

Copy information directly as shown in TIO



RECOMMENDATION

[Include the funding recommendation here] Completed by submitter refined by Investment Advisor

The delegated decisionmaker

- An action, in this case,
- A second action.
 - · The organisation receiving funding (required)
 - · The activity (required)
 - · The total amount, inclusion of admin, and the admin rate used (required)
 - . The FAR percentage and the NLTF share in dollars (required)
 - . The activity class and work category (required)
 - . The phase being funded (required)

ANY CONDITIONS

Select Yes or No

[If Yes see assurance section for details]

BACKGROUND

[This section should outline what the activity is about and the reason for funding being sought.]

Includes:

- Background about the project
- . The strategic outcome the project seeks to me
- Previous approvals / applications; conditions and status
- Previous NZTA Board Direction
- Is this a variation to the NLTP

REQUEST SUMMARY

[This section should outline a summary of what is being requested. This is also a good place to highlight if there have been prior funding variation (equests and what those requests covered.)

Includes:

- Summary of the project What is the elevator pitch?
- · What phase this request is covering
- Scope of the activities covered by this request
- Now much is being requested in this phase
- Expected time frame of this phase
- Totally expected cost of the project Summary of the key project risks

RECOMMENDATION

Use the following format as an example or your recommendation: E.g.

That the National Manager Programme & Standards:

- Endorses the Otaki to North of Levin SH1/Sh57 northern section SSBC, and
- Recommends that the Chief Financial Officer, Corporate & Commercial, approve:
 - funding to Waka Kotahi NZ Transport Agency
 - to the Otaki to North of Levin SH1/SH57 northern section project
 - for \$.329M (including 6% admin)
 - at a funding assistance rate of 100% (\$0.329M out of the NLTF)
 - · from the Road to Zero Activity Class, WC 331
 - for Property

Note: the Investment Advisor will refine this section as required

BACKGROUND

Write a brief summary about the project. Try to be specific but succinct. Include:

- What the activity is about and the reason for funding being sought.
- The strategic outcome and benefits the project seeks to meet
- What previous phases have been funded and have any conditions that were imposed previously been satisfactorily met.
- Has there been any previous board guidance provided, if so what.
- Is this part of a strategic case and/or programme business case?
- Are there any other relevant/interdependent projects that assessors need to be aware of?
- Is this a variation to the NLTP

Type 'Yes' if any conditions have been recommended by the IQA.

REQUEST SUMMARY

A summary of what is being requested, include:

- The phase the request is covering
- The decision that is sought
- The scope that is covered by the request
- · Expected time frame of the phase
- How much is being requested for this phase and the estimated cost of the entire project

AL-WAKA KOTAHI

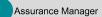
Summary of key project risks

E

Completed by:

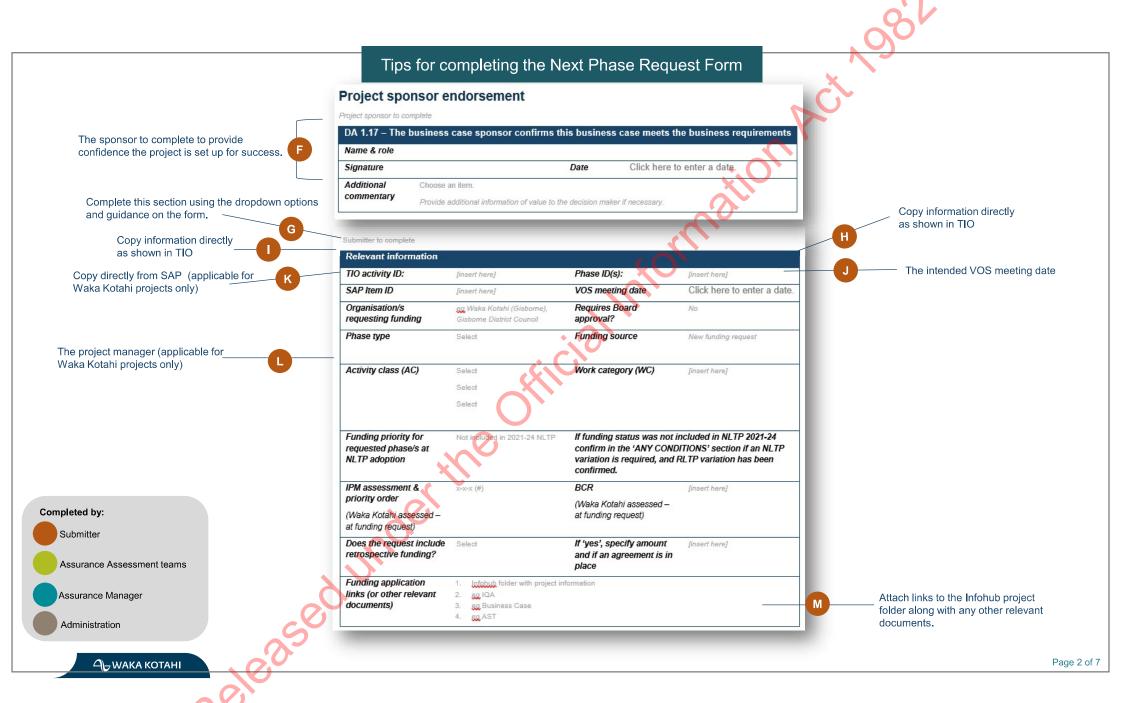
Submitter

Assurance Assessment teams



Administration

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Submitter to complete

FUNDING SUMMARY Total funding requested, split by phase ID below \$1,000,000			Funding Assistance Rate %	
Phase ID	8200X	\$500,000	2021/22: 53% 2022/22: 52% 2023/24: 61%	
Phase ID	XXXX	\$500,000	51%	
If the total cost is shared with a local government organisation, has local share affordability been confirmed?		Select	70	
(If relevant) 'Ot	her supplementary funding', \$ amount			
ls the requeste	d funding request deliverable in the period specified?	Select		
(If relevant) For rate	Waka Kotahi delivered activities confirm the admin	- 10		
Confirmation th	ne funding request has been submitted in TIO	Select		
Total expected	activity cost		1	
ubmitter to comple	te			

Complete this section using the dropdown options and guidance on the form.

For Waka Kotahi request only - Answer the questions in this section to ensure that the initiative is correctly reflected in the portfolio plan.

Completed by: Submitter

Planview ID	[insert here]
Confirm that the project scale and complexity model has been updated	Y/N
Confirm that milestones for the next phase have been updated in Planview	Y/N
Have you completed a resourcing request for the next phase?	Y/N
Confirm the project exists in the portfolio plan	Y/N

Provide detail of the governance model being used for this initiative?

Funding request* cash flow	Phase ID	Phase ID	Phase ID	Total
2021/22	\$xx	\$xx	\$xx	\$xx
2022/23	\$xx	\$xx	\$xx	\$xx
2023/24	\$xx	\$xx	\$xx	\$xx
Future year (+24)	\$xx	\$xx	\$xx	\$xx
2021-24 Total	\$xx	\$xx	\$xx	\$xx
Total all years	\$xx	\$xx	\$xx	\$xx

The cash flow should reflect what has been entered into TIO

* Inclusive of admin cost



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Administration

Provide an overview of all stakeholders that have been engaged as part of this Next Phase Request. Include how they were engaged, whether any issues were raised and if they were resolved or not.



Stakeholder Engagement

Submitter to complete

Provide a brief overview of ALL engagement undertaken <u>in regards to</u> this request, issues resolved, and any outstanding issues. Provide links (<u>e.g.</u> to customer feedback, safety audit, etc.) if relevant.

Outstanding issues to be resolved include:

(<u>e.g.</u> emails; workshops; conversation)	consultation	consultation
Conversation)		

Significance assessment

Submitter to complete (Only include this section if a yes exists)

Factor	Delete as required	Comment explanation
Reputation / public interest	Y/N	To what extent is the public interested in the matter? Is it likely to be regarded as controversial? Is the decision likely to result in negative media coverage? Is the decision likely to have a negative impact on the Transpon Agency's regulation and/or adversely impact stakeholders' confidence in the Transport Agency?
Service delivery	Y/N	To what extent could the exercise of the decision impact on the capability of the Transport Agency to achieve its goals and objectives and/or the capacity of the Transport Agency to perform its functions?
Financial impact	YIN	Are you aware of <u>all of</u> the costs associated with the decision? Are the costs clearly within any financial parameters of your delegated authority? (For example, not all delegates may authorise capital expenditure.)
Environment and other impact	S Y/N	To what extent does the decision involve environmental, <u>cultural</u> or social impacts that need to be taken into account?
Precedent effect	Y/N	Is the decision likely to create a precedent that has the potential to affect how other similar decisions might be made in the future? Or is the decision unique or unusual – for example, no similar issue has arisen before?
Inconsistency	Y/N	Is the decision inconsistent with any Transport Agency policy or established practice, such that someone affected might consider that they have been unfairly treated? This is particularly relevant where someone may have acted in reliance on that policy or established practice.
Other relevant factors	Y/N	The criteria and factors listed here are not exhaustive; a delegate should consider any other relevant factors applicable to the particular decision. And if it is unclear what effects the decision may have, it should ordinarily be treated as more significant.

Consider each section and answer Y or N as appropriate.

Once you have answered delete any of the sections where the answer is N.

△ waka kotahi

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Completed by:
Submitter

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This section should be a summary of key points made in the IQA that decision makers should be aware of. This should help focus the conversation on the key areas for concern.

The **summary** should be a cut and paste from the summary section of the IQA assessment.

Include any additional information that should be considered by decision makers under **key considerations**.

Include any conditions or actions that have been recommended from the IQA assessment.

Add key risks and mitigations the decision makers should be aware of.

Completed by the Investment Assurance team to provide advice to decision makers regarding whether the requirements of the investment rules have been met.

NB: For requests under \$50M the above advice is provided as part of the IQA assessment above and this section will be N/A.

Assurance summary

Completed by	Name & role	Date	Click here to enter a date.
Summary	Cut and paste the overall asset	ssment from IQA	.:.(0)
Key considerations	Include:		
	(2) Significance assessment This decision has involve the activity proposed for i (including impacts on rele how the proposal is consi OR The decision is neutral in	nvestment Choose an item, the GP evant transport emission reduction t istent with the GPS as a whole. relation to the climate change strate port emission reduction targets and in the GPS as a whole.	ed greenhouse has emissions impacts of S climate change strategic priority argets and consistency with the ERP) an egic priority set out in the GPS (including consistency with the ERP) and the
Conditions	[This section should outline can be used to outline if there are any conditions precedent or subsequent that need to be included in the recommendation or satisfied before further funding is approved]		
Actions	Summary of actions required from the IQA		
Risks & mitigations	Risks identified and mitigations	required from IQA	
Assurance Sign of	f – Investment & System	1	
Completed by	Name & role	Date	Click here to enter a date.
Assessment	For Endorsement or To inform		
Kev	71		

Investment Assurance & Finance assessment – Completed by Investment Advisor

Completed by Date Click here to enter a date.

Assessment

Key considerations

Completed by the Managers of the Investment Advisors completing the IQA.

They are responsible for ensuring the quality of the IQA and making an assessment as to whether any risks or issues have been raised that require guidance from the VOS committee.

Assessment: Select one of the following:

- 'For Endorsement' to send to the committee for discussion
- 'To Inform' send directly to delegated decision makers for a decision.

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Completed by:

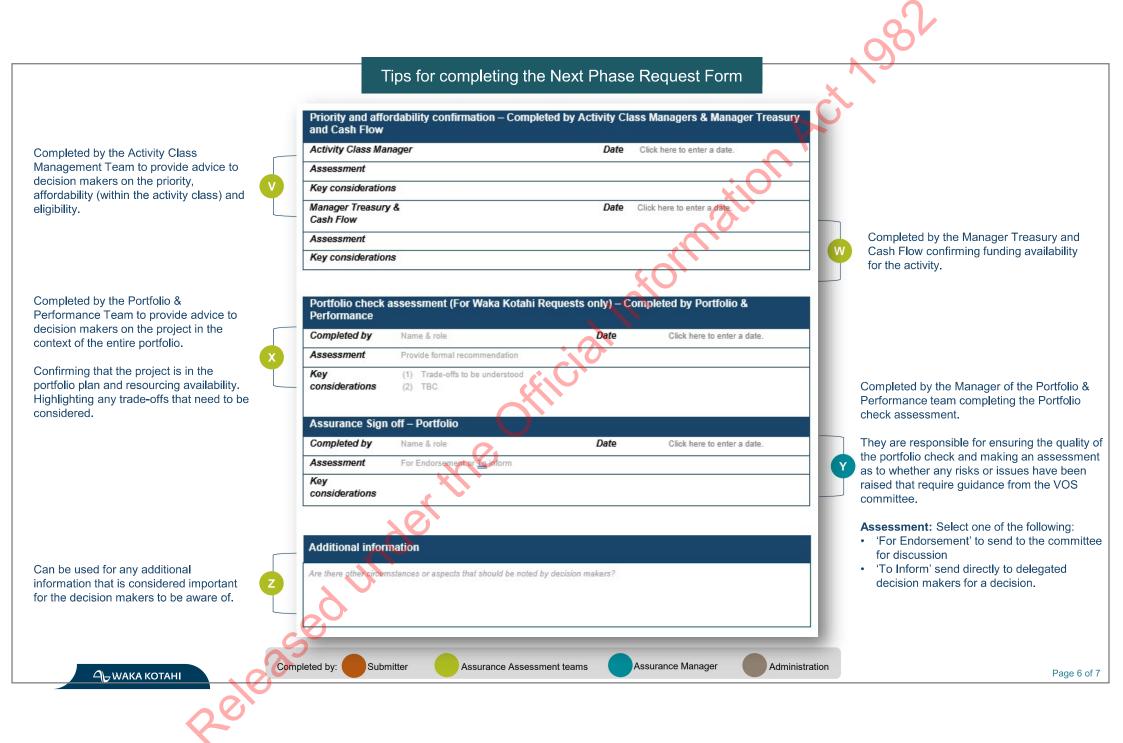
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FUNDING DECISION RECORD Resolution / Decision - Delegation - National Manager, Programme and Standards, Transport Services Endorsed Recommendation: Deferred (Revise and resubmit) Declined Conditions Conditions Met Choose an item. Out of scope Name Position National Manager, Programme and Standards, Transport Services Signature Date Click here to enter a date Actions taken Accepted for consideration by National Manager, Programme and Standards, Transport Services Paper number: Meeting date: Click here to enter a date. Resolution / Decision - Delegation - Chief Financial Officer, Corporate Support porate Support Approver to complete Endorsed / Approved Recommendation: Ø Deferred (Revise and resubmit) Declined Conditions Met Choose an item. Out of scope Name Position Chief Financial Officer, Corporate Support Click here to enter a date.

△ WAKA KOTAHI

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Assurance Manager

Administration

Completed by:

Submitter

Completed by the VOS Secretariat following a

decision being made.