

Tips for completing the Next Phase Request Form

Copy information directly as shown in TIO

A

Submitter to complete

| Project information | | | |
|------------------------------|----------------------------------|---------------------|--------|
| Project/activity name | Name MUST be the same in TIO/SAP | | |
| Region | Northland | Request type | Select |

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 meet
- 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 requests 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
- How 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

B

D

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
- Summary of key project risks

E

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

Tips for completing the Next Phase Request Form

The sponsor to complete to provide confidence the project is set up for success.

F

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

G

Copy information directly as shown in TIO

I

Copy directly from SAP (applicable for Waka Kotahi projects only)

K

The project manager (applicable for Waka Kotahi projects only)

L

Project sponsor endorsement

Project sponsor to complete

DA 1.17 – The business case sponsor confirms this business case meets the business requirements

| | | |
|------------------------------|--|-----------------------------|
| Name & role | | |
| Signature | Date | Click here to enter a date. |
| Additional commentary | Choose an item. Provide additional information of value to the decision maker if necessary. | |

Submitter to complete

| Relevant information | | | |
|---|--|--|--|
| TIO activity ID: | [insert here] | Phase ID(s): | [insert here] |
| SAP Item ID | [insert here] | VOS meeting date | Click here to enter a date. |
| Organisation/s requesting funding | Waka Kotahi (Gisborne), Gisborne District Council | Requires Board approval? | No |
| Phase type | Select | Funding source | New funding request |
| Activity class (AC) | Select Select Select | Work category (WC) | [insert here] |
| Funding priority for requested phase/s at NLTP adoption | Not included in 2021-24 NLTP | If funding status was not included in NLTP 2021-24 confirm in the 'ANY CONDITIONS' section if an NLTP variation is required, and RLTP variation has been confirmed. | |
| IPM assessment & priority order (Waka Kotahi assessed – at funding request) | x-x-x (#) | BCR | [insert here] (Waka Kotahi assessed – at funding request) |
| Does the request include retrospective funding? | Select | If 'yes', specify amount and if an agreement is in place | [insert here] |
| Funding application links (or other relevant documents) | 1. Infohub folder with project information 2. IQA 3. Business Case 4. AST | | |

Copy information directly as shown in TIO

H

The intended VOS meeting date

J

Attach links to the Infohub project folder along with any other relevant documents.

M

Completed by:

- Submitter
- Assurance Assessment teams
- Assurance Manager
- Administration

Tips for completing the Next Phase Request Form

Submitter to complete

| FUNDING SUMMARY | | Funding Assistance Rate % |
|--|--------|---|
| Total funding requested, split by phase ID below | | \$1,000,000 |
| Phase ID | xxxx | \$500,000 2021/22: 53% 2022/22: 52% 2023/24: 51% |
| Phase ID | xxxx | \$500,000 51% |
| If the total cost is shared with a local government organisation, has local share affordability been confirmed? | Select | |
| (If relevant) 'Other supplementary funding', \$ amount | - | |
| Is the requested funding request deliverable in the period specified? | Select | |
| (If relevant) For Waka Kotahi delivered activities confirm the admin rate | - | |
| Confirmation the funding request has been submitted in TIO | Select | |
| Total expected activity cost | | |

N

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.

O

Submitter to complete

| Portfolio Assessment (Waka Kotahi only) | |
|---|---------------|
| 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? | |

Submitter to complete





| 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 |

* Inclusive of admin cost

P

The cash flow should reflect what has been entered into TIO

Completed by:

-  Submitter
-  Assurance Assessment teams
-  Assurance Manager
-  Administration

Tips for completing the Next Phase Request Form

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.

Q

Stakeholder Engagement

Submitter to complete

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

Outstanding issues to be resolved include:

| Who was consulted | Method of consultations (e.g. emails; workshops; conversation) | Subject of consultation | Outcome of consultation |
|-------------------|--|-------------------------|-------------------------|
| | | | |
| | | | |
| | | | |

Significance assessment

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





| Factor | Delete as required | Comment explanation |
|--------------------------------------|--------------------|--|
| Reputation / public interest | Y/N | <i>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 Transport Agency's reputation and/or adversely impact stakeholders' confidence in the Transport Agency?</i> |
| Service delivery | Y/N | <i>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?</i> |
| Financial impact | Y/N | <i>Are you aware of <u>all</u> of 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.)</i> |
| Environment and other impacts | Y/N | <i>To what extent does the decision involve environmental, <u>cultural</u> or social impacts that need to be taken into account?</i> |
| Precedent effect | Y/N | <i>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?</i> |
| Inconsistency | Y/N | <i>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.</i> |
| Other relevant factors | Y/N | <i>The criteria and factors listed here are not exhaustive; a delegate should consider any other relevant factors applicable to the <u>particular</u> <u>decision</u>. And if it is unclear what effects the decision may have, it should ordinarily be treated as more significant.</i> |

R

Consider each section and answer Y or N as appropriate.

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

Completed by:

-  Submitter
-  Assurance Assessment teams
-  Assurance Manager
-  Administration

Tips for completing the Next Phase Request Form

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.

S

U

Assurance summary

| IQA Assessment – Completed by Investment Advisor | | | |
|---|---|-------------|-----------------------------|
| Completed by | Name & role | Date | Click here to enter a date. |
| Summary | Cut and paste the overall assessment from IQA | | |
| Key considerations | Include: <ol style="list-style-type: none"> (1) Risks or issues that do not have an adequate mitigation. (2) Significance assessment (3) This decision has involved consideration of how any identified greenhouse gas emissions impacts of the activity proposed for investment Choose an item, the GPS climate change strategic priority (including impacts on relevant transport emission reduction targets and consistency with the ERP) and how the proposal is consistent with the GPS as a whole. OR The decision is neutral in relation to the climate change strategic priority set out in the GPS (including impacts on relevant transport emission reduction targets and consistency with the ERP) and the proposal is consistent with the GPS as a whole. <p style="font-size: small; color: red;">**Delete options that do not apply**</p> | | |
| 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 off – Investment & System | | | |
| Completed by | Name & role | Date | Click here to enter a date. |
| Assessment | For endorsement or <u>To</u> inform | | |
| Key considerations | | | |
| 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.

T

Tips for completing the Next Phase Request Form

Completed by the Activity Class Management Team to provide advice to decision makers on the priority, affordability (within the activity class) and eligibility.

V

| Priority and affordability confirmation – Completed by Activity Class Managers & Manager Treasury and Cash Flow | | |
|---|-------------|-----------------------------|
| Activity Class Manager | Date | Click here to enter a date. |
| Assessment | | |
| Key considerations | | |
| Manager Treasury & Cash Flow | Date | Click here to enter a date. |
| Assessment | | |
| Key considerations | | |

W

Completed by the Manager Treasury and Cash Flow confirming funding availability for the activity.

Completed by the Portfolio & Performance Team to provide advice to decision makers on the project in the context of the entire portfolio.

X

| Portfolio check assessment (For Waka Kotahi Requests only) – Completed by Portfolio & Performance | | |
|---|--|---|
| Completed by | Name & role | Date Click here to enter a date. |
| Assessment | Provide formal recommendation | |
| Key considerations | (1) Trade-offs to be understood (2) TBC | |

Confirming that the project is in the portfolio plan and resourcing availability. Highlighting any trade-offs that need to be considered.

Y

Completed by the Manager of the Portfolio & Performance team completing the Portfolio check assessment.

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

Can be used for any additional information that is considered important for the decision makers to be aware of.

Z

| Additional information |
|---|
| Are there other circumstances or aspects that should be noted by decision makers? |

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.

Tips for completing the Next Phase Request Form

FUNDING DECISION RECORD

| Resolution / Decision – Delegation – National Manager, Programme and Standards, Transport Services | | | |
|--|--------------------------------|---|-----------------|
| Transport Services Approver to complete | Endorsed | <input type="checkbox"/> | Recommendation: |
| | Deferred (Revise and resubmit) | <input type="checkbox"/> | |
| | Declined | <input type="checkbox"/> | |
| | Conditions | <input type="checkbox"/> | 1. |
| | | <input type="checkbox"/> | 2. |
| | Conditions Met | Choose an item. | |
| | Name | Out of scope | |
| | Position | National Manager, Programme and Standards, Transport Services | |
| | Signature | | |
| | Date | Click here to enter a date. | |
| Actions taken | | | |

| Process Co-ordin | |
|------------------|-----------------------------|
| Paper number: | |
| Meeting date: | Click here to enter a date. |

| Resolution / Decision – Delegation – Chief Financial Officer, Corporate Support | | | |
|---|--------------------------------|--|-----------------|
| Corporate Support Approver to complete | Endorsed / Approved | <input type="checkbox"/> | Recommendation: |
| | Deferred (Revise and resubmit) | <input checked="" type="checkbox"/> | |
| | Declined | <input type="checkbox"/> | |
| | Conditions | <input type="checkbox"/> | |
| | | <input type="checkbox"/> | |
| | Conditions Met | Choose an item. | |
| | Name | Out of scope | |
| | Position | Chief Financial Officer, Corporate Support | |
| | Signature | | |
| | Date | Click here to enter a date. | |
| Actions taken | | | |

Completed by the VOS Secretariat following a decision being made.

AA

Completed by:

- Submitter
- Assurance Assessment teams
- Assurance Manager
- Administration

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