

PREPARATION FOR THE ASSESSMENT & MODERATION IMPROVEMENTS WORKSHOP

LCLR PROGRAMMES

In preparation for the moderation on **Monday 14 June** we are seeking confidence and consideration across the following areas:

- Eligibility of projects included within the LCLR programme
- Alignment of LCLR programmes to AMP/ PT Equivalent or business cases
- Understanding programme certainty, deliverability & affordability
- The appropriateness of AO GPS alignment ratings for their programme
- Understanding how the LCLR programme delivers against activity class objectives
- Investment Advisors identifying issues following their preliminary review

Investment Advisors will need to present the findings of their reviews during the moderation. The presentation should be in the form of a PowerPoint and/or other visual platforms and can include handouts.

A summary of the LCLR programme assessments against the confidence and consideration areas should be provided to ActivityClassManagers@nzta.govt.nz and NLTP@nzta.govt.nz by **Wednesday 2 June**.

The questions outlined in the "Assessment of LCLR activities" need to be completed for each of your LCLR programmes under review in the lead up to the moderation. These will form the basis of the summary of the LCLR programme assessments which will be provided to the ACMs and the NLTP Development Team. These assessments should be attached as a supporting document in TIO.

Additional information that supports investment in the AOs LCLR programme, that is provided by an AO or their Investment Advisors, should be added as a supporting document in TIO.

Additional fields in TIO

With the completion of the TIO LCLR module additional fields need to be completed to ensure the activity can be submitted to the RTC for RLTP and NLTP inclusion. This includes additional information such as:

- Public name (if any)
- Benefits and Measures
- Updating phase detail pages

As the activity's Investment Advisor, you will need to ensure the AO has provided the required additional information, as well as, completing any additional fields required of yourself (i.e. NZTA Recommendation for inclusion into the NLTP).

Assessment of LCLR activities

Question	Work Completed
Eligibility	
Are projects within the LCLR programme under \$2m total implementation cost for their delivery?	<i>This is a cursory check of the value entered into the spreadsheet only. If "NO" then consider whether the activity should be included as a larger improvement within the appropriate activity class.</i>
Is there anything to suggest projects within the programme may not be able to be funded using the NLTF?	<i>This is a basic sense check of the project description and primary benefit and that it is able to be funded in accordance with the LTMA (e.g. section 20)</i>
Is there anything to suggest projects within the programme should be funded through a continuous programme?	<i>This is a cursory check if projects within the programme should be included as part of a continuous programme within the appropriate activity class. For example, bridge or Public Transport renewals.</i>
Is the project discrete (i.e. is there evidence to suggest that it's part of a larger project that has been split-up for the purpose of accessing LCLR funds)?	<i>The investment advisor should rely on their professional judgement and knowledge of the AO including business cases/ strategies etc that have previously been developed</i>
Alignment with the AMP/ PT Equivalent or Business case	
Is the LCLR programme responding to a problem identified in the AMP, PT Equiv. or a business case?	<i>It is expected that the Investment Advisor will be familiar with these documents already, if the LCLR spreadsheet identifies a business case the Investment Advisor is unfamiliar with – they should review the business case in InfoHub or request a copy from the AO. There should be a line of sight between the LCLR activity and the problems identified in the AMP or PT equivalent etc.</i>
Does the AMP, PT Equiv. or a business case, and the problems identified, align with the GPS strategic priorities (Safety, Better Travel Options, Improving Freight Connections, Climate Change)?	<i>It is likely that AMP, PT Equiv. or a business case will need to demonstrate good alignment with the GPS 2021-24 to meet the investment thresholds for inclusion.</i>
Are you satisfied that the proposed LCLR activity will contribute towards meeting the identified GPS strategic priority?	<i>This is a cursory check of the intervention and that it contributes to achieving the stated primary benefit – this will help inform the overall assessment of the LCLR programme</i>
Is there fit-for-purpose analysis to support the identified LCLR intervention(s) in any of the above docs?	<i>The investment advisor should be looking at the source documents – it may be analysis has only been high level, Investment Advisors should rely on their professional judgement and their knowledge of the AO to answer this question. Has there been a consideration of value-for-money e.g. most economical option chosen?</i>
Has the Approved Organisation considered the intervention hierarchy?	<i>The investment advisor should rely on their professional judgement and knowledge of the AO including business cases/ strategies etc that have previously been developed</i>
Programme Certainty/ Deliverability/ Affordability	
Is there any reason to conclude that the project is unlikely to be delivered in the NLTP period?	<i>Investment Advisors should rely on their professional judgement and knowledge of the AO, experience with similar projects.</i>

Is there any reason or evidence to suggest the project may not be low risk?	<i>Investment Advisors should rely on their professional judgement and local knowledge, Council databases including RMA planning documents may be useful.</i>
Is there any evidence to suggest project costs could exceed the \$2m investment threshold?	<i>Investment Advisors should rely on their professional judgement and knowledge of Council projects/ previous performance. Consider whether the activity should be included as a larger improvement within the appropriate activity class.</i>
Is the LCLR programme affordable?	<i>Investment Advisors should rely on their professional judgement and knowledge of the Council.</i>
Does the programme represent value for money (locally and from the NLTF)?	<i>Investment Advisors should rely on their professional judgement and local knowledge.</i>
GPS Alignment	
Do you agree with the AO's self-assessment of the GPS alignment by activity class?	<i>Investment Advisors should be familiar with the IPM – it is not expected the Investment Advisors would check each rating however may want to interrogate outliers including VH, or test a sample if there are a large/ disproportionate number of projects identified with a H GPS alignment rating.</i>
Activity Classes	
Provide an overview of the LCLR programme across the activity classes	<i>Provide your understanding of the programme and how it achieves activity class objectives</i>
Have LCLR projects been assigned to the correct activity class?	<i>This is a cursory check of the LCLR programme's projects to ensure they have been assigned to the correct activity class.</i>
Is the LCLR programme applying for funding under the correct activity classes?	<i>This is a cursory check of the LCLR programme, and its projects, to ensure to ensure submitted activities aligns to the LCLR bid being assessed.</i>
General	
Comment on the completeness and the quality of information included within TIO	<p><i>Is programme in TIO ready for submission to the RTC which includes:</i></p> <ul style="list-style-type: none"> • <i>Ensuring all mandatory fields completed for inclusion into the NLTP</i> • <i>Confirming the information included in TIO accurate and of high quality</i> • <i>Ensuring Investment Advisor fields are complete and ready for submission</i>
Comment on the quality of the information captured within the LCLR programme spreadsheet	<p><i>Is the LCLR programme spreadsheet submitted in TIO completed to the required standard which includes:</i></p> <ul style="list-style-type: none"> • <i>Ensuring errors from the upload of the spreadsheet have been resolved</i> • <i>Sufficient detail has been included within the activity list, for individual LCLR projects, to ensure a thorough review of the LCLR programme can be undertaken</i> • <i>Findings from the Investment Advisor's programme assessment is completed and captured within the bid tab, and for any assessments at LCLR project level, this information captured against the individual activity in the 'Activity List' tab</i>

IMPROVEMENT ACTIVITIES

In preparation for the moderation on **Monday 14 June** we are seeking confidence and consideration across the following areas:

- Eligibility of new improvement activities
- Review the Improvement Activities to confirm sufficient information has been submitted for inclusion and that the information is accurate
- Completion of a Waka Kotahi assessment of submitted improvement activities
- Understanding activity certainty, deliverability & affordability
- Investment Advisors identifying issues following their review

Investment Advisors will need to discuss the findings of their reviews when we do a detailed review of activities, by activity class, during the moderation.

Completed assessments for all AOs need to be captured within each individual activity within TIO by **Friday 4 June**.

Pre-moderation assessment of improvement activities

It is expected Investment Advisors will complete a thorough assessment of each activity against the IPM, within their area of responsibility.

TIO has been updated with new phases of existing activities and new activities, that were originally captured within the AO's submitted excel spreadsheets, now being captured within the system. You should do a sense check of these new phases and activities to ensure they have accurately transferred.

Additional information that supports investment in an activity, that is provided by an AO or their Investment Advisors, should be added as a supporting document in TIO.

Additional fields in TIO

With completion of TIO is additional fields that need to be completed within the system to ensure the activity can be submitted to the RTC for RLTP and NLTP inclusion. This includes additional information such as:

- Public name (if any)
- RLTP Objectives and Priorities
- Benefits and Measures
- Reviewing the project owner assessment and updating your Waka Kotahi assessment
- Updating phase detail pages

As the activity's Investment Advisor, you will need to ensure the AO has provided the required additional information, as well as, completing any additional fields of yourself (i.e. NZTA Recommendation for inclusion into the NLTP).

Question	Work Completed
Eligibility	
Is there anything to suggest the project may not be able to be funded using the NLTF?	<i>This is a basic sense check of the project description and primary benefit and that it is able to be funded in accordance with the LTMA (e.g. section 20)</i>
Should the project form part of the LCLR programme?	<i>This is a cursory check of the value entered into the spreadsheet only to identify any potential LCLR activities.</i>
Review the Improvement Activities	
Review of submitted improvement activities?	<ul style="list-style-type: none"> • <i>Confirm the information in the spreadsheet is accurate based on previous business case phases (e.g. PBC or AMP)</i>

	<ul style="list-style-type: none"> • Check the IPM self-assessment. The self-assessment will be based on the draft IPM. We are not requiring Councils to carry-out another self-assessment following the release of the final IPM. • Confirm projects included are complete (e.g. cost and cashflow)
Complete a Waka Kotahi assessment of submitted improvement activities?	<ul style="list-style-type: none"> • Complete the NZTA assessment based on the finalised IPM • Complete the NZTA assessment of project delivery (certainty)
Alignment with the AMP/ PT Equivalent or Business case	
Is the project responding to a problem identified in the AMP, PT equivalent or a business case?	<i>It is expected that the Investment Advisor will be familiar with these documents already, if the improvement spreadsheet identifies a business case the Investment Advisor is unfamiliar with – they should review the business case in InfoHub or request a copy from the AO. There should be a line of sight between the improvement activity and the problems identified in the AMP or PT equivalent etc.</i>
Project Certainty/ Deliverability	
Is there any reason to conclude that the project is unlikely to be delivered in the NLTP period?	<i>Investment Advisors should rely on their professional judgement and knowledge of the AO, experience with similar projects.</i>
General	
Is the information included within TIO complete and of high quality?	<p><i>Are activities in TIO ready for submission to the RTC which includes:</i></p> <ul style="list-style-type: none"> • <i>Ensuring all mandatory fields completed for inclusion into the NLTP</i> • <i>Confirming the information included in TIO accurate and of high quality.</i> • <i>Ensuring Investment Advisor fields are complete and ready for submission</i>

Waka Kotahi Assessment

Investment Advisors will need to undertake individual assessments for each of their AO's submitted activities over \$2M. The assessment includes:

- Investment Prioritisation Method (IPM) Profile – What is the Waka Kotahi assessment of the IPM profile. If the Waka Kotahi profile varies to the project owner's assessment, then please provide comments that support this assessment in the NZTA assessment fields.
- NZTA assessment of the IPM profile –How has the IPM applied, what is the selected and why, and what level of evidence can be supplied to support the selected rating.
- NZTA Confidence in Delivery - Provide a rating from the drop down box to represent your confidence in this project proceeding to implementation within the NLTP.

Information on the Investment Prioritisation Method can be found at:

<https://www.nzta.govt.nz/planning-and-investment/planning/investment-decision-making-framework-review/investment-prioritisation-method/>

Issues or Questions

If you have any questions or issues please contact the NLTP Team on nltp@nzta.govt.nz