
QLDC NZGTTM Enterprise Risk Framework

Queenstown Lakes District Council

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QUEENSTOWN
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Document Control

Version history

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1.0	March 2026	QLDC	For issue
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Disclaimer

This guidance document has been prepared with all reasonable care and consideration, drawing on the expertise of professionals within the field of temporary traffic management and the wider transport sector. It incorporates relevant legislation, standards, and industry best practices applicable at the time of its development.

While Queenstown Lakes District Council (QLDC) has made every effort to ensure the accuracy of this guidance, it is intended as a resource to assist in understanding the Road Controlling Authority’s responsibilities under the New Zealand Guide to Temporary Traffic Management. This document does not override applicable legislation or statutory requirements. Users of this guidance must apply their own professional judgment and consider other relevant resources and advice when implementing its recommendations.

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Acronyms and abbreviations

Acronym	Meaning
ALARP	As Low As Reasonably Practicable
CAR	Corridor Access Request
NAC	Network Access Coordination
NZGTTM	New Zealand Guide to Temporary Traffic Management
RCA	Road Controlling Authority
TMP	Temporary Traffic Management Plan
TTM	Temporary Traffic Management

Key terms

Term	Definition
CAR Assessment Theme	One of the four operational assessment themes used to apply the QLDC Enterprise Risk Framework during corridor access request (CAR) reviews. The four assessment themes are People / Health & Safety, Service Delivery & Assets, Legislative & Regulatory, and Reputation & Relationships.
Comprehensive Risk Review	The Council's formal review of a submitted Corridor Access Request (CAR), Temporary Traffic Management Plan (TMP), and supporting documentation to determine whether the applicant has demonstrated a fit-for-purpose risk management process and whether the proposal satisfies network access and regulatory requirements.
Corridor Access	The occupation or use of the legal road corridor by an applicant to undertake works or activities requiring approval from the Road Controlling Authority.
Risk Appetite	The level and type of risk that QLDC is willing to accept in pursuit of its objectives, as defined within the QLDC Risk Appetite Framework.
Risk Category	One of the corporate risk categories defined within the QLDC Risk Appetite Framework that provides the basis for risk management and decision-making across the organisation.
Network Functionality	The ability of the transport network to continue operating safely, efficiently, reliably, and with appropriate levels of access during and following corridor activities.

Term	Definition
Residual Risk	The level of risk that remains after risk controls have been implemented.
Risk Management Process	A systematic process used to identify hazards, assess risks, implement controls, evaluate residual risk, and review the effectiveness of those controls.
Statutory Responsibilities	The legal duties and powers exercised by QLDC in its role as Road Controlling Authority when considering corridor access requests and associated regulatory approvals.
Worksite Risk Management	The applicant's process for identifying, assessing, controlling, and monitoring risks associated with undertaking work within the road corridor. Responsibility for worksite risk management remains with the applicant and is not transferred to QLDC through the CAR process.

1. Purpose and scope

1.1. Purpose

This risk framework explains how Queenstown Lakes District Council (QLDC) applies its Enterprise Risk Management Policy and Risk Appetite Framework to corridor access request (CAR) decision-making under the New Zealand Guide to Temporary Traffic Management (NZGTTM).

The framework provides a consistent and transparent basis for applying the Council's risk appetite within the context of corridor access requests. It supports reviewers in exercising professional judgement that is proportionate, evidence-based, and aligned with the Council's governance expectations, statutory responsibilities, and operational objectives.

The framework is intended to support, not constrain, professional judgement by council officers. It provides a structured reference point for considering risk appetite and tolerance in CAR decision-making but is not exhaustive and does not limit the matters that may be considered by QLDC in its role as Road Controlling Authority. Officers may have regard to any other relevant information, site-specific circumstances, statutory requirements, technical advice, network considerations, or operational matters when forming a decision. This framework does not establish a separate organisational risk framework. Rather, it operationalises the Council's existing risk management framework for application within the corridor access process.

1.2. Scope

This framework applies to the assessment of corridor access requests (CARs) and associated supporting documentation undertaken by QLDC in its role as Road Controlling Authority (RCA).

The framework:

- applies the relevant risk categories, sub-categories, and risk appetite statements to corridor access decision-making.
- supports consistent and defensible application of professional judgement during CAR reviews
- complements the QLDC Risk-Based Corridor Access and Temporary Traffic Management Guideline and associated CAR process documentation.
- does not prescribe specific risk controls or temporary traffic management solutions.
- does not replace the applicant's responsibility to identify, assess, and manage risks associated with their activities.
- Does not limit QLDC's discretion to consider other relevant matters, impose appropriate conditions, seek further information, escalate a matter, or decline an application where this is necessary to meet statutory, regulatory, operational, or network management responsibilities.

2. Overview of the risk framework

The QLDC Risk Management Policy and Risk Appetite Framework establish the Council's approach to identifying, evaluating, and managing risk. This document applies that risk management approach to the specific context of corridor access request (CAR) decision-making under the New Zealand Guide to Temporary Traffic Management (NZGTTM).

Not all risk categories and sub-categories are applicable to corridor access activities. This framework identifies those that are relevant to the Council's role as Road Controlling Authority (RCA) and applies the associated risk appetite to support consistent, transparent, and defensible corridor access decisions.

The framework does not replace professional judgement or prescribe specific traffic management controls. Rather, it provides a structured approach for evaluating whether an applicant's proposed management of risk aligns with the Council's risk appetite, statutory obligations, and operational responsibilities.

Figure 1 illustrates the relationship between the Council's risk framework, risk appetite, the practical risk indicators contained within this framework, and how these are applied throughout the corridor access review process to support consistent feedback, recommendations, and decision-making.

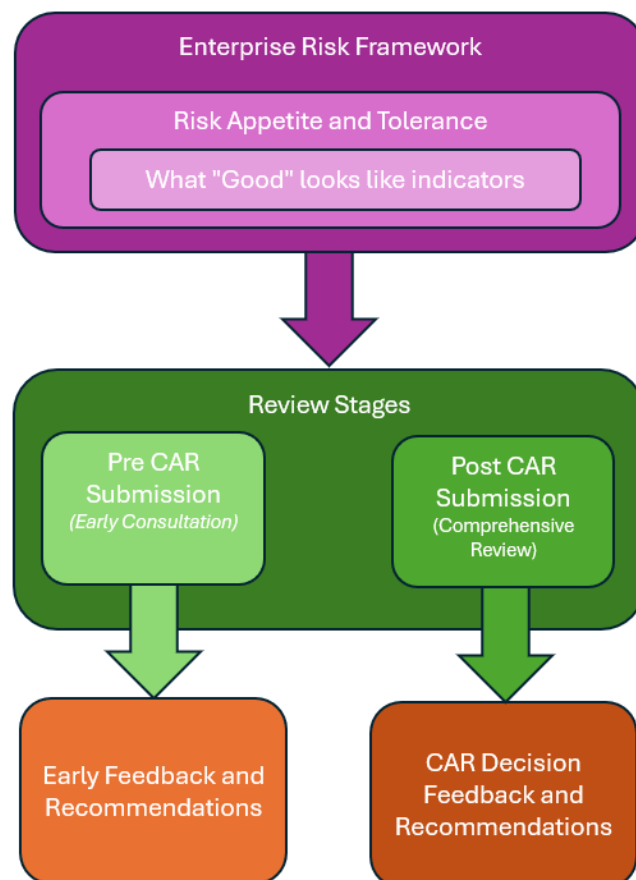


Figure 1: Application of the Enterprise Risk Framework within the CAR Process

3. Risk categories applied to corridor access decision-making

The QLDC Risk Appetite Framework establishes the Council's risk categories, associated sub-categories, and risk appetite statements. These provide the foundation for risk-based decision-making across the organisation.

Not all risk categories and sub-categories are relevant to corridor access activities undertaken under the New Zealand Guide to Temporary Traffic Management (NZGTTM). This framework identifies those that are applicable to the Council's role as Road Controlling Authority (RCA) and applies the corresponding risk appetite during corridor access request (CAR) assessment.

To support practical and consistent application during CAR reviews, the relevant risk categories and sub-categories are grouped into four operational CAR assessment themes. These assessment themes do not replace the framework. Rather, they provide a practical mechanism for reviewing corridor access requests while maintaining direct alignment with the Council's risk management framework.

3.1. Risk Category Alignment

Table 1 identifies the QLDC risk categories and applicable sub-categories that are relevant to corridor access request (CAR) decision-making. It also shows the corresponding risk appetite and how these are represented through the four CAR assessment themes used throughout this framework.

The CAR assessment themes are not intended to replace the QLDC Enterprise Risk Framework. Rather, they provide a practical means of applying the relevant risk categories and associated risk appetite during the review of corridor access requests and supporting documentation.

QLDC Enterprise Risk Category	Applicable Sub-category	Enterprise Risk Appetite	CAR Assessment Theme	Corridor Access Context
Community & Wellbeing	Health & Safety	Averse	People / Health & Safety	Protection of road users, pedestrians, cyclists, adjacent land users, and the wider community from harm arising from corridor activities.
Community & Wellbeing	Trust and Customer Satisfaction	Measured	Reputation & Relationships	Maintaining public confidence through transparent, proportionate, and defensible corridor access decisions.
Workforce	Health, Safety & Wellbeing	Averse	People / Health & Safety	Consideration of worker health, safety and wellbeing outcomes associated with activities

QLDC Enterprise Risk Category	Applicable Sub-category	Enterprise Risk Appetite	CAR Assessment Theme	Corridor Access Context
				occurring within the road corridor.
Business Continuity	Provision of Core Services	Conservative	Service Delivery & Assets	Maintaining network functionality, access, resilience, recovery, and continuity of transport services during corridor occupation.
Environmental*	Climate, Air, Land and Water	Averse	Service Delivery & Assets	Environmental impacts associated with corridor activities where relevant, including effects on environmental values and environmental obligations.
Financial	Funding	Measured	Service Delivery & Assets	Protection of council assets and infrastructure, and management of costs associated with damage, recovery, and network disruption.
Regulatory / Legal / Compliance	Legal	Conservative	Legislative & Regulatory	Compliance with statutory duties, legal obligations, and the lawful exercise of RCA powers.
Regulatory / Legal / Compliance	Compliance	Conservative	Legislative & Regulatory	Compliance with applicable regulatory requirements, standards, approvals, and council processes.
Strategic / Political / Reputation	Reputational	Justified	Reputation & Relationships	Public confidence, stakeholder relationships, political sensitivity and the Council's credibility as a regulator and network manager.

* Environmental risks are considered only where they are relevant to the nature, location, or potential impacts of the proposed corridor activity.

4. Applying risk appetite

The QLDC Risk Appetite Framework establishes the Council's appetite for risk across each risk category and applicable sub-category. This framework applies those risk appetite statements within the context of corridor access request (CAR) decision-making.

Risk appetite does not determine whether a corridor access request is approved or declined. Rather, it provides a consistent basis for understanding the level of uncertainty or risk exposure the Council is prepared to accept when balancing its statutory responsibilities, operational objectives, and community outcomes.

During a Comprehensive Risk Review, risk appetite is considered alongside the applicant's demonstrated risk management process, the nature and significance of the proposed activity, applicable legislative and regulatory requirements, and the potential effects on the transport network and wider community.

The risk appetite ratings used throughout this framework are taken directly from the QLDC Risk Appetite Framework and are summarised in Table 2.

4.1. Risk appetite ratings.

Risk Appetite Rating	Risk Appetite Description
Averse	Avoidance of risk is a core objective. Risks will only be accepted where they are unavoidable and have been reduced so far as is reasonably practicable. Strong assurance and clear justification are required.
Conservative	Very low tolerance for uncertainty or adverse outcomes. Risks may be accepted where necessary to achieve essential outcomes, provided impacts are limited, well understood, and effectively managed.
Measured	A balanced approach to risk. Limited uncertainty or disruption may be accepted where benefits outweigh potential adverse effects and appropriate controls are in place.
Justified	Greater uncertainty or exposure may be accepted where there is a clear and demonstrable benefit. Risks must be understood, actively managed, and supported by a strong justification.
Open	A willingness to accept significant uncertainty or risk exposure in pursuit of innovation, opportunity, or strategic benefit. Acceptance of risk is deliberate and based on informed decision-making.

5.Applying the risk framework to corridor access decisions

The risk categories, applicable sub-categories, and associated risk appetite ratings identified in Section 3 provide the foundation for corridor access request (CAR) decision-making. During a Comprehensive Risk Review, these elements are considered collectively to determine whether the applicant has demonstrated a fit-for-purpose and proportionate approach to managing the risks associated with the proposed activity.

The framework does not require every risk category to be considered for every corridor access request. Rather, reviewers should identify those categories and sub-categories that are relevant to the proposed activity, its location, the surrounding environment, and the potential impacts on the transport network, adjacent land users, and the wider community.

Where multiple risk categories apply, they should be considered collectively. Reviewers should recognise that corridor access decisions often involve balancing competing risks and objectives. The Council’s risk appetite provides a consistent basis for exercising professional judgement while ensuring that decisions remain transparent, proportionate, evidence-based, and aligned with the Council's statutory responsibilities.

The operational CAR assessment themes described in Section 3 provide a practical framework for applying the risk categories during the review of corridor access requests and associated traffic management documentation.

6. How risk appetite is interpreted in practice

The risk categories and appetite statements described in the preceding sections establish the Council's approach to risk. This section provides practical indicators to assist reviewers in applying that framework consistently during corridor access request (CAR) assessments.

The indicators are presented using the four CAR assessment themes identified in Section 3. These operational review themes provide a practical means of assessing how the relevant risk categories have been considered within the applicant's proposed risk management approach.

The indicators are not intended to be prescriptive checklists or mandatory requirements. Rather, they provide examples of what typically demonstrates alignment with the Council's risk appetite and what may indicate that further justification, additional information, or changes to the proposal are required.

The indicators should always be considered collectively and applied using professional judgement, considering the nature, scale, complexity, and context of the proposed activity.

6.1. Risk appetite application in practice table.

CAR Assessment Theme	Indicators that Risk is Within Appetite ("Good Looks Like")	Indicators that Risk is Outside Appetite
People / Health & Safety	- Hazards are clearly identified and specific to the activity and location. - Significant risks have been identified. - Risk assessment is proportionate to the level of risk. - Controls are clearly linked to identified risks. - Residual risk is explicitly stated and justified as ALARP.	- Generic or template-based risk assessments. - Obvious hazards have not been clearly identified specific to the activity and location. - Significant risks have not been identified. - Controls are unclear, copied, or not linked to risks. - Residual risk not identified or ALARP not explained.
Service Delivery & Assets	- Network impacts are clearly described and time limited. - Disruption is planned and coordinated with other activities. - Access and recovery arrangements are clearly defined. - Asset protection considerations are identified.	- Network impacts are poorly understood or not described. - Disruption is open-ended or avoidable. - No consideration of cumulative or downstream impacts. - Asset risks are assumed or ignored.
Legislative & Regulatory	- Regulatory requirements are explicitly identified. - Compliance with TCD Rule, road closure, and speed limit requirements is demonstrated. - Required approvals or processes are clearly understood.	- Reliance on assumed or implied compliance. - Missing or incorrect regulatory references. - Misalignment with TCD Rule or statutory requirements. - Expectation that approval will "sort compliance later".
Reputation & Relationships	- Impacts on the public and stakeholders are identified. - Communication and notification are considered with evidence of consultation.	- Likely public or stakeholder impacts not acknowledged. - No consideration of perception or communication, or no consultation evidence.

CAR Assessment Theme	Indicators that Risk is Within Appetite ("Good Looks Like")	Indicators that Risk is Outside Appetite
	Decisions can be clearly explained and justified.	Decisions would be difficult to explain or defend if challenged.

7.Applying the framework in decision-making

This framework supports consistent and defensible corridor access request (CAR) decision-making by providing a structured approach for applying the QLDC risk framework within the corridor access environment. It does not replace officer judgement, statutory decision-making responsibilities, or the need to consider the full context of each application.

It is used to:

- support the application of the relevant risk categories, sub-categories, and risk appetite during the assessment of corridor access requests.
- inform decisions to approve, approve with conditions, or decline corridor access requests.
- support escalation where risks require further assessment or additional justification.
- provide a consistent and transparent basis for documenting decision rationale.

The framework supports the Council in meeting its statutory, regulatory, and operational responsibilities as Road Controlling Authority. It does not direct how applicants manage worksite risks or prescribe specific temporary traffic management controls. Responsibility for identifying, assessing, and managing worksite risks remains with the applicant.

8.Application of the risk framework within the CAR process

The QLDC risk framework is applied at multiple points throughout the corridor access request (CAR) process to support early engagement, robust assessment, and consistent, defensible decision-making.

- QLDC Pre-CAR Submission** (early engagement)

The framework may be used to support discussions with applicants before a formal CAR submission. At this stage, it assists applicants to understand how relevant risk categories, risk appetite, and corridor access considerations are likely to be applied during the Comprehensive Risk Review.

Early engagement supports the identification of potential issues, encourages proportionate risk management, and provides non-directive feedback to improve the quality and completeness of a future CAR submission.

- Post-CAR Submission** (Comprehensive Risk Review)

Following submission of a CAR, the risk framework is applied during the Comprehensive Risk Review to assess the applicant's demonstrated risk management process against the relevant risk categories, applicable risk appetite, statutory and regulatory obligations, network impacts, and other corridor access considerations.

During the Comprehensive Risk Review, the framework supports the Council's **Peer Risk Review**, **Network Access Review**, and **Regulatory Review** functions. Together, these reviews provide a structured and consistent basis for determining whether the proposed activity aligns with the Council's risk framework, statutory responsibilities, and operational objectives.

The outcome of this review informs the Council's decision to approve, approve with conditions, or decline the corridor access request.

Application of the framework during early engagement does not constitute a CAR decision and does not predetermine the outcome of the Comprehensive Risk Review. Final decisions are made only after consideration of the formally submitted CAR and all supporting documentation.

8.1. CAR decision outcomes table

The table below illustrates how the risk framework is applied across the Council's Peer Risk Review, Network Access Review and Regulatory Review functions to support consistent, transparent, and defensible corridor access decisions. The CAR decision outcomes table is not intended to be exhaustive or to limit the council's discretion to apply other lawful responses, conditions, information requests, escalation pathways, or decision processes where appropriate.

CAR Decision Outcome	RCA review outcome	Council risk being managed
CAR Approved/Accepted	Peer Risk Review: The applicant has identified all significant risks through an adequate and proportionate risk management process and has demonstrated, through that process, that risks have been eliminated or mitigated so far as is reasonably practicable.	Minimal regulatory, operational, and reputational exposure. The Council can demonstrate that its statutory, regulatory, and operational responsibilities have been appropriately considered and can approve the CAR as proposed.
	Network Access Review: The proposed occupation of the road corridor and associated risk treatments appropriately manage the effects on network functionality, access, resilience, and recovery. The proposed activity aligns with QLDC's network access requirements and can proceed under the standard conditions of approval.	
	Regulatory Review: All regulatory requirements linked to the proposed risk controls have been clearly identified.	

CAR Decision Outcome	RCA review outcome	Council risk being managed
	Applicable requirements relating to traffic control devices, temporary speed limits and road closures are demonstrated, and regulatory requirements are correctly reflected throughout the TMP and supporting documentation.	
CAR Approved/Accepted (with special conditions)	Peer Risk Review: The applicant has identified all significant risks through an adequate and proportionate risk management process and has demonstrated, through that process, that risks have been eliminated or mitigated so far as is reasonably practicable. Residual risks have been identified that affect network functionality, access, resilience, recovery, or cumulative impacts and require specific conditions to ensure these effects remain acceptable.	Managed operational, network, regulatory and reputational exposure. Conditions are applied to manage the Council's responsibilities while maintaining clear separation between the RCA's approval role and the applicant's responsibility for managing worksite risks.
	Network Access Review: The proposed occupation of the road corridor would, without specific conditions, result in unacceptable effects on network functionality, access, resilience, recovery, or cumulative impacts. Network access conditions are therefore applied to ensure these effects are appropriately managed and remain within the Council's risk appetite and network access requirements.	
	Regulatory Review: All regulatory requirements linked to the proposed risk controls have been identified. Applicable requirements relating to traffic control devices, temporary speed limits and road closures are demonstrated and correctly reflected within the TMP and supporting documentation, subject to the applied conditions.	
CAR Declined (revision required)	Peer Risk Review: The applicant has not adequately demonstrated that all significant risks have been identified, assessed, and managed through a fit-for-purpose and proportionate risk management process. Gaps remain in the identification, assessment or justification of risks, and the applicant has not sufficiently demonstrated that risks have been eliminated or mitigated so far as is reasonably practicable. As a result,	Unmanaged regulatory, network, governance, and reputational exposure. Declining the CAR prevents approval of an activity that cannot be demonstrated to align with the Council's risk framework, statutory responsibilities, and operational obligations.

CAR Decision Outcome	RCA review outcome	Council risk being managed
	the Council cannot be satisfied that the proposed approach aligns with the relevant risk categories and the Council's risk appetite.	
	Network Access Review: The proposed occupation of the road corridor would result in unacceptable effects on network functionality, access, resilience, recovery, or cumulative impacts. The information provided does not demonstrate that these effects can be appropriately managed through conditions without fundamental changes to the proposal. As submitted, the Council cannot reasonably confirm that the activity can proceed while maintaining acceptable network performance or meeting its obligations as Road Controlling Authority.	
	Regulatory Review: The TMP and supporting documentation do not adequately demonstrate compliance with applicable legislative and regulatory requirements. Required regulatory elements linked to the proposed risk controls are missing, unclear or inconsistently applied, including those relating to traffic control devices, temporary speed limits, and/or road closures. As submitted, the Council cannot confirm that the proposal complies with regulatory requirements or that it can lawfully exercise its functions as Road Controlling Authority and, where applicable, Traffic Authority. Approval cannot be granted until compliance is clearly demonstrated.	

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