

NZTA Z01-D: 2025

Professional Services Contract Quality Management Specification

1. Scope

This Specification sets out the requirements for quality management for professional services contracts, including transport planning, investment case preparation, investigation and assessment, cost estimation, design, consenting and planning, preparation of contract documents, tender support and tender evaluation.

2. Referenced Documents

The following documents are referenced in this Specification.

Reference	Title
AS/NZS ISO 9001	Quality Management Systems – Requirements

3. Definitions

In addition to the definitions set out in AS/NZS ISO 9001 (unless amended by this Specification), the definitions listed below apply to this Specification:

Term	Definition
Compliance	The action of doing what is necessary to meet a specified (typically regulatory) requirement, obligation, or policy.
Conformance	Fulfilment of requirement (typically related to a management plan, process, or specification).
Hold Point	A checkpoint in the design and professional services process beyond which work cannot proceed until it is verified that the work conforms with specified requirements and the hold point has been released by a person with the necessary authority.
Non-compliance	Deviating from doing what is necessary to meet a specified (typically regulatory) requirement, obligation, or policy.
Quality Management Reviews	A Quality Management Review is a formal process where management assesses the effectiveness, suitability, and adequacy of the quality management system.
Quality File	A repository of indexed quality records in a format that allows access to interested parties and retained after Contract completion for a defined period.
Validation	Proof that designs and other professional services deliverables meet the requirements, i.e. design and other professional service outputs are compliant with the Client's standards and requirements, inputs and intended uses as specified.
Verification/Review	Provide assurance and confirmation that design and other professional services outputs meet the inputs and verify that the design to be constructed: <ul style="list-style-type: none"> ○ is traceable to design inputs. ○ meets all customer requirements. ○ is compliant with standards or codes.

	<ul style="list-style-type: none"> ○ is compliant with regulatory and statutory requirements. ○ is value-for-money. ○ is constructible and maintainable.
Value Engineering	<p>Value engineering (VE) is the method that the project team employs to improve the value of the project by examining the function of each item or element and its associated cost. By weighing the function-to-cost ratio, the team can make suggestions for alternate construction methods, designs, or materials that improve the value of the project.</p>

4. GENERAL

- a. The Consultant is accountable for meeting the quality of work and activities delivered as defined in the Contract.
- b. The Consultant's Quality Management System may be integrated with other management systems.
- c. The Consultant shall work collaboratively with the Client to deliver the required quality.

5. QUALITY MANAGEMENT PLAN

5.1 General

- a. The Consultant shall prepare and implement a contract-specific Quality Management Plan (QMP).
- b. The Consultant shall submit the QMP to the Client for acceptance prior to the commencement of works.
- c. The Consultant shall maintain, periodically review and update the QMP during the Contract to keep it current and incorporate improvements and lessons learned.
- d. The Consultant's QMP shall describe the steps that the Consultant will follow in the design and development of the works and demonstrate conformance with the Contract requirements. The Client requires assurance that all activities delivered as works under the Contract meet the specified standards.
- e. The QMP shall as a minimum address the quality management activities and requirements set out below, and be subdivided into and cover the following elements:
 - Lead and Direct Quality
 - Enable the Delivery of Quality
 - Quality Delivery
 - Measure, Analyse and Improve Quality

5.2 Lead and Direct Quality

- a. Define overarching quality policy and specific quality objectives for the Contract, and how these will be delivered to achieve Contract outcomes.
- b. Set-out the approach and framework for measuring and reporting on performance and compliance to specified requirements.
- c. Identify uncertainty in achieving specified requirement for the works, where the scope of works are the products and services associated with the Contract.

- d. Conduct Quality Management Reviews at least annually on results from quality assurance and control activities, including internal reviews, contract reviews, management system audits, and performance against Quality objectives.
- e. Specify requirements for a systematic and measurable process of independent monitoring and reporting of quality assurance systems and performance.

5.3 Enable the Delivery of Quality

5.3.1 Quality Management Systems

- a. Address risks to quality when detailing the systems, procedures, plans, methods and software (used for design and other professional services and independent design and professional services verification), to be used by the Consultant and their sub-consultants to deliver the Contract.
- b. Develop and implement a QMP in context with the specific Contract.
- c. Control project specific documented information.
- d. Engage and include contractors and sub-consultants (where applicable) in the QMP.
- e. Apply acceptable and current design and other professional services practices.
- f. Utilise a system to collect and maintain quality records.

5.3.2 People

- a. The Consultant shall appoint a competent Quality Manager, that is and will act independently of day-to-day design and professional services activities to ensure that the requirements of the Quality Management Plan are implemented and maintained.
- b. Clearly define roles, responsibilities, and authorities of staff across processes, internal and external, that have a role and responsibility in the quality of the professional services outcomes.
- c. Implement and manage ongoing staff training in systems, procedures, plans, methods, standards, guidelines, and tools that can impact delivery of the Contract.
- d. Determine the skills, training, experience and competency required for each role and resource the project accordingly to achieve specified professional services quality outcomes.

5.3.3 Meet and collaborate

- a. Meet and collaborate on an agreed frequency with the Client, or as needed on Quality matters during the pre-implementation phase.
- b. Arrange and participate in monthly (or milestone) quality meetings that cover:
 - Status of deliverables required in the Contract Documents, including specifications and standards.
 - Achievement of specified performance agreements where applicable.
 - Quality File Completeness.
 - Non-Conformance tracking and close-out in accordance with contract conditions.

5.4 Quality Planning and Delivery

Define the organisation and responsibility, the resources, the task sequences and all the mandatory steps for the scope of work. Include in the QMP:

- a. The team structure and communication channels.
- b. The scope of work and timeframe.
- c. The scope of services.

- d. Identify all applicable standards, specifications, legal and other requirements, including consents applying to the design and other professional services scope of work.
- e. A work breakdown structure.
- f. Risks of design and other professional services outputs/deliverables not meeting the design and subsequent construction output requirements, including safety, constructability, and maintenance.
- g. Design and other professional services processes and/or methodologies across the different phases,
- h. Value Engineering workshops, taking into account constructability challenges.
- i. Plan and deliverables checks, reviews and verification at various stages of professional services, design and development, including the Client's audits and reviews.
- j. The collaboration and document control systems (software) to be used.
- k. The processes for:
 - Deliverable approval.
 - certification.
 - change management.
 - validation.
- l. Design delivery for construction (issue/approve for construction).
- m. Design, deliverable and other professional services change management.
- n. Development of design and other professional services close-out.

5.5 Measure, Analyse and Report on Quality and Improvement

- a. The Consultant shall collect, analyse and review quality information generated during the design and development process, and report on these for discussion at Quality or Contract Meetings. These should include as minimum (where applicable):
 - checks, reviews and verification results.
 - Results from design and safety audits.
 - changes, including reason and impact on the project.
 - errors and comments.
- b. Conduct and report on internal and external audits with the purpose of confirming conformance with specifications and other requirements.
- c. Report on ongoing contract performance to the Client against the specified contract deliverables, milestones and Hold Points.
- d. Pursue improvement opportunities.

5.6 Managing Non-Conformances

- a. The QMP shall describe procedures for discovery and control of any professional services, design and development work, including drawings issued for construction (IFC) or reports, assessments, estimates that do not conform to specified requirements.
- b. All non-conformances shall be recorded, investigated, remedial action agreed and implemented.
- c. Manage and implement corrective action, continuous improvement and lessons learnt migration in response to non-conformance when and wherever this occurs.
- d. Acceptance of corrections to designs and other professional services outputs and deliverables.

5.7 Quality Records

- a. Keep digital records from all contract specific quality assurance and control activities in a Quality File, to thereby provide explicit evidence to demonstrate to the Client that the quality objectives for the Contract have been met.
- b. Provide design and other professional services information and reports required for operating and maintaining assets, including information for the Asset Owner's Manual (AOM).
- c. Ensure that the Quality File is accessible to all participating in the phase, including the Client, at all times.
- d. At completion of the project the Quality File shall be transitioned to the Client. All information serving as input to design and other professional services must be included in the Quality File.

5.8 Progressive Close-Out and Completion

- a. Prepare and deliver Design Certificates and/or Producer Statements for contract deliverables as specified.
- b. Before the final designs, reports and other professional services deliverables are approved, supply all quality information and records as specified in the Contract in acceptable digital format to the Client, as the complete Quality File.
- c. The final design report shall include all quality related risks to be taken forward into the physical works phase.