Record of point of entry

Before you complete this record, you should have already had a point of entry (PoE) conversation with your NZTA investment advisor. For additional guidance on completing your record of PoE, see:

* [Point of entry phase guidance](https://www.nzta.govt.nz/planning-and-investment/learning-and-resources/business-case-approach-guidance/business-case-phases/point-of-entry-phase/)
* [Introduction to the point of entry learning module](https://www.nzta.govt.nz/planning-and-investment/learning-and-resources/business-case-approach-guidance/business-case-approach-resources/online-learning-for-the-business-case-approach/#PoE)

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| Initiative name | Name of activity |
| TIO ID (if applicable) | TIO ID # |
| Problem owner | Name of the person from the lead organisation who is sponsoring the project and will recommend this PoE for endorsement. |
| Lead organisation | Name of lead organisation |
| Stage of activity | At what point is this project at?  For example: Identified in the activity management plan as an improvement that requires a business case as the next step.  If unsure write: To be confirmed. |
| Recommendation | That the National Manager, System Planning and Investment, System Leadership:   * endorse: * the [insert project name] point of entry, and * approve proceeding to [insert project name and business case phase] * varying the 2021–24 NLTP to include [insert project name] * recommend that the CFO approve funding for [insert project name and business case phase] with a total shared project cost of [insert total project cost and NLTF share] at a FAR of [insert FAR%] from the [insert activity class] and work category [insert work category name and number]. |
| Reasons for recommendation | * *What the key benefit is in approving this request (Only use one line statement)* * *The Investment Prioritisation Rating for this activity is XXX, based on a X for Results Alignment, Y for Scheduling and Efficiency (a BCR of XX, with a range of XX to XX excluding WEBs).* * *Confirm that the request meets the requirements of* [*section 20 of the Land Transport Management Act 2003*](https://nzta.govt.nz/planning-and-investment/funding-and-investing/optioneering/resources/critical-statutory-requirements/) |
| 1. Strategic alignment This section provides information of the how the activity aligns to regional and national priorities. The strategic alignment section includes information on how the project has been programmed and the fit of the problem/opportunity at a strategic level. | |
| Is this project included in the relevant regional land transport programme (RLTP)? | Choose an item. |
| How is this project a regional priority? | Describe how this project is a regional priority.  Write N/A if appropriate, for example if it’s a nationally delivered activity. |
| Is the project included in the NLTP? | Choose an item. |
| What is the high-level problem/opportunity and benefit/outcome? | Briefly describe the problem/opportunity and benefit/outcome |
| Additional information  Include any additional information relevant to the strategic alignment. For example:   * How the project links to Government Policy Statement on Land Transport (GPS) outcomes. * How the project aligns with the emissions reduction plan (ERP). * If project is not in an RLTP and the NLTP, provide additional information regarding minimum information requirements – the problem/opportunity and strategic context (alignment to priorities). * How the project relates to other priorities. * What needs to be done do develop the strategic context further. * Has anything changed since inclusion in RLTP/NLTP, and if so what? * Are there network interdependencies that mean that undertaking an activity at this location may have an impact somewhere else on the network. | |

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| 2. Information gap analysis Gap analysis identifies:   * what work has been already undertaken and information gathered relevant to the activity? * what is not known about the problem/opportunity and what needs to be understood to progress to the next investment decision gate.   This understanding can be used to inform the scope of next steps below.  Some useful tools to understand what needs to be done to develop each case further include:   * [Five-case model guidance](https://www.nzta.govt.nz/planning-and-investment/learning-and-resources/business-case-approach-guidance/the-five-case-model/) * [Key actions table – by Business Case Approach phase and the five-case model](https://www.nzta.govt.nz/planning-and-investment/learning-and-resources/business-case-approach-guidance/key-actions-in-developing-your-business-case/) * [How to self-assess your business case](https://www.nzta.govt.nz/planning-and-investment/learning-and-resources/business-case-approach-guidance/how-to-self-assess-your-business-case/) | |
| What do we know now? | What do we not know yet? |
| For example:   * In summary, what do we currently know about the problem/opportunity? * What work has already been undertaken in relation to this activity? * What key decisions or commitments have already been made that impact on this investment? * What previous relevant NZTA endorsements have been made? | For example:   * What information is still key to understand? * Key information that we don’t currently know or understand in relation to the problem and opportunity? * What key questions are we looking to answer? |

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| 3. Risk-based rightsizing This section looks to identify the current level of risk, uncertainty, and complexity. This will help scope the project and right size the work that needs to be undertaken to address in project plan/scope.  For more information, read:   * [Right-sizing your business case](https://www.nzta.govt.nz/planning-and-investment/learning-and-resources/business-case-approach-guidance/introduction-to-the-business-case-approach/right-sizing-your-business-case/) * [Risked-based approach information sheet](https://www.nzta.govt.nz/assets/planning/business-case-approach/docs/risk-based-approach.pdf). | | | |
| Key risks | Describe any key **risks** that may apply to this investment. This includes technical, governance or other types of risks. | Overall risk level: | Choose an item. |
| Key uncertainties | Describe any key **uncertainties** that may apply to this investment. | Overall uncertainty level: | Choose an item. |
| Level of complexity | Describe the **level of complexity** associated with this investment. | Overall complexity level: | Choose an item. |
| Current cost estimate of implementation (if known) | $ | | |

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| 4. Project approach The project approach section encompasses how the Business Case Approach (BCA) is going to be applied to the activity. This includes the business case pathway and the agreed scope that reflects how the above identified risks, uncertainties and complexities are going to be addressed. This section also includes anticipated timeframes and resources required such as NLTF investment.  Key information requirements:   * Scope of work required to the next investment decision gate. * Need to understand itemisation of tasks versus costs to understand appropriate resourcing. * Estimation of time of completion for each task. * Key governance requirements and key decisions. * How are risks, uncertainties and complexities that have been identified being addressed in the work undertaken in the next business case phase (as agreed with investment advisor at PoE conversation). * **Please note** that the following items can often be erroneously left out of business case scopes, leading to cost variations, approval delays, and/or reworks:   + [Peer reviews](https://www.nzta.govt.nz/planning-and-investment/planning-and-investment-knowledge-base/202124-nltp/2021-24-nltp-managing-programmes-and-activities/peer-review-of-proposals/)   + [Safe System Audits](https://www.nzta.govt.nz/roads-and-rail/highways-information-portal/technical-disciplines/safety-and-geometric-design/safety/safe-system-audits/)   + [Engagement](https://www.nzta.govt.nz/roads-and-rail/highways-information-portal/technical-disciplines/engagement/) | |
| Select next project development phase | Choose an item. |
| **Confirm whether you will attach a relevant project plan (if already completed)** | Choose an item. |
| In the table below, outline key tasks that need to be completed before the next decision gate.   |  |  |  | | --- | --- | --- | | Scope/task | Cost | Timeline for completion | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | | |
| Project governance arrangements and key decisions | Briefly outline the project’s governance arrangements and key decisions |

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| 5. Funding component This section relates to funding requested to undertake the next step in the business case. If no funding is being requested as part of this point of entry, then it is not applicable. | |
| Is this project requesting NLTF funding? | Choose an item. |
| Are there other funding sources? | Choose an item.  If yes, briefly describe other funding source(s) |
| Budget requirement | $ (Including admin of x%) |
| NLTF share | $ |
| Funding assistance rate (FAR) | % |
| Activity class | List activity class |
| Work category | List work category |
| Other information | Include any other information relevant to funding |

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| Endorsement | |
| **Decision/next steps (to be completed by lead organisation problem owner)** | |
| Decision | Choose an item. |
| Name | The name of the person who is **accountable** for addressing the problem |
| Role | Problem owner’s role |
| Signature | Problem owner’s signature |
| Date | Click or tap to enter a date. |
| **NZTA assessment for endorsement (to be completed by NZTA Investment Advisor)** | |
| NZTA Investment Advisor | Name of the person reviewing this document |
| Date of assessment | Click or tap to enter a date. |
| Additional relevant information | Confirm that risks, uncertainty, and complexity of the project have been addressed adequately in the scope. |
| Confirmation of strategic alignment | Comment on addressing the problem.  What impact will this have and impacts on any other projects etc? |
| IPM assessment (if applicable) | IPM assessment in the format A-B-C, priority order x |
| ERP assessment | How will this project impact on VKT? |
| Timing/urgency | Outline timing/urgency |
| Funding position | Priority confirmation: Choose an item.  Funding confirmation: Choose an item. |
| Recommendation | Ensure delegated authority aligns with [Business Delegations: Schedule 3](https://infohub.nzta.govt.nz/otcs/cs.dll/fetch/27288393/55466377/-/ONRAMP_MASTER_LINK_Schedule_3_-_Transport_Planning%2C_Funding%2C_Investment%2C_Reporting.pdf?nodeid=55468559&vernum=-2)  That the Choose an item.:   * endorse: * the [insert project name] point of entry, and * approve proceeding to [insert project name and business case phase] * varying the 2021–24 NLTP to include [insert project name] * recommend that: * the CFO approve funding for [insert project name and business case phase] with a total shared project cost of [insert total project cost and NLTF share] at a FAR of [insert FAR%] from the [insert activity class] and work category [insert work category name and number]. |
| **Reasons for recommendation** | List relevant reasons |
| **Priority Confirmation (to be completed by NZTA Activity Class Managers)** | |
| **Activity Class Manager** | Name |
| **Date** | Click or tap to enter a date. |
| **Priority confirmed** | Select |
| **Assessment and key considerations** |  |
| **Funding Availability (to be completed by NZTA Manager Treasury and Cashflow)** | |
| **Manager Treasury and Cashflow** | Name |
| **Date** | Click or tap to enter a date. |
| **Funding Available** | Select |
| **Assessment and key considerations** |  |
| **Portfolio Check Assessment– Portfolio & Performance (For NZTA requests only)** | |
| **Completed by** | Name & Role |
| **Date** | Click or tap to enter a date. |
| **Assessment and key considerations** | Trade-offs to be understood |
| **Assurance Sign Off – Investment & System (to be completed by NZTA)** | |
| **Completed by** | Name & Role |
| **Date** | Click or tap to enter a date. |
| **Assessment and key considerations** | For Endorsement  Add any key points decision makers should consider |
| **Assurance Sign Off – Portfolio (For NZTA requests only)** | |
| **Completed by** | Name & Role |
| **Date** | Click or tap to enter a date. |
| **Assessment and key considerations** | For Endorsement  Add any key points decision makers should consider |
| **Decision/next steps (to be completed by NZTA–** Choose an item.**)** | |
| Decision | That the Choose an item. endorse:   * the [insert project name] point of entry, and * approve proceeding to [insert project name and business case phase] |
| Name | Choose an item. |
| Signature | Decision maker’s signature |
| Date | Click or tap to enter a date. |
| Mandatory information ☐  (Check once confirmed)  **☐**  ☐  ☐ | 1. That the activity is included (or varied into) the RLTP and NLTP 2. That the Manager, Treasury and Cashflow confirms funds are available from the relevant activity class. 3. That the activity class owner has been engaged and confirmed priority for the activity. 4. That relevant Business Case Process and Local Government Partnerships staff have been engaged in understanding the need and priority for the activity. |
| **Decision/next steps (to be completed by NZTA – Chief Financial Officer)** | |
| Decision | *That the CFO* Choose an item. *funding for [insert project name and BC phase] with a total shared project cost of [insert total project cost and NLTF share] at a FAR of [insert FAR%] from the [insert activity class] and work category [insert work category name and number].* |
| Name | Howard Cattermole |
| Signature | CFO’s signature |
| Date | Click or tap to enter a date. |
| **RAPID roles (For NZTA Requests only)** | **Who** |
| **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. |
| **Agree** | *Please list the groups/individuals that provided input that must 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. |
| **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 |
| **Input** | *Please list the groups/individuals that provided input into the recommended decision.*  E.g. Subject matter experts |
| **Decider** | Please specify who the relevant decision maker is for this request. Based on [business delegations](https://onramp.nzta.govt.nz/policies-and-forms/delegations/delegation-search?schedule=3&category=24&role=&action=Apply+filters). |