

## 2021-24 NLTP: WORK CATEGORY CHANGES

### Improvement activities and Investment Management (including Transport Planning)

This document provides you with detail about changes to work categories that are associated with Improvement activities and activities in the Investment Management activity class. These are activities that are not within continuous programmes and seek to improve the contribution to an outcome or level of service.

The changes in addition to wording changes, include some new structuring of work categories and revised titles relating to improvements and investment management to provide further clarity and support improved analysis of investment through the National Land Transport Programme (NLTP). Further updates on other activity classes and work categories, may be required to respond to new information.

Where a there has been a revision to the title, or creation of a new work category this is highlighted **yellow**. Changes to wording are coloured **red**.

Refer to this link to the Planning and Investment Knowledge Base for more information on the [purpose of work categories and their relationship to activity classes](#).

Please note Waka Kotahi will make minor modifications to address any issues or gaps identified and to provide clarification, if needed.

#### Road to Zero activity class

Road to Zero is a new activity class in Government Policy Statement on Land Transport 2021/22 to 2030/31 (GPS 2021). Investment through this activity class will be targeted towards interventions that are key to achieving the target reductions in deaths and serious injuries. The Road to Zero activity class is split into continuous programmes and improvement activities. Information on the work categories for Road to Zero are provided in this document. For broader information and an overview on the Road to Zero activity class see <https://www.nzta.govt.nz/assets/P-and-I-Knowledge-Base/docs/Activity-Class-Overview-Road-to-Zero.pdf>

#### Packages and Programmes and Work Categories

Programmes and packages are defined in the Investment Decision Making Framework Document "Programmes and Packages" <https://www.nzta.govt.nz/assets/planning-and-investment/docs/programmes-and-packages-june-2020.pdf>

Where a programme or package is proposed the individual activities within either a programme or package may be split over one or more work categories, noting that the work category selection should be based on the predominant purpose.

#### General Exclusion

There is a general exclusion of activities that are for a commercial purpose or restrict public access as these do not meet the purposes of the Land Transport Management Act 2003.

## Activity Class: Investment Management (including Transport Planning)

The Investment Management activity class is described in the [Government Policy Statement on Land Transport 2021/22 to 2030/31](#) as investment in transport planning, in sector research and in funding allocation management.

<b>Work Category 001: Regional land transport planning management</b>
No changes have been made to this work category.
Work category 001 provides for the management of regional authority statutory land transport planning activities related to the development and management of regional land transport plans (RLTPs).
<b>Qualifying activities</b>
Qualifying under this work category are the actual costs, including overheads, associated with the development and management of RLTPs (including consultation, approval, variation, management and reporting).
<b>Examples of qualifying activities</b>
These include, but may not be limited to:
<ul style="list-style-type: none"><li>• development of a regional strategic case highlighting the key problems within the region and the priorities for investment that meets the requirements of <a href="#">s.16(2)</a> of the Land Transport Management Act (LTMA)</li><li>• aggregation and quality assurance of, and consultation on the programmes of activities submitted by approved organisations and Waka Kotahi (state highways)</li><li>• prioritisation of significant activities proposed for inclusion in the RLTP as required under <a href="#">s.16(3)</a> of the LTMA</li><li>• assessment of the RLTP as required under <a href="#">s.16(6)</a> of the LTMA</li><li>• aggregation, analysis and reporting at a regional level of activity monitoring and other external data sources to monitor the implementation of the RLTP.</li></ul>
<b>Exclusions</b>
Work category 001 excludes:
<ul style="list-style-type: none"><li>• regional transport committee (RTC) expenses associated with committee membership and meetings (each party to bear its own costs)</li><li>• development of programme business cases, including associated gathering and analysis of data and information and modelling, which are funded under <a href="#">work category 004: Programme business case development</a></li><li>• tactical management plans, which are funded under <a href="#">work Category 003: Activity management planning</a></li><li>• preparation and management of <a href="#">regional public transport plans</a> which are funded under <a href="#">work category 003</a></li><li>• data collection or creation (surveys, traffic counts, performance data collection etc), which are funded under other work categories/activity classes. Monitoring of the RLTP implementation should only include the aggregation and interpretation of standard activity, local, regional and national data sources.</li></ul>

## Work Category 002: Transport model development

No changes have been made to this work category.

The purpose of transport models is to provide a tool to understand, and plan for, change. This may relate to changes in population, industry, technology, energy and climate.

Transport models must be fit for purpose. They need to be strategic and identify future transport needs. Updates to existing models should only be undertaken when there has been significant change on strategic context or future projections.

You can find detailed guidance in Waka Kotahi NZ Transport Agency's [Transport model development guidelines\(external link\)](#).

### Examples of qualifying activities

These include, but may not be limited to:

- development of upgrading of models that focus on areas where there has been significant change in the strategic context such as land use or population growth
- access maps showing origins to key destinations.

You can discuss with Waka Kotahi whether other potential activities not listed above might also be eligible for inclusion in this work category.

### Exclusions

Work category 002 excludes:

- maintenance of the model
- application of the model to transport planning or activity development; these are costs of delivering the relevant activity
- routine updates to models where there has not been any significant change in land use and population projections
- models to identify preferred routes
- studies and strategies from July 2015 except where delivered as part of a programme business cases under [work category 004: Programme business case development](#).

## Work Category 003: Activity management planning

Changes have been made to work category 003 providing the specific inclusion of speed management plans in this work category. Note road safety action plans and speed management plans will be funded from the Road to Zero activity class.

Work category 003 provides for the preparation and improvement of land transport activity management plans, regional public transport plans, road safety action plans and procurement strategies.

### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- development of national and regional speed management plans (from 2020)
- improvement of:
  - transport network activity management plans (AMPs)
  - regional public transport plans (RPTPs)
  - road safety action plans (RSAPs) and **speed management plans**
  - procurement strategies

including:

- community consultation related to the improvement of AMPs and RPTPs and development of regional and national speed management plans
- associated demand forecasting and demand management planning
- development of levels of service targets and implementation plans
- asset performance and service gap analysis
- optimisation process development, including development of network operating plans
- financial forecasts
- development and improvement of asset deterioration models.

## Exclusions

Work category 003 excludes:

- development and improvement of transport models are funded under [work Category 002: Transport model development](#)
- business case development beyond the programme business case – this is part of the cost of the programme, project or activity,
- the following activities funded under [work Category 151: Network and asset management for roads](#):
  - regular, routine updates to the plan
  - implementation and operation of asset management systems
  - updating asset information
  - application of AMPs to activities
  - operation and management of the land transport network
  - roughness and condition rating surveys
  - traffic count and congestion surveys
- the following activities funded under [work category 524: Public transport information supply, operations and maintenance](#):
  - routine updates to the RPTP or other public transport planning documents, where public consultation is not required
  - updating asset information in an RPTP or in other public transport planning documents
  - updating statistical records or forecasts in an RPTP or in other public transport planning documents.

## Work Category 004: Programme business case development

Minor change to clarify costs associated to strategic/activity case development are excluded, as these are recoverable as part of overhead costs.

Work category 004 provides for funding assistance for the costs of preparing [programme business cases](#) under Waka Kotahi NZ Transport Agency's [Business Case Approach](#), including supporting evidence collection and model application.

### Examples of qualifying activities

These include, but may not be limited to:

- collecting evidence to inform specific components of the programme business case
- applying modelling, e.g. through the use of a transport model or network operating plan, to test assumptions within the business case, or to forecast demand
- developing a regional, inter-regional or sub-regional programme business case.

You can discuss with Waka Kotahi whether other potential activities not listed above might also be eligible for inclusion in this work category.

## Exclusions

Work category 004 excludes:

- the costs associated with the development of a strategy/ activity strategic case - **these are recoverable as part of overhead costs.**
- development or upgrading of transport models – these are funded under [work category 002: Transport model development](#)
- preparation or improvement of activity management plans, procurement strategies, road safety action plans or regional public transport plans – these are funded under [work category 003: Activity management planning](#)
- studies that do not contribute to the objectives of the approved programme business case
- detailed option selection or any component that is a part of investigating an activity – these are part of the cost of the indicative or detailed business case
- regional land transport planning preparation and management, which should be funded from [work category 001: Regional land transport planning management](#).

<p><b>Work Category 811: Sector research</b></p> <p>No changes have been made to this work category.</p>
<p>This work category provides guidance on Waka Kotahi NZ Transport Agency's research programme.</p> <p>Waka Kotahi manages this programme and purchases research from external researchers.</p> <p><b>Examples of qualifying activities</b></p> <p>Examples of qualifying activities include but may not be limited to:</p> <ul style="list-style-type: none"> <li>• directed research (proposals requested by Waka Kotahi);</li> <li>• Austroads Research;</li> <li>• management of the research programme.</li> </ul> <p>The Waka Kotahi <a href="#">Research Programme Framework [PDF, 184 KB]</a> provides clear research objectives and helps to focus the approach to research investment, and hence defines the activities required to achieve the objectives.</p>
<p><b>Exclusions</b></p> <p>This work category excludes:</p> <ul style="list-style-type: none"> <li>• research to support Waka Kotahi's activities - this is funded under <a href="#">work category 911: Investment in the funding allocation system</a>.</li> </ul>

<p><b>Work Category 911: Investment in the funding allocation</b></p> <p>No changes have been made to this work category.</p>
<p>This section sets out guidance on Waka Kotahi NZ Transport Agency's nationally delivered activities for investment in the funding allocation system (IFAS), including programme management of the National Land Transport Programme (NLTP). The NLTP covers activities funded from the National Land Transport Fund (NLTF) as well as Crown funded activities managed by Waka Kotahi.</p> <p><b>Examples of qualifying activities</b></p> <p>These include, but may not be limited to:</p> <ul style="list-style-type: none"> <li>• management of the NLTF</li> <li>• development and management of the NLTP</li> <li>• management and reporting of the allocation of funds and expenditure through the NLTP</li> <li>• assessment of business cases for Waka Kotahi support and funding approval</li> <li>• participation in strategic level planning work to shape the long-term land transport network nationally or over multiple regions</li> <li>• assessment of and submissions on local authority area-wide land use planning documents, i.e. not project specific</li> <li>• management of recommendations for police activities</li> <li>• management of procurement policies, procedures and guidelines</li> <li>• development of planning and investment policies, procedures and guidelines</li> <li>• assistance and advice to approved organisations, Waka Kotahi staff and other investment partners</li> <li>• management of Waka Kotahi nationally delivered activities funded through the NLTP.</li> </ul> <p>You can discuss with Waka Kotahi whether other potential activities not listed above might also be eligible for inclusion in this work category.</p>
<p><b>Exclusions</b></p> <p>Work category 911 excludes:</p> <ul style="list-style-type: none"> <li>• any Waka Kotahi activity, other than assessment, advice and assistance, that is investment proposal/project specific. This includes any planning work contributing to the development of a proposal/project - all such costs are to be allocated to the proposal/project under an appropriate work category</li> <li>• any activity delivered by an approved organisation</li> <li>• any activity that is specific to a state highway.</li> </ul>

## **New** Activity Class – Road to Zero

This is a new activity class for the 2021-24 NLTP.

Investment through the Road to Zero activity class will be targeted towards those interventions identified as being key to achieving the target reductions in deaths and serious injuries sought through Road to Zero, focussing on:

- Safety infrastructure and speed management: safety treatments and speed management on roads across New Zealand where data show the highest concentrations of deaths and serious injuries occur, as well as road engineering to support speed reductions around urban and rural schools.
- Road policing: maintaining the number of existing dedicated road policing staff plus necessary wage increases over time, non-dedicated staff time undertaking road policing activities, and associated equipment and overheads, new roadside drug testing equipment, and court-imposed alcohol interlocks subsidy scheme.
- Automated enforcement: expanding the safety camera network and its operation and management.
- Road safety promotion: national and local/regional campaigns and initiatives to achieve safety outcomes.
- System management activities: strengthen system leadership, support and coordination.

Outside of this activity class, investment from other activity classes may be used to fund activities with a safety outcome.

Eligible work categories are:

Work category 003: Activity management planning – Work category 003: [Activity management planning](#)

Work category 123: Operational traffic management – [Work category 123: Operational traffic management](#)

Work category 151: Network and asset management – [Work category 151: Network and asset management for roads](#):

Work category 321: New traffic management facilities - [Work category 321: New traffic management facilities](#)

Work category 324: Road improvements - [Work category 324: Road improvements](#)

Work category 341: Low cost/ Low risk improvements - [Work category 341: Low cost/ Low risk improvements](#)

Work category 432: Safety promotion, education and advertising - [Work category 432: Safety promotion, education and advertising](#)

Work category 711: Road policing - [Work category 711: Road policing](#)

## Activity Class – Walking and Cycling Improvements

### Work Category 451: Walking facilities

Clarification has been added to the exclusions that maintenance and renewals are funded from work categories 125 (footpath maintenance) and 225 (footpath renewals).

Work category 451 provides for the construction/implementation of new or improved walking facilities.

### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- new or improved footpaths, including on an existing bridge
- costs associated with bringing the facility into service and attracting users to the facility, which may include:
  - all signage, markings, traffic signals, lighting, etc
  - targeted education promotion and/or advertising activities directly linked to the initial launch/promotional period for the improvements to the walking network
- pedestrian crossing features, including kerb crossings, kerb protrusions, central refuges and pedestrian platforms
- pedestrian crossing controls, including zebra crossings, kea crossings and pedestrian traffic signals
- signage
- altering kerb lines to improve pedestrian access
- pedestrian shelters (excluding shelters that are primarily provided for waiting for, or getting to or from, passenger transport)
- pedestrian overbridges/underpasses
- pedestrian crossings of railways
- property purchase - see Property purchase section below.

### Exclusions

Work category 451 excludes:

- maintenance and renewal of footpaths and facilities associated with footpaths – this work is funded from [work categories 125: Footpath maintenance and 225 footpath renewals respectively](#)
- routine work necessary to maintain the function, structural integrity and appearance of footpaths on road structures – this work is funded from [work category 114: Structures maintenance](#)
- facilities that are purely recreational
- maintenance and renewal of associated traffic signals, signs, markings and lighting – this is funded from [work category 125: Footpath maintenance](#)
- shared walking and cycling facilities - these are funded from [work category 452: Cycle facilities](#)
- long-term travel behaviour change and promotional and information activities are funded under [work category 421: Travel demand management](#).

### Property purchase

Funding for property purchases for walking facilities is available under this work category. The principles and conditions set out in the relevant work category below apply to property purchases for this work category:

- [Work category 331: Property purchase - state highways](#)
- [Work category 332: Property purchase - local roads](#)
- [Work category 333: Advance property purchase - local roads](#)

Where the property purchase cost for a project exceeds \$500,000, a property phase must be set up in [Transport Investment Online\(external link\)](#) using the appropriate walking or cycling work category. Where the property cost is up to \$500,000, the cost may be included in the construction/implementation phase.

## Work Category 452: Cycling facilities

Clarification has been added to the exclusions that maintenance and renewals are funded from work categories 124 (cycle path maintenance) and 224 (cycle path renewals).

Work category 452 provides for the construction/implementation of new or improved cycling facilities, and shared pedestrian and cycle paths.

The construction of on road interventions required to improve the safety and amenity value of cycling, for example a wider carriageway, vehicle parking configurations, pinch points or kerb structure is eligible for funding assistance.

### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- shared pedestrian and cycle paths
- bicycle parking/racks
- kerb crossings
- signage
- new or improved cycle lanes, including on existing bridges
- separate cycle paths
- widening the existing carriageway to provide cycle lanes
- costs associated with attracting users to the facility, which may include:
  - signage, markings, traffic signals, lighting etc.
  - targeted education promotion and/or advertising activities directly linked to the cycling network.
- property purchases - see Property purchase section below.

Approved organisations and Waka Kotahi (for its own activities) can discuss with Waka Kotahi whether other activities not listed above might also be eligible for inclusion in this work category.

### Exclusions

Work category 452 excludes:

- maintenance and renewal of cycle paths and shared paths and associated facilities – this work is funded from [work categories 124: Cycle path maintenance and 224 cycle path renewal respectively](#)
- all mountain biking trails
- facilities that are not available to the general public at all times or do not have a transport function.

### Property purchase

Funding for property purchases for cycling facilities is available under this work category. The principles and conditions set out in the relevant work category below apply to property purchases for this work category:

- [Work category 331: Property purchase - state highways](#)
- [Work category 332: Property purchase - local roads](#)
- [Work category 333: Advance property purchase - local roads](#)

Where the property purchase cost for a project exceeds \$500,000, a property phase must be set up in [Transport Investment Online\(external link\)](#) using the appropriate walking or cycling work category. Where the property cost is up to \$500,000, the cost may be included in the construction/implementation phase.



## PUBLIC TRANSPORT SERVICES AND PUBLIC TRANSPORT INFRASTRUCTURE

GPS 2021 creates two new activity classes: Public Transport Services and Public Transport Infrastructure to separate investment in services and infrastructure.

The work categories for Public Transport Services cover existing services, improvements to services and new services.

The Public Transport Infrastructure activity class incorporates: rapid transit funding, metro rail funding, components of Travel Demand Management; and establishes separate work categories for Bus, Ferry and Rail improvements. All low cost low risk activities relating to public transport are within the Public Transport Infrastructure activity class for simplicity. Additionally, the management, operation and maintenance of off-vehicle facilities and equipment associated with the delivery of public transport services separately identified by mode or for multi-modal use is funded from the Public Transport Infrastructure activity class.

Projects approved under the Transitional Rail activity class for the Auckland and Wellington metropolitan rail networks in GPS 2018 and certain approved interregional rail projects will now be funded through the Public Transport Infrastructure and Public Transport Services activity classes.

All investment in metropolitan rail through the Public Transport Infrastructure activity class must align with the New Zealand Rail Plan before being considered for investment.

### **New** Activity Class – Public Transport Infrastructure

This is a new activity class for the 2021-24 NLTP.

Eligible work categories include:

Work Category 421: Travel demand management - [Work Category 421: Travel demand management](#)

Work Category 514: Public Transport facilities and infrastructure – operations and maintenance  
[Work Category 514: Public Transport facilities and infrastructure – operations and maintenance](#)

Work category 532: Low cost, low risk public transport improvements - [Work category 532: Low cost, low risk public transport improvements](#)

Work category 534: Public transport facilities and infrastructure renewals (New)

Work category 561: Passenger facilities and infrastructure improvements – bus (New)

Work category 562: Passenger facilities and infrastructure improvements – ferry (New)

Work category 563: Passenger facilities and infrastructure improvements – rail (New)

Work category 540: Rapid transit improvements – [Work category 540: Rapid transit improvements](#)

Work category 545: Transitional rail infrastructure – [Work category 545: Transitional rail infrastructure](#)

Work Category 554: investment in new technology to improve effectiveness of public transport systems (New)

For the 2021-24 NLTP we have removed work category 531: Public transport infrastructure and major renewals. This is because for 2021-24 NLTP the new work categories 534, 561, 562 and 563 provide for the activities formerly in work category 531.

### Work Category 514: Public transport facilities and infrastructure - operations and maintenance

This work category has been revised to provide for inclusion as part of the new Activity Class – Public Transport Infrastructure.

This work category provides for the management, operation and maintenance of off-vehicle facilities and equipment associated with the delivery of public transport services separately identified by mode or for multi-modal use.

#### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- maintenance and general security of public transport facilities, including bus stops, public transport ferry terminals, rail stations, and rail and bus interchanges
- leases for public transport facilities (including ferry wharves, and associated access)
- operation of facilities with respect to staffing and energy, water supply and communications costs
- loan (principal and interest) repayments where agreed by Waka Kotahi, and
- the management costs and overheads associated with the activities funded under this work category.

### Work Category 532: Low cost, low risk public transport improvements

The funding threshold for this work category has been changed from \$1,000,000 to \$2,000,000 for this work category.

This work category is for the management of the programme of low cost, low risk public transport improvements to a maximum total cost for approval per activity of \$2,000,000. Activities are eligible to be considered for approval through this programme if they meet the criteria for the relevant Passenger Transport work category within the Passenger Transport activity classes.

The \$2.0 million implementation cost for approval includes professional services, property and construction/implementation costs.

Note: For proposals related to passenger services the \$2,000,000 threshold is the net implementation cost to be shared by the regional council and Waka Kotahi after forecast farebox revenue has been accounted for over the proposed duration of the activity for which approval is sought (a maximum of 3 years) e.g. The net cost of a three-year service is estimated at \$1.8 million based on the following gross cost and revenue:

- \$1 million per year gross – forecast Gross cost = \$3 million
- Less \$400,000 per year revenue; 3 years revenue = - \$1.2 million
- Net co-funded share (Regional Council & Waka Kotahi) = \$1.8 million)

Therefore, the net amount at < \$ 2 million would be an eligible activity.

#### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- small scale new services or service trials (with a whole of life cost of no more than \$2,000,000)
- construction of new shelter(s) or existing shelter upgrades
- construction of new station/station halt or existing station/station halt upgrades,
- construction of concrete arrival/departure pads for buses
- construction of bus parking facilities (layover area)
- bus or transit lane/priority improvements, and busways
- construction/upgrade/relocation of driver/passenger toilet facilities
- platform extension, replacement and upgrade
- minor new asset purchases for PT facilities (e.g. rubbish bins, canopies, seating, etc)
- roof, canopy, guttering or lighting upgrades
- signage, timetable or screen display installation or upgrade
- CCTV installation or upgrade

- new or upgraded replacement of IT equipment or systems, including ticketing machines and transponders, customer APPS specifically related to PT
- screen display installation or upgrade
- safety and security improvements (including CCTV installation or upgrade)
- construction / upgrade of existing ferry berth (including ferry freeboard or floating pontoon) existing ferry mooring / berthing piles/ sullage facility
- passenger waiting area/ queuing improvements (ferry)
- installation of cycle racks on buses
- vehicle and cycle parking installation or upgrade at a bus stop / interchange or station.

Other potential activities not shown above should be discussed with Waka Kotahi NZ Transport Agency for eligibility.

### Exclusions

The work category excludes:

- any local improvement project funded with a FAR other than the approved organisation's normal FAR, e.g. activities funded from the Urban Cycleway fund or under targeted enhanced FARs, and
- any improvement project with an estimated total cost for approval (after deducting third party/supplementary funding from the total cost) of over \$2,000,000 – these must be developed as individual improvement projects under the appropriate work category.

### Conditions of funding

Funding from the work category is subject to conditions concerning project inclusion as well as programme submission and management.

### Conditions of funding for project inclusion

Each Low cost, low risk improvements programme must be supported by a list of projects using Waka Kotahi's public transport improvements template (which can be downloaded from [Transport Investment Online\(external link\)](#)).

If an approved organisation does put an activity forward with an estimated total cost of over \$2.0 million as a low cost, low risk improvement, Waka Kotahi will only fund such a project to a cap of \$2.0 million under this work category and any amount over this cap will be treated as third party/supplementary funding, which the approved organisation must fund itself. For example, a project of \$2.2 million total cost will be assumed to have \$200,000 third party/supplementary funding and Waka Kotahi will assist funding only to the \$2.0 million total cost for approval maximum.

## Work Category 534: Public transport facilities and infrastructure renewals

Work category 534 is new for the 2021-24 NLTP.

Work category 534 provides for capital cost of the planned like for like replacement / renewal of off-vehicle facilities and equipment associated with the delivery of contracted public transport services.

### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- bus stations, interchanges or terminals, shelters and ferry berthing facilities
- car and bus parking facilities for the above
- safety and security installation and upgrades at facilities
- signalling for the efficient operation of services
- park and ride infrastructure including cycle storage at facilities
- pedestrian and cycle access to bus facilities
- the management costs and overheads associated with activities funded under this work category.

You can discuss with Waka Kotahi whether other potential activities not listed above might also be eligible for inclusion in this work category.

## Work Category 561: Passenger facilities and infrastructure improvements -bus

Work category 561 is new for the 2021-24 NLTP.

Work category 561 provides for the capital cost of all new or improved bus facilities and infrastructure for contracted services.

### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- bus or transit lane/priority improvements, and busways
- enabling work required to accommodate public transport on existing carriageways
- park and ride infrastructure including cycle storage facilities
- pedestrian and cycle access to bus facilities
- construction of new bus shelter(s) or existing bus shelter upgrades
- construction of new bus interchange or existing bus interchange upgrades,
- construction of concrete arrival/departure pads for buses
- construction of bus parking facilities (including layover areas)
- construction/upgrade/relocation of driver / passenger toilet facilities
- minor new asset purchases for bus station / stop facilities (e.g. rubbish bins, canopies, seating, etc)
- roof, canopy, guttering or lighting upgrades
- signage, timetable or screen display installation or upgrade
- safety and security improvements (including CCTV installation or upgrade)
- installation of cycle racks on buses
- vehicle and cycle parking installation or upgrade at a bus stop / interchange or station.

You can discuss with Waka Kotahi whether other potential activities not listed above might also be eligible for inclusion in this work category.

### Exclusions

Work category 561 excludes:

- infrastructure and service improvements costing under \$2,000,000 per activity and funded under the approved organisation's normal funding assistance rate (FAR), these are provided for under [work category 532: Low cost, low risk public transport improvements](#)
- like-for-like replacement and renewal of public transport facilities and infrastructure of up to \$5 million per activity - these are provided for under [work category 514: Public transport facilities operations and maintenance](#)
- the operation and maintenance of technology based systems, these are provided for under [work category 524: Public transport information supply, operations and maintenance](#)
- facilities not owned by an approved organisation, unless there is an executed agreement on its public use and charges for use
- infrastructure provision to cater for commercial passenger transport services not captured in a regional public transport plan.

### Property purchase

Funding for property purchases for public transport infrastructure improvements is assisted under work category 561. The principles and conditions set out in the relevant work category below apply to property purchases for this work category:

- [work category 331: Property purchase – state highways](#)
- [work category 332: Property purchase – local roads](#)
- [work category 333: Advance property purchase – local roads.](#)

Where the property purchase cost for a project exceeds \$500,000, a property phase must be set up in [Transport Investment Online\(external link\)](#). Where the property cost is up to \$500,000, the cost may be included in the construction/implementation phase.

## Work Category 562: Passenger facilities and infrastructure improvements - ferry

Work category 562 is new for the 2021-24 NLTP.

Work category 562 provides for the capital cost of all new or improved facilities and infrastructure for contracted passenger ferry services.

### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- construction of new or significant upgrades to passenger ferry berthing facilities
- signage, timetable or screen display installation or upgrade
- minor new asset purchases for ferry facilities (e.g. rubbish bins, canopies, seating, etc)
- roof, canopy, guttering or lighting upgrades
- park and ride infrastructure including cycle storage facilities for ferry facilities
- pedestrian and cycle access to public transport ferry facilities
- safety and security installation and upgrades.

You can discuss with Waka Kotahi whether other potential activities not listed above might also be eligible for inclusion in this work category.

### Exclusions

Work category 562 excludes:

- infrastructure and service improvements costing under \$2,000,000 per activity and funded under the approved organisation's normal funding assistance rate (FAR), these are provided for under [work category 532: Low cost, low risk public transport improvements](#)
- like-for-like replacement and renewal of public transport facilities and infrastructure of up to \$5 million per activity - these are provided for under [work category 514: Public transport facilities operations and maintenance](#)
- the operation and maintenance of technology based systems, these are provided for under [work category 524: Public transport information supply, operations and maintenance](#)
- facilities not owned by an approved organisation, unless there is an executed agreement on its public use and charges for use
- infrastructure provision to cater for commercial passenger transport services not captured in a regional public transport plan.

### Property purchase

Funding for property purchases for public transport infrastructure improvements is assisted under work category 561. The principles and conditions set out in the relevant work category below apply to property purchases for this work category:

- [work category 331: Property purchase – state highways](#)
- [work category 332: Property purchase – local roads](#)
- [work category 333: Advance property purchase – local roads.](#)

Where the property purchase cost for a project exceeds \$500,000, a property phase must be set up in [Transport Investment Online\(external link\)](#). Where the property cost is up to \$500,000, the cost may be included in the construction/implementation phase.

## Work Category 563: Passenger facilities and infrastructure improvements - rail

Work category 563 is new for the 2021-24 NLTP.

Work category 563 provides for the capital cost of all new or improved facilities and infrastructure for contracted passenger rail services.

### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- passenger rail stations, interchanges or terminals, platforms and shelters
- roof, canopy, guttering or lighting upgrades
- new / improved track and traction equipment
- double tracking – extensions/duplication related in part to the operation of passenger rail services that improve the reliability and capacity of the corridor
- park and ride infrastructure including cycle storage facilities for public transport rail facilities
- pedestrian and cycle access to public transport rail facilities
- park and ride infrastructure including cycle storage facilities for public transport rail facilities
- safety and security installation and upgrades.

You can discuss with Waka Kotahi whether other potential activities not listed above might also be eligible for inclusion in this work category.

### Exclusions

Work category 563 excludes:

- infrastructure and service improvements costing under \$2,000,000 per activity and funded under the approved organisation's normal funding assistance rate (FAR), these are provided for under [work category 532: Low cost, low risk public transport improvements](#)
- like-for-like replacement and renewal of public transport facilities and infrastructure of up to \$5 million per activity - these are provided for under [work category 514: Public transport facilities operations and maintenance](#)
- the operation and maintenance of technology based systems, these are provided for under [work category 524: Public transport information supply, operations and maintenance](#)
- facilities not owned by an approved organisation, unless there is an executed agreement on its public use and charges for use
- infrastructure provision to cater for commercial passenger transport services not captured in a regional public transport plan.

### Property purchase

Funding for property purchases for public transport infrastructure improvements is assisted under work category 563. The principles and conditions set out in the relevant work category below apply to property purchases for this work category:

- [work category 331: Property purchase – state highways](#)
- [work category 332: Property purchase – local roads](#)
- [work category 333: Advance property purchase – local roads.](#)

Where the property purchase cost for a project exceeds \$500,000, a property phase must be set up in [Transport Investment Online\(external link\)](#). Where the property cost is up to \$500,000, the cost may be included in the construction/implementation phase.

## Work Category 540: Rapid transit improvements

No changes have been made to this work category. **However, this is no longer a separate activity class and is part of the Public Transport Infrastructure Activity class.**

Work category 540 provides for rapid transit infrastructure activities on largely dedicated key corridors in Auckland, Wellington and Christchurch, enabling a substantial increase in the numbers of people accessing social and economic opportunities and providing for transit-oriented development.

### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- construction of the right-of-way
- property purchase
- consenting and other legislative compliance costs
- purchase of rolling stock
- associated facilities such as:
  - platforms, stations, lighting
  - signalling
  - pedestrian access
- stabling and maintenance facilities
- provision of traction infrastructure.

You can discuss with Waka Kotahi NZ Transport Agency whether other potential activities not listed above might also be eligible for inclusion in this work category.

### Exclusions

Work category 540 excludes:

- any public transport improvements that are not rapid transit are funded under:
  - work category 531: [Public transport infrastructure improvements and major renewals](#)
  - work category 532: [Public transport low cost, low risk improvements](#)
  - work category 545: [Transitional rail infrastructure](#)
- operations of the rapid transit system – these are funded under the public transport activity class
- planning activities at a network level and programme business case are funded under:
  - work category 003: [Activity management planning – 2018–21 NLTP](#)
  - work category 004: [Programme business case development](#).

### Property purchase

Funding for property purchases for rapid transit improvements is assisted under work category 540. The principles and conditions set out in the relevant work category below apply to property purchases for this work category:

- [work category 331: Property purchase – state highways](#)
- [work category 332: Property purchase – local roads](#)
- [work category 333: Advance property purchase – local roads](#).

Where the property purchase cost for a project exceeds \$500,000, a property phase must be set up in [Transport Investment Online\(external link\)](#). Where the property cost is up to \$500,000, the cost may be included in the construction/implementation phase.

**Work Category 545: revised Transitional Rail Infrastructure**

This is no longer a separate activity class and is part of the Public Transport Infrastructure Activity class.

This work category provides funding for the balance of funding in the 2021–24 NLTP for committed activities that were approved in the 2018-21 NLTP under the Transitional Rail Activity Class.

No new approvals in the 2021–24 NLTP will be considered under this work category. Refer to the 2018-21 NLTP activity class and work category criteria for the details of the relevant criteria for already approved projects.

**Work Category 554: Investment in new technology to improve effectiveness of public transport systems**

Work category 554 is new for the 2021-24 NLTP.

This work category provides for the provision of new technology solutions to improve the performance of contracted bus, ferry and rail services.

**Examples of qualifying activities**

Examples of qualifying activities include, but may not be limited to:

- IT system implementation and upgrades, including electronic ticketing and real-time system infrastructure, ticketing machines and transponders, customer APPS specifically related to PT
- signalling upgrades for the efficient operation of bus, rail or ferry services.



## Activity Class – Local road and state highway improvements

<b>Work Category 321: New traffic management facilities</b>
No changes have been made to this work category.
Work category 321 provides for new facilities and equipment that support the safe management and operation of the road network.
<b>Examples of qualifying activities</b>
Examples of qualifying activities include, but may not be limited to new and improved: <ul style="list-style-type: none"><li>• traffic signals</li><li>• advanced traffic management systems (ATMS)</li><li>• variable message signs (VMS)</li><li>• area-wide traffic control systems</li><li>• local area traffic management schemes (LATMS), including speed control devices and threshold treatments</li><li>• ramp metering</li><li>• surveillance devices</li><li>• traffic monitoring equipment, such as closed-circuit television systems</li><li>• weighing facilities owned by a road controlling authority and/or operated as a weight surveillance facility</li><li>• stock-truck effluent disposal facilities (refer to <a href="#">stock effluent facilities policy</a>)</li><li>• rail level crossing warning devices</li><li>• for local road projects, property purchase costs of less than \$500,000.</li></ul>
You can discuss with Waka Kotahi NZ Transport Agency whether other potential activities not listed above might also be eligible for inclusion in this work category.
<b>Exclusions</b>
The work category excludes: <ul style="list-style-type: none"><li>• upgrades to traffic management equipment and facilities conducted under <a href="#">work category 222: Traffic services renewals</a> to upgrade old standard equipment to the appropriate level of service.</li></ul>
<b>Rail level crossing warning devices</b>
Waka Kotahi expects that the relevant rail track authority and the road controlling authority will share equally the costs of improving <a href="#">rail level crossing warning devices</a> .
Where, under a deed of grant by the relevant rail track authority, the road controlling authority is required to pay the full cost of upgrade, this cost is accepted for funding assistance from the National Land Transport Fund (NLTF).
An invoice from the relevant rail track authority must back up claims for funding assistance.

### Work Category 322: New or improved bridges and structures

Changes have been made to this work category to better identify activity for new or improved bridges or other road structures.

Work category 322 provides for new or improved bridges and other road structures, where this is the main purpose of the work.

#### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- replacing a bridge for non-structural reasons, such as inadequate width or waterway
- modifying an existing bridge to increase its structural capacity to a level higher than originally provided

You can discuss with Waka Kotahi NZ Transport Agency whether other potential activities not listed above might also be eligible for inclusion in this work category.

Funding approval is subject to the conditions set out below.

#### Exclusions

Work category 322 excludes:

- renewal of existing structures for structural condition reasons is funded under work category 216 Bridge and structures renewals
- replacement of a cattle stop – this is funded under [work category 215: Structures component replacements](#)
- maintenance of existing retaining structures should be conducted under [work category 114: Structures maintenance](#).

#### Conditions of funding

The conditions of funding for new or improved bridges and structures include:

- The cost of the proposed replacement must be checked against the Waka Kotahi policy on [uneconomic roading facilities](#) prior to an application being submitted through Transport Investment Online TIO).
- New or replacement bridges proposed for funding from the National Land Transport Fund (NLTF) must conform to the requirements of the Waka Kotahi [Bridge manual](#). Waka Kotahi may approve a specific departure from these design standards in terms of its policy on uneconomic roading facilities.

### Work Category 323: New Roads

No changes have been made to this work category.

Work category 323 provides for the construction of a new road or road link that is additional to the existing road network, including any associated new road structures.

#### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- construction of a new road, including the earthworks and pavement construction required to establish the new road
- a bridge that forms part of a new road or road link
- retaining structures that form part of a new road
- stock underpasses
- discharge of street water by means of pipes or open drains into natural watercourses, where no artificial drainage system exists, or into artificial drainage systems (sumps, mains or open drains), on, adjacent to or across the road

- all traffic signs, pavement markings, traffic signals, lighting, etc, necessary to bring the new facility into service
- appropriate safe system infrastructure for the type and speed environment of the road
- for local road projects property purchase costs less than \$500,000.

You can discuss with Waka Kotahi NZ Transport Agency whether other potential activities not listed above might also be eligible for inclusion in this work category.

#### Exclusions

Work category 323 excludes:

- deviation of an existing road
- a new cattle stop where none previously existed.

### Work Category 324: Road Improvements

No changes have been made to this work category.

Work category 324 provides for:

- improvements to or upgrading of existing roads within the existing or widened road reserve
- deviations onto a new road reserve, where the original road is closed, including any associated new road structures.

#### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- road realignment, re-grading or widening, including seal widening
- improvements to intersections
- passing lanes or slow vehicle bays
- safe system infrastructure, such as median and side barriers, roundabouts and speed management devices
- approaches to bridge replacements costing in excess of \$50,000
- retaining structures, culverts and replacement cattle stop
- stock underpasses
- all traffic signs, pavement markings, traffic signals, lighting (including under-grounding), etc, necessary to bring the improved facility into service
- reinstatement of footpaths and vehicular crossings that are part of the improvement project (reinstatement is to be to the original standards only – no additional improvements are eligible for funding assistance)
- discharge of street water by means of pipes or open drains into natural watercourses, where no artificial drainage system exists, or into artificial drainage systems (sumps, mains or open drains), on, adjacent to or across from the road, and
- for local road projects property purchase costs less than \$500,000.

You can discuss with Waka Kotahi NZ Transport Agency whether other potential activities not listed above might also be eligible for inclusion in this work category.

Note that any application for improvements which will increase the level of service (e.g. pavement smoothing) must provide evidence of substantive benefits.

#### Exclusions

Work category 324 excludes:

- a new cattle stop where none previously existed
- pavement rehabilitations due to high maintenance costs - these are funded under [work category 214: Sealed road pavement rehabilitation](#)
- traffic services renewals – these are funded under [work category 222: Traffic services renewals](#).

<p><b>Work Category 325: Seal extension</b></p> <p>Information has been provided in exclusions where a seal extension is proposed on a least whole of life cost basis the seal extension can be done as a maintenance activity.</p>
<p>Work category 325 provides for the sealing of existing unsealed roads.</p>
<p><b>Examples of qualifying activities</b></p> <p>Examples of qualifying activities include, but may not be limited to:</p> <ul style="list-style-type: none"> <li>• extending the length of sealing from a sealed onto an unsealed road</li> <li>• road improvements as defined in <a href="#">work category 324: Road improvements</a> associated with extending the length of sealing.</li> </ul> <p>You can discuss with Waka Kotahi NZ Transport Agency whether other potential activities not listed above might also be eligible for inclusion in this work category.</p>
<p><b>Exclusions</b></p> <p>Work category 325 excludes:</p> <ul style="list-style-type: none"> <li>• widening the seal of an existing sealed road – this should be conducted under <a href="#">work category 324: Road improvements</a></li> <li>• a new cattle stop where there was none previously.</li> <li>• <b>Where a seal extension is proposed on a least whole of life cost basis the seal extension can be done as a maintenance activity.</b></li> </ul>

<p><b>Work Category 331: Property purchase – state highways</b></p> <p>The title of Waka Kotahi has been added to this work category.</p>
<p>This work category provides for the purchase of land by Waka Kotahi NZ Transport Agency for new and improved roading infrastructure for state highways.</p>
<p><b>Examples of qualifying activities</b></p> <p>Examples of qualifying activities include, but may not be limited to:</p> <ul style="list-style-type: none"> <li>• valuation</li> <li>• legalisation surveys</li> <li>• acquisitions, and</li> <li>• compensation.</li> </ul> <p>Other potential activities not shown above should be discussed with Waka Kotahi for eligibility.</p>
<p><b>Exclusions</b></p> <p>The work category excludes:</p> <ul style="list-style-type: none"> <li>• property purchase costs of less than \$500,000 – these are to be included in the project costs conducted under the appropriate work category phase, i.e. a separate property phase is not required.</li> </ul>
<p><b>Applying principles to other activity classes</b></p> <p>The principles and conditions of property purchase for state highways set out below may be applied to other activities classes, e.g. public transport improvements (<a href="#">work category 531</a>), walking and cycling improvements (work categories <a href="#">451</a> and <a href="#">452</a>), where Waka Kotahi has agreed that it will assist the funding for property purchased for land transport purposes.</p> <p>Property purchase for other activity classes will be funded under the same work category that will be applied to construction/ implementation of the project, e.g. <a href="#">work category 531</a> for public transport infrastructure projects.</p>

## Conditions of funding

Conditions include:

- funding assistance will be based on the purchase price
- all costs must be identified by project and available for audit
- a land plan must be available for audit purposes and must indicate the area of land to be purchased and the part that is to be converted to road reserve, with each individual property to be identified on the plan, and
- total gross property purchase costs and the estimated value from disposal of surplus land are to be entered and updated in the property phase in [Transport Investment Online](#)

## Work Category 332: Property purchase – local roads

No changes have been made to this work category.

This work category provides for the purchase of land by approved organisations for local road improvements. The application for funding approval is made at the same time the application is made for implementation funding.

### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- valuation
- legalisation surveys
- acquisitions, and
- compensation.

Other potential activities not shown above should be discussed with Waka Kotahi for eligibility.

Funding is subject to the conditions set out below.

### Exclusions

The work category excludes:

- property purchase costs of less than \$500,000 – these are to be included in the project costs conducted under the appropriate work category and phase, i.e. a separate Property phase is not required
- where an exchange of land occurs between a private landowner and an approved organisation, or where land is vested in an approved organisation by a private owner required to do so without monetary payment for the land, the transaction does not qualify for funding assistance. However, where these involve payment of land transfer fees or stamp duty, these costs can be included as acquisition costs.

### Applying principles to other activity classes

The principles and conditions of property purchase for local roads set out below may be applied to other activities classes, e.g. public transport improvements ([work category 531](#)), walking and cycling improvements (work categories [451](#) and [452](#)), where Waka Kotahi has agreed that it will assist the funding for property purchased for land transport purposes.

Property purchase for other activity classes will be funded under the same work category that will be applied to construction/ implementation of the project, e.g. [work category 531](#) for public transport infrastructure projects.

### Conditions of funding

Conditions include:

- funding assistance is considered only at the time of the application for construction/ implementation funding assistance and the cash-flow for property purchase set out in

Transport Investment Online is expected to coincide with the initial cash-flows for construction/implementation

- funding assistance is based on the greater of the purchase price or current market value of the net property required for the land transport project and is to exclude any property held for other purposes or property surplus to the project that is being on-sold
- unless otherwise agreed by Waka Kotahi, the net property for road improvement projects will be that legalised as road reserve
- the basis for establishing current market value will be agreed with Waka Kotahi prior to submission of the funding application. The default methodology will be an independent valuation. However, Waka Kotahi property acquisition staff may advise an alternative methodology is appropriate based on the scale involved and property market movements since the property was purchased by the approved organisation
- legalisation surveys, including plan fees payable to Land Information New Zealand, are to be treated as part of the land acquisition cost. No other expenses involved in the legalisation process are eligible for funding assistance
- any payment for [Betterment](#) recovered in terms of section 326 of the Local Government Act 1974 shall be a credit to the cost of the project
- all costs must be identified by project and available for audit, and
- a land plan must be available for audit purposes and must indicate the area of land to be purchased and the part that is to be converted to road reserve, with each individual property to be identified on the plan.

### **Work Category 333: Advance Property purchase – local roads**

An amendment has been made to this work category to enable waiver or amendment of conditions relating to registration of an interest on the title.

This work category provides for property acquisition for local roading purposes, prior to Waka Kotahi NZ Transport Agency approving funding for the construction/implementation of a project.

#### **Examples of qualifying activities**

Examples of qualifying activities include, but may not be limited to:

- valuation
- legalisation surveys
- acquisitions, and
- compensation.

Other potential activities not shown above should be discussed with Waka Kotahi for eligibility.

Funding is subject to the conditions set out below.

#### **Exclusions**

The work category excludes:

- property purchase costs of less than \$500,000 – these are to be included in the project costs conducted under the appropriate work category and phase, i.e. a separate Property phase is not required
- where an exchange of land occurs between a private landowner and an approved organisation, or where land is vested in an approved organisation by a private owner required to do so without monetary payment for the land, the transaction does not qualify for funding assistance. However, where these involve payment of land transfer fees or stamp duty, these costs can be included as acquisition costs.

#### **Applying principles to other activity classes**

The principles and conditions of property purchase for local roads set out below may be applied to other activities classes, e.g. public transport improvements ([work category 531](#)), walking and cycling improvements (work categories [451](#) and [452](#)), where Waka Kotahi has agreed that it will assist the funding for property purchased for land transport purposes.

Property purchase for other activity classes will be funded under the same work category that will be applied to construction/ implementation of the project, e.g. [work category 531](#) for public transport infrastructure projects.

### Conditions of funding

Conditions for funding assistance include:

- funding assistance will be based on the greater of the purchase price or current market value
- the basis for establishing current market value will be agreed with Waka Kotahi prior to the funding application. The default methodology will be an independent valuation. However, Waka Kotahi property acquisition staff may advise an alternative methodology is appropriate, based on the scale of the application and movements in the property market since the property was purchased or last valued
- the land must be designated in the district plan for road purposes or its land transport purpose described sufficiently in other local authority planning documents to the satisfaction of the Waka Kotahi legal representative
- the preferred option for the programme, package or project must be endorsed by Waka Kotahi and should be a major element in the improvement of the road system
- The Waka Kotahi financial interest will be registered on the property title by way of a caveat registered by Waka Kotahi. If any property deemed surplus to transport needs is sold or transferred, Waka Kotahi will withdraw any registered caveat on settlement provided its share is to be reimbursed to Waka Kotahi within five working days from the settlement date of the sale or transfer. The Waka Kotahi share will be in the same proportion as its contribution was to the total purchase price or market value of the property when assisted with funding from the National Land Transport Fund (NLTF).
- additionally, Waka Kotahi will, at the end of each financial year receive its share of all net income received from the property (e.g. any rental income) between the date funding was advanced from the NLTF in respect of the property and:
  - for land needed for transport purposes, the start of construction; and
  - for land not required for transport purposes, its sale or transfer.
- Waka Kotahi is to be given the opportunity to express a view on the proposed disposal of or alteration to the property
- the purchase is required for hardship reasons or for other situations as specifically approved by Waka Kotahi
- legalisation surveys, including plan fees payable to Land Information New Zealand, are to be treated as part of the land acquisition cost. no other expenses involved in the legalisation process are eligible for funding assistance
- any payment for Betterment recovered in terms of section 326 of the local government act 1974 shall be a credit to the cost of the project – see [betterment](#).
- all costs must be identified by project and available for audit
- a land plan must be available for audit purposes and must indicate the area of land to be purchased and the part that is to be converted to road reserve, with each individual property to be identified on the plan, and
- while the land is held by the approved organisation, prior to its use in a transport activity and/or disposal, a [property report](#) must be submitted on Transport Investment Online each year.

### Registration of an **interest**

The Waka Kotahi legal team will assist Waka Kotahi staff in registering caveats **and can advise if any aspects of these conditions can be waived or amended.**

### Property reports

Each year, approved organisations that have received funding assistance under work category 333 must provide Waka Kotahi with a property report. Please see [Property reports](#) for further details.

### Work Category 341: Low cost, low risk roading improvements

The threshold for this work category has been increased to \$2,000,000.

This work category provides for the construction/implementation of low-cost, low-risk transport improvements to the transport system to a maximum total cost for approval per project of \$2,000,000.

#### Examples of qualifying activities

Examples of qualifying activities include, but may not be limited to:

- small, isolated geometric road and intersection improvements
- traffic calming measures
- traffic management systems
- surface treatment (safety), including sealing for bridge approaches
- lighting improvements for safety
- installation of new traffic signs and markings (including rumble strips), or upgrading these to the current standard
- provision of guard-railing
- sight benching to improve visibility
- walking facilities that comply with the definition for Work category 451: [Walking facilities](#)
- cycling facilities that comply with the definition for Work category 452: [Cycling facilities](#)
- structures, culverts or stock access (including stock underpasses)
- resilience improvements within the definition for Work category 357: [Resilience improvements](#)
- replacement of bridges and other structures within the definition of Work category 322: [Replacement of bridges and other structures](#)
- [stock effluent facilities](#)
- minor engineering works associated with community programmes, such as raised platforms at roundabouts, traffic signals and other pedestrian facilities, and
- property and [professional services](#) costs associated with the improvement.

Other potential activities that are not in the above list should be discussed with Waka Kotahi NZ Transport Agency for eligibility.

Funding is subject to the conditions set out below.

#### Exclusions

The work category excludes:

- any local improvement project funded with a FAR other than the approved organisation's [normal FAR](#)
- any improvement project with an estimated total cost for approval (after deducting third party/supplementary funding from the total cost) of over \$2,000,000 – these must be developed as individual improvements projects under the appropriate work category
- public transport low cost, low risk activities (under \$2,000,000) aside from road based improvements – these must be added to the [low cost, low risk public transport improvements](#).

#### Conditions of funding (for project inclusion)

Each low cost, low risk improvements programme must be supported by a list of projects using the Waka Kotahi template, which can be downloaded from Transport Investment Online (TIO).

If an approved organisation does put a project forward with an estimated total cost of over \$2.0 million as a Low cost, low risk improvement, Waka Kotahi will only financially assist such a project to a cap of \$2.0 million and any amount over this cap will be treated as third party/supplementary funding, which the approved organisation must fund itself. For example, a project of \$2.2 million total cost will be assumed to have \$200,000 third party/supplementary funding and Waka Kotahi will assist funding only to the \$2.0 million total cost for approval maximum.



The \$2.0 million total cost for approval maximum includes [professional services](#), property and construction/implementation costs.

A low cost, low risk roading improvement project cost must not be split or claimed over multiple work categories and activity classes. It must be claimed only under work category 341.

A project must not be split into more than one low cost, low risk improvement project to circumvent the \$2.0 million total cost for approval cap.

The total cost for approval of any multi-party funded low cost, low risk improvement project must not exceed the \$2.0 million cap across all funding parties.

If the tender price for a planned low cost, low risk improvement project means that its total cost exceeds the \$2.0 million limit, either it is withdrawn as a low cost, low risk improvement and resubmitted as a stand-alone project in Transport Investment Online (this applies to all affected Waka Kotahi (state highway) projects) or it remains as a low cost, low risk improvement and any amount over the limit will be treated as third party/supplementary funding, which the approved organisation must fund itself.

Where the actual outturn total cost for approval exceeds the tendered cost and exceeds the \$2.0 million limit, the project may remain as a low cost, low risk improvement and receive funding assistance against all of the total cost for approval, provided Waka Kotahi representative relevant to the approved organisation agrees that the reasons for the increased cost are justified and that the increase is reasonable.

#### **Conditions of funding (programme submission and management)**

Funding approval for the Low cost, low risk programme at the start of the new NLTP is conditional on each programme being supported by a list of projects and on the cash-flows of these projects being captured in the low cost, low risk roading improvements template.

The template list is expected to be maintained and updated regularly. A condition precedent also exists for claiming in the new financial year, specifically the template must be updated by 31 August of each year. This means:

- by 31 August of the first year of the new NLTP the template related to the previous NLTP must be updated with final cash-flows for individual projects;
- by 31 August for each of the second and third years the current NLTP Low cost, low risk template must be updated to reflect actual project expenditure in the previous year and cash-flows for committed activities and projects planned to commence in the balance of the NLTP period.

Claiming for Low cost, low risk programmes will be placed on hold until the conditions above are met.

The Waka Kotahi template, which can be downloaded from TIO, must be used for all proposed Low cost, low risk improvements programmes. This template has been created in Excel 2007 and that the summary of activities worksheet will show #NAME? errors if opened in Excel 2003.

## Work Category 357: Resilience improvements

Thresholds have been changed to reflect increase of Low Cost Low Risk to \$2,000,000.

Work category 357 provides for non-routine work to protect the following from damage:

- roads
- road structures
- eligible walking facilities
- eligible cycle facilities.

Work category 357 also provides for non-routine work to minimise the threat of road closure from natural phenomena.

### Examples of qualifying activities

Examples of qualifying activities include:

- new works to protect existing roads from sea or river damage
- new drainage for incipient slips
- toe-weighting of unstable slopes
- protection planting designed to arrest the slumping or displacement of a road platform
- work to overcome changes in a river's course or bed level that threaten roads, bridges or other road-related structures, but which is not attributable to one climatic event.

You can discuss with Waka Kotahi NZ Transport Agency whether other potential activities not in the above list might also be eligible for inclusion in this work category.

### Exclusions

Work category 357 excludes:

- maintenance of protection planting – this is funded under [work category 121: Environmental maintenance](#).

### Conditions of funding

The approved organisation and Waka Kotahi (for its own activities) must identify individual resilience improvement activities and justify them economically. They must be the long-term, least-cost option calculated in present value terms.

The cost of proposed works must be assessed against the Waka Kotahi policy on uneconomic roading facilities.

A risk assessment for each proposed activity must be undertaken, using the risk assessment table below.

Protection planting is an example of an activity which may be eligible for assistance under this work category. The following components of protection planting are eligible for funding assistance under this work category:

- the initial costs of planting, including any fencing or other protective measures to prevent damage by stock
- the purchase of any land required outside the road reserve for planting and/or retirement
- compensation payable to a landowner for a covenant to retire land and/or plant trees for road protection where purchase is impracticable or undesirable.

Approval of funding assistance for protection planting is conditional on legally enforceable agreements that define the responsibilities for the management of retired areas outside the road reserve and ensure there is no duplication of funding assistance from Waka Kotahi or other sources.

### Applying for funding approval

Applications for funding approval of proposed projects should be made through the resilience improvements module in [Transport Investment Online\(external link\)](#). Projects of less than \$2,000,000 should be added to a low-cost, low-risk programme. Projects over \$2,000,000 must be added to a regional land transport plan for inclusion in the National Land Transport Programme.

Risk assessment table

Descriptor	Consequence	Insignificant	Minor	Moderate	Major	Critical
<b>Probability</b>	Description	Minor delays during clean-up and/or insignificant risk to users	Reduced capacity and/or low risk to users	Reduced to half the capacity for more than 24 hours and/or unacceptable risk to users	Route closed for more than 24 hours and/or major risk to users	Route severed and/or extreme risk to users
<b>Almost Certain</b>	Expected to occur in most circumstances	High	High	Extreme	Extreme	Extreme
<b>Likely</b>	Will probably occur in most circumstances	Low	High	High	Extreme	Extreme
<b>Possible</b>	Might occur at sometime	Negligible	Low	High	Extreme	Extreme
<b>Unlikely</b>	Could occur at sometime	Negligible	Negligible	Low	High	E

For eligible activities an investment assessment profile is required in addition to the risk assessment. This should use the Waka Kotahi Investment Prioritisation Method.

The above risk assessment does not determine the GPS alignment for resilience improvements activities.

**Further information**

For details of:

- simplified benefit-cost analysis procedure for resilience improvements, see the [Monetised benefits and costs manual](#) (from 31 August 2020) or the [Economic evaluation manual](#) (for business cases commenced prior to 31 August 2020)
- do-minimum – refer to the [Monetised benefits and costs manual](#) (from 31 August 2020) or section 2.7 of the [Economic evaluation manual](#) (for business cases commenced prior to 31 August 2020).