



Z/19 ENVIRONMENTAL AND SUSTAINABILITY MINIMUM STANDARD

DRAFT FOR CONSULTATION

1 JUNE 2021

0.1

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DOCUMENT MANAGEMENT PLAN

Purpose

This management plan outlines the updating procedures and contact points for the document.

Document Information

DOCUMENT NAME	ENVIRONMENTAL AND SUSTAINABILITY MINIMUM STANDARD
DOCUMENT NUMBER	Z/19
DOCUMENT AVAILABILITY	This document is located in electronic form on the Waka Kotahi NZ Transport Agency website
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DOCUMENT SPONSOR	Manager Safe and Sustainable Standards

Amendments and Review Strategy

All corrective action/improvement requests (CAIRs) suggesting changes will be acknowledged by the document owner.

	COMMENTS	FREQUENCY
Amendments (minor revisions)	Updates incorporated immediately they occur.	As required
Review (major revisions)	Amendments fundamentally changing the content or structure of the document will be incorporated as soon as practicable. They may require coordinating with the review team timetable.	Three yearly
Notification	All users that have registered their interest by email to environment@nzta.govt.nz will be advised by email of amendments and updates.	Immediately

Other information (at document owner's discretion)

There will be occasions, depending on the subject matter, when amendments will need to be worked through by the review team before the amendment is actioned. This may cause some variations to the above noted timeframes.

RECORD OF AMENDMENT

AMENDMENT NUMBER	DESCRIPTION OF CHANGE	EFFECTIVE DATE	UPDATED BY
0001	Modifications to content from previous version to incorporate new policy		Karolyn Buhring

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This document provides Environmental and Sustainability minimum standards for Waka Kotahi NZ Transport Agency. This was produced by the Safe and Sustainable Standards Team at Waka Kotahi.

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INTRODUCTION

Purpose

The Z/19 – Environmental and Sustainability Standard sets out the process and requirements to give effect to Waka Kotahi New Zealand Transport Agency's (Waka Kotahi) environmental and sustainability policy, other relevant strategic objectives and outcomes, and legal requirements during the development and management of the land transport system.

The scope of the Standard covers the following focus areas/disciplines:



Definitions

Approved organisation (AO): A regional council, territorial authority, or public organisation that has been approved to apply to for funding from the [National Land Transport Fund](#).

Quality Assurance (QA): The process which demonstrates that compliance with technical requirements has been achieved.

Standard: This Minimum Standard Z/19 – Environmental and Sustainability.

Supplier: A legal entity (Consultant and/or Contractor, be they a sole proprietorship, partnership, limited liability company or trading trust) engaged to provide the services set out in the contract documents.

Waka Kotahi: Waka Kotahi in this specification means the New Zealand Transport Agency established as defined by section 93 of the Land Transport Management Act 2003 with functions as set out in section 95 of that Act.

Note that the following terms have the same meaning as set out in <https://www.nzta.govt.nz/planning-and-investment/learning-and-resources/business-case-approach-guidance/>

- Point of Entry
- Strategic case
- Programme Business Case
- Single-Stage Business Case
- Indicative Business Case (IBC)
- Detailed Business Case (DBC)

Application

The Standard is a *requirement* for land transport system planning, design, delivery, operation and maintenance activities that are fully funded by the National Land Transport Fund (NLTF) or where Waka Kotahi is the primary entity responsible for the activity (ie. where Crown funding is used). The Standard applies to land transport activities irrespective of mode (e.g. it applies to public transport, roading, and active modes systems).

Relevant parts of the Standard, including technical requirements, *should* also be applied to land transport systems where Waka Kotahi is an investment partner or where activities are partially funded by the NLTF.

The Standard applies not only to projects and activities where new or modified statutory approvals/designations are sought but also to works and activities occurring under existing approvals, such as those occurring under an outline plan of works or under maintenance and operations contracts.

The Supplier is responsible for implementing the Standard.

Audience

The primary audience for the Standard is professional services contract suppliers who are responsible for delivering land transport system activities and meeting the requirements set out in the Standard. The Standard may also be of relevance to Waka Kotahi and Approved Organisation project teams.

For Waka Kotahi project teams, the process presented in the Standard is reflected by the [Enterprise Portfolio Management Office \(EPMO\) Transport systems projects](#) tool and [SM011 Project management manual](#).

The requirements of the Standard are consistent with P47 specification, a contract requirement for Construction and Maintenance and Operations contracts.

What is the Standard?

The Standard sets out the requirements for how and when to implement Waka Kotahi's environmental and sustainability policy, strategy and legislative requirements. The Standard is composed of two main parts:

- this document, which sets out the high-level process for assessing and managing environmental and sustainability risks and opportunities, and delivering Waka Kotahi requirements;
- and a series of [guidelines, specifications and tools](#), which set out the detailed process and requirements by focus area/discipline.

The figure below shows the Standard and its component parts.



Other relevant standards, guides and manuals

The activities undertaken under this Standard are subject to a number of other Waka Kotahi guidelines and standards, including but not limited to:

[Z series minimum standards:](#)

- Z/1 Quality management plan
- Z/8 Inspection, sampling and testing
- Z/15 Asset Owner's manual specification
- Z/44 Risk management practice guide

[Professional Services Guides](#) which set out additional requirements for professional services contracts.

Asset Management Data Standard ([AMDS](#)) for land transport.

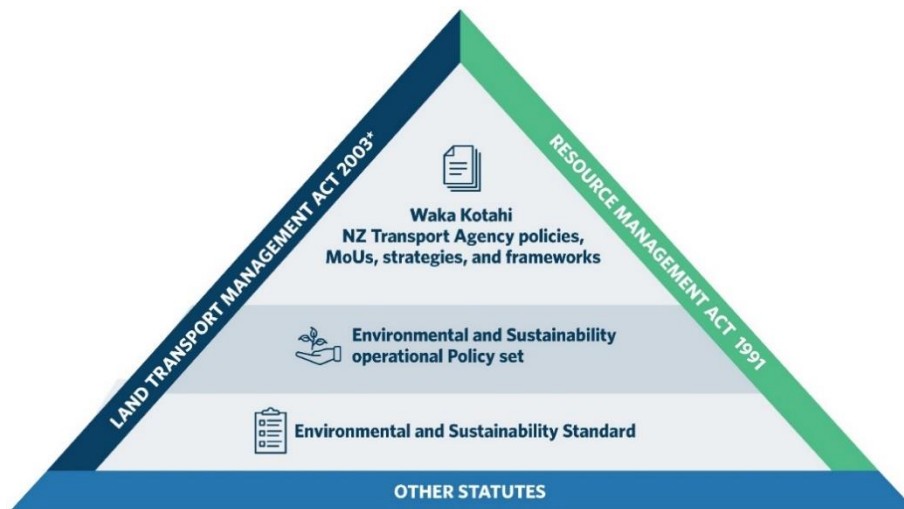
[SM030](#) State highway professional services contract proforma manual.

[SM031](#) State highway construction contract proforma manual.

[SM032](#) State highway maintenance contract proforma manual.

LEGISLATION AND STRATEGIC POLICY CONTEXT

The Standard is guided by legislation, key external and internal strategies, policy documents, plans and memoranda of understanding (MoUs), as shown in the diagram below.



*Including the Government Policy Statement on Land Transport 2021/2030.

The **Land Transport Management Act 2003** provides the legal framework for managing and funding land transport system activities. The purpose of the LTMA is to contribute to an effective, efficient, and safe land transport system in the public interest. Section 96 (1)(a) requires that the Waka Kotahi exhibits a sense of social and environmental responsibility in meeting its objectives and functions.

The Resource Management Act 1991, promotes sustainable development by managing the use, development and protection of natural and physical resources in a way, or at a rate, that enables people and communities to provide for their social, economic and cultural wellbeing and for their health and safety. Waka Kotahi has a duty to avoid, remedy or mitigate adverse effects from its activities.

Additional statutes include but are not limited to:¹

- Heritage New Zealand Pouhere Taonga Act 2014
- Biosecurity Act 1993
- Wildlife Act 1953
- Reserves Act 1977
- Marine Reserves Act 1971
- Marine Mammals Protection Act 1978
- Conservation Act 1987
- Local Government Act 2002
- Health Act 1956
- Climate Change Response (Zero Carbon) Amendment Act 2019
- National Policy Statements and Standards

Key Waka Kotahi strategies and policies include:

Te Kāpehu - [Our Compass](#): Our strategic direction, focused on our roles, system outcomes, our values and behaviours.

¹ Further statutes are listed on the [environmental and sustainability technical guidelines](#) and the [consenting strategy template](#).

Arataki: Plan for the Land Transport System 2021-2031: Our view on what is needed to achieve current government priorities and long-term outcomes.

Road to Zero: New Zealand's road safety strategy for 2020–2030 guided by the [Safe system](#) approach.

Te Ara Kotahi: Our Māori Strategy: A vision and five strategic pou (pillars) for how Waka Kotahi works with Māori for a better Aotearoa.

Toitū Te Taiao: Our Sustainability Action Plan: The Waka Kotahi approach to sustainability, focused on reducing greenhouse gas emissions, improving public health and reducing environmental harm note: associated with Toitu is [Tiakina Te Taiao](#): Our Sustainability Monitoring Report: Reports progress made on our environmental and sustainability commitments.

The Waka Kotahi Board Environmental and Social Responsibility Policy: Our commitment to exhibiting a sense of social and environmental responsibility, required under section 96 of the Land Transport Management Act. The Environmental and Sustainability Standard gives effect to this policy.

Environmental and Sustainability Operating policies:

- [Sustainability Rating Tool Policy](#)
- Resource Efficiency and Waste Minimisation
- Biodiversity
- Social
- Heritage
- Noise
- Air quality
- Urban Design
- Climate Change
- [Environmental Management Plan 2008](#) (interim)

Investment Decision-Making Framework: A set of principles, assessment tools, and investment prioritisation method required for all investment through the National Land Transport Fund.

Broader outcomes Strategy: Establishes four target outcome areas for procurement activities to support achievement of broader outcomes (i.e. environmental, economic, social and cultural) through the function of procurement.

Key Waka Kotahi MoU's & Protocols:

- Māori
- Department of Conservation (DOC)
- Heritage New Zealand Pouhere Taonga (NZHPT)
- Ministry for the Environment ([NZ Urban Design Protocol](#))



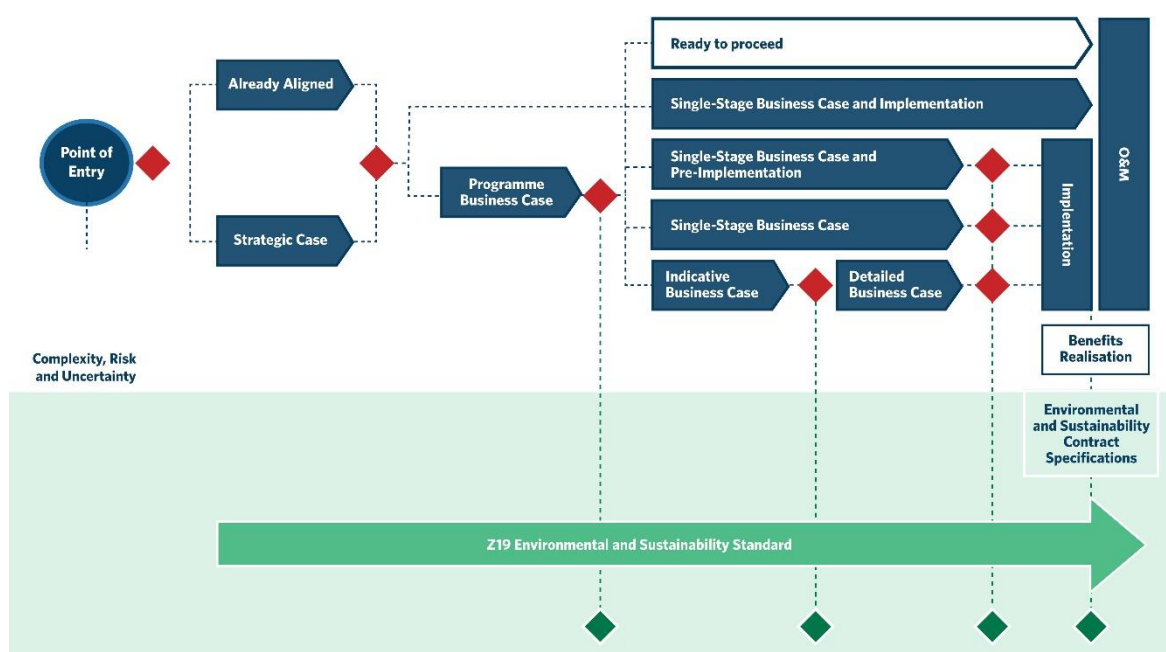
ENVIRONMENTAL AND SUSTAINABILITY STANDARD PROCESS

Key principles

[Toitū Te Taiao](#) sets out the commitment of Waka Kotahi to environmental sustainability and public health in the land transport sector. Toitū and the Waka Kotahi Board Environmental and Social responsibility [Policy](#) ² outline the principles which must guide the implementation of the Standard. Specific policy principles may be incorporated in the Environmental and Sustainability operational [policy](#).

Business case and project lifecycle requirements

The lifecycle of land transport system activities/projects in relation to the Standard is illustrated in the diagram below. Gateways are included at Programme, Indicative, Detailed, Single Stage Business Case, Consenting and Procurement stages, and beyond to ensure that the environmental and sustainability requirements and outcomes are met throughout the lifecycle of a project.



The Standard sets out requirements in two levels: high level requirements and detailed focus area/technical requirements.

High level requirements: The high-level objectives and general tasks and deliverables for each phase of the transport system activity/project lifecycle. These requirements encompass all Environmental and Sustainability areas covered by the Standard, as well as requirements related to consenting and public engagement. These requirements are listed in Table 1 below.

Detailed focus area/technical requirements: These are detailed objectives tasks and deliverables that are specific to each focus area covered in the Standard. These requirements are provided in the form of [ratified guidelines and specifications](#).

Information on key deliverables and hyperlinks to sources can be found in **Appendix 1**.

² As of 2021, the Waka Kotahi Board Environment and Social Responsibility policy is under review.

Table 1. High level requirements

PHASE OBJECTIVES	TASKS & DELIVERABLES
POINT OF ENTRY <i>Demonstrate an initial understanding of the built and natural environmental context.</i>	<ul style="list-style-type: none"> Briefly describe the built and natural environmental context of the problem/benefit in PoE.
STRATEGIC CASE <i>Demonstrate a preliminary understanding of the natural, built and social environmental context, including climate change considerations.</i>	<ul style="list-style-type: none"> Establish the natural, built and social environmental context of the problem/benefit including climate change considerations (if appropriate) in Strategic Case. Establish aspirations of project area Māori partners for environmental outcomes.
PROGRAMME BUSINESS CASE (PBC) <i>Demonstrate at a high level how the outcome sought gives effect to the Waka Kotahi Environmental and Sustainability Policy set.</i> <i>When developing potential alternatives for the long list demonstrate understanding of existing environmental and sustainability context, opportunities and constraints.</i>	<ul style="list-style-type: none"> Engage with Safe and Sustainable Standards team Further describe the natural, built and social environmental context of the project including climate change considerations (if appropriate) in Programme Business Case. Understand Waka Kotahi environmental and sustainability policy expectations. Identify environmental and sustainability opportunities and constraints <p>KEY DELIVERABLES:</p> <p>East Tool/environmental screen</p> <p>Initial environmental and sustainability strategy</p>
INDICATIVE BUSINESS CASE (IBC) <i>Key environmental and sustainability risks and opportunities are incorporated in the MCA assessment of options.</i> <i>Demonstrate how the project will achieve Waka Kotahi environmental, sustainability and policy expectations.</i>	<ul style="list-style-type: none"> Complete the environmental screen & incorporate results into IBC assessment of options. Prepare a schedule of deliverables and determine if technical assessments or any independent peer reviews will be required for the project during the IBC or subsequent phases. Determine whether the project is required to complete a sustainability rating scheme assessment (ISCA merits assessment) or if it will use the resource efficiency policy. <p>KEY DELIVERABLES:</p> <p>Environmental screen</p> <p>Updated environmental and sustainability strategy</p> <p>High level public engagement plan</p>
DETAILED BUSINESS CASE (DBC) <i>Environmental and sustainability risks and opportunities associated with the preferred option are clearly understood and reflected in the consenting strategy.</i> <i>Demonstrate how environmental issues and opportunities and sustainability aspects will be incorporated into project design.</i>	<ul style="list-style-type: none"> Include relevant environmental and sustainability requirements into the design philosophy statement. Identify opportunities for sustainability initiatives, resource efficiency outcomes and scope ISCA-IS rating merits. Re-assess if independent peer reviews will be required for the project during the IBC or subsequent phases (e.g. technical assessments, management or mitigation plans, etc.). <p>KEY DELIVERABLES:</p> <p>Finalised Environmental Screen</p> <p>Updated Environmental and sustainability strategy (incl. quality assurance programme for deliverables)</p> <p>Consenting strategy</p> <p>Preliminary technical assessments</p> <p>Preliminary urban design framework (ULDF/CEDF) on preferred option</p> <p>Updated public engagement plan</p>

SINGLE STAGE BUSINESS CASE

As IBC and DBC above.

PRE-IMPLEMENTATION CONSENTING STAGE

Technical assessments are prepared at correct level of detail to support consenting, provide required information to manage environmental and social impacts, reflect Waka Kotahi Environmental and Sustainability policy set objectives as well as consenting and environmental strategies developed for the project.

- Tasks and deliverables as those from IBC and DBC above combined.

- Implement quality assurance programme for supplier's' deliverables and develop quality assurance requirements for implementation stage activities.
- Review and confirm process for achieving sustainability outcomes including ISCA sustainability rating level and sustainability credits sought.
- Establish requirements for construction environmental management during construction and prepare draft environmental management plans (EMP) as required.
- Establish requirements for operational environmental management and mitigation, and as required prepare draft mitigation plans.
- Obtain HNZPT Authorities, and DOC approvals if applicable.
- Include all environmental and sustainability requirements into the design philosophy statement.

KEY DELIVERABLES:

Updated Environmental and sustainability strategy

Updated Consenting strategy

Designation and consent conditions

AEE technical assessments

Draft urban design framework (ULDF/CEDF) (if included in statutory submission)

PRE-IMPLEMENTATION- PROCUREMENT

Procurement process successfully captures environmental and sustainability commitments and outcomes sought so they can be implemented throughout subsequent project stages.

- The procurement strategy, request for tender, and contract documentation shall capture commitments from consents (designation and resource consent conditions, CSVue system requirements, community and stakeholder agreements), Public engagement plan requirements, ISCA-IS requirements, draft tender version of the urban design frameworks (ULDF/CEDF), multimodal requirements, property agreements, and the environmental and sustainability strategy (including Broader outcomes objectives), quality assurance requirements (i.e. any independent peer reviews). etc.
- Relevant environment and sustainability specifications e.g. P40 Noise, P44 Urban Design P46 Stormwater, P39 Landscaping, P47 Environmental, Social and Cultural Management, P45 Accidental Discovery Protocols, and Multimodal specifications, etc. are included into Minimum (MR's) and Principal (PR's) Requirements.
- Key environmental and sustainability expertise is included (as required) in the procurement process.

IMPLEMENTATION – DESIGN

Design enables delivery of project specific Environmental and Sustainability requirements and outcomes sought.

- Review and audit to ensure design meets consent and designation conditions, environmental and sustainability strategy, Urban Design Framework (ULDF/CEDF) and management plans, community and stakeholder commitments, property agreements and environmental and sustainability specifications.
- Implement ISCA credit rating process (Design Rating) as required.
- Obtain HNZPT Authorities once alignment and earthworks design is sufficiently detailed.
- Obtain DOC approvals as required.

KEY DELIVERABLES:

Updated Environmental and sustainability strategy

Updated urban design framework (ULDF/CEDF), management plans and master plans (as required)

Construction Environmental management plans

Operational Environmental mitigation plans

IMPLEMENTATION CONSTRUCTION

Environmental and sustainability commitments and outcomes are delivered throughout the construction stage

- Verify Contractor is updating/implementing the environmental and sustainability strategy
- Ensure Contractor is implementing ISCA credit rating process (As-Built Rating) if required.
- Ensure environment and sustainability specifications, urban design framework (ULDF/CEDF)/management plan items and multimodal requirements have been met and the MSQA carried out.
- Ensure construction environmental management plan (EMP) meet Waka Kotahi EMP guidance.
- Ensure Contractor is implementing, monitoring and reporting on EMPs.
- Verify Contractor is managing CSVue requirements.
- Ensure asset handover to owner/manager and the asset management manual includes all environmental, urban design/landscape and multimodal assets.
- Verify Contractor is delivering on all environmental and sustainability outcomes.
- Ensure the public engagement plan is being implemented.
- Implement quality assurance programme on Contractor's activities.

MAINTENANCE & OPERATIONS – PROCUREMENT

Maintenance contracts clearly specify Waka Kotahi commitments and expectations around environmental and sustainability matters.

- Environmental and sustainability strategy requirements, CSVue compliance management requirements, EMP and subplans requirements are included into contract documentation
- Ensure environmental and sustainability specifications and requirements are included in procurement documentation (e.g. environmental outcome performance measures, Waka Kotahi Broader outcomes, etc.),
- Incorporate all environmental, urban design and multimodal assets into contract for ongoing maintenance and condition assessment
- Include any independent peer reviews requirements into contract documentation.
- Implement quality assurance programme.

MAINTENANCE AND OPERATIONS – MANAGEMENT

Contractors identify, manage monitor and report on environmental and sustainability matters associated with maintenance activities.

- Verify Contractor is implementing, monitoring and reporting on environmental and sustainability strategy requirements including any KRA's and performance measures and Broader Outcomes objectives where applicable.
- Negotiate variations to contracts to include new outcomes as they arise.
- Ensure the network outcomes contract EMP meets the requirements of Waka Kotahi EMP Guidance and environmental and sustainability specifications.
- Verify that the Contractor is implementing the EMP and achieving outcome performance measures by carrying out management surveillance and quality assurance practices.

KEY DELIVERABLES:

Updated environmental and sustainability strategy

Environmental management plans

QUALITY AND APPROVALS

Quality assurance and approval requirements of the Standard include:

- Quality assurance
- Qualifications
- Gateways/approvals
- Departures
- Handover

These are described below, and additional requirements may be included in the [technical guidelines and specifications](#) that form part of this Standard.

Quality assurance

All deliverables developed under the Standard are subject to the Supplier's quality management system and activity specific quality management plan, as detailed in the minimum requirements of standard [Z/1 Quality management plan](#).

Quality assurance functions in environmental and sustainability should, as a minimum, include:

- detail checking
- checking against the requirements of the Standard
- confirmation that policy outcomes sought will be achieved
- independent peer review

Detailed assurance requirements for each focus area/technical discipline may be provided in the respective [guidelines](#). It is expected that the assurance requirements take the form of a schedule or programme and include contractor and independent: desk top reviews, peer reviews and audits, and also monitoring and inspection requirements.

In general, when determining the requirement for independent peer review the Supplier shall consider the following:

- 1) Whether the deliverable will be submitted to a statutory authority
- 2) The scale, complexity, profile and risk of the environmental and sustainability aspect and also the activity
- 3) Whether there are specific requirements in the [technical guidelines](#)

Qualifications

Suppliers implementing the Standard must have appropriate qualifications and experience. In general, this means qualifications and experience commensurate with the nature, risk, scale and complexity of the functions they undertake in relation to the transport system activity.

Detailed qualification requirements for each focus area/technical discipline may be provided in the respective [guidelines](#).

Suppliers shall be familiar with Waka Kotahi's processes, policies, requirements and expectations.

Independent peer reviews shall be undertaken in general accordance with Engineering NZ Practice Note 2, and by a suitably qualified and experienced professional that meets the following criteria:

- 1) A relevant tertiary degree or equivalent
- 2) At least eight years of relevant experience with the subject being peer reviewed
- 3) Membership or preferably Chartered / Certified status with a relevant professional body that includes a requirement to provide evidence of continuing professional development
- 4) Experience with at least three projects, plans and/or activities of a similar nature, scale, and complexity
- 5) No financial interest in the project or activity

Gateways

All deliverables are subject to review and/or approval by Waka Kotahi.

All final draft deliverables shall be submitted to Waka Kotahi. Submissions must be made prior to submission of a deliverable to a statutory authority, inclusion of a deliverable in a procurement document, or implementation of a deliverable (eg, implementation of a management or mitigation plan).

Waka Kotahi may request submission of *interim* deliverables for review.

The requirements for submission include the following:

- 1) Notify Waka Kotahi in advance of the date of submission
- 2) Allow Waka Kotahi a reasonable amount of time for review.
- 3) Allow time in the Supplier's programme for reconciliation of comments after completion of the Waka Kotahi review period
- 4) All quality assurance functions must be completed prior to submission of deliverables to Waka Kotahi or a statutory authority
- 5) Appropriate documentation of reconciliation of review comments shall be maintained
- 6) Appropriate documentation of assurance shall be provided to Waka Kotahi upon request

General deliverables are outlined in Table 1 and specific deliverables are identified in the [technical guidelines and specifications](#).

Departures

If a departure from the Standard is considered necessary at any point during the transport system lifecycle, then a formal request for approval must be submitted to Waka Kotahi prior to implementation or substantively progressing the departure. Departures include those from the requirements of the Standard, including those guidelines, specifications, policy and strategy incorporated therein.

To apply for a departure, the following information should be submitted in writing to the Safe and Sustainable Standards Team Lead advisor.

Project description (including project stage, location)

- Description of departure
- Justification
- Risk management plan

Handover requirements

The Supplier shall implement robust handover at every stage of project development, delivery and maintenance and operations.

The handover process **must** include the following documented information:

- Environmental and sustainability documentation, such as:
 - environmental screen
 - consenting strategy
 - environmental and sustainability strategy
 - technical reports and assessments
 - designation, resource consent and other statutory approval conditions
 - CSVUE and compliance documentation
 - environmental management plans and subplans
 - environmental mitigation plans
 - asset management plans
 - monitoring information
 - assurance information

- design frameworks and design management plans (including any urban, landscape, multimodal design items), sector plans etc.
- Key performance indicators and targets, including sustainability rating requirements/goals, resource efficiency targets, etc.
- Stakeholder agreements
- Records of any agreed departures
- Records of all risks and opportunities identified, including all environmental maps, drawings, aspects and impacts
- Identification of specific actions to be managed

Where handover information exists in electronic databases, spreadsheets or spatial formats, this shall be provided in the original electronic format.

Handover is required at the end of every project stage. However, the two critical handover points are prior to the start of construction (Pre-Implementation and Procurement), and immediately after construction at handover to the asset owner (Operations and Maintenance). Handover to the asset owner must be consistent with Waka Kotahi Asset Owner's manual specification ([Z/15](#)) and Professional Services Guide [PSG/15 and PSF/15](#) and meet the requirements of the Asset Management Data Standard ([AMDS](#)) for land transport.

Suppliers shall include all relevant handover information in procurement documentation for subsequent business case phases.

ENGAGEMENT AND CONSULTATION

The Supplier shall engage with partners and stakeholders on environmental, social and sustainability matters early and regularly throughout all stages of project development and delivery as well as during maintenance and operations to inform decision making and achieve better environmental and sustainability outcomes. Stakeholders include (but are not limited to) local communities, regional and district councils, DOC and HNZPT. For further guidance use the Waka Kotahi [Public Engagement Guidelines](#) and Stakeholder and partners agreements ([MoUs](#)).

Engaging with our Māori partners

Te Ara Kotahi, is Waka Kotahi Māori [Strategy](#) which provides strategic direction on how to work with and respond to Māori as the Crown's Treaty partner. Consultation must include direct participation from relevant iwi representatives in line with Hononga ki te iwi, the Waka Kotahi Māori engagement [framework](#) which provides guidance on how and when to engage. In line with this framework and Te Ara Kotahi, the Standard requires engagement to initiate from the Strategic Business Case phase and throughout the project lifecycle. Where appropriate, a Māori consultant can assist with this process. Support can also be provided by the Māori Partnerships team at Waka Kotahi. For additional guidance refer to Iwi environmental management plans, MoUs and any other agreements prior to initiating consultation.

APPENDIX 1: INFORMATION ON KEY DELIVERABLES

Environmental Screen

The environmental screen is designed to inform the MCA process and can be used for a single option or a bundle of options using a corridor approach. The environmental screen is a check list that contains several questions designed to identify whether the option could have significant environmental or social impacts or risks. It has also been designed to help identify environmental, social, urban design, sustainability and multimodal opportunities so that these can inform the design process. The information contained in the Environmental Screen is used to assist in options assessment and scope any preliminary technical assessments that may be required. The environmental screen will also help identifying the need to engage key stakeholders such as Tangata Whenua, HNZPT and DOC and confirm if concessions or approvals will be required for the project. As such, the environmental screen allows documenting all environment and sustainability aspects to inform subsequent stages and development for the project.

The environmental screen can be found [here](#). The EAST tool, a simplified screen for long list optioneering is available on [Investhub](#).

Public Engagement Plan

During the indicative business case stage, a high-level community engagement plan should be prepared and updated during the subsequent stages as required. The level of engagement will reflect the results of the screen and the size of the project as well as any engagement taken place earlier.

Further information on the public engagement process can be found [here](#).

Environmental and Sustainability Strategy

The environmental and sustainability strategy is a brief high-level plan of action on how environment and sustainability will be integrated into the project processes, design and delivery in a manner that appropriately considers whole of life effects and opportunities. It sets the platform for identifying and integrating environmental and sustainability objectives and principles with the goal of driving best practice and improved environmental outcomes on our projects.

The environmental and sustainability strategy applies to all Waka Kotahi projects from the programme business case and evolves through every phase of project development and delivery including maintenance and operations. The strategy is designed to be scalable depending on project stage, complexity and the environmental and sustainability risk/opportunities of the project.

A template for an environmental and sustainability strategy can be found [here](#) (under development).

Consenting Strategy

The purpose of the consenting strategy is to support delivery and long-term operation of the project. It does this by identifying what statutory approvals are needed, what the consenting risks are and how they can be managed, and the proposed pathway to secure the statutory approvals. The consenting strategy will include the environmental screen and identify the technical assessments required in support of statutory approval applications.

For smaller or less complex projects, the consenting strategy may be prepared during a Single Stage or Detailed Business Case phase or in the pre-implementation phase. For larger or more complex projects an initial consenting strategy might be prepared during early development of the project (e.g. the Indicative Business Case Phase), and a more detailed consenting strategy prepared once a preferred route or design concept is confirmed. Some consenting strategies may require updating during the life of a project due to changing information or circumstances.

Further guidance on preparing a consenting strategy and a template is available [here](#).

Preliminary Technical Assessments

Preliminary technical assessments are undertaken at the Detailed Business Case or earlier if the environmental screen has indicated environmental risks or opportunities that require further investigation to help inform which option or options are recommended for implementation. If only one option is being pursued any preliminary technical assessments should provide clarity of the scope of potential risk or impacts and of any opportunities associated with the subject area being assessed.

The preliminary technical assessments will provide useful information to refine what will be required during next stages including to inform an Assessment of Effects on the Environment (AEE) to support a Notice of Requirement or resource consent applications during pre-implementation. In some cases, the information collected during the preliminary technical assessments may be all that is required to support an AEE for a subject matter. There are also several impact assessment guides which must be used to determine the level of detail required at this stage of project development. The results of the preliminary technical assessment (s) must be considered in the development of the consenting strategy and the Design Philosophy Statement.

Further guidance on the preparation of preliminary technical assessments can be found [here](#).

AEE Technical Assessments

During the consenting stage, the AEE technical assessments assist Waka Kotahi to further develop the project scope, assess and make decisions on the project, and ensure that relevant environmental matters are considered during design, construction and operation.

The level of detail in these assessments should be appropriate to the nature and scale of the effects of the project and the specific statutory requirements. Specialist assessment guides have been developed to assist technical specialists and outline Waka Kotahi expectations for the individual technical reports. In addition to supporting statutory applications, the AEE technical assessments should also be used to inform the Design Philosophy Statement.

Further guidance on the preparation of AEE technical assessments can be found [here](#).

Further guidance on the preparation of statutory applications can be found [here](#).

Sustainability Rating Scheme Assessment

Certifying a project under a sustainability rating scheme allows project teams to be recognised for the wider sustainability outcomes achieved on their project as well as drive further sustainability outcomes. Projects with a capital value of over \$15 million are required to assess the merits of gaining an ISCA Infrastructure Sustainability Rating (IS). Projects over \$100 million are required to complete ISCA certification, unless non-monetised, monetised and strong value for money case demonstrate that this is not practical, as outlined in the [sustainability rating scheme policy](#). Projects not required to gain ISCA certification must implement and demonstrate achievement of the broader sustainability outcomes outlined in Waka Kotahi relevant policies and strategic documents.

To determine whether an ISCA certification is required, the project team must follow the steps outlined in the Assessment of Merits **document**. This should occur in the early business case stage in consultation with the Safe and Sustainable Standards Team. Requirements for project going through the detailed design and construction will be outlined in the relevant tender and contract documents. Contractors will also need to follow the requirements set out in the sustainability rating specification in P47.

Further information on Waka Kotahi sustainability rating scheme is available [here](#).

Urban and Landscape Design Frameworks

The urban and landscape design frameworks/cultural and environmental design frameworks and Management Plans (ULDF/CEDF & ULDMP/CEDMP) will integrate all inputs from community, key stakeholders and partners, to support environmental and sustainability outcomes for the project. A design framework and design management plan are generally required on all urban, and large or

complex projects during the Detailed Business Case and will evolve as a living document through the project.

Further guidance on the broader 'urban design' processes and multimodal requirements can be found [here](#).

Draft designation and consent conditions

If conditions are required for a new designation or alteration to an existing designation, these will form part of the Notice of Requirement (NOR). In most cases, draft resource consent conditions should be prepared and included with the resource consent application.

Proposed condition sets should be developed early, with input and review from Waka Kotahi and key external stakeholders. Proposed condition sets should be developed in accordance with accepted key [principles](#) and should:

- Focus on desired outcomes (rather than strict design requirements or limitations)
- Provide flexibility for innovation in the detailed design and construction phases
- Not unreasonably constrain safe, sustainable and efficient operation of the project
- Consider whole of life implications to minimise ongoing obligations and long-term operational costs
- Be clear in their intent, practical to implement, and simple to monitor by Waka Kotahi and Council e.g. by timeframe, required action, clear close out.

Technical assessment reports prepared as part of a NOR or resource consent application may contain recommended mitigation measures. Those should be presented as recommendations, not as draft designation or consent conditions, as development of the proposed condition set will require wider consideration of scope and statutory requirements.

Further information about the conditions development and approval process can be found [here](#).

Environmental Management Plan

Waka Kotahi is committed to ensuring a successful environmental management system is established through the development and implementation of environmental management plans (EMPs) for all capital works projects, network outcome contracts and bridge maintenance contracts so that environmental and sustainability requirements are integrated in the overall project quality system.

EMPs are a fundamental tool to manage environmental risk. On some projects, it may be appropriate to submit a draft management plan with a statutory approval application to demonstrate how compliance will be met during the construction and operational stages. On some projects, preparation of environmental management plans will be an RMA condition requirement. The use of an EMP and related sub-management plans should be reflected in the contract documentation.

Further information about environmental management plans can be found [here](#).

HNZPT and DOC approvals

In addition to resource consents and designations, some projects may require approvals from DOC to work in the conservation estate, to move freshwater fish species or wildlife or to collect samples. A project may also be required to obtain authorities from HNZPT to investigate or modify an archaeological site or area. Refer to the consenting strategy approvals and pathways guide available [here](#).

Legislation	Approval type	Decision making authority	Activities
Heritage New Zealand Pouhere Taonga Act 2014	Authority	HNZPT	Modify or destroy the whole or part of an archaeological site, or Investigate an archaeological site
Wildlife Act 1953	Permit	DOC	Hunt, kill or have in possession any protected wildlife
Conservation Act 1987	Concession	DOC	Activities in a conservation area

Waka Kotahi has agreed protocols with DOC and Heritage NZ. Project teams and their technical specialists are requested to work in accordance with these protocols when preparing any technical assessments of statutory applications. These protocols ask the agencies to acknowledge where there is agreement on values, effects and mitigation and to seek workable solutions where required.

HNZPT and DOC MoUs can be found [here](#).

Further guidance on the preparation of statutory applications can be found [here](#).

Procurement documentation

Construction

Procurement documentation for the implementation stage must capture all information from Notices of Requirement for designations, resource consent and other statutory approval applications and key documentation prepared during the statutory process. This might include environmental management plans (including subject specific sub-management plans), ULDF/CEDF, property agreements, agreements with our Māori partners, agreements made during community and stakeholder engagement and consultation, Sustainability rating certification, etc. and technical contract specifications (key specifications are: P40 noise, P46 stormwater, P39 Landscaping, P47 environmental, social and cultural management and P45 accidental discovery protocols and multimodal specifications) which outline actions that will need to be carried out by the contract holder.

Network Outcomes Contracts

As part of the environmental and sustainability outcome performance measures (OPMs) to be included in the Network Outcomes Contract, the contractors will be responsible for compliance with designation conditions, resource consent conditions, and other statutory approvals such as HNZPT authorities, Wildlife Act permits, and DOC concessions which relate to network maintenance in their area. Conditions of all statutory approvals are included in CSVue, the Waka Kotahi consent management system. Maintenance contract managers of Network Outcomes Contracts will need to verify the contractor is meeting the agreed performance measures and contractors are implementing their EMPs and managing CSVue.

As well as the standard OPMs included in Network Outcomes Contracts, there will be specific regional and local environmental and social requirements relevant to each network area, for example regular maintenance in areas of sensitive habitat and the requirements of regional pest management strategies. While the Contractor will be responsible for identifying such environmental requirements, the procurement documentation should provide the framework within which the Contractor can progressively identify and incorporate such requirements gained from handover deliverables. Waka Kotahi network management teams will have information about relevant network environmental and sustainability requirements.

Environmental and sustainability contract specifications can be found [here](#).

Information for preparing environmental management plans can be found [here](#).

ADDITIONAL RESOURCES

- Detailed requirements for each focus area/technical discipline (under development)
- Environmental and sustainability summaries (under development)
- [Maphub](#)
- [Other tools](#)

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