>
	Provide master RFT to tenders secretary.	<input type="checkbox"/>
	Tender queries.	<input type="checkbox"/>
	Opening tender process.	<input type="checkbox"/>
	Approvals to award.	<input type="checkbox"/>
	Check appropriate insurance coverage.	<input type="checkbox"/>
	PROMAN action.	<input type="checkbox"/>
	Review and update LTP online	<input type="checkbox"/>
	Approve payments.	<input type="checkbox"/>
9.4 Financial management	Apply for design funding.	<input type="checkbox"/>
	Maintain a project structure.	<input type="checkbox"/>
	Verify supplier invoices for payment.	<input type="checkbox"/>
	Notify contingent liabilities.	<input type="checkbox"/>
	Verify forecast and accrual values and provide commentary on variances on a monthly basis.	<input type="checkbox"/>
	Prepare and submit funding review changes as required.	<input type="checkbox"/>
	Update project status and complete year end processing requirements.	<input type="checkbox"/>
	Update annual plan data.	<input type="checkbox"/>

9. Project control continued

9.5 Change control	Review the professional services contract.	<input type="checkbox"/>
	Establish a baseline.	<input type="checkbox"/>
	Review the NZ Transport Agency standard professional services specification for design and project documentation and contract management and Z series.	<input type="checkbox"/>
	Review all requests for additional services and ensure that they are justified and beneficial.	<input type="checkbox"/>
	Look at the impact of the change and perform integrated change control.	<input type="checkbox"/>
	Seek approval for the proposed change.	<input type="checkbox"/>
	Adjust the baseline in a timely manner.	<input type="checkbox"/>
	Manage the project to the new baseline.	<input type="checkbox"/>
	Monitor the results of the change.	<input type="checkbox"/>
9.6 Cost control	Review the contract.	<input type="checkbox"/>
	Manage actual changes.	<input type="checkbox"/>
	Design good cost reports to detect potential problems.	<input type="checkbox"/>
	Forecast frequently.	<input type="checkbox"/>
9.7 Dispute resolution	Ensure professional services contracts include dispute resolution provisions or reference to clause 10 Conditions of contract for consultancy services (CCCS).	<input type="checkbox"/>
	Maintain regular and interactive communication with consultants /stakeholders to minimise any disputes.	<input type="checkbox"/>
	Undertake dispute resolution process as required.	<input type="checkbox"/>
9.8 Supplier performance	Complete interim performance evaluations.	<input type="checkbox"/>
	Complete final performance evaluation if contracted services are concluded.	<input type="checkbox"/>

10. Closeout

10.1 Project close-out

Completed project:

- Complete final summary report.
- Pass actions to asset manager.

☐

Suspended project:

- Update project plan.
- Update PROMAN financials.

☐

Closed project.

☐

Terminated project:

- Forward memo to Business Unit Decision-Making team (BUDMT) (project estimated cost <\$4.5 million).
- Submit a report to group manager Highways and Network Operations (project estimated cost >\$4.5 million).

☐

10.2 Contract close-out

Complete performance reviews.

☐

Obtain all expected deliverables.

☐

Complete final payments.

☐

Resolve any contingent liabilities.

☐

Notify consultants that contract is complete.

☐

Close contract files.

☐

Update project plan.

☐

Construction

1. Establishment		
1.1 Establishment	Review project charter.	<input type="checkbox"/>
	Update project management plan.	<input type="checkbox"/>
1.2 Resources	Appoint resources for construction phase.	<input type="checkbox"/>
	Manage team during construction phase.	<input type="checkbox"/>
	Arrange handover, if necessary.	<input type="checkbox"/>
2. Development		
2.1 Scope definition	Not applicable.	
2.2 Consultation	Inform the public of the timing and potential disruption associated with proposed works.	<input type="checkbox"/>
	Review consultants' consultation strategy.	<input type="checkbox"/>
2.3 Environmental and social	Update professional services form (PSF) 13 Social and environmental management form (PSF/13) provided in the NZ Transport Agency's (NZTA) <i>State highway professional services contract proforma manual</i> (SM030) appendix 4. 2.	<input type="checkbox"/>
	Update PSF 2a Checklist for statutory approvals, consents and agreements (PSF/2a) provided in SM030 appendix 4.2.	<input type="checkbox"/>
	Review minimum standard (MS) Z/4 Contractor's social and environmental management plan (MS Z/4).	<input type="checkbox"/>
	Review contractor's quality plan - environmental management (provided in the NZTA's <i>State highway maintenance contract proforma manual</i> (SM032)	<input type="checkbox"/>
	Final update of PSF/13.	<input type="checkbox"/>
2.4 Resource management	Ensure works are undertaken in compliance with the statutory requirements/ conditions set out in decisions.	<input type="checkbox"/>
	Ensure any required monitoring is undertaken and reported appropriately.	
2.5 Integrated planning/travel demand management	Mitigate against land use impact during construction.	<input type="checkbox"/>
	Ensure non-car users are catered for and if they are diverted away from the main route that they are provided with a usable, practical facility.	<input type="checkbox"/>
	Communicate disruptions with affected road users, local community and business groups.	<input type="checkbox"/>
	Ensure non- car users are happy with design or if there are any modifications/enhancements necessary.	<input type="checkbox"/>
	Undertake pedestrian and cyclist post-construction monitoring (especially if larger project).	<input type="checkbox"/>

2. Development continued

2.6 Scope verification	Request for tender (RFT) for physical works.	<input type="checkbox"/>
	Environmental management plan (including noise, dust, erosion and sediment control, storm water, etc).	<input type="checkbox"/>
	Post-construction.	<input type="checkbox"/>
	Asset owner's manual.	<input type="checkbox"/>
	Consent closure and handover.	<input type="checkbox"/>
2.7 Scope control	Review project scope.	<input type="checkbox"/>
	Define scope change.	<input type="checkbox"/>
	Analyse impacts.	<input type="checkbox"/>
	Obtain approval to scope change	<input type="checkbox"/>

3. Risk

3.1 Risk	Update risk register in collaboration with the contractor.	<input type="checkbox"/>
	Update risk profile on a quarterly basis.	<input type="checkbox"/>

4. Cost

4.1 Cost estimation	Prepare and submit funding application assessment (construction).	<input type="checkbox"/>
	Prepare construction estimate.	<input type="checkbox"/>
	Update construction estimate following award	<input type="checkbox"/>
4.2 Funding	Complete LTP online funding application and collate required attachments.	<input type="checkbox"/>
	Obtain approval to seek funds from Business Unit Decision-Making team (BUDMT).	<input type="checkbox"/>
	Lodge application in LTP online and liaise with regional partnerships and programmes (RPP) case manager.	<input type="checkbox"/>
	Apply for funds in PROMAN.	<input type="checkbox"/>

5. Time

5.1 Programming for time

- Refine Highways and Network Operations (HNO) 'holistic' programme (if necessary). ☐
- Mark up for progress monthly. ☐
- Input into HNO programming team risk adjusted programme process for large projects. ☐
- Receive and approve consultants' detailed programme. ☐
- Receive and approve contractors' detailed programme. ☐
- Review progress against detailed programme. ☐

6. Quality

6.1 Quality

- List the standards, guidelines and specifications that apply to the contract. ☐
- Establish key performance indicators to define quality standards. ☐
- Define quality reviews and approvals timing. ☐
- Review and accept supplier quality plans. ☐
- Review project outputs for fitness of purpose. ☐
- Formally review each supplier's quality system. ☐
- Obtain required formal approvals. ☐
- Carry out quality inspections and/or audits of completed outputs. ☐
- Keep appropriate records. ☐

6.2 Value engineering

- Apply value management principles during the construction of the project. ☐

6. Quality continued

6.3 Network operations review

- Agree who the Operations team representative is for the construction phase. ☐
- Keep Operations team representative adequately informed during construction. ☐
- Involve Operations team representative in practical completion inspection. ☐
- Involve Operations team representative in agreement to grant practical completion. ☐
- Involve Operations team representative in defects liability inspection. ☐
- Agree with Operations team representative remedial treatment for defects. ☐
- Continue to manage the project throughout the defects liability period. ☐
- Ensure that all deliverables (as-built information, etc) is provided to the Operations team representative. ☐
- Supply information to the Operations team representative for: ☐
 - state highway/motorway declaration
 - speed limit declaration
 - limited access road declaration.

6.4 Peer reviews

- Carry out economic evaluation review. ☐
- Carry out conceptual review if required. ☐
- Carry out other specialist reviews as appropriate, eg commissioning of traffic signals. ☐
- Carry out initial project review. ☐
- Carry out progress project review. ☐

6.5 Road safety audit and inspection

- Commission post-construction road safety audit (RSA). ☐
- Address all issues raised. ☐
- Assess risks associated with serious or significant issues not resolved. ☐
- Report risk assessment associated with the above to the NZ Transport Agency National Office. ☐

7. Documentation

7.1 Documentation

Not applicable

8. Procurement		
8.1 Property management	Inform property manager of construction date to enable clearance of tenants for construction.	<input type="checkbox"/>
	Manage work requirement for owners, fencing, etc.	<input type="checkbox"/>
	Meet with owners to get contractor obligation sign off.	<input type="checkbox"/>
	Ensure that legal boundary survey is completed to confirm land take.	<input type="checkbox"/>
	Legalise land and status of the land held under the route, including gazettal.	<input type="checkbox"/>
	Declare all property not required by the project as surplus and assist with disposal as required.	<input type="checkbox"/>
8.2 Procurement	For all non-block capital improvement contracts, prepare and have approved a stage 2 project procurement strategy.	<input type="checkbox"/>
	Prepare tender documentation.	<input type="checkbox"/>
	Advertise tender or invite registration of interest.	<input type="checkbox"/>
	Evaluate (or negotiate) tender.	<input type="checkbox"/>
	Hold pre-letting meeting if necessary.	<input type="checkbox"/>
	Seek approval to award contract.	<input type="checkbox"/>
	Award contract.	<input type="checkbox"/>
8.3 Tendering	Ensure that the correct procedures for tendering have been followed, reference the NZ Transport Agency's <i>Contract procedures manual</i> (SM021).	<input type="checkbox"/>
9. Project control		
9.1 Contract management	Check robustness of physical works and management, surveillance and quality assurance (MSQA) contract documents.	<input type="checkbox"/>
	Review consultant's contract deliverables.	<input type="checkbox"/>
	Hold consultant to tender proposals.	<input type="checkbox"/>
	Hold consultant to contract requirements.	<input type="checkbox"/>
	Ensure consultant is paid on time.	<input type="checkbox"/>
	Ensure consultant's performance is monitored.	<input type="checkbox"/>
	Ensure consultant manages physical works contract as required.	<input type="checkbox"/>
	Ensure contractor is paid on time.	<input type="checkbox"/>
	Ensure contractor's performance is monitored.	<input type="checkbox"/>
	Ensure all deliverables are provided to network operations at the end of the defects liability period.	<input type="checkbox"/>
	Ensure contracts are closed as per process 10.1.	<input type="checkbox"/>

9. Project control continued

9.2 Communication	Develop a communication plan and establish a budget.	<input type="checkbox"/>
	Discuss communication matters at project meetings and monitor.	<input type="checkbox"/>
9.3 Contract administration	Complete procurement strategy.	<input type="checkbox"/>
	Obtain contract number.	<input type="checkbox"/>
	Draft the request for tender (RFT) and consider page limits carefully.	<input type="checkbox"/>
	Complete approval to advertise.	<input type="checkbox"/>
	Advertise contract.	<input type="checkbox"/>
	Provide master RFT to tenders secretary.	<input type="checkbox"/>
	Tender queries.	<input type="checkbox"/>
	Opening tender process.	<input type="checkbox"/>
	Approvals to award.	<input type="checkbox"/>
	Check appropriate insurance coverage.	<input type="checkbox"/>
	PROMAN action.	<input type="checkbox"/>
	Approve payments.	<input type="checkbox"/>
	Performance bonds and bond in lieu of retentions.	<input type="checkbox"/>
9.4 Financial management	Apply for construction funding.	<input type="checkbox"/>
	Maintain a project structure.	<input type="checkbox"/>
	Verify supplier invoices for payment.	<input type="checkbox"/>
	Notify contingent liabilities.	<input type="checkbox"/>
	Verify forecast and accrual values and provide commentary on variances on a monthly basis.	<input type="checkbox"/>
	Prepare and submit funding review changes as required.	<input type="checkbox"/>
	Update project status and complete year end processing requirements.	<input type="checkbox"/>
	On substantial completion update the project, phase and work unit status of the project.	<input type="checkbox"/>
	On financial completion, update the project, phase and work unit status to reflect the project completion.	<input type="checkbox"/>
	On financial completion notify the finance processing team leader to close project general ledger codes.	<input type="checkbox"/>

9. Project control continued

9.5 Change control

Physical works:

☐

- Review the contract documents.
- Establish a baseline.
- Identify change and potential sources of change.
- Log in all change requests.
- Document and categorise all change requests.
- Evaluate and assess the value and benefit of the change.
- Look at the impact of the change and perform integrated change control.
- Seek approval for the proposed change.
- Adjust the baseline and if necessary the project management plan.
- Communicate the change to stakeholders.
- Manage the project to the new baseline.
- Monitor the results of the change.

Management, surveillance and quality assurance:

☐

- Review the professional services contract.
- Review the NZ Transport Agency (NZTA) standard professional services specification for management, surveillance and quality assurance (MSQA).
- Review the NZTA standard professional services specification for contract management.
- Review all requests for additional services and ensure that they are justified and beneficial.
- Look at the impact of the change and perform integrated change control.
- Seek approval for the proposed change.
- Adjust the baseline in a timely manner.
- Manage the project to the new baseline.

Monitor the results of the change.

☐

9.6 Cost control

Physical works:

☐

- Establish a budget for the construction phase.
- Align estimates with cash flow and schedule.
- Monitor expenditures as work progresses.
- Manage actual changes.
- Examine cost trends and control impact of cost changes.
- Calculate cost variance line by line to identify specific problem areas.
- Forecast the cost of the remaining works to complete frequently.
- Report real project status.
- Take or recommend corrective action as necessary.
- Update cost baseline.
- Employ earned value technique.

Management, surveillance and quality assurance (MSQA):

☐

- Read your contract.
- Manage actual changes.
- Design good cost reports to detect potential problems.

Forecast frequently.

☐

9. Project control continued

9.7 Dispute resolution	Ensure physical works contracts include dispute resolution provisions and reference to section 13, NZS 3910:2003 Conditions of contract for building and civil engineering constructions.	<input type="checkbox"/>
	Maintain regular and interactive communication with consultants/contractors/stakeholders to minimise any disputes.	<input type="checkbox"/>
	Undertake dispute resolution process as required.	<input type="checkbox"/>
9.8 Supplier performance	Complete interim performance evaluations for professional services contracts.	<input type="checkbox"/>
	Complete final performance evaluation for professional services contracts (at end of defects liability period).	<input type="checkbox"/>
	Complete interim performance evaluations for physical works contract.	<input type="checkbox"/>
	Complete final performance evaluation for physical works contract (at end of defects liability period).	<input type="checkbox"/>

10. Closeout

10.1 Project close-out	Closeout consents.	<input type="checkbox"/>
	Complete pre-opening fit for purpose inspection.	<input type="checkbox"/>
	Issue certificate of practical completion.	<input type="checkbox"/>
	Complete project handover to area asset manager.	<input type="checkbox"/>
	Review the project plan.	<input type="checkbox"/>
	Forward outputs to be included in future projects.	<input type="checkbox"/>
	Reconcile final project cost.	<input type="checkbox"/>
	Obtain the project sponsor's sign-off on the final project plan.	<input type="checkbox"/>
	Register the project closure on the project register.	<input type="checkbox"/>
	File all records.	<input type="checkbox"/>
	Close and archive project files.	<input type="checkbox"/>
	Notify consultants that contract is complete.	<input type="checkbox"/>
	Close contract files.	<input type="checkbox"/>
	Update project plan.	<input type="checkbox"/>

10. Closeout

10.2 Contract close-out

- | | |
|--|--------------------------|
| Complete performance reviews for professional services and physical works contracts. | <input type="checkbox"/> |
| Obtain all expected deliverables for professional services and physical works contracts. | <input type="checkbox"/> |
| Complete final payments for professional services and physical works contracts, including retentions for the latter. | <input type="checkbox"/> |
| Release all bonds for physical works contracts. | <input type="checkbox"/> |
| Resolve any contingent liabilities for professional services and physical works contracts. | <input type="checkbox"/> |
| Close professional services and physical works contract files. | <input type="checkbox"/> |
| Update project plans. | <input type="checkbox"/> |