About this form (Updated 10 October 2023)

This form (Request for VOS Decision) is completed as part of a submission into the next phase readiness process or when a project is making a price level/cost or scope adjustment that is intended to go through the VOS process. It replaces the old Next Phase Request and Variations Request.

Who uses this form?	Any project (both Waka Kotahi or Approved Organisation) funded by the NLTF and submitting a request for approval to move to the next phase or approval of a variation to a project.

How to get help:

Guidance to help you use this form is available here. Further material, including exemplars will be added to the VOS Committee OnRamp page when developed.

For assistance, please contact VOSsupport@nzta.govt.nz. Support from your regional Project/Portfolio Controls team is also available if required, contact projectmanagementprocess@nzta.govt.nz

Before submitting this form, engage the teams below to complete the required assurance.

Team	Waka Kotahi	Approved Organisations
Investment quality assurance	businesscaseprocess@nzta.govt.nz	LGP team
Activity class assessment	Activity Class Manager (ACM)	Activity Class Manager (ACM)
	Click here if you need to see who the ACM is for the Activity Class	
Funding availability	Manager Treasury & Cashflow	Manager Treasury & Cashflow
Portfolio check assessment	tsportfolioandperformance@nzta.govt.nz	n/a
Key dates	Submissions must be received two Mondays prior to meeting date. (Note this is 9 days before the committee meeting). 2023 meeting dates and final dates for submission are outlined in this calendar.	

BEFORE SUBMITTING YOUR FORM, PLEASE ENSURE YOU HAVE COMPLETED THE FOLLOWING (Incomplete forms will create a delay and will be returned to you).

- ☐ The information on this form matches the information in TIO
- ☐ The Sponsor has signed off (and added signature)
- ☐ Portfolio Assessment team have completed their assurance activities (if required)
- ☑ IQA is complete (if required)
- ☐ Corporate & Commercial have completed their assurance activities

When complete send the form to: vossupport@nzta.govt.nz

REQUEST FOR VOS DECISION

Approvals cover page

Submitter to complete

Decision required		
The decision that is required. *E.g. Approve the Cost/Scope Adjustment for the ABC project*		
RAPID role	**Who**	**Date**
Recommender *Please list the group/individuals that is/are making/endorsing the recommendation.* *Project Manager, The Steering Committee, sponsor and/or business owner, VOS Committee, CFO.*		Click here to enter a date
Agree *Please list the groups/individuals that provided input that <u>must</u> be considered when making the decision recommendation. This group ensures decisions align to any fundamental requirements of the business to prevent poor or risky decisions.* *E.g. assurance teams, consenting, legal.*		Click here to enter a date
Performer *Please provide a short summary of what action/s will be enabled by the decision and who will perform them.* *E.g.* • *PM produces board paper* • *Treasury & Cashflow updates TIO and releases funds* • *PM attaches request in TIO*		Click here to enter a date
Input *Please list the groups/individuals that provided input into the recommended decision.* *E.g. Subject matter experts*		Click here to enter a date
Decider *Please specify who the relevant decision maker is for this request. Based on **business delegations**.*	*Select*	Click here to enter a date

Submitter to complete

Project information			
Project/activity name	Name **MUST** be the same in TIO/SAP		
VOS meeting date	Click here to enter a date		
Region	*Select*	*Request type*	*Select*
Waka Kotahi submitter name	*[insert here]*	*Submitter Contact No.* *Email*	*[insert here]* *[insert here]*
Waka Kotahi project manager	*[insert here]*	*Waka Kotahi project sponsor*	*[insert here]*

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)

Reason for recommendation

[*Outline the reason for the recommendation*]

Include:

- What the key benefit is in approving this request *(Only use one line statement)*
- The BCR for the initiative
- Confirm that the request meets the requirements of section 20 of the Land Transport Management Act 2003
- *Using the dropdown select the statement that applies:*

Any conditions

Select Yes or No

[*If Yes see assurance section for details*]

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.*]

May include:
- Summary of the project – What is the elevator pitch?
- What is the current phase of the project?
- Scope of the activities covered by this request
- How much is being requested in this phase
- Expected time frame of this phase or changes to schedule for current or future phases
- Total expected cost of the project
- Summary of the key project risks

Background

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

May include:
- Background about the project
- The strategic outcome the project seeks to meet

Must include:
- Previous approvals / applications; conditions and status
- Previous NZTA Board Direction
- Is this a variation to the NLTP

Project status summary

[Only complete this *section for a *variation* request including price level adjustment, cost/scope adjustment. Remove this section if not a variation request*]

May include:
- Confirmation of where currently allocated funds have been spent
- Confirmation of current level of contingency
- Outline key milestones and decision points so far
- Outline the recommended option and what the additional monies will be spent on
- Outline potential funding option
- What is the implication if the application is not approved

Item/task (List all items including completed items)	Original TIO allocation	Proposed cost variation (insert nil if no change)	Total item	Change to scope Y/N/NA
[insert item]	$xx	$xx	$xx	
TOTAL	$xx	$xx	$xx	

Impact assessment	Demonstrate the impact of the variation
Benefits	
Quality	
Stakeholders	
Risk	

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.*

Project details

Submitter to complete

Relevant information

TIO activity ID:	[insert here]	Phase ID(s):	[insert here]
SAP Item ID:	[insert here]	Business Plan ID: *(ID in Planview, applicable for business plan projects only)*	[insert here]
Organisation/s requesting funding	e.g. Waka Kotahi (Gisborne), Gisborne District Council	Requires Board approval?	No
Phase type	Select	Funding source	Select
Activity class (AC)* *(Not required for NZUP)*	Select Select Select	Work category (WC)	[insert here] [insert here] [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 *(Waka Kotahi assessed – at funding request)*	[insert here]
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. e.g. IQA 3. e.g. Business Case 4. e.g. AST		

Submitter to complete

Funding summary				
Phase ID	Current phase cost ($0 if next Phase Request)	Funding being requested	Total phase cost *(current & requested)*	Funding Assistance Rate %
xxxx				
xxxx				
xxxx				
Total		$1,000,000		
If the 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	

Funding being requested cash flow*	Phase ID	Phase ID	Phase ID	Total funding requested in this request
2023/24	$xx	$xx	$xx	$xx
2024/25	$xx	$xx	$xx	$xx
2025/26	$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

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?	

Stakeholder engagement

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

Title	Method of consultations (e.g. emails; workshops; conversation)	Subject of consultation	Outcome of consultation
Outstanding issues to be resolved include:			

Significance assessment

Is there anything decision-makers should be aware of with respect to the delegation principles?

Lessons learned *(Variations only)*

Submitter to complete (**Only complete this section for <u>variations</u>, including price level adjustment (PLA), cost or scope adjustment)**

Insights		
Why has this occurred?	Choose an item.	If other, please explain here
Could this be foreseen at project approval point?	Choose an item.	Please explain
Could this price level/ cost/ scope adjustment have been avoided?	Choose an item.	Please explain
Could/will there be any further PLA's or CSA's expected from this project?	Choose an item.	If yes, please explain how you will mitigate further cost increases, or what these increases will be.
Is there a change in the business case approval process we can make to avoid this in the future?		
Additional information		

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: (1) Risks or issues that do not have an adequate mitigation. (2) Significance assessment (3) Choose an item. **Delete options that do not apply**		
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*		

Investment Assurance & Finance assessment – Completed by Investment Advisor

Completed by		**Date**	Click here to enter a date
Assessment			
Key considerations			

Priority and affordability confirmation – Completed by Activity Class Managers & Manager Treasury and Cash Flow (Note: Not required for NZUP)

Activity Class Manager	Name & role	**Date**	Click here to enter a date
Priority confirmed	Select		
Assessment			
Key considerations			
Funding availability			
Manager Treasury & Cash Flow	Name & role	**Date**	Click here to enter a date
Funding available	Select		
Assessment			
Key considerations			

Portfolio check assessment (For Waka Kotahi Requests only) – Completed by Portfolio & Performance

Completed by	Name & role	**Date**	Click here to enter a date
Key considerations	Trade-offs to be understood TBC		

Assurance sign off

Assurance sign off – Investment & System			
Completed by		**Date**	Click here to enter a date
	Manager – Business Case and Project Management Standards		
Assessment	Select		
Key considerations			

Assurance sign off – Portfolio			
Completed by		**Date**	Click here to enter a date
	Manager – Portfolio and Performance		
Assessment	Select		
Key considerations			

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

FUNDING DECISION RECORD

Resolution / Decision – Delegation – National Manager, Programme and Standards, Transport Services

Transport Services Approver to complete			
Endorsed	☐	Recommendation:	
Deferred (Revise and resubmit)	☐		
Declined	☐		
Conditions	☐	1.	
	☐	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			

Accepted for consideration by National Manager, Programme and Standards, Transport Services

Process Coordin		
Paper number:		
Meeting date:	Click here to enter a date.	

Resolution / Decision – Delegation – Chief Financial Officer, Commercial & Corporate

Commercial & Corporate Approver to complete			
Endorsed / Approved	☐	Recommendation:	
Deferred (Revise and resubmit)	☐		
Declined	☐		
Conditions	☐		
	☐		
Conditions Met		Choose an item.	
Name		Out of scope	
Position		Chief Financial Officer, Commercial & Corporate	
Signature			
Date		Click here to enter a date.	
Actions taken			