



Auckland Unitary Plan (AUP) Essential Guidance for Private Plan Changes



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Part 1: Plan Provisions

The hierarchy of planning documents is critical to directing lower-order document. Language in statutory documents should be clear, precise and careful.

Objectives

Objectives need to:

- be **simple, clear and measurable** and describe the outcome sought in relation to a resource management issue
- be written in the passive voice
- where appropriate, state **where and when** the outcome is to be achieved, including (if appropriate) a defined timeframe
- relate to the **Auckland context**.

Objectives should state clearly and in measurable terms what will be achieved through the resolution of the issue(s).

What to avoid when writing an objective:

- restating the issue the objective is addressing
- starting with a verb
- repeating the RMA (i.e. 'avoiding, remedying or mitigating effects')
- stating how the outcome will be achieved, rather than the outcome (this is the job of the policy)
- creating uncertainty as to whether the outcome needs to be achieved (i.e. using words such as 'to the extent practicable')
- being too generic
- an economic or social matter not expressed as an environmental outcome.

Policies

Policies need to:

- directly relate to, and implement **at least one objective**
- **start with a verb** directing how activities will be managed to achieve the objectives
- state **what effects are managed** to achieve the objective
- policies are written in the **active voice** and
- relate to the **Auckland context**
- use words consistent with activity status.

Policies state the action required to achieve the outcome stated in the objective(s).

Policies direct how the environmental effects of activities are to be managed to achieve an objective.

Policies are the '**how**' something will be achieved.

For regional and district policies, **as a general guide**, the following verbs should link with the intended activity rules category:

Table 1- Policy verbs and intended rule category

Policy verb	Intended activity rule category
Promote, allow, enable	Permitted activity/controlled activity
Reduce, control, restrict, enable	Restricted Discretionary/ Discretionary Activity
Prevent, avoid	Discretionary activity/non-complying activity/prohibited activity

Table 2- Policy verbs- statutory terms preferred

Policy verb	Meaning	Context
Preserve	To keep something in its original or existing state	Best used at higher levels within the AUP; a preserve objective will cascade through to activity status for uses (that negatively affect what is sought to be preserved – i.e. aquaculture against a preservation of natural character) and development controls. 'Preserve' is used in relation to significant values – usually RMA s6 matters.
Require	To specify as compulsory	To be used when the provision must be complied with, used equally within all parts of the AUP. 'Require' sets up tougher activity classifications for uses in activity tables and permitted development controls.
Prevent	To stop something from happening	'Prevent' is more restrictive in outcome than 'avoid'. Used for objectives and policies only. It will generally cascade to non-complying or prohibited activity status.

Policy verb	Meaning	Context
Avoid	To not allow or prevent the occurrence of something	As per King Salmon decision. Must be expressly linked to what is being avoided.
To safeguard	Something that serves as a protection	Originated from RMA s5 and used in National Policy Statement for Freshwater Management. It is very similar to 'protect' on toughness scale but slightly stronger. It can be used throughout the AUP.
Protect	To keep something safe from harm, injury, damage or loss	Used in same context as preserve but not quite as tough. Protect can be used in the context of values under both RMA s6 and s7. Does not cascade to prohibited activity status.
Enhance	To improve something	Followed by direction intervention to enhance (i.e. fence streams by X date) or by development controls to manage negative effects (i.e. 'enhance' through conditioning or off-setting to the point of improved outcomes). Generally, no direct relationship to uses in activity tables (although does apply in some cases such as permitted activity for fencing).
Remedy	To fix	Needs to be tagged to what is being remedied. Used mostly within objectives and policies.
Restore	To bring back to original condition or state of health	Often used in specific reference to historic heritage. It can be used throughout the AUP.
Reduce	To bring down to a smaller extent or state	Used in National Policy Statement for Freshwater Management. Best used in the context of a clear, measurable outcome (i.e. reduce the discharge of x to meet environmental standard by 2026). Best used within objectives and policies.
Increase	To make greater in number, size, strength or quality	Direct counterpoint to 'reduce' and of same strength as a term. Best used in the context of a clear, measurable outcome. Best used within objectives and policies.
Maintain	To make sure that something stays at the same level, rate or standard	Slightly weaker (and slightly increased flexibility) than preserve and protect. It can be used in objectives, policies and assessment criteria.
Limit	A point or level beyond which something does not or may not extend	Stronger context of use than 'restrict', more likely to be used for quantitative than qualitative standards and assessment.
Restrict	To limit or control something	Active 'restriction' (not passive). Used throughout the AUP (except rules). 'Restrict' outcomes cascade to a wide variety of activity statuses. Can be used strongly or weakly.
Utilise	To use	Has an active requirement to 'do'. Must be attached to an outcome.
Minimise	To reduce to the smallest possible amount or degree. To keep to a minimum.	
Mitigate	To lessen the severity or intensity (of an effect)	Usually used for objectives and policies. Needs to be expressly linked to what is being mitigated.

Policy verb	Meaning	Context
Off-set	Something that compensates for something else	Sits as a sub-set of environmental compensation. Term defined through case law and needs to be tagged to outcome (i.e. off-set to zero base). Effects that are off-set are those effects that remain as residual effects once options to avoid, remedy or mitigate have been exhausted. Term can be used in policies, rules and assessment criteria.
Discourage	To try to prevent something	Used within objectives, policies and activity tables. Will usually cascade to Discretionary or Non-complying uses. Inappropriate for development controls.
Enable	To make something possible	Used only in objectives and policies. Not to be used in the context of supporting regulatory approaches that are outside the AUP. Related uses are supported by easier activity status and the development controls for those uses are relatively supportive.
Provide for	To make adequate preparation for	Used for objectives, policies and rules and sparingly within assessment criteria. It must be provided for through permissive or restrictive provisions lower down in the AUP.
Promote	To support or encourage something	Similar to 'encourage' with a slightly more active application. Used at higher levels within the AUP, may encompass both regulatory and non-regulatory methods.
Encourage	To help something happen	Interchangeable with 'promote', although less active application. 'Promote' is the preferred term.

What to avoid when writing a policy:

- being written as a rule/method (i.e. 'provide funding to support...', 'require a resource consent...')
- repeating the RMA or using vague generic language so it is unclear on how/when the policy will apply (i.e. 'avoiding, remedying or mitigating effects' and 'where practicable')
- including a process if that process has not been, or may not be, implemented to give effect to the policy.

Rules

Rules must:

- be lawful (within the scope of council's RMA functions)
- be reasonable and necessary and clearly link back to one or more policies and objective/s
- clearly state the activity status for each activity
- clearly identify the standards that must be met to retain the specified activity status
- clearly identify the activity status when one or more of the standards is not met
- use AUP wording consistently, including AUP definitions, and not use similar words interchangeably (i.e. site, lot and allotment)

Rules are a method to give effect to policies and objectives and have the status and effect of a statutory regulation.

- use terms consistently in activity tables (i.e. for both headings and the activities themselves, e.g. subdivision)
- be clearly written and understood from the perspective of an applicant, an affected party, and a planner processing a resource consent application, and to enable the council to monitor and enforce the rule
- use the correct numbering and referencing for activity table 'rules'
- include any external document referenced in a rule as a 'document incorporated by reference' in [Appendix 17 of the AUP](#)
- be certain and not unlawfully reserve discretion (particularly for permitted activities), or make approval subject to a third party
- reference any diagrams or figures that form part of a rule.

Assigning activity status

The activity status in a rule should logically follow from the policy (e.g. an 'enable' policy should generally provide for an activity as a permitted or controlled activity).

When considering the need for a rule, and which activity status is most appropriate, consider any applicable national direction that is in force. Directive requirements in a national policy statement may affect what can be included in a rule. A national environmental standard may:

- set a minimum standard, allowing a stricter standard to be specified in the AUP
- set a 'starting point' standard, allowing a more lenient standard, or
- be absolute, so that an AUP rule cannot be more lenient or stricter than the standard.

Activity status and notification

Activity status does not determine notification. The approach in the AUP is that resource consent applications will be subject to the normal notification tests under the relevant sections of RMA. See [General rule C1.13. Notification](#).

Writing AUP rules that specify activities, and their status

A statement specifying which section(s) of the RMA applies to the management of the activity must be included above each activity table, for example:

- s9(2) for regional land use
- s9(3) for district land use.

Activities must:

- be clearly stated
- use the language of the AUP (including activity descriptions and headings)
- use defined terms and be mindful of nesting table groupings

- clearly specify **where** the activity is regulated (i.e. does it apply to the whole zone or only in certain areas)

The activity status for permitted, controlled or restricted discretionary activities that do not comply with one or more of the standards defaults to [General Rule C1.9. Infringements of standards](#). Infringements of standards will be assessed as a restricted discretionary activity. If this is not appropriate, an alternative activity status must be stated in the activity table (not in the standard).

What to avoid when writing a rule:

Rules should be worded clearly to enable the plan-user to understand the meaning and effect of the rule. Rules must avoid:

- making the requirement for, or class of, a consent dependent on whether the approval of affected/third parties has been obtained
- reserving discretion where none is intended or appropriate
- including bullet points (if listing sub-clauses or other items, use numbers or letters to reduce the potential for misidentification)
- including requirements for compliance with other Acts or regulations
- repeating sections of the RMA.

Permitted activities

Permitted activities provide for activities:

- where the activity and its effects are fully understood and where the potential adverse effects are minor in terms of their character, intensity or scale in the environment/area in which they will be undertaken
- where any potential adverse effects can be appropriately managed through compliance with unambiguous performance standards.

In providing for permitted activities consideration should also be given to the implications of the **permitted baseline** that will be established in enabling the activity (including the standards that apply).

Permitted activity standards (standards)

The standards define the threshold of a permitted activity and must be objective, measurable and quantifiable so that compliance can be clearly determined without the need for any discretionary judgement. The following words must not be used:

- inappropriate
- where practicable
- and/or
- should
- shall (always use 'must').

Controlled activities

Controlled activities provide for activities where:

- the effects of an activity are fully understood; and
- the adverse effects of potential concern can be managed by council retaining control over those matters and by applying conditions if necessary.

Few AUP activities are controlled. When considering whether to use a controlled activity status consider the planning burden for planning gain principle. Is it necessary to require a resource consent application? Is it an effective and efficient approach? Could the effects be managed by a permitted status and performance standards?

Matters of control and notification

The matters over which council reserves control must be clearly stated. Council may only impose conditions on a resource consent for those matters over which control is reserved.

Consider whether [General rule C1.13\(1\)\(a\)](#) will apply in respect of notification, or whether a specific notification rule is needed. Generally, an application for resource consent for a controlled activity will be considered without public or limited notification or the need to obtain written approval from affected parties.

Restricted discretionary activities

Restricted discretionary activities provide for activities where:

- the effects can be anticipated
- discretion can be limited to an assessment of specific matters (no more than 4-5 matters); and
- it is appropriate to retain the ability to decline a proposal because the potential adverse effects for a matter where discretion has been retained may be significant.

Matters of discretion

The matters of discretion define the matters over which council retains discretion to assess effects, decline or grant consent with conditions in addition to Part 2 RMA matters. The matters of discretion must be clearly stated and identify the parameters of the effects over which council will assess a proposal and may apply conditions if a resource consent application is approved. It is insufficient to simply state a matter, without identifying the effects, and on who, or what, that the effects are of potential concern. For example:

- instead of 'noise and lighting', use 'the adverse effects of noise and light on adjoining properties'
- instead of 'access', use 'the location and scale of land modification necessary to provide access to the site/building'.

There should be no more than five matters of discretion. If there are many more than this, consider whether the activity is more appropriately provided for as a discretionary activity.

Standards

Restricted discretionary activities may require the standards that apply to permitted activities to be met in addition to restricted discretionary activity standards.

[General rule C1.8 Assessment of restricted discretionary, discretionary and non-complying activities](#) also applies.

A purpose statement included for a standard must not be contrary to or repeat the objectives and policies. Purpose statements were originally only included in the zones and are useful in other parts of the AUP for implementation of sometimes detailed, complex standards. Purpose statements add to the vertical links between provisions and assist in connecting policies and methods, which are the standards.

Assessment criteria

Write assessment criteria in a questioning format that relates to each matter of discretion and the policy direction for the matter.

For example:

If the policy direction is to avoid adverse effects on a particular feature/area, then the assessment criteria will start with 'whether loss/damage of xx is avoided' and not allow discretion as to 'how much' or 'whether practicable'. The criteria for an avoid policy must not use 'the extent to which adverse effects on xx are avoided' as this allows a discretion on the avoidance of adverse effects which is not the intent of the policy.

If the policy direction is remedy, minimise or mitigate adverse effects on a feature/area then the criteria will start with 'whether' or 'the extent to which the adverse effects on xx have been minimised or can be remedied'.

Some parts of the AUP refer to policies for the assessment criteria. If the policies are comprehensive and directive, then this is an alternative option to repeating them as assessment criteria. The relevant policies should be individually referenced in the assessment criteria (e.g. 'Refer to policy xx').

A benefit of this approach is ensuring vertical linkages between provisions.

Discretionary activities

Discretionary activities are activities which warrant consideration of all relevant AUP provisions in assessing the effects due to uncertainties. A discretionary activity status provides for activities where:

- the effects/scale of the activity cannot be readily anticipated and/or may be significant
- the effects of the activity need to be carefully managed because of an area's sensitive or significant values
- an activity is contemplated in a particular setting (e.g. in a zone or an overlay) but will not be universally appropriate, so a broad unfettered assessment is necessary.

The assumption of the AUP is that the normal rules for notification will apply. You may need to consider whether any specific notification is appropriate for a particular activity and state if this is the case.

In terms of standards, [General rule C1.8 Assessment of restricted discretionary, discretionary and non-complying activities](#) applies. [General rule C1.9 Infringement of standards](#) also applies, meaning that discretionary activities should not have standards or assessment criteria. The guidance for assessing discretionary activities should be in the policies.

Non-complying activities

Non-complying activities provide for activities where:

- the effects of an activity are likely to be significant or inappropriate for a location
- the activity is inappropriate given the values or sensitivity of an area
- the objective and policy approach for an area/value is to ‘avoid’ certain effects that the activity is likely to have.

[General rule C1.8 Assessment of restricted discretionary, discretionary and non-complying activities](#) also applies.

It is important that there are robust objectives and policies to assess non-complying activities against to ensure that non-complying activities do not undermine the intent of the AUP.

It needs to be considered whether the normal tests for notification will apply, or whether it is appropriate to publicly notify a non-complying activity.

Prohibited activities

Prohibited activities cannot be applied for and are rarely used. Strong evidence (in a section 32 evaluation report) is needed to justify a prohibited activity status.

Prohibited activity status applies to activities where:

- the activity will have significant adverse effects on a location, values or sensitive values identified and is sought to be avoided
- considering the above, it is appropriate to avoid the activity for the term of the AUP (10 years)?

Part 2: Precincts

Precincts allow place-based planning responses that build on, and are complementary to, the underlying zones. A precinct can be more enabling, or more restrictive, than the underlying zone and Auckland-wide provisions.

A precinct:

- includes only the provisions necessary for the place-based response
- is prepared in conformity with [Chapter C General Rules](#) and this best practice guide
- is aligned with the underlying zone
- achieves vertical alignment with relevant objectives and policies elsewhere in the AUP and gives effect to the regional policy statement
- uses existing AUP methods including spatially mapped controls, e.g. height variation control

A precinct does not:

- cover a small site only
- repeat provisions from elsewhere in the AUP
- create a mini plan so that the precinct stands apart from the AUP
- create conflict with other parts of the AUP
- create new methods unless all existing methods are shown by section 32 analysis not to be the most appropriate way to achieve the objective
- create spatially mapped controls on in-text maps (precinct plans)

Precinct plans

- All precinct plans are drawn to the same scale, and all are based on current cadastral data.
- If more than one precinct plan is used ensure related information is shown on the same plan.
- Precinct plans do not show zoning.
- Ensure only necessary information is included.
- Use an existing spatially mapped control or overlay rather than creating a new one
- Ensure spelling, locations of roads, and other details are accurately represented in precinct plans.
- Ensure name of precinct plan matches the name used in the precinct text, and both correspond with [numbering rules](#).
- Consider the AUP map viewer legend and how any proposed material can be clearly displayed. There are 40 different coloured zones and more than 80 different notations.

Drafting a precinct requires attention to many technical details. It is mandatory to use the template in [Appendix 1](#).

The MDRS precinct template is available upon request from unitaryplan@aucklandcouncil.govt.nz

Part 3: Definitions

Definitions are used to give a standard meaning to words or phrases that occur frequently throughout a plan. The use of definitions avoids repetition, promotes consistency of interpretation and plan administration (resource consent processing).

Definitions in the AUP (excluding designations) are contained in [Chapter J](#) and must not sit within the objectives, policies or rules. The exception to this is where particular rules need to use a defined term in a manner that is only relevant for that section and a perverse outcome could result if it was contained in Chapter J and therefore would apply wherever that term was used. This exception applies in some precincts. It remains an exception to the AUP's approach to definitions.

Unnecessary definitions conflict with AUP principles:

- simple
- include only essential material
- use existing definitions that apply across the AUP – do not create site specific ones
- defensible/robust

Chapter J includes guidance for interpreting definitions, abbreviations and acronyms.

Nesting tables

Definitions that relate to common land use activities are grouped (nested) as: Commerce, Community, Industry, Residential and Rural. Nesting tables group sub-sets of activities to avoid the need for lengthy activity tables in the AUP and to avoid overlap with other terms.

One definition must not repeat another definition in a slightly different way. Activities or defined terms within these groups must only fit into one set or subset to avoid confusion or legal challenge. The broadest category of the activity is in the left-hand column, and the smallest or most specific subset of that activity is in the right-hand column. The industry nested table is shown below:

Table J1.3.3 Industry

Industrial activities	Freight depots	Warehousing and storage	
	Industrial laboratories		
	Manufacturing	Light manufacturing and servicing	
	Repair and maintenance services		
	Waste management facilities	Refuse transfer station	Recycling facility
	Rail siding		
	Bus depots		
	Storage and lockup facilities		
	Wholesalers		

Figure 1: Industry nested table

Writing definitions

- Use definitions sparingly and only where needed.
- Use plain English, avoid the use of jargon and overly technical language.
- Do not define words of ordinary meaning unless they are used in the AUP in an unusual sense.
- Do not duplicate words and phrases defined in the RMA, regulations or national planning direction (NPS and NES), unless there is some special meaning that only applies in Auckland.
- National planning standards include mandatory direction regarding definitions, and defined terms. Although these do not yet apply to the AUP it is sensible to consider Ministry for the Environment planning standard [14. Definitions Standard](#) when working with definitions.
- Use diagrams to illustrate terms that are difficult to describe in words (such as matters with a spatial or geographic component).
- Any defined word should only have one definition.
- All definitions must be in the [definitions section \(Chapter J\)](#).

Part 4: Numbering

Adding new content into the AUP must be done without changing numbering of existing provisions. This ensures that all cross referencing in the AUP and resource consent templates remains accurate.

The methodology for changing the numbering of provisions is based on legislation drafting guidance. Numbering becomes complex when proposed changes build on previously made changes. Hopefully this will seldom happen. Instead, the first line of each scenario below should be all that is necessary.

Adding new activities into an activity table

Scenario 1

When inserting a new line in the middle of the activity table: (A13), (A13A), (A13B), (A14) ...

When, in a later plan change, inserting new lines between these lines in the activity table: (A13), (A13A), (A13AA), (A13AB), (A13AC), (A13B), (A14) ...

Scenario 2

When inserting a new line at the start of the activity table: (AA1), (AB1), (AC1), (A1) ...

When, in a later plan change, inserting a new line above a previous new line at the start of the activity table: (ZAA1), (AA1), (A1) ...

Adding a new policy or standard

Scenario 1

When inserting a new policy or standard between two policies: (3), (3A), (3B), (4) ...

When inserting a new policy or standard between these policies or standards: (3), (3ZA), (3ZB), (3A), (3AA), (3AB), (3B), (4) ...

Scenario 2

When inserting a new policy or standard at the start of the policies or standards: (A1), (B1), (C1), (1), (2) ...

When inserting a new policy or standard above a previous new policy or standard: (ZA1), (ZB1), (ZC1), (A1), (A2), (A3), (1), (2) ...

Adding new subset of a policy or standard

Scenario 1

When inserting a new subset between existing subsets: X(b), X(ba), X(bb), X(bc), X(c) ...

When inserting a new subset between these subsets: X(b), X(bza), X(bzb), X(bzc), X(ba) ...

Scenario 2

When inserting a new subset at the start of the subsets: X(za), X(zb), X(zc), X(a), X(b), X(c) ...

When inserting a new subset above a previous new subset at the start of the subsets: X(zza), X(zzb), X(zzc), X(za), X(zb), X(zc), X(a), X(b), X(c) ...

Adding new subset of a subset of a policy standard

Scenario 1

When inserting a new subset between existing subsets: X(b)(i), X(b)(ii), X(b)(iia), X(b)(iib), X(b)(iic), X(b)(iii) ...

When inserting a new subset between these subsets: X(b)(i), X(b)(ii), X(b)(iiza), X(b)(iizb), X(b)(iia), X(b)(iib), X(b)(iic), X(b)(iii) ...

Scenario 2

When inserting a new subset at the start: X(a)(ai), X(a)(bi), X(a)(ci) ... X(a)(i), X(a)(ii),

When inserting a new subset above a previous new subset at the start of the subsets: X(a)(zai), X(a)(zbi), X(a)(ai), X(a)(bi), X(a)(ci) ... X(a)(i), X(a)(ii),

Deleting numbered provisions

The method for deleting a numbered provision (including objectives, policies, standards, etc.) is that the provision gets deleted but the number stays. This is to ensure that cross referencing in the AUP and other reports remain accurate. **The number cannot be re-used.**

Table 3– Example scenarios for deleting provisions

Scenario 1: Delete D1.3(2)			
Operative text		Change made	
D1.3. Policies [rp] <div>(1) Manage proposals to take and use water from High-use Aquifer Management</div> <div>(2) Require resource consents for all proposals to take and use water from the High use Aquifer Management Areas in Table D1.3.1.</div>		D1.3. Policies [rp] <div>(1) Manage proposals to take and use water from High-use Aquifer Management</div> <div>(2) <i>[deleted]</i></div>	
Scenario 2: Delete D1.3 policies [rp]			
Operative text		Change made	
D1.3. Policies [rp] <div>(1) Manage proposals to take and use water from High-use Aquifer Management....</div> <div>(2) Require resource consents for all proposals to take and use water from the High use Aquifer Management Areas in Table D1.3.1.</div>		D1.3 <i>[deleted]</i>	
Scenario 3: Delete (Rule A1) Table E5.4.1			
Operative text		Change made	
Activity	Activity status	Activity	Activity status
(A1)	<i>[deleted]</i>	(A1)	<i>[deleted]</i>

(A1)	Discharge of treated domestic type wastewater onto or into land within a site via a land application disposal system	P	(A2)	Discharge of treated ...	P
(A2)	Discharge of treated ...	P			

Cross referencing

When cross referencing another standard, follow this convention: Standard H28.2.1(1)(a)(i) and for an activity table line reference: Rule H28.1.1(A1).

Figures and maps are to be referenced as per the numbering hierarchy, e.g. Figure H28.2.1.1 and Map H28.2.1.1.

Part 5: Referencing external documents

Material incorporated by reference

External documents may be incorporated within the AUP provided they are referenced correctly, and the additional consultation requirements are satisfied.

Any proposal to incorporate a document by reference requires additional public consultation prior to notification of the proposed plan, variation, plan change or private plan change.

Reference external documents in any rule

External documents must be referenced in full where a document is the source of a technical standard or value on which the AUP relies for the application of any rule, including a development control. For example:

- where the document provides a benchmark for determining whether a proposal is permitted or
- requires resource consent (and the activity status of that resource consent).

Any document used in this way must be fully referenced to provide certainty for applicants and the council in using the AUP. If you wish to incorporate any external documents, please make this request via unitaryplan@aucklandcouncil.govt.nz as this will need to be authorised by Council. There will be additional cost to council associated publicly notifying the incorporated standard and ongoing cost associated complying with copyright of NZ standards.

Draft and later versions of referenced external documents

References to draft technical documents must not be fully referenced in the AUP and therefore must not be used in the rules or development controls.

Any updates to external documents that are fully referenced do not come into the AUP unless a plan change is undertaken. In the absence of a plan change the superseded version of the external document continues to apply.

Other provisions do not fully reference external documents

Referring to an external document in assessment criteria or other provisions (e.g. objectives or policies) in the AUP is different. Assessment criteria are not rules and are considered only once it has been determined that a controlled or restricted discretionary resource consent is required. Assessment criteria provide direction to applicants when preparing resource consent applications to ensure consideration is given to appropriate matters such as:

- having regard to relevant codes of practice; or
- engineering standards when designing a subdivision proposal.

Information that must be recorded when referencing an external document

- Ensure the relevant provision is a rule

- Full and actual document name using citation details
- Version number
- Approved/published date
- Volume number (if applicable)
- Page number/s (if relevant)

Follow the additional consultation process for incorporating a document by reference specified in the RMA at [Schedule 1, Part 3 Incorporation of documents by reference in plans and proposed plans](#).

Any plan change incorporating a document by reference must include an amendment to [Appendix 17](#) of the AUP where all fully referenced external documents are listed.

Part 6: GIS content

Data

All data required for maps and in-text diagrams must be supplied, along with other lodged documents, in GIS format to unitaryplan@aucklandcouncil.govt.nz

The nature of data to be supplied will depend on the content of the private plan change request. The following information is commonly required:

- precinct boundaries: a GIS shape file identifying all land within the proposed precinct, and any sub-precinct
- each in-text diagram, figure and map, including precinct plans, in its own file in PDF or JPEG format
- a corresponding Word document for each in-text image containing the caption, figure number and title (ensure the in-text image and the corresponding file are named in the same way. The first part of the name must clearly indicate what is shown in the image, and the second part of the name must have the date the file was last saved, e.g. Height in relation to boundary 2012-06-25).

Mapping for AUP Viewer

Maps must be produced in council's AUP map viewer system prior to a hearing.

Controls and overlays

Each spatially mapped control and overlay is a separate data layer. Ensure all existing controls and overlays have been considered before contemplating the introduction of any new control or overlay. Cartography for AUP map viewer is complex – note that there is little scope for additional controls and overlays.

Precincts

Spatial application

Only one precinct can apply to any land parcel or part of the coastal marine area. Ensure there is no overlap between the proposed precinct and any existing precinct.

Land within a precinct may be allocated to sub-precincts. No further spatial sub-areas can be created (no sub-sub-precincts). The total area of sub-precincts must be less than, or equal to, the parent precinct (not all land in a precinct must be in a sub-precinct).

Precinct boundaries

Boundaries of a precinct, and any sub-precinct, are a data layer in AUP planning map viewer. GIS does not show the parent precinct in isolation to any sub-precincts.

Precinct and sub-precinct boundaries must follow cadastral boundaries. In rare circumstances where that is not possible the boundary must be drawn to follow a water boundary or contour.

Precinct-naming

Keep precinct names short, ideally referencing a geographic area and number, e.g. Smales 1 Precinct. Long names cannot be shown in AUP planning map viewer.

Precinct names must relate to the geographical location. The following are unacceptable:

- company names
- names that are likely to change
- names not identifiable by the public.

Sub-precincts are named by letter (e.g. Sub-precinct A, Sub-precinct B).

In-text maps, diagrams and figures

An in-text map, diagram, or figure is an image included in a chapter of the AUP.

Any in-text image may be used as part of a definition, standard or to convey non-statutory information such as an indicative road or reserve location on a precinct plan.

Map orientation

All maps must be north-orientated.

Datum

National planning standards require any in-text image (and text) referencing vertical datum to use New Zealand vertical datum 2016. Other datums and projections must be compliant with the New Zealand Geodetic Datum (NZGD2000) and New Zealand Transverse Mercator 2000 (NZTM2000).

Colour

It is critical that the image is clearly legible when viewed on screen, and when printed.

- All colours must be distinguishable from one another when printed in colour, and in black and white.
- Do not use pastel shades of red and green, or blue and yellow, especially where small areas of these colours adjoin each other.
- Colour space: standard red, green, blue used in default setting of scanners.

Line Weight

All line weights must be clearly visible when:

- viewed online at 100%

- printed at 100%.

Style of in-text diagrams, figures and maps

Apply these principles:

- simplicity is best
- avoid cluttering diagrams, figures or maps with too much content. Information may be better presented if it is broken down into a series of maps or images
- use clear lines
- use shading when appropriate, for example to give a sense of three dimensions
- use white space around the image
- draw to scale, and/or specify dimensions. This is especially important where the image has the effect of a rule.

Written content in images

- Written content must follow [basic plain English principles](#).
- Use the same terms, acronyms and abbreviations as used in the AUP, see [Chapter J](#).
- Written content used in images must be clearly acknowledged in a legend.
- All text must be in Arial font and be readable when viewed online at 100% and when printed at 100%.

Captions, numbering and titles

- Captions must be short and adequately describe the image.
- Captions do not identify the media in the caption. For example, don't say "*Photograph showing the north facing...*", instead say "*North facing...*".
- Captions must always have a full stop.
- All text must be in Arial font and be readable when viewed online at 100% and when printed at 100%.
- It may be necessary to acknowledge the source in the caption or the figure/diagram, depending on the material used.
- All figures, maps and diagrams must have a [title and a number](#).

Precinct plans

Please refer to [Part Two Precincts](#)

Appendix 1: AUP Precinct Template

- Print this document in **colour** for ease of understanding.
- Read the best practice guide **before** using the template.
- Refer to the AUP(OP) for the overlays, Auckland-wide and zones provisions.
- If you are editing an existing precinct, please request a word version of the current precinct by emailing unitaryplan@aucklandcouncil.govt.nz and then follow the numbering advice in Part 4 of this document.
- Black text – template text that must be included
- Red text – text to be replaced
- Blue text –guidance notes
- Purple text -text to be selected where appropriate

I1. Precinct Name

I1.1. Precinct Description

Text description.

The zoning of land within this precinct is xxx zone(s).

I1.2. Objective(s) [rcp/rp/dp] choose relevant tag/tags?

(1) Objective

(2) Objective

The overlay, Auckland-wide and zone objectives apply in this precinct in addition to those specified above - *with the exception of xx.x Objective x.*

Think about the wording of the exceptions or additions carefully

I1.3. Polic(y)(ies) [rcp/rp/dp] choose relevant tag/tags?

(3) Policy

(4) Policy

The overlay, Auckland-wide and zone policies apply in this precinct in addition to those specified above - *with the exception of Xx.x. Policy x.*

Think about the wording of the exceptions or additions carefully.

I1.4. Activity table

The provisions in any relevant overlays, zone and the Auckland-wide apply in this precinct unless otherwise specified below.

Think about the wording of the exceptions or additions carefully.

Table I1.4.1 Activity table specifies the activity status of **land use / development / subdivision / diversion / take / use/ discharge / use of the coastal marine area / activities** in the **XXX Precinct** pursuant to section 9(2), 9(3), 11, 12(1), 12(2), 12(3), 13, 14, and 15 of the Resource Management Act 1991 or any combination of all of these sections where relevant.

Note the sections identified here should be consistent with the way you have tagged your objectives and policies.

A blank in **Table XX** Activity table below means that the provisions of the overlays, zone or Auckland-wide apply.

Be careful using “NA” in your activity table. It means it is not relevant in this part of the activity table. This is described in Chapter A.

Information on how to use table or where to find other relevant rules etc. can go here. They should be written in Level 1 explanation text and they should be bullet pointed. For example:

- Table I1.4.1 Activity table specifies the activity status of activities in the residential zones in the Hobsonville Point Village, Buckley, Sunderland, Airfields sub-precincts.
- Table H1.4.1 Activity table specifies the activity status of....

Table I1.4.1 Activity table

Activity		Activity status
Use		
Type (eg 'Residential')		
(A1)		
(A2)		
Development		
(A3)		
Subdivision		

I1.5. Notification

Choose and copy and paste in the notification statement you require from this selection below:

Option (a)

- (1) Any application for resource consent for an activity listed in Activity Table IX.4.1 above will be subject to the normal tests for notification under the relevant sections of the Resource Management Act 1991.
- (2) When deciding who is an affected person in relation to any activity for the purpose of section 95E of the Resource Management Act 1991 the Council will give specific consideration to those persons listed in Rule C1.13(4).

Option (b)

- (1) An application for resource consent for a controlled activity listed in Activity Table IX.4.1 above will be considered without public or limited notification or the need to obtain written approval from affected parties unless the Council decides that special circumstances exist under section 95A(4) of the Resource Management Act 1991.
- (2) Any application for resource consent for an activity listed in Activity Table IX.4.1 and which is not listed in IX.5(1) will be subject to the normal tests for notification under the relevant sections of the Resource Management Act 1991.
- (3) When deciding who is an affected person in relation to any activity for the purposes of section 95E of the Resource Management Act 1991 the Council will give specific consideration to those persons listed in Rule C1.13(4).

Option (c)

- (1) An application for resource consent for a controlled activity listed in Activity Table IX.4.1 above will be considered without public or limited notification or the need to obtain written approval from affected parties unless the Council decides that special circumstances exist under section 95A(4) of the Resource Management Act 1991.
- (2) Any application for resource consent for the following activity / any of the following activities and/or an activity that infringes the following standard(s) will be considered without public or limited notification or the need to obtain the written approval from affected parties unless the Council decides that special circumstances exist under section 95A(4) of the Resource Management Act 1991:
 - (a) Activity
 - (b) Activity; and/or
 - (c) Standard
 - (d) Standard
- (3) Any application for resource consent for an activity listed in Activity Table IX.4.1 and which is not listed in IX.5(1) or IX.5(2) above will be subject to the normal tests for notification under the relevant sections of the Resource Management Act 1991.
- (4) When deciding who is an affected person in relation to any activity for the purposes of section 95E of the Resource Management Act 1991 the Council will give specific consideration to those persons listed in Rule C1.13(4).

Option (d)

- (1) An application for resource consent for a controlled activity listed in Activity Table IX.4.1 above will be considered without public or limited notification or the need to obtain written approval from affected parties unless the Council decides that special circumstances exist under section 95A(4) of the Resource Management Act 1991.
- (2) Any application for resource consent for the following activity / any of the following activities and/or an activity that infringe the following standard(s) must be publicly notified:
 - (a) Activity
 - (b) Activity and/or
 - (c) Standard
 - (d) Standard
- (3) Any application for resource consent for an activity listed in Activity Table IX.4.1 and which is not listed in IX.5(1) or IX.5(2) above will be subject to the normal tests for notification under the relevant sections of the Resource Management Act 1991.

- (4) When deciding who is an affected person in relation to any activity for the purposes of section 95E of the Resource Management Act 1991 the Council will give specific consideration to those persons listed in Rule C1.13(4).

Make sure you update to the current level numbering/ text.

I1.6. Standards

The overlay, zone and Auckland-wide standards apply in this precinct.

OR

The overlay, zone and Auckland-wide standards apply in this precinct. In addition to the following standards.

OR

The standards below replace the standards of the XXX name overlay, XXX name zone or xxx Auckland wide or rule XXXX.

OR

The standards applicable to the XXX name overlay, XXX name zone or xxx Auckland wide or rule XXXX apply in this precinct, except that the following:

- List them – chapter or section number and then rule number.

All activities listed as permitted in Table X.X must comply with the following permitted activity standards.

Think about what activities your standards apply to. Update this sentence accordingly. Refer to Best Practice Guide.

I1.6.1. Example standard

- (1) Must not exceed 15 pig equivalents in the Mixed Housing Urban Zone.

All tables and figures should have a number and a name. when you are referencing a Table and a Figure you should do this as follows:

Table XXX Table name

Figure XXX Figure name

I1.7. Assessment – controlled activities

I1.7.1. Matters of control

The Council will reserve its control to all of the following matters when assessing a controlled activity resource consent application:

OR [Pick one]

The Council will reserve its control to all of the following matters when assessing a controlled activity resource consent application, in addition to the matters specified for the relevant controlled activities in the overlay, zone or Auckland-wide provisions:

- (1) matter;
- (2) matter; and
- (3) matter;

I1.7.2. Assessment criteria

The Council will consider the relevant assessment criteria below for controlled activities:

OR [Pick one]

The Council will consider the relevant assessment criteria below for controlled activities, in addition to the assessment criteria specified for the relevant controlled activities in the overlay, zone or Auckland-wide provisions:

- (1) assessment criteria;
- (2) assessment criteria; or
- (3) assessment criteria.

I1.8. Assessment – restricted discretionary activities

I1.8.1. Matters of discretion

The Council will reserve its discretion to all of the following matters when assessing a restricted discretionary resource consent application:

OR

The Council will restrict its discretion to all of the following matters when assessing a restricted discretionary activity resource consent application, in addition to the matters specified for the relevant restricted discretionary activities in the overlay, Auckland wide or zone provisions:

- (1) matter;
- (2) matter; and
- (3) matter;

I1.8.2. Assessment criteria

The Council will consider the relevant assessment criteria below for restricted discretionary activities:

OR [Pick one]

The Council will consider the relevant assessment criteria below for restricted discretionary activities, in addition to the assessment criteria specified for the relevant restricted discretionary activities in the overlay, Auckland wide or zone provisions:

- (1) assessment criteria:
 - (a) blah;
 - (i) blah;
 - (ii) blah; or

(iii) blah.

(2) assessment criteria:

(a) blah;

(b) blah; or

(c) blah.

I1.9. Special information requirements

An application for xxx activity must be accompanied by:

(1) requirement

Or if there are no special information requirements:

There are no special information requirements in this precinct.

I1.10. Precinct plans

I1.10.1 1 Name: Precinct plan 1 – add further name here if there is one

I1.10.2 Name: Precinct plan 2 - add further name here if there is one

Where you have a Sub-precinct plan name as follows:

I1.10.3 Name: Precinct plan 3 – Sub-precinct # - name

Guidance to using this template: **[Delete when finished]**

When cross referencing another standard, follow this convention: Standard H28.2.1(1)(a)(i) and for an activity table line reference: Rule H28.1.1(A1).

Figures and maps are to be referenced as per the numbering hierarchy, e.g. Figure H28.2.1.1 and Map H28.2.1.1.

If adding new rules to the activity table, refer to [Part 4 Numbering](#)

Activity ^a		Activity-status ^a	
Use ^a			
Type (eg Residential) ^a			
(A1) ^a	^a	^a	
(A2) ^a	^a	^a	
(A2A) ^a	New-Activity ^a	New-Activity-Status ^a	
Development ^a			
(A3) ^a	^a	^a	
Subdivision ^a			

If adding a new standard, try as best you can to put the standard at the end. So not to mess with cross referencing etc...

Appendix 2 Checklist for writing rules

Checklist for writing objectives	
Aim: The objective/s: <ul style="list-style-type: none"> state in simple, clear and measurable terms the desired outcome in respect of an identified resource management issue 	
Checklist:	
Does the objective specify an environmental outcome?	
Is the objective written in a way that is specific, measurable, achievable, relevant and time-bound (SMART)? Can we measure its success in section 35 monitoring?	
Is the objective specific to the Auckland context and the RMA issue?	
Is the objective written as an outcome to be achieved rather than as a policy action?	
Is the objective written in plain English, without jargon, abbreviations or technical language?	
AUP integration check: <ul style="list-style-type: none"> Does the objective clearly link up to the RPS issue, objectives, policies and to the environmental results anticipated? Does the objective clearly link down to a policy and give guidance to the implementation of linked rules, assessment matters and assessment criteria? Can the outcome sought be monitored and its success measured? If it is a regional policy statement objective, does it link to related objectives at the regional and district plan level? Are conflicts created with other objectives? Is it clear, in the event of conflict or overlap between objectives, which objective is to be given priority? 	

Checklist for writing policies	
Aim: The policy/ies direct how the environmental effects of activities are to be managed to achieve an objective.	
Checklist:	
Does the policy clearly link to an objective?	
Does the policy start with a verb (how the objective will be met)?	
If the policy seeks to 'protect' and 'avoid' adverse effects, does it describe the values/features that are to be protected, and adverse effects avoided? (It is not a generic policy?)	
Does the policy state the feature/outcome to which the policy applies?	

Checklist for writing policies	
Does the policy provide direction on how all the environmental effects are to be managed? Is it robust enough, and/or are there enough policies so that the assessment of discretionary or non-complying activity against them will ensure that the objective is met? (ideally 'Matters of assessment' should be in policies not in assessment criteria)	
Does the policy relate to the Auckland context and/or state where the policy applies?	
Does the policy verb link logically with the rule status? (i.e. Enable policy to a permitted activity rule?)	
Are the sub-sections correctly referenced and correctly connected with 'and' or 'or'?	
Are policies free from phrasing that creates flexibility? If flexible application is authorised is clear criteria provided that limits evaluation and guides decision-making? Does it matter if policies are not given effect?	
Are process policies backed up with a process that will give effect to the policy?	
AUP integration check: <ul style="list-style-type: none"> Does the policy link to an objective and to an anticipated environmental outcome (at RPS level), and to the methods (District or Regional Plan level). Is there a consistent approach to the wording of the policies and the activity status? If there is a conflict between objectives and policies, does the AUP clearly express which provisions will have priority (does the policy make it clear e.g. is it a s.6 matter?) Policies are often referenced in assessment criteria. It is important that the two end uses are compatible with each other. 	

Checklist for writing rules	
Aim: Rules have the status and effect of a regulation and therefore need to be clearly written, objective and enforceable.	
Checklist:	
Does the rule clearly reflect the policy approach? Particularly does the policy verb link logically with the rule status?	
Check the breaking of activity tables into 'use', 'development' and 'subdivision' components. Check for consistency with template. Is it clear whether the development activity status runs with the use if not otherwise specified?	
Check that "Activities not provided for" is specified in the Activity Table.	

Checklist for writing rules	
Check that the activity status for activities which do not meet the required standards is specified in the activity table and not in the standards.	
Does the policy provide direction on how all the environmental effects are to be managed? Is it robust enough, and/or are there enough policies so that the assessment of discretionary or non-complying activity against them will ensure that the objective is met? (ideally 'Matters of assessment' should be in policies not in assessment criteria)	
Check that it is clear what standards each activity must comply with.	
Check that the activity specified in the activity table is an existing defined term in the AUP and/or consistent with other activities already regulated within the AUP. Also ensure the activity is included within the correct section of the Activity Table.	
Check that blanks and NAs are used correctly in the activity table.	
Check that the correct RMA sections are referenced immediately before the activity table.	
AUP integration check: <ul style="list-style-type: none"> • Is there a consistent approach to the wording of the policies and the rule status? • Is there a conflict between rules, within the activity table or in other parts of the AUP? If so, which rule will have priority? • Are the activities being regulated using the same terms/definitions in the AUP? If not, will this cause a problem? 	

