Understanding decision-makers’ attitudes to assessing heavy vehicle access to local roads.

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1 Introduction

State, territory and national governments are advancing a national reform agenda that includes increasing access by high productivity vehicles¹ to roads under the control of State/Territory authorities. Due to their ability to carry higher loads at lower unit costs these vehicles offer significant productivity gains for operators and the community, but there is a level of professional and community concern on their expansion across the network.

For freight operators the door-to-door operating conditions influence the efficiency of operations and so the conditions on both state roads and local roads are relevant to their operations. State authorities have made significant steps in opening up declared roads to higher productivity vehicles and now the spotlight for heavy vehicle access is now falling on “last mile” issues. That is, the access of high productivity freight vehicles onto the local road network. This push to open up parts of the local road network to these vehicles has generated responses that range from strong support due to the productivity gains and therefore economic benefits expected for regions, through to significant concerns on the environmental and social impacts of these vehicles have on local areas.

Austroads² recognised that decision-making processes for local roads are often ad-hoc and lack consistency. Austroads has recognised the importance of improving the understanding of Heavy Vehicles/Restricted Access Vehicles (HV/RAVs) issues and of having a more consistent approach by local government to the assessment of applications for access to local roads. As part of its freight program, in 2007 Austroads commissioned the development of guidelines³ to assist local government in the assessment of heavy and restricted access vehicles (HV/RAVs)⁴ on local roads.

Figure 1 (adapted from SKM/Meyrick and Assoc., 2006) illustrates the types of factors that should be considered when making decisions on improving freight access. This paper explores the level of understanding of key groups involved in freight planning and operations of these factors and how the factors interact.

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¹ Also described as Heavy Vehicles (HVs) or Restricted Access Vehicles (RAVs)
² Austroads membership comprises the six state and two territory road transport and traffic authorities and the Australian Department of Transport and Regional Services in Australia, the Australian Local Government Association and Transit New Zealand.
³ FS1406. Guidelines are completed but not released at the time of writing.
⁴ HV/RAVs are generally vehicles that are longer than 19 metres, 4.3 metres high or 42.5 tonnes gross vehicle mass and are not given as-of-right access to the road network. These include B-doubles, road trains and some truck-trailer combinations.
Without consuming excessive resources

To provide access to the goods that people want when they want them

While protecting the health and safety of transport system users

Without causing avoidable damage to the physical environment

While preserving residential amenity and respecting values

Figure 1 – The multi-faceted transport challenge

2 Methodology

A three-stage approach was used: desktop review; stakeholder interviews and preparation of guidelines.

The desk top review of the documented processes used in each jurisdiction was undertaken to understand how the assessment of applications for access was currently approached and to see if there were similarities or significant differences between the jurisdictions.

Secondly, the authors interviewed over 50 organisations and 90 individuals from local government, the freight sector and state agencies across Australia and New Zealand to obtain user perspectives of the strengths and weaknesses of current practices. (See Appendix A for the interview questions and Appendix B for a list of interviews.) Interviews covered people working in major centres, regional areas and remote areas. In order to facilitate frank discussion separate interviews were held with the different groups and comments were confidential. Information was aggregated to identify common themes.

The purpose of the interviews was to understand how the issue of heavy freight access to local roads was seen from the different perspectives, to see if the formal processes identified in the review were understood by practitioners and applied in the field, how the groups saw other group’s actions, and to identify what the guidelines should include.

Following consideration of the survey results an outline of the guidelines was prepared and endorsed by the study reference group before the draft guidelines were prepared.

3 Background

3.1 HV/RAV vehicle approval and access

The approval of new vehicle types, such as larger or heavier vehicles, is the responsibility of national or state authorities. Under current State and Territory based arrangements individual vehicles are approved on a case-by-case basis and they then require approval to operate on certain parts of the network. Under the new national Performance Based Standards (PBS)\(^5\)

\(^5\) PBS is a national system for the regulation of heavy vehicles based on performance, manoeuvrability and characteristics of the vehicle. Once a vehicle is given a PBS rating they will be able to operate without additional approvals on all roads of that PBS class. Refer to [http://www.ntc.gov.au](http://www.ntc.gov.au)
arrangements that will operate in parallel with the State processes vehicles will be approved as meeting the requirements of a particular PBS class. In association with this vehicle classification, key links in the national road network will be identified as suitable for the passage of specified PBS classes. Vehicles with a PBS classification will be able to travel over the total PBS network appropriate to their classification without further approval, unless specific operating conditions are imposed.

Councils are responsible for assessing and approving the access of HV/RAVs onto roads under council control, including PBS routes. Councils do not approve particular vehicle types but they determine if that vehicle is able to operate on particular council roads. This assessment process is usually carried out in association with the relevant road or transport authority and the police. Once a council determines that the road is capable of accommodating the vehicle then the State/Territory authority issues a permit that allows the vehicle to operate.

3.2 Current approaches

The documents reviewed from the different jurisdictions generally followed similar principles and objectives. However, their audience, purpose and focus vary between jurisdictions. Two scales can be used to highlight this difference in focus and delivery:

- **Policy versus regulative focus**: the documents vary widely between whether they provide an overall policy framework, some are more specific in the networks that they refer to, some provide a more regulative environment within which road users or councils should operate.

- **Strategic versus technical focus**: principles of application and the level of objectives to be achieved also vary, between the strategic at one end (community, economic etc) versus the technical at the other end.

Figure 2 illustrates the spread of the foci in the interventions in the assessed documents. A list of the documents is provided in the references.

Documents located towards the middle of the diagram are balanced in their focus between strategic/technical and policy/regulatory. This does not necessarily assume that all aspects of the freight task/vehicle or community/industry needs are covered in these documents but illustrate the different foci that can be adopted.

Figure 2 – Focus of assessment documents.
### Objectives and/or principles

Principles and practices of guidelines, policies, frameworks and regulation vary widely depending on the author's intent and strategic level of the documents. The primary focus in all of the jurisdictions is on improving economic efficiency by reducing road user costs while protecting community assets. There is also recognition of:

- Protecting local communities
- Protecting capital assets and reduction in maintenance burdens
- Equity in providing adequate access for all road users while reducing conflicts
- Bridging the gaps within local government understanding about the importance of the freight task versus local considerations.

Environmental matters are mentioned in many jurisdictions but in most cases the guidelines focus on quantified vehicle and infrastructure performance measures.

### Legal regimes and delegations

Typically authority to approve HVs and RAVs on local roads is held by a State/territory Minister. This authority is delegated to state agencies and then local government. Ministers can make determinations and can impose decisions on councils, or set conditions for access. Approvals are generally managed by the relevant central agency following a recommendation from council.

In New Zealand open access for B-doubles is allowed on the full network, unless a council imposes restrictions.

### Evaluation processes

Jurisdictions have similar assessment processes, criteria and standards that routes should meet. The focus of the documents is on the roads on which vehicles travel rather than the vehicle standards.

Performance standards vary depending on the class of vehicle that is expected to operate on the route or network. Engineering based standards are quantified and there is little quantification of environmental or amenity elements. Western Australia provides commentary on environmental and land use factors to help decision-making.

Guidelines and standards are prepared by central agencies and are provided to assessors, such as local government, to implement. WA provides training for council staff who undertake route assessments. WA is also introducing modified route assessment guidelines to speed up evaluation of low volume roads. This is based on a risk management approach to safety and protection of the road assets.

Agencies, or local government (with state agreement), can impose operating restrictions in order to protect the integrity of road assets. Several central agencies (e.g. those of WA, Qld and SA) emphasise that a network approach is required, rather than a route approach. In most cases a consistent approach is applied over the whole network irrespective of the commodity carried and time of year, with SA being one exception through it use of Commodity Freight Routes\(^6\) that operate over part of the year and for particular rural products.

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\(^6\) A Commodity Freight Route is a route used for homogeneous bulk freight (primary products) that is transported on an *ad-hoc* or seasonal basis from the place of production to the place of processing.
Risk assessment is used in different forms to allow for variability in standards along a route. Access can be approved when part of a route does not meet the standards specified, usually with restrictions on operations, e.g. speed limits, time restrictions.

Generally local government is responsible for accessing the suitability of routes on local roads. In WA the road authority assists local government to undertake the assessment. SA and WA allow authorised assessors, who can be outside state agencies and local government, to undertake the evaluation.

4 Interview results

Following the desktop review of current processes the face-to-face interviews were held in order to understand what is actually happening on the ground. This was an important step in improving our understanding of how the content and style of the guidelines could be relevant to user needs. Appendix A provides the questions sent to interviewees before the interviews.

4.1 Differing perspectives

A striking point that emerged from the interviews was the lack of commonality in the understanding and views of the major groups involved in the same process. Councils, freight operators, state agencies and national bodies frequently had differing perspectives on the major issues and had little understanding of the perspectives of other groups. This lack of understanding makes communication and negotiation difficult, and can breed suspicion of the intentions of others that can work against the achievement of sound outcomes (see Figure 3).

Figure 3 – Differing perspectives on local road freight.
4.2 Implications for moving forward

The interviews showed that there are a number of technical and process issues that must be addressed if more consistent and robust assessment of freight on local roads is to be achieved. A number of these issues can be addressed through the publication of national guidelines but there are critical issues that can only be addressed at the more systemic level. Some of these issues were addressed in an earlier publication (Austroads, 2007) prepared by the authors, but the interviews showed that there are still significant misunderstandings and gaps in knowledge when freight on local roads is being assessed. The following sections briefly describe both sets of issues.

4.2.1 Issues impacting on the structure and content of guidelines

Detail vs. usability

In most councils the number of applications for heavy vehicle permits is low, assessment is a spasmodic activity and it can be a low priority. This means that guidelines need to be comprehensive enough to provide information to assist officers who have little or no expertise in the area. At the same time Council officers are expected to keep track of a multitude of guidelines and directives and so long or complex documents are unlikely to be referenced. Outsourcing of assessment to the private sector can partially overcome a lack of detailed knowledge but Councils must be informed purchasers of services and so officers should understand the assessment principles and process adequately to manage consultants.

Consistency vs. flexibility

One of the purposes of the proposed guidelines is to improve the level of consistency in decision-making across Australasia. Part of this involves having consistent evaluation methodologies and standards. However, in some rural areas there is a view that local engineering knowledge is more appropriate to use than standardised performance criteria and that too great a focus on nationally consistent standards may result in trucks being denied access to roads that some councils consider are suitable.

There are some distinct differences in attitudes and approach between urban and rural areas. As a generalisation, urban routes tend to be more complex, have multiple competing interests and there is less community/council support for freight vehicles. In many rural areas freight is seen as a major element of the economy and support for freight access is generally strong.

In rural areas there are large numbers of low volume roads. The most common view expressed was that special guidelines are required for low volume roads, while a counter view was that performance standards cannot be compromised and that all roads should be treated the same.

Perceptions and lack of knowledge

There are many strong and at times counter views held around the real and perceived negative and positive impacts of increasing the use of high productivity vehicles and their access to local roads. These views are often the result of a lack of information or suspicion as to the veracity of information put forward by proponents of positions. Stereotypical views about groups are adopted and are used to justify fixed positions that work against collaborative and open decision-making.
Route vs. vehicle focus

Industry and state agencies try to maximise the amount of ‘as of right’ access and the approval of routes so as to simplify the system and maximise access. Local government is more inclined to support access by individual vehicles as, although requiring ongoing work for councils and proponents to manage, this approach is perceived by councils to provide them with greater ongoing control on the vehicles that use their roads.

Network vs. link analysis

The most common approach to assessment is to consider each application as a stand-alone request for access to a series of roads. An alternative approach is to develop a network strategy that identifies a freight hierarchy. Applications can then be assessed and negotiated within the context of this network.

Differences in jurisdictional processes

There are differences in the state/territory processes across Australasia, which also change over time. It is not feasible to provide a single nationally consistent flow chart of the formal/legal steps to be followed.

The time taken for assessment can add costs onto both local government and proponents. A process is required that is rigorous but is not unnecessarily drawn out.

Assessment of amenity factors

Amenity factors were most often identified as a major determinant of access, and one that is often used to refuse application. Unlike structural measurements there is not a transparent approach used to make amenity based decisions. This raises suspicions that amenity is used as a stopper when there is not a justification to refuse an application.

4.2.2 Context issues

A number of issues were raised that cannot be dealt with in any form of guidelines, either because the issues are larger than can be addressed in a single document or they relate to more fundamental issues, such as governance. Many of these issues are more complex and difficult to address than the technical ones, but ignoring them is likely to compromise the effectiveness of any guidelines in delivering a more consistent and open approach to the assessment of freight access to local roads.

Some of these concerns may be unfounded but they are powerful views that influence how each group views questions around greater HV/RAV access.

Governance and credibility

Individual councils are strongly of the view that they have not been represented at national forums where heavy vehicle reform has been negotiated between the three levels of government. Councils do not see the Australian Local Government Association or state local government associations as speaking on their behalf and so there is little ownership of, or commitment to, reform processes or actions adopted nationally. This perceived exclusion underpins a number of concerns within local government.

There is a widely held view across local government that the adverse impacts of new vehicle types on pavements and structures have been understated, and that there is no evidence to support claims that these vehicles have a low degree of impact on pavements and
structures. This concern may be addressed if independent analysis of new vehicle and suspension systems is carried out and the results are published in an accessible form.

There is also a view that Performance Based Standards (PBS) and Intelligent Access Program (IAP)\(^7\) systems will lead to unmanaged access by heavy vehicles onto inappropriate local roads because the proposed monitoring systems are unproven.

The relationships between key groups were seen by the interviewees as not strong. In particular the two key links between local government and state/national authorities and between the freight industry and local government are weak, and this leads to a lack of understanding of each group by the other. The freight industry recognised that it has focussed its governmental communications at the state and Federal levels and has not developed a dialogue with Councils at the local level.

Freight industry interviewees saw the industry as highly fragmented and identified a challenge for the industry and governments to ensure that operators understand the processes and operate consistently with them. Inappropriate behaviour by a small number of operators can result in local government and communities being suspicious of the whole industry.

**Financial implications**

There is a very strong view that funding of local roads should be linked to the impact of heavy vehicles on those roads. Local government and the freight industry agree that heavy vehicles will impact on infrastructure but there are generally no mechanisms to quantify the relationship and link funding to these impacts. For a number of councils concern over the financial implications of larger vehicles using local roads is the most critical issue when determining their attitude to opening access.

Who pays for pavement, bridge and other route assessments is a minor issue when applications are straightforward but it does become a significant issue for councils, freight operators and state agencies when specialised testing and analysis is necessary. The level of testing is likely to increase as new vehicle configurations appear and vehicles increase in size and mass. If proponents are required to fund assessments there was consensus that assessment costs should be shared across all proponents and not just the first to apply.

**Complexity of processes**

In most jurisdictions surveyed there was uncertainty over some or all parts of the assessment process. In some jurisdictions different processes are used for different vehicle types, different state agencies deal with different vehicle types or parts of the process, guidelines are missing or are inadequate, appeals processes were unclear and centralised data access is poor. All of these lead to inefficiencies and ad-hoc arrangements.

**Council/agency skills and resources**

The resources and level of expertise of council and agency staff undertaking assessments was seen as inadequate by councils, the freight industry and agencies. In many councils this lack of suitable resources is accentuated by the small number of assessments that are undertaken each year and the high staff turnover. Ongoing training of council staff or access to external expertise is necessary to ensure that processes are understood and assessment skills are maintained.

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\(^{7}\) IAP is a national system that will monitor heavy vehicle compliance and road access for Restricted Access Vehicles using satellite based telematics services.
It is perceived that there is a shortage of accessible and credible tools to assist in the assessment of heavy vehicles on local roads, and in particular new forms of heavy vehicles that are coming onto the market. This leads to either subjective analysis or a refusal to approve access because councils are uncertain of the impacts of vehicles on their pavements. There was a strong desire across local government for the development of tools by an independent body that would then be made available to all parties involved in assessment.

**Reform overload**

The last decade has seen a lot of reform in the freight industry and it is getting to a stage where many groups consider that it is time to consolidate what has been achieved and get that working well, rather than continue with further reforms. The level of resistance to new compliance requirements is high and this may grow unless the existing processes are seen to work well and all parties receive the assistance necessary to implement reforms.

**5 Moving forward**

It was decided by the Austroads reference group that due to the large amount of technical material available and the obvious gaps in understanding of many key issues and processes, to focus the guidelines at the strategic, policy and process levels rather than at the technical and regulatory.

Most of the structure and content issues relevant to the guidelines identified through the consultation are being addressed in the guidelines. The guidelines were completed in mid 2008 and they are expected to be available in draft form later in the year. As the credibility, relevance and usability of the guidelines will be critical factors in whether or not they will be used it is proposed to undertake a process of stakeholder engagement to test the draft guidelines before they are finalised.

**6 Principles for freight planning**

The forthcoming Austroads guidelines therefore intend to not only focus on exposing some of the myths and misconceptions about the operation of high productivity vehicles but also to build a set of general principles for planning and operating within these frameworks. Exposing the facts shaping these viewpoints is a way of improving understanding and then more efficiently applying principles and processes for decision-making.

The application of these principles is universal, whether developing a road network or approaching the problems and conflicts associated with heavy and restricted access vehicles. These principles support the key outcomes of the process, based on the consultant’s appraisal of the reconciled viewpoints of each of key stakeholders: that of industry, councils and community, and state/territory governments.
Principles are being developed based on previous work undertaken, with others, by the consultants for Austroads (Austroads, 1998) and could include:

**Principle 1: Define the outcomes**

Focus on reconciling the outcomes being sought by the community, road users and industry collectively rather than on the institutional outputs and processes. Focus on the outcomes of your intended decision or analysis (as opposed to outputs such as building assets, implementing a permit system etc) and ensure outcomes are clearly defined and agreed between the users of the road transport system (freight and community), those impacted by the road transport system and the administrators of access for heavy and restricted vehicles is essential. A full appreciation of these outcomes is required by all of the participants involved in the process.

**Principle 2: Clarify and adapt the process to local conditions**

Clarify and adapt the process to the problems and issues, ensuring that evaluation criteria are consistent between councils, industry and road users. It is important to take account of the complexity, political and community imperatives and the available resources and time to build robust processes with clear assumptions and evaluation criteria.

**Principle 3: Understand the full range of impacts of your decisions**

Consider the full range of impacts of your intended decisions, with a focus on community impacts, safety, economic productivity of industry and the financial impact on councils. Link local decisions to the outcomes (local, state and national) and account for a changing economic, social, environmental and policy context. This is important as networks, community and road user makeup and the freight task changes over time.

**Principle 4: Consider all the stakeholders involved or impacted upon by the process**

Consider all stakeholders involved, including the communities, road users and industries whose activities impact on achieving your outcomes and/or who have an interest in fulfilling the outcomes. Information sharing and communication between the three primary stakeholders, industry, councils and state government is paramount.

**Principle 5: Commit to action and set time frames**

It is important to commit to action, but be flexible and responsive to change to meet the time frames of those affected. While good planning can mean waiting for the best possible information and stakeholder agreement it should not be used as an excuse to ‘sit on the fence’. It involves taking action at the appropriate time and closing off the process. Be flexible and responsive but also be aware of the impact of your decision at the “receiving end” of not being accommodating of their needs or delays in your decision-making.

**Principle 6: Be transparent and accountable**

Be accountable and provide transparent and quality information, so that it is clear how, why and by whom decisions are made, and how and to whom responsibilities and accountabilities for implementation are allocated.

**Principle 7: Monitor the process and decisions**

Monitor the process to review the ongoing effectiveness in achieving the desired outcomes of the decision-making process for heavy and restricted access vehicles.
7 Conclusion

Although road freight is central to many community activities and its external impacts can be significant, views of freight are highly polarised and often distorted by stakeholder preconceptions. This polarisation makes constructive dialogue and consistent decision-making on whether and under what conditions larger vehicles can use local roads difficult.

Some of these barriers can be overcome through better sharing of information and the adoption of consistent and transparent decision-making process, as are being developed by Austroads.

The governance and context issues offer the greatest challenge to improving decision-making on HV/RAV access to local roads. These go to the fundamental issues of the relationship between the three levels of government, responsibility for funding and the credibility of assumptions that underpin current reform processes. There is risk that these more fundamental blockages will continue to distort attitudes and the assessment process even if guidelines are developed that are recognised as being comprehensive and useful.

Improved understanding, dialogue and active engagement in all levels of government and the freight industry is essential if Australia is to achieve the twin outcomes of improving the efficiency of our freight operations and of minimising the adverse impacts of freight vehicles on the environment they travel through.

References


State/Territory guidelines and standards


DIER (Undated). *Process for seeking a temporary permit for higher mass limits or high productivity vehicles*. Department of Infrastructure, Energy and Resources: Hobart.


Appendix A – Interviewee information

Local Government and the Future Freight Task
Austroads Project FS 1406
National Consultation Program

Background

The purpose of this Austroads project is to support the development of a nationally consistent approach to the assessment of heavy and restricted vehicle access to local roads. This objective will be achieved in part through the development of national guidelines to assist councils when making decisions on access to local roads by these vehicles.

Freight access to local roads is an important contributor to economic prosperity, but freight can also have negative impacts on the amenity of local areas. Despite the importance of freight to the well-being of the economy, freight is often seen in a negative light due to community concerns on its external impacts.

Governments have a range of powers, guidelines and delegated authorities relevant to heavy vehicle access that are applied in different ways across the network. Across some jurisdictions a consistent approach is applied while in others a more locally focused or ad-hoc approach is applied.

Although local governments operate within defined boundaries, freight is a national and network-wide activity, and freight routes operate across jurisdictional boundaries. Freight routes operate door-to-door and decisions on one part of a route may impact on the viability of the total route.

Providing councils with consistent guidelines, which take into account both economic and non-economic factors, will provide a mechanism to achieve greater certainty for councils, industry, communities and the road transport industry.

Status

This project will produce Austroads guidelines and not mandatory procedures. Individual councils will make the decision on if or how the guidelines are used.

Interviews

A series of interviews (approximately 1½ - 2 hrs duration) will be conducted in rural and urban Australasia with key groups to explore how well the current decision-making process is operating and to identify matters that the new guidelines will need to consider. Interviews will be held with local government, state agencies, freight industry and freight users.

Questions

The interviews will be based around the following questions:

1. Is there a formal process in place in your area?
   - If so, explain the process.
   - What are the key issues for you when considering access to local roads?
   - Are there network funding implications for Council that work against considering or approving access?
   - Where are decisions on access made – by Councillors or council officers?
   - For vehicle operators – does the current system limit productivity and are there potential gains from a more consistent approach?
2. Objectives.
   - Do current practices adequately recognise the perspective of agencies, industry and communities?
   - Do current practices adequately recognise economic, social and environmental objectives?
   - Is the approach and network decisions that result from the guidelines generally accepted by local government, industry and community groups?

   - Are the structural, geometric and safety criteria used clear and appropriate?
   - Are the criteria able to be measured by local government?
   - Are non-road utilities consulted?

4. Ease and clarity of application.
   - How easy is the current process to understand and to apply?
   - What should the balance of the documents/guidelines be between technical information (standards, performance criteria) and strategic directions (principles/ good practice)?

5. Ability to respond to local situations.
   - Does the current process have enough flexibility to respond to local circumstances?
   - Are local interpretations likely to lead to discontinuities across the network?

6. Time taken to reach decisions.
   - Is the time taken to reach a decision predictable and acceptable?
   - What is the appeals process?
   - Is the appeals process effective?

7. Any other issues
   - Are there any particular strengths of the current approach that should be included in new national guidelines?
   - Are there any particular weaknesses in the current approach that should be improved in new national guidelines?
   - Are there any documents that you have seen that would be a good model for the new guidelines?
   - What is the cost of the current approach and who pays?

8. National guidelines
   - What information should national guidelines include?
   - Should there be nationally standard conditions of access?
   - How will you judge if the guidelines are useful?
   - How would you use national guidelines? Could they fit with your processes?

Confidentiality

Comments provided to the consultants will be treated as confidential and will not be attributed in any reports.

Next steps

It is anticipated that draft guidelines will be available during the second half of 2008.
## Appendix B – Interviewees

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