



PEOPLE, PLACE AND ENVIRONMENT SERIES:

Public engagement guidelines

This sets out the NZ Transport Agency's engagement policy and provides guidance for deciding when and how to engage the public.

OUR PURPOSE

CREATING TRANSPORT SOLUTIONS FOR A THRIVING NEW ZEALAND



NZ Transport Agency

Published September 2016

ISBN 978-0-478-41967-2 (online)

ISBN 978-0-478-41969-6 (print)

Copyright: September 2016

NZ Transport Agency

Author: Sarah Cronwright,
Principal Specialist - Planning and Community

If you have further queries, call our contact centre on 0800 699 000, email environment@nzta.govt.nz or write to us:

NZ Transport Agency
Private Bag 6995
Wellington 6141.

This publication is also available on NZ Transport Agency's website at www.nzta.govt.nz

Acknowledgements to:

- South Australian Government (Better Together principles and document)
- Carolyn Wylie, CMW Solutions
- Laura Wilmot, Engagement and Communications Manager, NZ Transport Agency
- Amos Kamo, Tumuaki - Strategy, Communications and Performance, NZ Transport Agency
- Anne Pattillo
- Jane Stringer

CONTENTS

2

Foreword

4

Section 1: Introduction

Vision	5
Principles	5
Definitions	5
Why engage?	6
Who should use these guidelines?	6
Engaging with Māori communities	7
IAP2 Public Participation Spectrum	8
Misconceptions	9

11

Section 2: Our principles

Our principles	12
1 We know why we are engaging and we communicate this clearly	13
2 We know who to engage	16
3 We know the history and background	18
4 We begin early	19
5 We are genuine	20
6 We support and encourage best practice	21

23

Section 3: Public engagement requirements and process

Standards and policy context	24
Public engagement and Transport Agency project lifecycle	25
Tips for success	27
Engagement techniques during project lifecycle	28
Evaluation	29
Online channels	29
Social media	29

Foreword

The Transport Agency owns and manages New Zealand's state highway network – this is the national 'back-bone' and land transport anchor of our long, narrow country. We focus on bringing a one network and smart choices approaches to bear on the state highway network which we are solely responsible for. We ensure it plays its part in the seamless, whole of New Zealand's wider transport system, particularly focusing on ensuring the safe, efficient movement of people and goods on a resilient network; and integrating with local roads and other modes wherever possible. While transport is the currency of our business, what we actually deliver is mobility – mobility for workers, for businesses, for tourists, for all New Zealanders and their families. Because our roading and transport activities have the potential to affect the daily lives of so many New Zealanders, it's important that their values, priorities and opinions about how mobility is delivered is an important part of the Transport Agency's business.

For the Transport Agency, public engagement means both informing the public about proposed projects and decisions that we have made, and consulting with them as part of our decision-making process. This helps us to make better-informed decisions, improve our project designs and deliver a state highway network that meets the needs of communities and the wider public. By actively engaging the public in our decision making, we gain a better understanding of how people, communities and organisations are affected by our decisions and how we should balance our social, environmental, cultural and economic responsibilities.

Equally, engagement helps the public to understand the issues associated with meeting the country's transport needs, how their own input and decisions can influence demand (for example the mode of transport they use to get to work and where they choose to live), choices needing to be made, and how different options may affect their quality of life and access to facilities and services.

Engagement also offers us a means to improve our customers' understanding of our business – the opportunities and constraints – and our role within the sector, especially in land use and transport planning of New Zealand's growing communities.

Deciding when and how to engage the public requires judgement. While some issues and projects may be considered minor, if they have the potential to affect neighbourhoods and local communities, they will usually require some level of public input. On the other hand, major issues and projects that are likely to have limited or no impact on people may warrant only limited community engagement or engagement with specific stakeholders.

This document sets out the Transport Agency's engagement policy and provides guidance for deciding when and how to engage the public. It makes clear that there are different levels of public engagement, explains the steps involved in each of these processes and how they relate to our project lifecycle, and provides a number of engagement resources. It's the source book for everyone involved in informing, consulting and involving the public on our behalf.

Special thanks to the South Australian Government Better Together policy foundation, which formed the basis of this document, and the International Association of Public Participation (IAP2) for use of the IAP2 spectrum and its variations throughout these guidelines.



TOMMY PARKER

Group Manager
Highways & Network Operations
NZ Transport Agency



Deloitte

CUSTOMS ST

FAN DAY

Man in black suit and white shirt walking in the foreground.

Man in light purple shirt and dark trousers walking in the foreground.

Woman in white top and black pants walking in the foreground.

Woman in black dress walking in the foreground.

Stroller with a child in the middle ground.

Man in white shirt and dark pants walking in the middle ground.

Man in white shirt and dark pants walking in the middle ground.

Woman in colorful patterned top and black pants walking in the middle ground.

Woman in black top and black pants walking in the middle ground.

White taxi cab in the middle ground.

Man in white shirt and dark pants walking in the middle ground.

Man in white shirt and dark pants walking in the middle ground.

Man in white shirt and dark pants walking in the middle ground.

Man in white shirt and dark pants walking in the middle ground.

Man in white shirt and dark pants walking in the middle ground.

SECTION 1:
INTRODUCTION



VISION

At the Transport Agency, we are committed to best practice public engagement. We promise to:

- › encourage you to have your say on issues that affect or interest you
- › take the time to get to know you
- › listen to your aspirations, concerns and ideas
- › be open, honest and clear when we talk to you
- › let you know what's happening as soon as we can
- › show you how what you say and do influences what happens.

PRINCIPLES

We implement our vision through the following principles:

- 1 We know why we are engaging and we communicate this clearly.
- 2 We know who to engage.
- 3 We know the history and background.
- 4 We begin early.
- 5 We are genuine.
- 6 We support and encourage best practice.

DEFINITIONS

For clarification, here are some common terms used in these guidelines:

- › **Advocacy groups** – a group of persons working on behalf of or strongly supporting a particular cause.
- › **Communities** – a group of people living in the same place or area or having a particular characteristic in common.
- › **Consultation** – one level of engagement.
- › **Consultation report** – prepared after engagement activity has occurred, also known as public engagement report or stakeholder report. A document outlining the key points from the Public Engagement Plan (objectives, level of influence, promise), description of the engagement, key issues, outcomes and how the input is or will be used.
- › **Customers** – users of Transport Agency services and infrastructure. The public includes our customers.
- › **Engagement** – the practice of actively bringing community or public voices into decisions that affect or interest them.
- › **Key stakeholders** – a stakeholder who has been identified as being important, and potentially has influence over the outcomes of a project. Examples include councils and other statutory organisations.
- › **Partners** – an organisation who is sharing cost or decision making responsibilities.
- › **Public** – any individual or group of individuals, organisations, communities or political entity with an interest in a particular area or the outcome of a decision. However, for specific engagement with organisations such as Department of Conservation and Heritage NZ we have memoranda of understandings (MoUs) with, the MoU takes precedence over these guidelines. Also refer to the *Relationship proforma manual* (SM033) for additional guidance.



WHY ENGAGE?

The Transport Agency engages with communities and the public because we believe it results in better outcomes – better decisions, better projects and better legacies for the communities we work with. We believe that communities and stakeholders are best placed to identify and understand the issues that our projects can bring, and can help design and implement the solutions needed.

Public engagement can help us by providing an early understanding of the community's concerns and needs, saving us time and money further along the project lifecycle. It can also help increase understanding, alignment and support for our goals and projects.

An important aspect of engagement is having a strategic approach so consultation follows a logical path. Development of such a strategy (or plan) is necessary before public engagement starts.

Engagement brings the voices of communities and stakeholders into decision making which is relevant to them. This relevance might be because they are directly affected by the decision being made, or they might have a personal or professional interest in the issues being discussed.

WHO SHOULD USE THESE GUIDELINES?

The *Public engagement guidelines* sets out the Transport Agency's engagement policy and provides guidance for deciding when and how to engage the public. Although a Highways and Network Operations (HNO) document, the principles contained in this document are applicable across the Transport Agency for any public engagement or consultation process. When dealing with impacts on communities, reference should also be made to the Transport Agency's *State highway social impact guide* (2016).



ENGAGING WITH MĀORI COMMUNITIES

Māori are recognised as the Treaty partner by the Crown. In a practical sense this means sharing decision making with Māori when identifying priorities for investment and when identifying the best choice of transport system for their communities, both regionally and nationally.

The engagement principles as described within this guideline also apply when engaging Māori communities. The principles of early engagement, no surprises and knowing your stakeholders are particularly pertinent to Māori, especially given their partnership status. However, there are some aspects of engagement that need particular emphasis when dealing with Māori communities. Engaging to develop a relationship rather than a specific issue, and taking a long term view can help establish relationships and build better understanding of what is happening. This will lead to a better informed discussion and assist both the Transport Agency and Māori to better cooperate and resolve contentious issues.

There are also some unique aspects to consider when engaging with Māori:

Understanding Māori representation

Being aware that a number of Māori groups may relate to a particular geographical area or issue is critical. Iwi, hapū, Māori corporations and trusts, and significant community groups may overlap. Understanding the dynamics between groups in a particular local area is also critical.

Understanding kawa and tikanga

Being aware of and having respect for kawa (protocols) and tikanga (customs) is a prerequisite for developing relationships of mutual goodwill and cooperation when engaging with Māori.

Communication preferences

Many Māori prefer face-to-face communication. If written submissions are required, organise at least one face-to-face meeting as well.

Prepare for wide discussion

Māori culture is based on a holistic view of life and the world. This holistic worldview can mean that participants may raise issues outside the immediate topic of discussion. Be prepared to listen and consider these issues before moving on. Any credible engagement with Māori will be based on relationships of trust and reciprocity. As Sir Tipene O'Regan has said:

The most effective way to engage with Māori is by investing in a relationship with them first, rather than making the task of the engagement the focus of the investment.

For further information please refer to the Transport Agency's *Framework for engaging effectively with Māori* (2010).

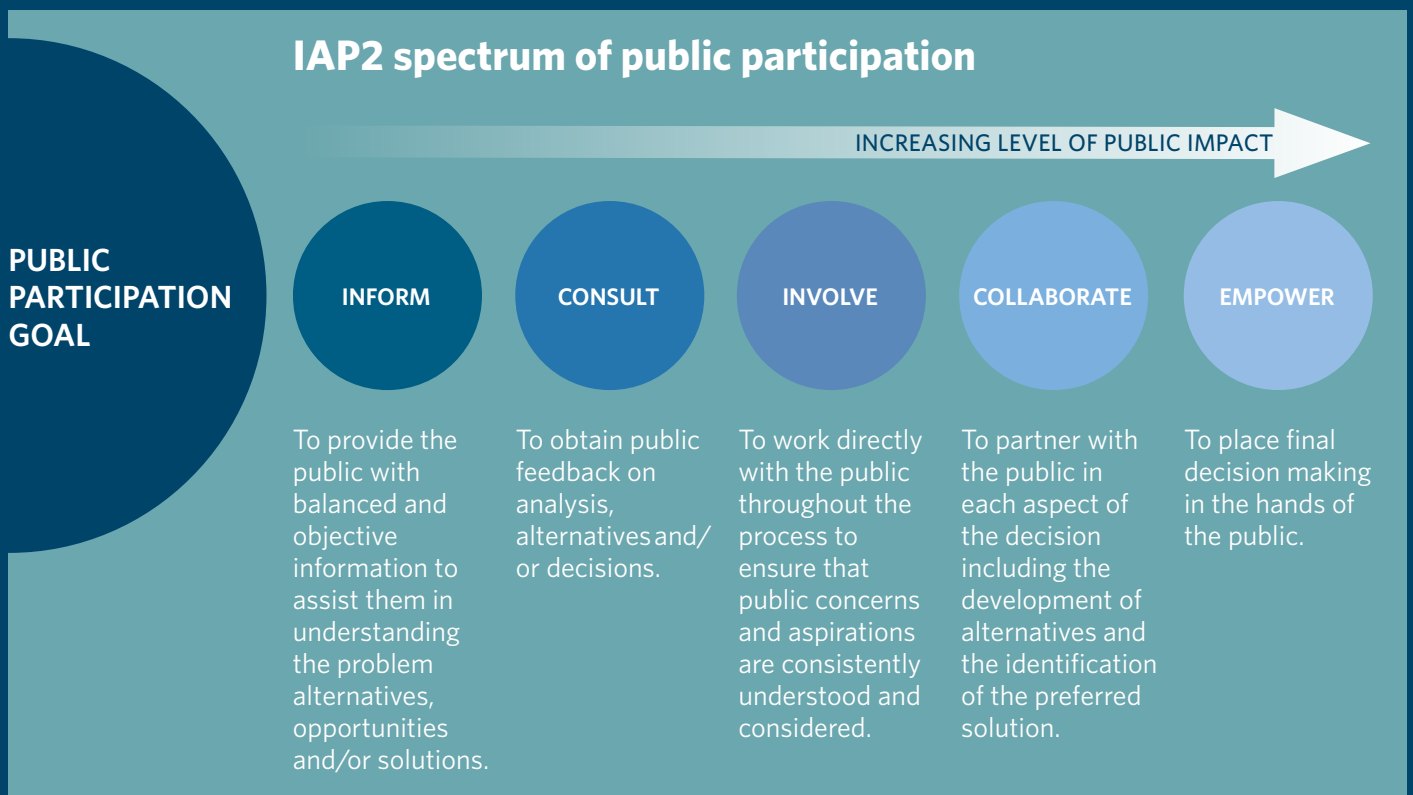


IAP2 PUBLIC PARTICIPATION SPECTRUM

The International Association for Public Participation (IAP2) is an international member association which seeks to promote and improve the practice of public participation or community engagement, incorporating individuals, governments, institutions and other entities that affect the public interest throughout the world. IAP2 is recognised as an international leader in developing public participation (engagement) practices. Many central and local

government agencies across Australia and New Zealand use the IAP2 public participation spectrum to support their engagement work.

We have adopted the IAP2 spectrum as the basis of our *Public engagement guidelines* as it's vital to be clear about what level of participation people have in the decision making process.



MISCONCEPTIONS

Consultation is the same thing as public engagement

At the Transport Agency, you often hear us talking about consultation on our projects. It is important to understand that consultation is just one level of public engagement. Sometimes, it might be more appropriate to inform or involve the public, rather than consult with them. Alternatively, we might look to collaborate with stakeholders on our projects.

Public engagement is expensive and can cause project delays

This is a common concern of project managers. The key to effective public engagement is to engage at the start of a project. If planned well, public engagement can save a project time and money, by identifying key issues and concerns upfront and pre-empting issues that arise further down the track. An example of this is a more efficient consenting process, as issues or objections raised by submitters can be identified prior to applying for consents and potentially alleviated.

Shouldn't complex technical and/or specialised decisions be made by experts?

Public engagement recognises that experts contribute essential information and knowledge to decision making. Additionally, the effectiveness and sustainability of decisions tends to be enduring when factors such as local knowledge and perspectives and sensitivity to community context are also part of the decision making equation.

There is no point consulting with the public until we have options and know what we're doing

Our business case process requires a Public Engagement Plan (PEP) to be prepared and updated throughout the project lifecycle, beginning at point of entry.

A key factor in the success of projects is early public engagement – right at the start of the project. Remember, engagement doesn't necessarily equal consultation – it is often more appropriate to inform the public at the start of a project and increase public participation as the project develops. Problems often arise when the Transport Agency waits until several options or a preferred option has been identified, and then commence consultation. The community doesn't understand the decision making



process that has occurred to reach these options as it's the first time they've had an opportunity to be involved, and can feel it's a token measure with a pre-determined outcome.

I don't like public meetings/open days – they are a waste of money – there is little value in them

Often in Transport Agency contracts for large projects, there is a standard requirement for the consultant to provide open days/meetings for the project. For some projects there is value in this. However, for others there could be alternative public engagement techniques that provide better value – both financially and from an engagement perspective. These guidelines will help you determine whether that open day is appropriate for your project.

Isn't working with councils/community boards/key stakeholders sufficient? Don't they have a mandate to speak and act for the public?

Quality public engagement helps other agencies and stakeholders to understand and respond to those they represent issues and concerns. Solely relying on these groups as the voice of the community can fail to build sustainable decisions for the community.

CASE STUDY 2014

Cycling collaboration

The Causeway is a key part of the Auckland Western Ring Route, one of the government's seven roads of national significance. When completed it will provide a strategic alternative to State Highway 1 and link with the Waterview Connection project and its new interchange at Great North Road.

Running alongside Moto Manawa-Pollen Island Marine Reserve, the 4.8 km Causeway upgrade has been designed to ensure that there is as little impact on the marine reserve as possible. Its key features include the addition of more lanes and capacity, raising the causeway and adjacent cycleway to reduce flooding, new priority bus lanes and improved access across the motorway for pedestrians and cyclists.

Highway upgrades and cyclists are not always compatible travellers but the Causeway upgrade has met with approval from Cycle Action Auckland. 'I rode from town to Te Atatu on Friday and was super-impressed by how

friendly and responsive the Alliance staff manning the gates and working alongside the cycleway were. All their actions showed they will make our travel as pleasant and uninterrupted as practicable.' *Barb C*

Involving this important group of commuters in the Community Liaison Group has ensured that their issues can be considered as the project progresses. 'As someone who has attended CLG meetings, driven the road and cycled along there, I have nothing but congratulations to the Causeway Alliance people. I'm looking forward to the finished shared path all the way from Lincoln Road to Waterview (more so than driving the road).' *Bryce P*



SH16 Causeway Cycleway

OUR PRINCIPLES

- 1 We know why we are engaging and we communicate this clearly.
- 2 We know who to engage.
- 3 We know the history and background.
- 4 We begin early.
- 5 We are genuine.
- 6 We support and encourage best practice.¹

1. The principles including some of the descriptions have been adapted from the South Australian Government Better Together policy foundation.

The principles provide an at-a-glance guide to good engagement. If you're able to 'tick off' on each of them as you prepare and undertake public engagement, you can have confidence in your interaction with the community and stakeholders.

The principles are not instructional – they don't demand or force you to do anything. They recognise and promote the incredible breadth and variety of engagement opportunities. They acknowledge that each engagement has a different purpose, undertaken in different places, with different outside influences and with different people involved. All six principles are integrated. They rely on each other and if you chose not to pursue one, the overall success of your engagement could be hindered. Of course, the level of emphasis won't be equal across all of the principles. This will vary depending on the circumstances, but all six principles should receive fair consideration as you plan and implement your engagement strategy.

CASE STUDY 2013

Community knowledge recognises history

The Christchurch Southern Motorway project was designed to improve and future-proof access to the Christchurch central area and Lyttelton and it had an unexpected railway connection.



Local historic train enthusiast and Chair of the Little River Railway Station Trust, Andrew Wilson, had spotted two heritage railway cabins near the construction site of the motorway on land that had been an old piggery.

When preparations for motorway site clearance commenced, he met with the contractors to tell them about the two small structures covered by willow and tall grass. The NZ Transport Agency's Regional State Highways Manager Colin Knaggs agreed these cabins were an important part of the country's rail history.

It appears that they were brought here from Britain in the early 20th century. One was transportable and was moved on railway wagons to provide on-the-job accommodation for workers. The other was a standard railway building which would have been located by the rail line to provide shelter for track maintenance workers.

Thanks to rail heritage enthusiasts, the Transport Agency and contractor Fulton Hogan, the cabins have a new home at the Little River Railway Station Trust Collection where they will be carefully restored as time and funds permit.

The principles are consistent with the Transport Agency Environmental and Social Responsibility Policy and Standard.

1 WE KNOW WHY WE ARE ENGAGING AND WE COMMUNICATE THIS CLEARLY

The Transport Agency creates transport solutions for a thriving New Zealand. In order to meet this purpose, our 'end in mind' should be better outcomes for the community and stakeholders.

We can divide this principle into three elements:

Knowing your engagement's rationale and objectives

Put simply, your rationale is **why** you are engaging. The objectives outline what will happen as a result of the information gathered from the community and stakeholders. If you know why you're engaging, it follows that you'll know what to do with the feedback and ideas received from the community and stakeholders.

Our purpose makes it clear that the Transport Agency places a high value on customer service in all its diverse activities. Any public engagement process should be seen as an opportunity to demonstrate superior skills even if the task is difficult or unpopular.

Once you've established the rationale for your engagement (the why), your objectives can be formed around the what. The answer/s will help you shape the audience (principle 2) and the strategies and approaches used to engage.

Understanding the public's level of influence in shaping these

Once you have an idea of the challenges and have started to think about potential solutions, you need to understand the extent to which the community and stakeholders can influence the decisions or directions. The IAP2 public participation spectrum provides a framework for engagement.

It's vital to be clear about what level of influence the community and stakeholders have in order to ensure that expectations are not raised and this is where the IAP2 spectrum comes in. If you can pinpoint which level you are aiming to fulfil, you can then be very clear with your stakeholders/ community that the objective of your engagement at a high level is to: inform them or consult them or collaborate with them, etc.

The practicalities of your engagement should then be focused on making your desired level of engagement a reality. So for example, if you know that you can only inform a community about a proposed road widening, you should ensure you have a sound communication strategy in place.

Selecting the correct level on the IAP2 spectrum will also help you to choose which tools are most appropriate to engage the community and stakeholders.

It's not always appropriate or desirable to have a high level of engagement on a project (such as collaborate or empower). However, you should always be able to reach at least inform on the spectrum. As a guide, most Transport Agency projects operate in the consult level, although we often work with key stakeholders at the involve - collaborate level.

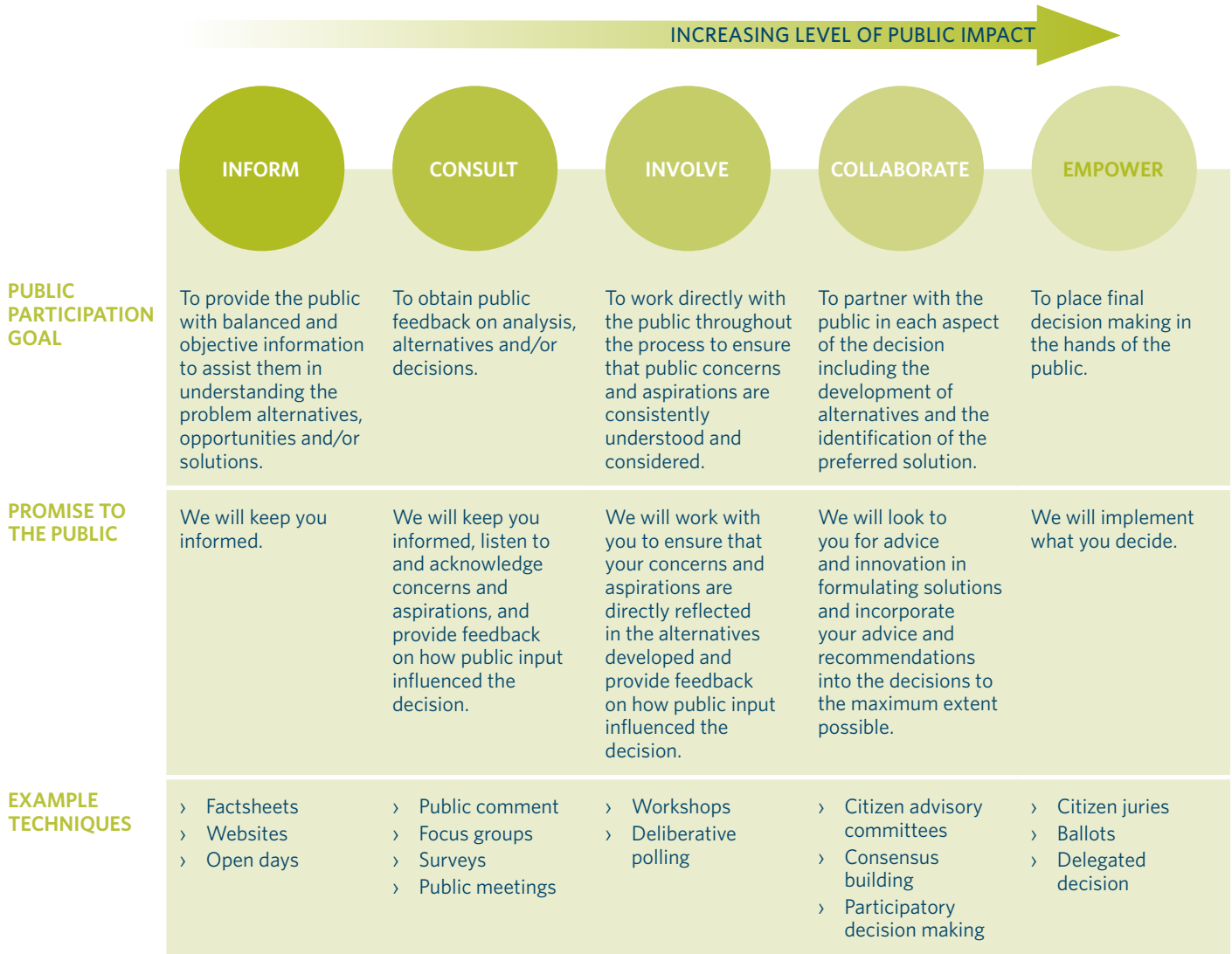
Communicating clearly

Once you know what's happening, and understand who needs to be engaged and at what level, you need to communicate this by developing a communication strategy or plan. This should be fit for purpose engagement - a large project operating at the consult level may require an extensive communication strategy with supporting newsletters, websites, hotlines, etc. A small project that just needs to inform may just need a one-page communication plan with contact details of project staff, upcoming activities and dates.

KEY POINTS

- › Define the objective of engagement.
- › Ensure decision makers understand and support the aim of engagement.
- › List the benefits.
- › Do a plan for discussion and approval.

IAP2 spectrum of public participation



CASE STUDY 2014

Recognising the history

The Waikato Expressway will provide a continuous, divided four-lane highway between the top of the Bombay Hills and Cambridge and is due for completion in 2020. The expressway moves through-traffic away from the smaller communities of Huntly, Ngaruawahia and Cambridge as well as Hamilton, and has acknowledged cultural and historic values for sites such as the Rangiriri Pā and battle site.



The Rangiriri section of the expressway is a 4.8km section of State Highway 1 which provides improved safety for those using the Rangiriri and Te Kauwhata intersections. When the existing road was constructed, it cut through the Rangiriri Pā and site of the 1863 battle of Rangiriri, part of the New Zealand land wars. Design of the expressway has recognised the importance of the battle site and pā and provided for the new alignment to go round the main battle site allowing travellers to view it as they drive by.

When the 150th commemoration of the Battle of Rangiriri took place in November 2013, the Transport Agency assisted with and attended the event. 'It was an honour to be part of this significant event and to have a positive relationship with iwi during the consultation and construction of this section of the Waikato Expressway,' Regional Director Harry Wilson said.

Rows of pou will line the battle site and will be visible from the new section of SH 1 when it is completed in 2016.

2 WE KNOW WHO TO ENGAGE

Who should you be engaging with? Is there more than one group? Are there hidden audiences – people we should be engaging with, who may not be the obvious communities or stakeholders? These are key questions to ask at the beginning of any engagement and will then help you determine which methodologies will attract people to your engagement.

Usually it is easy to identify our key partners or stakeholders (eg local councils or other statutory agencies) and advocacy groups (such as Fish & Game, cycle advocacy groups, Automobile Association, freight representatives) who are interested in a project. It is important to realise that these stakeholders and groups do not necessarily represent the views of the public or community. Reaching and making connections with the public is more challenging, and requires greater thought and effort.

It's important to identify those who fall into the public/communities category who are affected by and interested in the issue(s) and map these out. Affected communities may fall into particular geographic, demographic, social or economic categories. People living near a proposed new state highway are an obvious geographic audience; freight carriers whose journey times will be cut by the new road will be an economic audience; while people living in the outer suburbs which will be reached by the new state highway might be a social audience.

If a recent Transport Agency project has occurred nearby, then check with that project to see if they have a stakeholder database you can use as the basis for your mapping. You should use the Highways and Network Operations Customer Relationship Management System (CRMS) to look for people who may be interested in your project. Further information on CRMS can be found on the Highways Information Portal (www.nzta.govt.nz/roads-and-rail/highways-information-portal/).

KEY POINTS

- › Develop a list of stakeholders and their interests.
- › Be ready to expand it once you begin engaging.
- › Ask if there's anyone else you think we should be talking with.

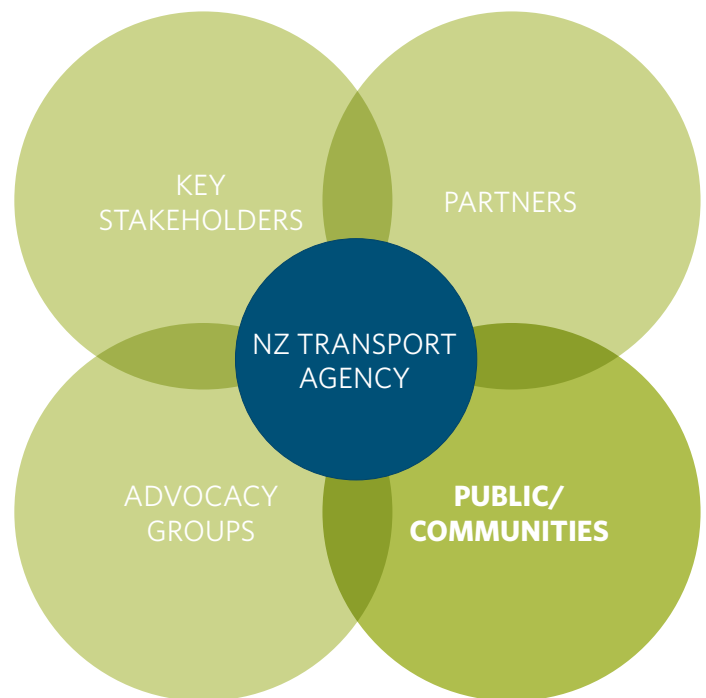


Diagram developed from Anne Pattillo



CASE STUDY 2013

Working together for environmental benefits

State highways often cross waterways and finding a way to ensure that fish passage is maintained has led to the NZ Transport Agency engaging with several parties to develop guidelines.

Roads have the potential to sever rivers and streams, change elevations, create small waterfalls, dry creek beds and to put open streams into drains. As a result fish passage to spawning habitats can be impaired or prevented causing potentially dramatic population declines. The Transport Agency recognises that water flows need to be maintained in consideration of all ecosystem aspects. Its work on guidelines to ensure culverts are designed appropriately has earned it a place on the National Fish Passage Advisory Group.

A pilot project retrofitting culverts between Opotiki and Lottie Point at the tip of East Cape resulted in 26 sites being selected along State Highway 35 to improve fish passage. In this area the majority of SH35 is adjacent to the coast. Working with the Bay of Plenty Regional Council and consultants Opus, the Transport Agency was able to select suitable sites and install ropes to allow for successful fish passage.

In order to protect native fish species, it can be necessary to prevent fish passage through some culverts. At Coach Stream, Porters Pass west of Christchurch, the Transport Agency has been working with the Department of Conservation, Environment Canterbury and the University of Canterbury to protect native fish populations from trout. Permission is required from the Department of Conservation when species are prevented from passage.

'The guidelines have application throughout New Zealand and show how the coordinated approach can have huge ecological benefits,' *Rob Hannaby, Environment & Urban Design Manager.*



3 WE KNOW THE HISTORY AND BACKGROUND

The Transport Agency and our legacy agencies are well known in many communities. Many of our projects extend for many years due to the nature of the project lifecycle, funding restrictions, and political changes. 'Consultation fatigue' can occur when communities feel they are constantly being asked for input time and time again, yet being unable to see where their last lot of feedback was used.

Knowledge of previous Transport Agency involvement in a community or with stakeholders is vital. This understanding will help you acknowledge issues or concerns that have previously been raised and avoid the community feeling like their input is dismissed once a project has moved on. Talk to others who have worked on projects in your area and ask them about their experiences with dealing with the community and public, what key issues were raised and how they were addressed. The Environment and Urban Design team (environment@nzta.govt.nz) can often help you here. Make sure you check the HNO Customer Relationship Management System (CRMS) for any related issues or customer interactions.

The Transport Agency recognises tangata whenua have a key role to play in our projects, particularly in areas of historical or cultural significance. Depending on your project, you may wish to undertake a separate engagement process with iwi to ensure they have the opportunity to input and influence outcomes from the beginning. This is often done through the formation of iwi integration groups.

It is also useful to understand if other agencies, such as local councils are also undertaking engagement at the same time. If appropriate, there may be the opportunity to coordinate engagement processes, particularly if they are in the same geographical area or are on related issues. However, be cautious about this approach and if you think it might offend people or distract from your aims, don't do it.

KEY POINTS

- › Obtain background information on previous projects or engagement in the area.
- › Acknowledge the past.
- › Listen to stakeholder experiences.
- › Try to keep the focus on the present project and demonstrate a different approach to engagement where appropriate.

CASE STUDY 2014

Identifying your audiences

Finding new ways to connect with stakeholders sometimes means going to the places they gather at.

Fieldays at Mystery Creek near Hamilton is an annual four-day agribusiness expo held in mid-June and a prime venue for getting feedback and introducing messages to rural audiences. In 2014, nearly 120,000 people attended.

The NZ Transport Agency's regional staff were on deck to show how the organisation works and to understand what our customers want. Discussions ranged from changes to the agricultural vehicle rules to driver licensing and the major roading projects being delivered throughout the wider region.

Regional Manager, Access & Use, David Pearks said the event provides a huge opportunity to connect with customers in an informal and relaxed environment. 'It enabled more constructive conversations which are more likely to help us increase our understanding of what our customers' requirements are - so we can better meet their needs.'



Transport Agency staff at Fieldays

4 WE BEGIN EARLY

Relationship building, which is the basis for good engagement, takes time. An early understanding of the community's needs, motivations and issues will help us make decisions that are in line with these. Early engagement can also build a **sense of ownership by the public or community and bring people together for a positive purpose**, rather than seeing the community unite around a negative cause further down the track.

'Beginning early' can be divided into three steps:

1. Meet the community and build relationships.
2. Work together to identify the challenges faced, rather than starting from a predetermined solution.
3. Commence a journey together towards the solutions.

Relationships are incredibly important and form the foundation on which to build a successful public engagement. Put in the groundwork for good relationships before doing anything else. **It's important that a Transport Agency representative (preferably the project manager) makes these first contacts**, rather than our consultants. This shows that we are prepared to front up as the face of the project and helps to establish trust, understanding and openness between ourselves and our stakeholders and communities.

We then need to work with communities to identify the challenges (and opportunities) they are facing. This means taking a blank canvas approach, asking communities to come up with issues that matter to them, and moving forward from that point. If we can establish goals and plan clear pathways towards solutions together, all parties can embark on the same solution-focused journey.

To participate fully, stakeholders often need to identify the challenge and be part of designing the engagement process. This means asking them what works best for them. This has several benefits. Firstly, it shows respect towards our stakeholders and communities by allowing them to have a say in how the relationship develops. This forms the basis of trust, which is essential, as our projects move through their lifecycle.

If your first stage in the engagement process is presenting a range of options to the community and stakeholders, it's likely you're engaging too late. In most cases the community should be involved (directly or indirectly) in developing options, for example ensuring their concerns or issues are captured during the assessment criteria process of developing options.

KEY POINTS

- › Early engagement is more likely to be positive
- › Be clear about what is being engaged on (and what is not).
- › Work together to identify the challenges before moving to potential solutions.



5 WE ARE GENUINE

Keep it real. Nothing could be truer when it comes to engagement. People quickly pick up when our actions lack authenticity. People can see through engagement activities that are undertaken for the sake of fulfilling a process or ticking a box. And as soon as they do, cynicism sets in, they disengage from the process and lasting damage can be done.

Engagements that aren't genuine damage the public's goodwill towards the Transport Agency and make it harder for engagements that are being done with the right intent.

Being genuine also means choosing the most appropriate level of engagement for this decision to be made. There is no point consulting on different options for a project

and presenting the options as equal or 'all on the table' when a decision has already been made on a favoured option. In this instance, we should be telling the public that we have a preferred option, the reasons for it, and asking for feedback on any elements which can still be influenced.

In order to be genuine, we need to make sure we let the public know what we've done with what they've told us, and how it has influenced the outcomes. This key step is often left out of our engagement processes, but the importance of doing this cannot be understated. By being open about how we've used the outcomes of an engagement exercise, it shows that we are genuine in our desire to listen and respond to what our communities tell us.

CASE STUDY 2015

Best practice public engagement

When the Transport Agency knew it would have to replace the Old Mangere Bridge, it was clear to the project team that working with the community to understand their values and history associated with the bridge would be crucial.

The bridge has been closed to vehicle traffic since 1983 but it forms an important link between the Onehunga and Mangere Bridge townships and is part of the Auckland Regional Walking and Cycling Network. The Manukau Harbour is culturally significant and traditionally a pathway for people crossing the Auckland isthmus.

When the investigation phase looking at replacing the old bridge began in 2012, early and meaningful public participation played a key role and helped to inform the design phase which began in late 2013. Previously most engagement with communities would follow the development of a preferred option, but it was recognised that engaging at this stage would not be successful with the bridge playing such a significant part in the communities.

Engagement took a number of forms and was developed with the various communities which included inter-generational families from the two townships, iwi, community representatives, Heritage New Zealand, local schools, business and residents associations, the Port of Onehunga and interest groups such as cycling advocacy organisations.

A range of techniques to announce the beginning of engagement were used, from media releases to social media and newsletters including translation into Samoan for distribution through local churches and community leaders.

The biggest challenge was convincing the community that the bridge needed replacement for safety reasons. Spending time communicating the reasons for not continuing with repairs and ongoing maintenance was necessary and there was a reluctant acceptance that a new bridge would be required but the community wanted 'like with like'. In order to keep the old bridge open for use during the construction of the new bridge, the new bridge would be located alongside the old.

With discussion, the like with like request evolved into a challenge of the width of the old bridge and led to some innovative solutions to provide for bays for fishing that would separate activities. The community also wanted to retain parts of the old bridge to preserve the historical connection – an idea adopted by the design team.

The community also wanted the design of the new bridge to include materials and artwork that represent iwi linkages in the area, eg using volcanic rock and artwork relating to stories and history of local iwi.

6 WE SUPPORT AND ENCOURAGE BEST PRACTICE

Our principles of stakeholder engagement echo the standards of integrity and conduct expected of public servants – to be fair, impartial, responsible and trustworthy – and the values of the Transport Agency.

Putting customers at the heart of our business is one of the Transport Agency's five priorities, and by embodying our three behaviours (Sign up, Team up, Front up), this supports best practice public engagement.

The Transport Agency has in recent years had projects recognised for public engagement best practice at the IPANZ Trust and Integrity awards and the New Zealand Planning Institute Best Practice categories.



Engaging with iwi is normal practice but the Old Mangere Bridge project area comprised 13 iwi with ancestral associations. A process for engagement and level of influence in decision making was developed resulting in an Iwi Forum being established, where all iwi were represented. Iwi are also part of the Project Reference Group which includes the Transport Agency, Auckland Council, Auckland Transport, Heritage NZ, the local boards, the Auckland Harbourmaster and Port of Auckland.

The Iwi Forum and an Artists' Panel established on the Old Mangere Bridge project are both new decision making processes for the Transport Agency and similar models are now being adopted or adapted for use in other projects. Workshops at local schools were designed to ensure that children were part of the consultation process and their ideas were incorporated into the design of the bridge, including safety and information aspects as well as artwork.

'In the curriculum there's a big focus on student voice and we decided to include that in everything we do. Knowing that people listen is an important learning experience,' said Waterlea Deputy Principal, Penny Jensen.

The project is being used as a best practice example for the Transport Agency, demonstrating a cultural shift in its dealings with the public.



CASE STUDY 2013

Valuable lessons learnt

Each public engagement provides an opportunity for learning and considering potential improvements to the process. The Te Onewa Point and pā site below Auckland Harbour Bridge is a useful example to review.



Te Onewa Point, under the Auckland Harbour Bridge

The project was to develop a concept plan to provide better and safer access to Te Onewa Point for its use as open space reserve. This included aspects of interpretation and celebration in the design. Some of the outcomes require investment by the Transport Agency in physical structures while others require Auckland Council to take ownership of design and functionality.

Audiences for engagement were the Auckland Council (local board members with heritage and parks staff), iwi and the Northcote Residents Association. In order to prepare for engagement, the Transport Agency had asked for consultants to prepare options on access, safety and celebration so that it could bring these resources to the table when meeting stakeholders. The response to this was not positive, with stakeholders believing that the designs had moved too far in terms of detail before there was fundamental agreement between the parties.

Assurances that the designs presented were flexible and only aspirational did not appease stakeholders as they wanted to return to preliminary issues such as whether the site should be for public open space considering its high archaeological value and if the Building Act requirements for safety were applicable, given they appeared intrusive to some values in the area.

Discussions have progressed slowly as a result of the time some stakeholders have needed to acknowledge the legacy issues and to come to terms with what is proposed. Some key learnings from the project to date include:

- › Don't assume stakeholder views are understood – establish these clearly as soon as practicable.
- › Discuss and agree expectations of each party's role when at the table and the intervening periods in discussions.
- › Agree what elements of design or outcomes each stakeholder considers within their domain.
- › Get the high level agreement on elements of design and then keep the concept design as fluid as possible.
- › Ensure each stakeholder gets the opportunity to express whether they feel their views have been considered.
- › Urban and landscape designers must understand the collaborative effort required to get a mutually beneficial outcome.
- › Continually celebrate what agreements have been reached and address the differences following this.

SECTION 3: PUBLIC ENGAGEMENT REQUIREMENTS AND PROCESS



STANDARDS AND POLICY CONTEXT

In order to ensure value-for-money and consistent mitigation across the national network, the Environment and Urban Design team works closely with project managers to collect best practices, identify relevant international trends, develop New Zealand specific standards and guidelines, identify and promote opportunities, disseminate information and continuously improve service delivery. The HNO *Environmental and social responsibility manual* is a 'library' or collection of standards, guidelines, tools and references applicable to all capital works and maintenance operations. The *Public engagement guidelines* form part of the HNO *Environmental and social responsibility manual*.

When improving, operating or maintaining the state highway network, the use of guidelines is mandatory when invoked in contract documents. Guidelines contain recommended good practice suitable for use on state highways as determined by HNO.

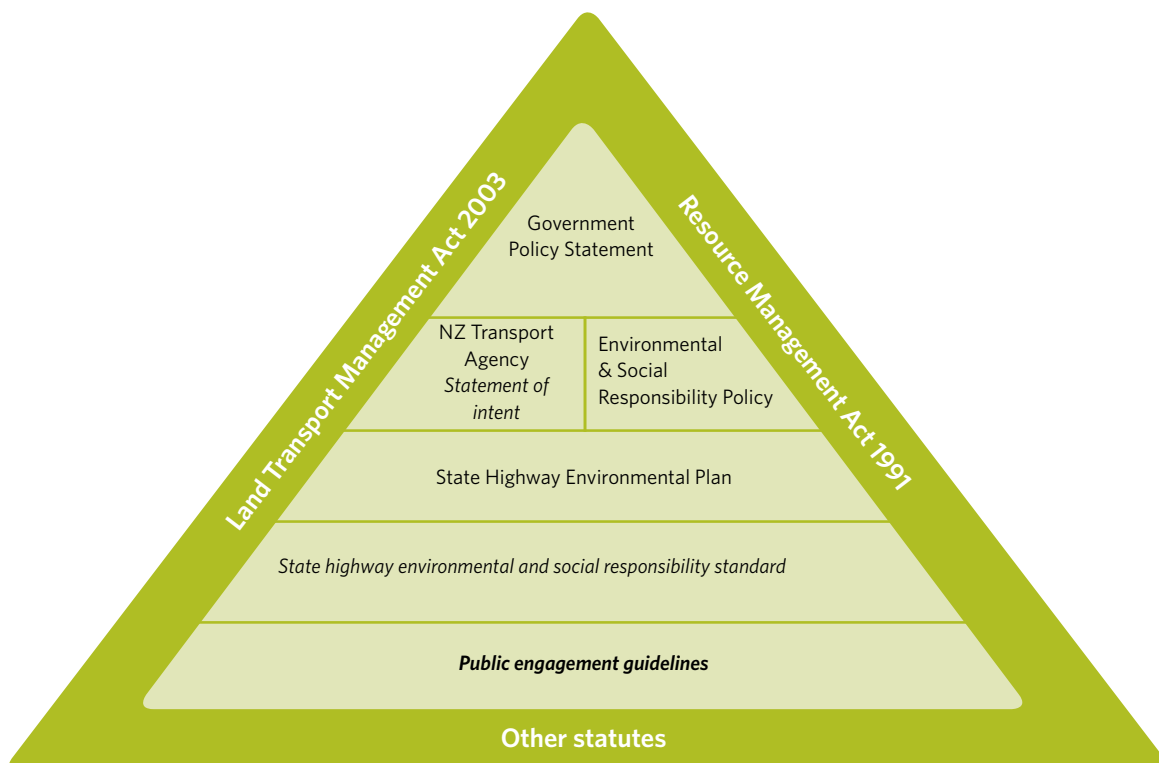
The purpose of the Transport Agency's *Environmental and Social Responsibility (ESR) Standard* (2016) is to provide a standardised process for Transport Agency project managers and their teams on how and where to implement the Transport Agency's environmental, social and urban design requirements in the inception and implementation of any highway work.

This is to ensure state highway projects comply with the Transport Agency's environmental and social:

- › legal requirements, and
- › policies, plans, standards, specifications and guidelines.

The Transport Agency is committed to acting in an environmentally and socially responsible manner. The ESR standard gives effect to the Transport Agency's ESR policy by ensuring that environmental and social matters are considered early and consistently in a state highway project.

The following table should be read in conjunction with the ESR standard. It outlines in further detail what is expected at each project stage. Further information on the ESR standard and other related documents can be found on the Highways Information Portal (www.nzta.govt.nz/roads-and-rail/highways-information-portal).



PUBLIC ENGAGEMENT AND TRANSPORT AGENCY PROJECT LIFECYCLE

PROJECT STAGE	PUBLIC ENGAGEMENT REQUIREMENT
STRATEGIC CASE	<p>Identification of key stakeholders/decision makers, and their likely interest in the issue. Investment Logic Mapping workshop to occur.</p> <p>If working with stakeholders outside the Transport Agency, we should be at collaborate level</p>
PROGRAMME BUSINESS CASE	<p>High level Public Engagement Plan (PEP) to be prepared. The PEP should be scaled to the size of the project. Determine what level of influence the public will have throughout the project lifecycle.</p> <p>In most instances, we should be at inform/consult level.</p>
INDICATIVE BUSINESS CASE	<p>High level Public Engagement Plan (PEP) to be prepared. The PEP should be scaled to the size of the project.</p> <p>Undertake engagement. At end of engagement, prepare a consultation report on engagement process, outcomes and next steps.</p> <p>In most instances, we should be at consult/involve level.</p>
DETAILED BUSINESS CASE	<p>Update PEP based on outcomes of indicative business case.</p> <p>Undertake engagement. At the end of engagement, update previous consultation report on engagement process, outcomes and next steps.</p> <p>In most instances, we should be at consult/involve level.</p> <p>Consents and other statutory requirements are applied for in the pre-implementation phase. The Consultation Report will form part of the Assessment of Environmental Effects supporting the statutory application.</p>
PRE-IMPLEMENTATION	<p>Generally speaking, we will be at the inform level as we go through the statutory process. This is because wider public engagement would have been undertaken as part of option selection and analysis during the indicative and detailed business case phases. However, engagement with individual affected parties and submitters will be at involve/collaborate level.</p>
IMPLEMENTATION	<p>Review the PEP for the project and prepare a communications plan/strategy. The size and scale of the communications plan/strategy should be fit for purpose.</p> <p>In most instances, we will be at inform level for the general public. Directly affected parties, or stakeholders with an interest greater than the general public will require higher levels of engagement.</p>
MAINTENANCE AND OPERATIONS	<p>The Network Outcomes Contract (NOC) requires the contractor to prepare a Customer and Stakeholder Communications Management Plan (CSCMP). The CSCMP should reference all relevant PEP (if available), PEPs will provide the contractor with valuable information about the background to the project/community. The contractor will use this information to develop a strategy for their public engagement through their quality control systems they bring to their work.</p> <p>The CSCMP should be based on the principles in this guideline and show how they are being implemented in the context of the Network Outcomes Contract.</p> <ol style="list-style-type: none"> 1. We know why we are engaging and we communicate this clearly 2. We know who to engage 3. We know the history and background 4. We begin early 5. We are genuine 6. We support and encourage best practice <p>The CSCMP must reference all relevant project PEPs in the NOC area, and factor in commitments to update the CSCMP on a regular basis. Depending on the work being undertaken, engagement will vary across the spectrum. The focus will in most cases be at the inform level, with directly affected parties potentially at consult/involve.</p>

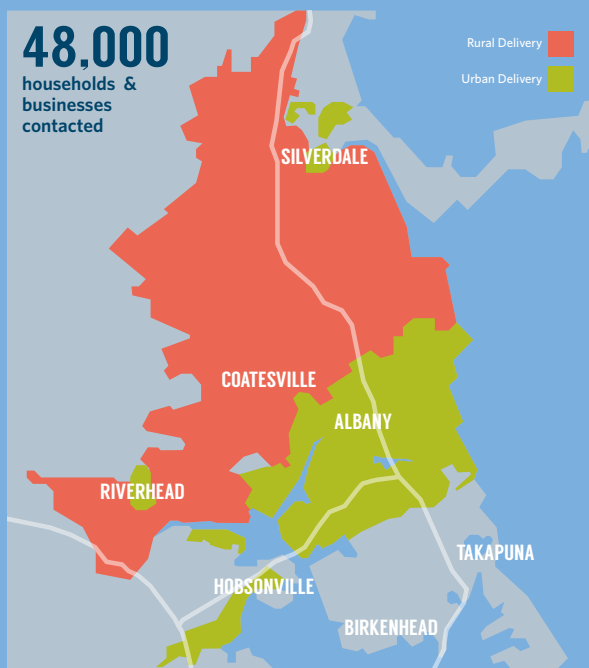
CASE STUDY

Northern Corridor Improvements PUBLIC CONSULTATION HIGHLIGHTS

October–December 2014 & July–September 2015

- 10** public open day events
- 1,484** people at open days events
- 215** visitors to the InfoHub office
- 6** ways to give feedback
 - Verbally at events
 - Written feedback forms
 - Online feedback forms
 - Comments on display boards
 - Emailing NZTA
 - Calling 0800 number
- 400** feedback forms completed
- 3** newsletter languages
 - English
 - Korean
 - Chinese

HOUSEHOLDS CONTACTED



FEEDBACK SUMMARY

- Main Motorway Changes**
 General support for the changes proposed along the motorway itself and acknowledgment that improvements to the SH1/SH18 section of the motorway network is necessary to relieve current congestion issues and provide for future growth and demand.
- Buses and Busway**
 Strong support for the Busway extension to Albany, many wanting ahead of roading changes due to frustration that buses currently get caught in congestion. More park'n'ride facilities requested, frustration that the parking fills early in the morning. Strong support for additional station.
- Walking and Cycling**
 Strong support for walking and cycling facilities, especially from Constellation Bus Station to Unsworth Heights, Albany Business areas, Massey University and schools. Safety is a key concern, many would like separation from general traffic.
- Local Road Changes**
 General support for changes around Paul Matthews Road. Concern raised about the potential effects on businesses in the Paul Matthews Road and Greenwich Way areas and effect on local sports facilities. General understanding about the necessity to close Unsworth Drive off-ramp. Significant support for the overbridge from Unsworth Drive to Omega Street.

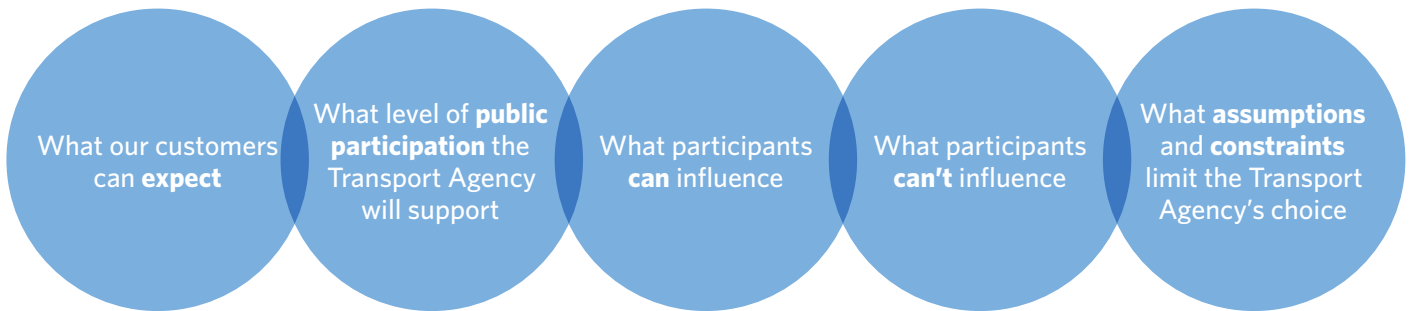
YOU SAID...

"We love the Busway and would like to see it extended"

WE HAVE: Taken this into account and confirmed we will seek to bring funding forward so we can build it with the rest of the project.

"Consider a bridge at Paul Matthews Road"

WE HAVE: Looked at this as an option and it is now being considered as one of the preferred design options presented.



TIPS FOR SUCCESS

Before you begin any public engagement process, make sure you are clear about:

Before undertaking any public engagement, it is essential to consider what the purpose of your engagement is, and what you want out of the engagement process. For example, do you want to let the community know about upcoming construction works that may disrupt travel along the state highway or do you want to get feedback on design options for a new interchange? Both of these scenarios require different techniques for engaging the public.

Often at the Transport Agency, we default to 'open days' as the consultation requirement for our contracts for professional services. Open days can be beneficial, in particular when you want to bring people together, inform the community about a project and provide opportunities for feedback. However, they can be expensive and time consuming, may not reach your intended audience, may have a low turnout and they may not give you what you

want. For example, if the purpose of your engagement is to inform the local community about an upcoming project (what's going to happen as part of the project, timeframes, outcomes), and answer any questions about the project, then an open day may not be the best technique to engage the public. In this instance a newsletter with project details and/or a project website with ways to contact the project team could be more appropriate and less costly, while meeting the purpose of your engagement (to inform the community and give them the opportunity to find out more about the project).

The following table provides a guide as to what type of techniques could be appropriate for different stages of project development.



ENGAGEMENT TECHNIQUES DURING PROJECT LIFECYCLE

PROJECT STAGE	POSSIBLE PUBLIC ENGAGEMENT TECHNIQUES	
STRATEGIC CASE Collaborate	<ul style="list-style-type: none"> › Investment logic mapping › Workshops 	<ul style="list-style-type: none"> › Focused conversations for structured discussion
PROGRAMME BUSINESS CASE Inform/consult	<ul style="list-style-type: none"> › Open days › Staffed office or desk at public venue with information › Websites 	<ul style="list-style-type: none"> › Designated contacts › Briefings › Media release
INDICATIVE BUSINESS CASE Consult/involve	<ul style="list-style-type: none"> › Information kiosks › Open days › Comment forms › Resident feedback register 	<ul style="list-style-type: none"> › Scientific surveys › Interviews › Public meetings › Symposia with multiple speakers
DETAILED BUSINESS CASE Consult/involve	<ul style="list-style-type: none"> › Revolving conversations › Open days 	<ul style="list-style-type: none"> › Field trips
PRE-IMPLEMENTATION Inform or consult/involve (directly affected parties or submitters)	<ul style="list-style-type: none"> › Selected briefings to interest groups 	<ul style="list-style-type: none"> › Working parties › Field trips
IMPLEMENTATION Inform	<ul style="list-style-type: none"> › Open days › Information desk 	<ul style="list-style-type: none"> › Website › Newsletters
MAINTENANCE AND OPERATIONS Inform or consult/Involve (directly affected parties)	<ul style="list-style-type: none"> › Website › Video 	<ul style="list-style-type: none"> › Newsletters › Review workshops

EVALUATION

At the end of a project or a significant milestone, it is worth reviewing how successful the engagement has been. Ensure all relevant people are invited and circulate the agenda/discussion points in advance. Use an independent facilitator and ensure all parties get the chance to speak honestly about what worked and what didn't so that lessons are learned for the future. The Transport Agency undertakes lessons learnt reviews (LLR) for projects on a regular basis, please contact the Environment and Urban Design team for further information on LLRs relating to public engagement.

ONLINE CHANNELS

The Communication Channels Services team is responsible for developing, enhancing and managing the Transport Agency's online and print communication channels. We can assist you to develop and maintain the channels that best suit your communication.

Our services include publishing to the Transport Agency website, graphic design, print and distribution, social media management and planning, and web functionality development.

For any requirements relating to the Transport Agency channels and brand, contact channels@nzta.govt.nz.

SOCIAL MEDIA

Social media is an important and growing method of reaching out to a wide range of people. The increasing number of people using social media represents a huge opportunity to connect with communities and stakeholders. However it takes resources, careful planning and ongoing commitment to make it successful.

Communities or groups wanting to research views or just source some information use the internet extensively to gauge levels of support for viewpoints and they can do this anonymously via blogs or websites. Some parties opposing projects will provide copious references from the internet which they genuinely believe is evidence-based research and responses need to be tactful.

The Transport Agency is increasingly using social media channels too. Not only does social media have the potential to improve our customer service and reduce costs, but it presents us with new ways to engage with customers, particularly younger or more technologically savvy road users. There is also a growing expectation for us to communicate with our users online.

The Transport Agency has developed the following guidelines to help you when considering social media use:

1. Be transparent about who you represent.
2. Separate your job from your private and personal views.
3. Show respect to other users.
4. Be accurate in what you say.

When using social media on Transport Agency projects, your first point of call should be your Regional or National Communications team.



CASE STUDY 2016

Planning for growth in Auckland

'Transport for Future Urban Growth' is a project that went the extra mile to involve the community in the very earliest stages of a project – right back at strategic and programme business case phases – asking them to help shape the project's problem statements, issues, aspirations and options. The project shows how people's voices about the importance of public transport to our future helped shape guiding strategy.



Given the Auckland region's housing crisis and population boom, and the Auckland Unitary Plan process which had been underway for two years, there was a huge weight of public interest and opinion regarding future growth and transport. There were reports in the media daily about how Auckland was expected to grow by more than 1 million people by 2043, and that the council was looking to rezone more than 11,000 hectares of greenfield rural areas outside of the city's boundaries for future urban zones in order to create new communities.

In August 2015 the Ministry of Transport announced the Auckland Transport Alignment Project (ATAP) and in November 2015 Auckland Council released the Future Urban Land Supply Strategy (FULLS). Auckland Transport and the Transport Agency had been involved in the development of FULLS which identifies four greenfield growth areas where 30 percent of Auckland's growth over the next 30 years will occur, along with timelines

for development of the areas. In response to timeframes established in the ATAP process, and following the release of FULLS, the three organisations formed the TFUG team and began to work together planning for these new growth areas.

Partnering with Auckland Council's planning teams, the TFUG team collaborated and planned both high level land use and new bulk transport infrastructure 'from the ground up' – ensuring a strategic, well-connected and accessible transport network would develop to best serve the communities and businesses who would move there over the next 10-30 years.

Right from the outset the team agreed that significant resource would go into stakeholder and community engagement to help ensure the network plans developed would have the best 'liveable' qualities the community wanted. Lead engagement advisors were appointed from each organisation to help develop a Communication and

Engagement Plan outlining stakeholder, government, iwi and public consultation processes to be undertaken in parallel with project decision making. To ensure consultation could influence decision making progressing from a long list of options to a short list, and then a short list to a preferred network, timing was tight. The team was well organised with weekly engagement team meetings to ensure activities were on schedule, manage any potential issues, and check in with the wider project team.

Over a 12-week period, individual meetings and workshops were held with key stakeholders including developers, local boards, the NZ Property Council, Automobile Association, and freight organisations. Both hui and separate full day workshops were held with iwi, and industrial and business stakeholders were surveyed. Two 4-week rounds of public engagement were held – all within the 12-week period.

In the first round of public engagement over 30,000 households in future growth areas received advertising about the project, nine public events were held with almost 800 people attending, and the project webpage was the most popular webpage on the Auckland Transport website with over 8,000 views. From that, 620 feedback forms were received. Interim reporting of feedback was completed within three days of round one ending, and final reporting was completed within two weeks. Feedback from the first round confirmed the issues and aspirations for each of the growth areas and provided a key message from communities that public transport was a priority.

Increasing investment in public transport became the guiding principle of option refinement and in the second round of public engagement short listed transport options with key public transport features were presented.

During the second round of public engagement the same 30,000 households in future growth areas received advertising, nine public events were held with over 600 people attending, five business breakfasts and a Young Planning Professionals event was held, and the project webpage was again the most popular webpage on the Auckland Transport website with over 13,000

views. People told us they wanted to see even more public transport, and that the timing for investment in each area was too far away. The industrial and business community echoed public feedback, asking for public transport to assist their employees get to and from work, as well as a focus on strategic state highway routes.

As a result, TFUG has prioritised the public transport aspects and the Transport Agency has brought forward indicative business cases for 11 projects in the most pressured areas of the northwest and southern Auckland, with the aim of project construction starting in the next ten years.





If you have further queries, call our contact centre on 0800 699 000 or write to us:

NZ Transport Agency
Private Bag 6995
Wellington 6141.

This publication is also available on NZ Transport Agency's website at **www.nzta.govt.nz**

OUR CONTACT DETAILS

Sarah Cronwright
Principal Specialist - Planning & Community
NZ Transport Agency
Level 2 Chews Lane
50 Victoria Street
Private Bag 6995
Wellington 6141
Telephone: +64 9 969 9800
sarah.cronwright@nzta.govt.nz

