TŪ AKE, TŪ MĀIA
STAND UP, STAND FIRM
REGULATORY STRATEGY
2020–25

APRIL 2020

New Zealand Government
If the heart of the harakeke was removed where would the bellbird sing?
If I was asked what was the most important thing in the world?
I would be compelled to reply, it is people, it is people, it is people.

Ambitions for a fair and safer transport system
Viha Kotahi NZ Transport Agency plays a vital role in allowing people access to New Zealand’s land transport system – to participate fairly and safely for the country’s economic, social and cultural wellbeing. As the lead land transport regulator, our role is to improve safety and reduce the risk of harm in a complex system that has lots of moving parts. There are 3.7 million licensed drivers. The current New Zealand fleet has 5.3 million vehicles and more than 8,000 licensed vehicle inspectors checking them. There are 47,000 commercial transport operators moving people and goods around the country; and every year 36 million passenger journeys are made and 17 million tonnes of freight is moved by rail. We need to manage what is an inherently risky system while still catering for future growth, technological advances and a focus on environmental sustainability. We also need to be reviewing the land transport regulatory framework to ensure it is fit for purpose.

This means we must be smarter in how we regulate. To do this we need to use data and evidence to focus on the areas where our work will have the greatest impact. This strategy sets out a path for us to improve how we deliver regulatory services. It will require significant investment over time – in our people, systems and technology. There is plenty to do and many challenges ahead. However, there is also a great deal to look forward to as we deliver on our ambition to be a better regulator that is focused on a fair and safer transport system for all.

Building a responsive regulator for the real world
We must never forget the impact a weak regulator can have. We know all too well that if we don’t get it right, people can be injured or killed. After 2018 the regulatory functions underpinning the safety of the land transport sector were found to be ineffective. This was our catalyst for change.

Over the last year we have implemented a back-to-basics plan, stabilising our functions and shifting our focus to deliver firm and fair regulation, consistent with our core purpose.

We are now firmly focused on the future and delivering our strategy – Tū ake, tū māia. We know that when we get it right, we create a system where we have safer vehicles, drivers, commercial operators, networks and rail.

We are absolutely committed to evolving our regulatory capability and performance. We know where we are heading and what we need to do to get there. The principles of te Ao Māori will guide us in our journey, as we work together, united with our partners and industry, so that everyone in New Zealand’s safe when using our roads and railways. We cannot do this alone – our partners and the industry also have a role to play.

My confidence in our strategy reflects the efforts that our leadership team and the wider organisation have made to listen to our regulatory partners, stakeholders, the public and our people. Recognising that we are stronger together, our strategy sets our sights on the horizon, identifying key priority areas for bringing discipline and focus to our regulatory practice.
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Our transformation is an ambitious undertaking. We are dedicated to rising to the challenge and achieving our vision of:

A safe, fair and sustainable land transport system for everyone.

We will build trust and confidence in our ability as the lead land transport regulator.

We are committed to building our capability and preparing for the future. From 2020 to 2025 we will focus our effort on five interconnected capability shifts that form the full scope of our regulatory role.

Centralised and independent regulatory services

The Land Transport (NZTA) Legislation Amendment Bill, currently before select committee, will be critical to the delivery of this strategy. It will set up a new regulatory framework with greater regulatory oversight and stronger regulatory tools, and it will establish the position of Director of Land Transport with clear and independent accountabilities for delivering regulatory services. In parallel, we need sustainable funding to ensure we have the capability and capacity to deliver on our strategy. We are progressing a funding and fee review to be submitted to Cabinet in the next 12 months.

Titiro whakamuri, kōkiri whakamua

Looking back and reflecting on our past to guide us into the future.

In the traditional Māori knowledge system, everything is connected and interrelated. The land transport system plays a vital role in safely connecting people and communities to enable economic, cultural and social wellbeing. As the lead land transport regulator, we must ensure that people understand and comply with transport rules, to keep themselves and others safe.

The way we work is critical to achieving our regulatory purpose. Our strategy draws on lessons of the past to guide a new way of working. Honoring our commitment to Māori and Te Tiriti o Waitangi, our approach is grounded in te ao Māori and underpinned by good regulatory practice.

Titiro whakamuri – looking back

In 2018, a car crash turned fatal when the passenger’s frayed seatbelt failed. This was our catalyst for change. Independent reviews of Waka Kotahi NZ Transport Agency identified systemic deficiencies in the way we delivered regulatory services.

Our role as a regulator lacked clarity, mandate and consistency. Reviews found that Waka Kotahi had neglected key stakeholder relationships with those who deliver regulatory services. They highlighted the need to clarify that the primary role of third-party agents (like vehicle testing stations) is to regulate on behalf of Waka Kotahi.

We know that in order to address these issues, we can’t just make a few adjustments. We need to commit to fundamentally changing how we regulate. We need to focus on our core regulatory purpose and good regulatory practice.

Over the last year, we have:
• addressed the outstanding backlog of cases
• established a separate Regulatory Services Group (Te Rōpū Waeture)
• strengthened governance of our regulatory function
• addressed urgent gaps and stabilised our regulatory functions.

Kōkiri whakamua – looking forward

We are at the beginning of our journey to transform Waka Kotahi into one of New Zealand’s most effective regulators.

We will build trust and confidence in our ability as the lead land transport regulator.

We are committed to building our capability and preparing for the future. From 2020 to 2025 we will focus our effort on five interconnected capability shifts that form the full scope of our regulatory role.

Introduction

Kupu whakataki

Each week, around seven people die and 50 are seriously injured on New Zealand’s roads and railways. This has to change.

Introduction
Doing the right things, at the right time, for the right impact.

We will evolve to be risk-based, intelligence-led and responsive.

We will continue to focus on our core regulatory purpose and doing the basics well, while aspiring to best practice regulation.

Our strategy — Tū ake, tū māia — is aligned with wider government strategies, including the Government Policy Statement on Land Transport, the road safety strategy Road to Zero, the Māori Health Authority 10-year plan, Aotearoa and our Māori strategy Te Ara Kotahi.

Tū ake, tū māia draws on the lessons of our past and learnings from others, to provide a new direction for the future. Tū ake, tū māia describes:

• our role as the lead regulator of the land transport system
• key challenges that influence the choices we make as a regulator now and into the future
• how we work, with principles grounded in te ao Māori and an approach underpinned by good regulatory practice
• our relationships, which are critical for lifting the regulatory performance of the land transport system.

Tū ake, tū māia also sets out:

• five key capability shifts, which identify where we will be directing our effort over the next five years to improve culture, productivity and performance as a regulator
• high-level outcomes we will deliver for the areas of the land transport system we regulate
• the focus areas and roles we will target as we build our regulatory system.

This strategy will help to provide:

• focus — so that we are clear about our priorities and can target our effort for the greatest impact
• a shared understanding of our principles and the way we work, which provide the foundation for our regulatory approach
• clarity on the outcomes we are working to achieve and our staged approach for delivering them.

Strategic intent
He whāinga rautaki

REGULATORY STRATEGY 2020-2025
OUR GOAL
Waka Kotahi and New Zealand Police partner to contribute to a 40% reduction in deaths and serious injuries by 2030.

OUR VISION
A safe, fair, sustainable land transport system for everyone.

OUR PURPOSE
To ensure the system is safe, effective, efficient and functions well for everyone in New Zealand.

BEING A REAL-WORLD REGULATOR MEANS:

- We take a systems view, that is focused on improving safety outcomes and reducing harm.
- We work to understand why people behave the way they do and are pragmatic in how we respond.
- We engage and educate to support people to comply and enforce action when necessary.

HOW WE WORK AS A REAL-WORLD REGULATOR

- Our regulatory approach is firm and fair, applying principles of good practice.
- We are a system leader with oversight of all users.
- We are risk-based and focused on harm prevention.
- We are responsive and forward thinking.
- We are informed by evidence and intelligence.

CAPABILITY SHIFTS 2020–25

- Advancing strong governance and accountability.
- Leading regulation through trusted and valued relationships.
- Delivering robust and consistent regulatory decision-making.
- Inspiring a thriving regulatory culture and courageous people.
- Improving technology, intelligence and practices.
Our purpose and regulatory role
Tō mātou aronga, ā mātou mahi waeture

We need to constantly scan the horizon to anticipate challenges and opportunities, adapting our regulatory response accordingly.

Waka Kotahi NZ Transport Agency

Our road and rail system shapes how people and products move around and how communities connect. It enables New Zealanders to access work, school and recreation; it supports economic activity through the movement of freight and connects businesses with customers.

We are the lead regulator for land transport, promoting a safe, efficient and effective land transport system that operates in the public interest.

Waka Kotahi has transport regulatory responsibilities under the:
- Land Transport Management Act 2003
- Land Transport Act 1998
- Railways Act 2005
- Government Roading Powers Act 1989
- Road User Charges Act 2002.

Leading and influencing system performance
In our regulatory role, we monitor ongoing performance and advocate for opportunities to improve the regulatory framework and settings.

We contribute to ensuring that rules are simple, clear and fit-for-purpose, and provide an environment for straightforward regulation. We constantly ask if the regulatory settings are right and work with others to enable us to respond to future changes in the land transport system.

Governance of our regulatory function
Waka Kotahi has three core roles – to plan, manage and maintain the state highway system (infrastructure builder); to manage funding of the transport system (funder); and to manage regulatory requirements for land transport (regulator).

These three roles have different responsibilities with inherent tension between them that require active management when we are making decisions.

We manage this tension through strong governance oversight. This includes appropriate independence, clear and transparent decision-making processes, effective assurance and reporting, good management practices, and specific funding mechanisms for each function. Our board’s regulatory subcommittee provides focus and priority for the regulatory function.

Governance will be further strengthened if Parliament enacts legislation in 2020 to establish a Director of Land Transport with statutory independence for regulatory decision-making at Waka Kotahi.
There are millions of regulatory actions undertaken every year by Waka Kotahi and our delegated regulatory agents.

A safe, fair and sustainable land transport system for everyone.

Education, engagement, enforcement

We need to be balanced and proportionate in how we use our tools to achieve our regulatory purpose.

Entry

We check that people and vehicles are certified and licensed to access the land transport system safely.

In-service

Some of the regulatory functions of Waka Kotahi are delegated to other agents – people or businesses. These agents operate as regulators on our behalf and ensure people comply with the regulations and maintain a fair system. NZ Police undertake a road policing and enforcement function.

Exit and accountability

When people, operators or vehicles are making the system unsafe through behaviour, action or inaction, we suspend or revoke their licences or permits to operate.

Our regulatory world

Tō mātou nei ao waeture

What we regulate

The land transport system is extensive and complex. Waka Kotahi has a leadership role in ensuring rules and regulations are fit for purpose and allow people to operate safely.

The functional areas we regulate:

• System performance and integrity: systems design, regulatory settings and capability.
• Drivers: road user behaviour, driver licensing and load constraints.
• Vehicles: classification and standards, motor vehicle registration, dimensions and mass, entry certifications, in-service certifications, warrant of fitness (WoF) and certificate of fitness (CoF) providers and specialist certifiers such as heavy vehicle certifiers.
• Commercial operators: operator licensing, driver restrictions, dangerous goods, driving hours and logbooks, and passenger endorsements.
• Network management: road and rail network design and management, speed limit management, traffic control devices and reading standards.
• Rail: rail licences, safety cases and safety assessments.
• Collection of revenue: road user charges, fuel excise duty, motor vehicle licensing, tolling and regional fuel tax.

Global forces influence our regulatory system

Transport contributes more than 20% of greenhouse emissions globally.

In 2018, electric vehicles surged in sales by 63% worldwide from the previous year.

Between 2020 and 2030, all major car manufacturers are forecasted to release fully automated, driver less vehicles.

REGULATORY SERVICES

There are millions of regulatory actions undertaken every year by Waka Kotahi and our delegated regulatory agents.

| 3.5m   | licensed drivers |
| 5.2m   | vehicles registered |
| 10,000+ | delegated regulatory agents |
| 6.8m   | vehicles inspected each year |

| 36m   | passenger journeys |
| 17m   | tonnes of freight moved on the rail network |

Our functional areas of regulation and responsibility

Drivers

Vehicles

Commercial operators

Network management

Rail

Revenue

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Road user charges contribute $2 billion per year to building and maintaining the land transport system.

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Regulating the land transport system

Te mahi waeture mō te pūnaha waka i te whenua

Entry

Waka Kotahi is the gatekeeper for access to the land transport system. People and vehicles can only enter the land transport system if certain criteria are met. For example:

- people can obtain a driver licence if they pass tests that demonstrate they are a competent driver
- used imported vehicles can only enter the market after they have been certified as meeting minimum standards and are safe to be on our roads
- commercial transport operators need to demonstrate they are fit and proper before they are issued with a licence
- vehicle inspectors must demonstrate a minimum competency before we appoint them to carry out vehicle checks and issue WoFs and CoFs.

Monitoring in-service compliance

Once people enter the system, we ensure that they continue to comply with the rules and regulations in order to keep people safe and maintain a fair system. We do this through education, engagement and enforcement.

We review, assess and investigate commercial operators and toll system participants to make sure that safety protocols and systems are in place. We also ensure consistent use of traffic control devices and speed restrictions.

In partnership with NZ Police we take action against those who do not comply – for example, issuing infringement notices or impounding vehicles.

Enforced accountability or exit

If people do not comply with the rules and regulations and this threatens the integrity of the land transport system (for example, an ongoing risk of harm), we respond swiftly by limiting (through conditions), suspending or revoking their licences or permits to operate.

Regulation through delegated agents

Some of the regulatory functions of Waka Kotahi are delegated to third parties (individuals and organisations) who are authorised to operate as regulators on our behalf. This includes nearly 550 driver licence course providers, over 8000 vehicle inspectors and more than 3,000 inspecting organisations.

An important part of our role involves appointing, monitoring and evaluating the performance of our delegated agents to ensure that they effectively represent Waka Kotahi when carrying out their regulatory responsibilities. We also support our agents to improve their regulatory performance.

Enforced accountability or exit

If people do not comply with the rules and regulations and this threatens the integrity of the land transport system (for example, an ongoing risk of harm), we respond swiftly by limiting (through conditions), suspending or revoking their licences or permits to operate.

Regulated by the land transport system

A Road Safety Partnership

Waka Kotahi invests over $360 million in road policing activities every year to improve safety. NZ Police delivers the Road Safety Partnership Programme.

- 180,000 enforcement actions for unsafe driving (under the influence of drugs, alcohol, mobile phone use or no seatbelt)
- 1.3 million infringement notices issued in 2019 for uxury speeds
- 3,000 immediate roadside suspensions for proofs speeds
- 11,000 driving offences resulting in court proceedings

Entry

250,000 new licences issued
87,500 driver licence course participants per year
160,000 new and used vehicles pass border inspections per year
280,000 renewed licences per year
3100 inspecting organisations, over 8,000 appointed inspectors undertaking over 7 million inspections every year
500,000 heavy vehicle licence holders (class 2, 3, 4 & 5)
740 regulatory audits providing face-to-face services and over 11.2 million transactions for driver licences, motor vehicle registration and road user charges (RUC)
56 million in unpaid road user charges investigated
76 rail licence holders carrying 36 million passengers and 17 million tonnes of freight
62 Transport Service Licences revoked
3 rail compliance interventions with 21 licence and activity restrictions, 31 statutory safety instructions and a prosecution resulting in a $250,000 fine

In-service

A snapshot of activities undertaken in the regulated system

- Data sourced from Motor Vehicle Register, Drivers Licence Register and NZ Police for 2019.

Education, engagement, enforcement

We need to be balanced and proportionate in how we use our tools to achieve our regulatory purpose.

Exit and accountability

180,000 enforcement actions for unsafe driving (under the influence of drugs, alcohol, mobile phone use or no seatbelt)
1.3 million infringement notices issued in 2019 for uxury speeds
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11,000 driving offences resulting in court proceedings

Regulatory Strategy 2020-2025

Education, engagement, enforcement

Waka Kotahi invests over $360 million in road policing activities every year to improve safety. NZ Police delivers the Road Safety Partnership Programme.
Keeping pace with change
Huri te ao, huri te tikanga

We need to prepare for future challenges such as global trends, advances in technology and increasing demand on the land transport system.

To maintain a safe system through times of change, we need to work on all aspects of the system and draw on our regulatory levers in an integrated way. By being a risk-based and intelligence-led regulator, we drive and influence changes in the regulatory framework to ensure it is fit-for-purpose and keeps pace with change. We continue to respond to major trends and challenges, such as:

- new and emerging technologies: electric cars, e-scooters, autonomous vehicles, intelligent safety features and an increasing reliance on software to ensure safety
- social and demographic shifts: including a population fast approaching five million and the resulting pressure on our transport infrastructure. Sector-wide, we have an ageing workforce and major skill shortages
- increased focus on environmental sustainability: climate change mitigation and adaptation. Reducing emissions will continue to be a priority, as transport accounts for nearly 20% of New Zealand's total greenhouse gas emissions
- innovative business models and approaches: including ‘Mobility as a Service’ and other business practices potentially requiring regulatory oversight, such as multi-modal transportation and ride-sharing
- data management and cyber security issues: with an increased volume of data about drivers and vehicles. The potential for this data to be shared raises privacy concerns
- legislative and regulatory challenges: related to new vehicles, technologies and business models. For example, autonomous vehicles create uncertainty around liability in the event of a crash
- disasters and emergencies: the Covid-19 pandemic and natural disasters like earthquakes can affect our ability to effectively carry out our regulatory role. We will continue to have a focus on building our resilience

Stepping up as a real-world regulator
We will take a long-term view of business-led technology and platform revitalisation. Anticipating and responding to the challenges ahead, critical national assets such as the Motor Vehicle Register and the Driver Licence Register provide functionality for regulatory system, other regulatory agents such as the NZ Police and many commercial businesses. Smart systems and the right investment will enable us to effectively target areas of greatest risk, deliver efficient and fit-for-purpose services and make it easier for people to comply through enhanced usability and integrated information.

How we work: a real-world regulator
Ā mātou mahi: hei waeture ‘motuhake ā-ao’

As a ‘real-world’ regulator, Waka Kotahi will be firm and fair in our regulatory approach. We will do the right thing, at the right time, for the right impact.

Regulating in the real world
We will bring clarity and understanding to a complex regulatory system and ensure that all involved are accountable. Effective regulation contributes to the economic and social wellbeing of New Zealand, and supports our communities to thrive.

We will constantly drive improvements in rules and standards to reduce the compliance burden and ensure we achieve our regulatory purpose. We must be pragmatic and proactive in order to achieve the right compliance outcomes.

We will be a decisive regulator, but engage respectfully
As the lead transport regulator, our role demands that we respond swiftly and take decisive action in the public interest. We will ensure the land transport regulatory systems are safe, fair and sustainable, and function well for everyone in New Zealand.

At the same time, our engagement with communities, entities and individuals, while decisive, will be consistent with our values of whakapono, manaakitanga, whanaungatanga and kotahitanga.

We will engage respectfully to build cohesion and a shared understanding of what is needed to reduce the risk of harm.
Grounded in te ao Māori, underpinned by good practice
Te whakaū i ngā tikanga Māori, e pūmautia ai mā te mahi pono

Our regulatory approach will be firm and fair, applying principles of good practice

WHAKAPONO
Integrity
Demonstrates the highest levels of integrity, trust and honesty. During difficult times, a person with whakapono is seen to remain calm and collected. As a regulator, we will act with consistency in our commitment to others, braving up to any situation, no matter how difficult. In this way, we will retain our mana as an organisation that can be trusted.

MANAAKITANGA
Caring for people
is an expression of respect and genuine interest in the welfare of others. We will serve others for the benefit of all. We will be consistent across the regulatory system when protecting people from harm. Manaakitanga will underpin our way of working, as even our approach to enforcement should be based on mutual respect and caring for people at risk of harm through non-compliance.

WHANAUNGATANGA
Relationships
refers to lines of kinship, connections and shared experiences that provide a sense of belonging. It includes reciprocal rights and obligations. We will develop good working relationships with a wide range of participants across the land transport regulatory system. Whanaungatanga is essential for effective regulation.

KOTAHITANGA
Unity
occurs when people pool their resources together to achieve a common purpose or goal. It is an opportunity to strengthen relationships. As the lead land transport regulator, we will have an important role in fostering kotahitanga between regulators and industry to lift the performance of the land transport regulatory system.

We are a system leader with oversight of all users.

We are risk-based and focused on harm prevention.

We are responsive and forward-thinking.

We are informed by evidence and intelligence.

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WAKA KOTAHI
Tū ake, tū māia
Applying good practice
He whakaū i te mahi pono

As we build this new way of working, we will ensure that the basics are done well, carrying out the fundamentals of good regulatory practice.

Our regulatory performance.
We will evolve and mature as a regulatory practice.

Over the next five years and beyond, we will ensure that the basics are done well, carrying out the fundamentals of good practice, and focused on harm prevention.

We are a system leader with oversight of all users
We monitor the whole regulatory system including our performance within it. As a leader, we influence how the system is set up and manage how we regulate, asking if a change is needed.

We are people-focused in our performance within it.
We are a system leader with oversight of all users.

Safety is a shared responsibility and we want people to adopt safe behaviours. To help people do this, we use a range of flavours and tools in a balanced and proportionate way.

We are responsive and forward-thinking
We make considered and transparent decisions in context. We assess the level of risk, the attitudes and behaviours of those who don’t comply and what is in the public interest.

We are risk-based and focused on harm prevention
We make considered and transparent decisions in context. We assess the level of risk, the attitudes and behaviours of those who don’t comply and what is in the public interest.

We are informed by evidence and intelligence
Our decisions are based on good data and insights, so that we are well informed when we respond to risk. We use our insights to drive fit-for-purpose changes to the system, including rules and standards.

We are an evidence-based regulator
We continually reflect and learn so we can evolue and mature as a regulatory practice.

Our regulatory performance.
We will evolve and mature as a regulatory practice.

How our approach informs the use of our regulatory tools
We balance the diverse needs and interests of a wide range of parties through a core set of regulatory tools. Being firm and fair means that we use the right tools at the right time.

We will ensure that we have a competent team who use an effective decision-making model, with clear delegations for making regulatory decisions.

Right tools, right time, right impact
We have a range of tools we use to encourage or require people to comply with the laws, regulations, rules and standards necessary to ensure high levels of safety.

We make considered and transparent decisions in context. We assess the level of risk, the attitudes and behaviours of those who don’t comply and what is in the public interest.

We are a system leader with oversight of all users
We monitor the whole regulatory system including our performance within it. As a leader, we influence how the system is set up and manage how we regulate, asking if a change is needed.

We are a system leader with oversight of all users.
We are a system leader with oversight of all users.

Safety is a shared responsibility and we want people to adopt safe behaviours. To help people do this, we use a range of flavours and tools in a balanced and proportionate way.

We are responsive and forward-thinking
We make considered and transparent decisions in context. We assess the level of risk, the attitudes and behaviours of those who don’t comply and what is in the public interest.

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We are an evidence-based regulator
We continually reflect and learn so we can ever improve and mature as a regulatory practice.

A balanced and proportionate regulatory approach
We need to be balanced and proportionate in how we use our tools to achieve our regulatory purpose.

This means we will be more proactive in identifying and dealing with non-compliance, taking a firmer stance and responding swiftly to mitigate the risk of harm. People and organisations can expect to see increased regulatory scrutiny.

We will lift our engagement and continue to educate so people understand what they need to do to be safe and compliant.

We will work collaboratively with organisations that have significant influence in the land transport sector towards the goal of a safe land transport system.

As an evidence-based and intelligence-led regulator, we will make better use of data to identify when the risk of harm is greatest and target our regulatory attention accordingly.

We will measure our performance and adapt our approach to ensure the use of regulatory tools has the greatest impact.

Enforcement

When people take risks that are unacceptable, we will respond with enforcement. Our enforcement tools range from infringement notices, through to prosecutions or removing operators or drivers from the system. We will hold people to account for the harm they have caused.
Responsive regulation means we can’t achieve the right safety outcomes by acting alone. Achieving a safe land transport system is a shared responsibility.

Waka Kotahi has a responsibility to work effectively with others to keep people safe. We value our relationships with those who help us regulate. We will encourage all regulators to work cohesively, to jointly lift the performance of the land transport regulatory system.

Working together, we can avoid duplication of effort and pool resources to improve our impact. We can also share examples of innovation and good regulatory practice and gain valuable insights. Our relationships will be underpinned by our te ao Māori principles and good regulatory practice.

We will work closely with the Ministry of Transport, keeping them informed of critical issues to support their stewardship of the transport system. This will include providing insights and advice to support the ministry’s development of transport policy and changes to legislation.

Global connections
We will develop and maintain our global connections to continuously improve and innovate as we lead in our regulatory practice.

Ministry of Transport
The Ministry of Transport is responsible for preparing changes to the legislation and is the watchdog for the transport system.

Lead regulator for the land transport system
An effective regulatory system relies on everyone contributing to keep New Zealand safe.

Waka Kotahi plays a vital role in strengthening engagement and alignment with other regulators and key industry groups.

NZ Police
NZ Police is a key partner in keeping people safe on our roads and railways. We will collaborate closely and continually with NZ Police to support their role.

Government organisations
We will work with other government organisations including ACC, the Transport Accident Investigation Commission and WorkSafe.

Māori engagement
We will explore opportunities to continue our Māori initiated initiatives that improve Māori road safety, including driver licensing initiatives.

Regional, district and city councils and road controlling authorities (RCA)
Councils and RCAs are important partners in implementation of regulatory initiatives for road safety, speed limit setting and traffic control devices.

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Regional, district and city councils and road controlling authorities (RCA)
Councils and RCAs are important partners in implementation of regulatory initiatives for road safety, speed limit setting and traffic control devices.
Our key capability shifts will bring a focus to good regulatory practice so that we can target our effort for the greatest impact.

We have identified five key capability shifts that will support the delivery of our strategy from 2020 to 2025. These are interconnected and cover the full scope of our regulatory role. They involve all our people, from our Waka Kotahi board through to our frontline people, as well as our stakeholders in the land transport sector.

These capability shifts are interdependent. Improving technology, intelligence and practices will help to achieve robust and consistent decision-making, which will support strong governance and accountability. Trusted and valued relationships will encourage information sharing and improve intelligence capability. A thriving regulatory culture and courageous people will strengthen all aspects of business and interactions. It is people, it is people, it is people.

These five capability shifts will support us as a transparent and accountable regulator, and help us to achieve our overarching outcome:

Waka Kotahi and NZ Police partner to contribute to a 40% reduction in deaths and serious injuries by 2030

It will also support the achievement of other key outcomes:

• Higher levels of compliance measured by detection of non-compliance, appropriate action and audits.
• Improved capacity and capability to deliver our regulatory functions measured by technology investment, appropriate staffing and sustainable funding.
• Increased trust and confidence in our abilities as an effective regulator measured by the Waka Kotahi board’s transparent and deliberate independent regulatory performance, and stakeholder surveys that recognise Waka Kotahi as a firm and fair regulator.

Our transformational change depends on strong governance and accountability. We need to ensure that ministers and the public have confidence in our ability to operate as an effective regulator.

What we are aiming to achieve

Strong governance and accountability is achieved through effective oversight and performance of the regulatory function by the Waka Kotahi board. Accountability cascades through the regulatory system from the board and executive leadership right through to our frontline teams. Our strategic direction and priorities are clear, we measure our performance effectively and we advocate for the resources required to deliver our key capability shifts.

Current areas for stage 1: 2020–22

• Ensure board and senior leadership have strong regulatory experience and engage directly with our regulatory functions.
• Appoint Director of Land Transport (if legislation is passed).
• Regular board reporting on regulatory performance and systems risk.
• Develop a new operational plan (including resourcing and funding requirements) to support the implementation of our strategy.
• Effectively manage the tensions between our three core functions within Waka Kotahi.
• Implement a transparent, robust and equitable funding regime to improve system performance and sustainability.

How we will measure our progress

• Director of Land Transport appointed (if legislation passed).
• Regular independent review of governance and accountability performance and systems risk.

Our transformational change depends on us leading an integrated regulatory system through trusted and valued relationships.

What we are aiming to achieve

In line with our core values of whanaungatanga and kotahitanga, we engage and collaborate with others in the land transport system in order to share information, build trust and target risks effectively.

Current areas for stage 1: 2020–22

• Work closely with delegated agents to set clear expectations and improve their regulatory performance.
• Work with NZ Police, WorkSafe and Ministry of Transport to improve how commercial vehicles and operators are regulated.
• Understand and engage with industry groups who participate in or influence the land transport system.
• Actively participate in the Government Regulatory Practice Initiative (G-Reg) network.
• Re-establish and strengthen our international connections.

How we will measure our progress

• Regular reporting of industry engagement.
• Annual review of (Waka Kotahi, NZ Police and Ministry of Transport) joint activities.
Delivering robust and consistent decision-making

Our transformational change depends on providing clear delegations and high-quality support, guidance, mentoring and training for regulatory people and delegated agents.

What we are aiming to achieve
- We exemplify integrity – whakapono – in our decision-making.
- We develop and implement clear delegations and an effective decision-making framework.
- We provide training and mentoring to support our people and agents to make robust and consistent decisions.
- We develop clear guidelines, policies and delegations for our people who exercise regulatory judgment and make decisions.
- We support an open and inclusive culture in which we encourage and expect courageous people.

Current areas for stage 1: 2020–22
- Develop a new regulatory operating model that clearly sets out our purpose and responsibilities for functional areas of regulation.
- Create a leadership culture that role-models speaking up when a problem is identified.
- Develop and implement people capability programmes and succession planning across the regulatory system.
- Foster continuous improvement and innovation as a progressive learning organisation.

How we will measure our progress
- Regular surveys to test engagement, clarity of roles and understanding of responsibilities.
- Evidence that problems are raised, discussed and resolved, with learnings regularly shared for all our people.
- Regular surveys of people who have interacted with Waka Kotahi regulatory functions.

4

Inspiring a thriving regulatory culture and courageous people

Our transformational change depends on inspiring and maintaining a thriving regulatory culture and courageous people.

What we are aiming to achieve
- We ‘walk the talk’ and our people are supported and inspired to make a positive difference every day. By building effective regulatory capability, fostering an understanding of te ao Māori, and valuing diversity in thought, fact, process and technical knowledge, we inspire a thriving regulatory culture.
- We develop a new regulatory operating model that clearly sets out our purpose and responsibilities for functional areas of regulation.
- We develop and implement clear delegations and an effective decision-making framework.
- We provide training and mentoring to support our people and agents to make robust and consistent decisions.
- We develop clear guidelines, policies and delegations for our people who exercise regulatory judgment and make decisions.
- We support an open and inclusive culture in which we encourage and expect courageous people.

Current areas for stage 1: 2020–22
- Develop and implement clear delegations and an effective decision-making framework.
- Training and mentoring to support our people and agents to make robust and consistent decisions.
- Effective monitoring, reporting and publishing of decisions, to encourage the right behaviour and a fair playing field.
- Develop and implement people capability programmes and succession planning across the regulatory system.
- Foster continuous improvement and innovation as a progressive learning organisation.

How we will measure our progress
- Report progress on regulatory compliance cases.
- Report audit findings and progress on recommendations.

5

Improving technology, intelligence and practices

Our transformational change depends on building capability to support our risk-based, intelligence-led approach by investing in technology that supports the effective capture and use of data and information.

What we are aiming to achieve
- Effective regulation is delivered through adaptive and innovative people, processes and platforms. In this short term, we will develop the right tools to support integrated regulatory practices. In parallel, a system revitalisation programme will be developed, preparing Waka Kotahi for digital business models, regulation of automated vehicles and driverless systems, cyber security and greater connection and alignment internationally.

Current areas for stage 1: 2020–22
- Build capability to support our risk-based, intelligence-led approach.
- Practice investment in technology that support accurate data and information.
- Uphold our people to ensure that insights inform our decision-making.
- Develop technology solutions that can be integrated with other government organisations.
- Ensure our guidance and processes are fit-for-purpose and responsive to the changing environment.

How we will measure our progress
- Regular reviews of our data needs and quality.
- Monitoring the level of service provided by our systems and processes, supported by clear improvement process.
- Monitoring progress against milestones in a regulatory technology solutions roadmap.
### Road map 2020–25
*Te mahere 2020-2025*

<table>
<thead>
<tr>
<th>STRONG GOVERNANCE &amp; ACCOUNTABILITY</th>
<th>TRUSTED &amp; VALUED RELATIONSHIPS</th>
<th>ROBUST &amp; CONSISTENT DECISION-MAKING</th>
<th>THRIVING REGULATORY CULTURE &amp; COURAGEOUS PEOPLE</th>
<th>INNOVATIVE TECHNOLOGY &amp; INTELLIGENCE</th>
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</thead>
<tbody>
<tr>
<td><strong>CAPABILITY</strong></td>
<td><strong>SHIFT S</strong></td>
<td><strong>GETTING THE BASICS RIGHT</strong> 2018-20</td>
<td><strong>STAGE 1: BUILDING A NEW WAY OF WORKING 2020-22</strong></td>
<td><strong>STAGE 2: EVOLVING IN MATURITY AND PERFORMANCE 2022-23</strong></td>
</tr>
<tr>
<td>Strategy – in place</td>
<td>Relationships and engagement with industry groups – improving</td>
<td>Decision-making framework in place</td>
<td>Conversations are open, transparent and upfront – developing</td>
<td>Roadmap for technology investment – developing</td>
</tr>
<tr>
<td>Operating model – in place</td>
<td>Collaboration with regulatory partners - developing</td>
<td>Policies to assist decision-making in place</td>
<td>Enabling and open culture – developing</td>
<td>Risk-targeted approach/framework – in place</td>
</tr>
<tr>
<td>Effective governance – in place</td>
<td>Behaviour and regulatory approach positively influences regulated parties – progressing</td>
<td>Decisions published – in place</td>
<td>Whole network of people with technical knowledge and backgrounds – in place</td>
<td>Integrated technology capability – improving</td>
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<td>Capability (open reducing) – improving</td>
<td>Industry confidence in the leadership and delivery of regulatory services – in place</td>
<td>Continuous improvement – in place</td>
<td>Performance reporting of transport and public safety benefits from our regulatory practice – in place</td>
<td>Appropriate, structured approach for supporting wider regulatory system – in place</td>
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<tr>
<td>Resourcing for stage 3 – in place</td>
<td>Industry confidence in the leadership and delivery of regulatory services – in place</td>
<td>Continuous improvement – in place</td>
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<td>Agile adaptive operating model – in place</td>
</tr>
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<td><strong>ACCOUNTABILITY</strong> in place</td>
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<tr>
<td>• Waka Kotahi board regulatory subcommittee – in place</td>
<td><strong>STRATEGY</strong> in place</td>
<td><strong>ACCOUNTABILITY</strong> in place</td>
<td><strong>RELATIONSHIPS</strong> improving</td>
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<td>• Senior leader regulatory expertise – improving</td>
<td><strong>ACCOUNTABILITY</strong> in place</td>
<td><strong>RELATIONSHIPS</strong> improving</td>
<td><strong>DECISION-MAKING</strong> improving</td>
<td><strong>TECHNOLOGY &amp; INTELLIGENCE</strong> developing</td>
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<tr>
<td>• Waka Kotahi board focus on regulatory risk – developing</td>
<td><strong>ACCOUNTABILITY</strong> in place</td>
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<td>• Backing of regulatory compliance issues – compiled</td>
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<tr>
<td>• Regulatory strategy developed to provide direction for the future – approved</td>
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<td>• Operating model – in place</td>
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<td>• Mechanisms to measure, review, report and continuously improve regulatory performance, effectiveness and system performance – in place</td>
<td><strong>ACCOUNTABILITY</strong> in place</td>
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**Strong Governance & Accountability**

- We moved quickly to address areas of regulatory failure and to understand the causes of that failure.
- Key actions over the past 18 months have included:
  - Waka Kotahi board regulatory subcommittee – in place
  - Senior leader regulatory expertise – improving
  - Waka Kotahi board focus on regulatory risk – developing
  - Backing of regulatory compliance issues – compiled
  - Relationships with regulators, particularly NZ Police – developing
  - Regulatory strategy developed to provide direction for the future – approved

**Trusted & Valued Relationships**

- Relationships and engagement with industry groups – improving
- Collaboration with regulatory partners - developing
- Decision-making framework in place
- Policies to assist decision-making in place
- Decisions published – in place
- Performance reporting of transport and public safety benefits from our regulatory practice – in place
- Continuous improvement – in place

**Robust & Consistent Decision-Making**

- Conversations are open, transparent and upfront – developing
- Enabling and open culture – developing
- Whole network of people with technical knowledge and backgrounds – in place
- Performance reporting of transport and public safety benefits from our regulatory practice – in place
- Continuous improvement – in place

**Thriving Regulatory Culture & Courageous People**

- Roadmap for technology investment – developing
- Data and insights support business decisions – improving
- Risk-targeted approach/framework – in place
- Integrated technology capability – improving
- Appropriate, structured approach for supporting wider regulatory system – in place
- New, innovative ways of working – in place

**Innovative Technology & Intelligence**

- Roadmap for technology investment – developing
- Data and insights support business decisions – improving
- Risk-targeted approach/framework – in place
- Integrated technology capability – improving
- Appropriate, structured approach for supporting wider regulatory system – in place
- New, innovative ways of working – in place
This strategy provides a focus for our functional areas to target their efforts and support the achievement of key outcomes, including a significant reduction in deaths and serious injuries.

**FUNCTIONAL AREA** | **RISKS WE ARE TARGETING** | **WHAT WE WILL DOING** | **OUTCOMES**
---|---|---|---
**SYSTEMS INTEGRITY** | | | 
We do not sufficiently understand our system so that we can focus resource on areas of greatest risk. | Delivering better system insights for the Waka Kotahi board, partners and industry | Improving the system to support the achievement of key outcomes. | 
Accelerating risk and intelligence capability | Developing better system insights for the Waka Kotahi board, partners and industry | Improving the system to support the achievement of key outcomes. | 
| | | | 
We are not clear on what we are aiming to address through regulation | Delivering better system insights for the Waka Kotahi board, partners and industry | Improving the system to support the achievement of key outcomes. | 
We do not sufficiently understand our system so that we can focus resource on areas of greatest risk. | Delivering better system insights for the Waka Kotahi board, partners and industry | Improving the system to support the achievement of key outcomes. | 
Regular monitoring and review of funding regime | Developing better system insights for the Waka Kotahi board, partners and industry | Improving the system to support the achievement of key outcomes. | 
| | | | 
Regulations not suited to purpose or fit for purpose | Delivering better system insights for the Waka Kotahi board, partners and industry | Improving the system to support the achievement of key outcomes. | 
Strengthening processes to improve systems and regulatory frameworks | Delivering better system insights for the Waka Kotahi board, partners and industry | Improving the system to support the achievement of key outcomes. | 
Establishing a regulatory decision-making framework to ensure transparency, independence and consistency | Delivering better system insights for the Waka Kotahi board, partners and industry | Improving the system to support the achievement of key outcomes. | 
Decisions made by Waka Kotahi are inconsistent and fail to take account of relevant factors | Delivering better system insights for the Waka Kotahi board, partners and industry | Improving the system to support the achievement of key outcomes. | 
Funding and tax models are unsustainable and fail to reflect how people participate in the system | Delivering better system insights for the Waka Kotahi board, partners and industry | Improving the system to support the achievement of key outcomes. | 
|

**FUNCTIONAL AREA** | **RISKS WE ARE TARGETING** | **WHAT WE WILL DOING** | **OUTCOMES**
---|---|---|---
| | | | 
**DRIVERS** | | | 
Our regulatory approach does not keep pace with increased user demands to access the system safely. | Developing business case for future licensing services | Improving access to the land transport system | 
Commercial vehicle drivers who are not fit and proper are driving for commercial operators. | Monitoring heavy vehicle drivers working for commercial operators | Improving access to the land transport system | 
Decisions made by Waka Kotahi are inconsistent and fail to take account of relevant factors | Delivering better system insights for the Waka Kotahi board, partners and industry | Improving the system to support the achievement of key outcomes. | 

delivering three-yearly review cycle | Developing business case for future licensing services | Improving access to the land transport system | 
| | | | 
Regulations not suited to purpose or fit for purpose | Delivering better system insights for the Waka Kotahi board, partners and industry | Improving the system to support the achievement of key outcomes. | 
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|

**FUNCTIONAL AREA** | **RISKS WE ARE TARGETING** | **WHAT WE WILL DOING** | **OUTCOMES**
---|---|---|---
| | | | 
**VEHICLES** | | | 
Vehicles entering the NZ fleet are not properly certified | Improving IT systems and processes to manage the entry of vehicles into the NZ fleet | Improving access to the land transport system | 
Vehicle emissions are higher than international standards. | Improving IT systems and processes to manage the entry of vehicles into the NZ fleet | Improving access to the land transport system | 
| | | | 
|

**FUNCTIONAL AREA** | **RISKS WE ARE TARGETING** | **WHAT WE WILL DOING** | **OUTCOMES**
---|---|---|---
| | | | 
**IN-SERVICE CERTIFIERS** | | | 
Certification industries are out of date or not fit for purpose | Developing business case and, if approved, implementing digital driver licensing | Improving access to the land transport system | 
Certification industries are out of date or not fit for purpose | Developing business case and, if approved, implementing digital driver licensing | Improving access to the land transport system | 
| | | | 
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| | | | 
|

**FUNCTIONAL AREA** | **RISKS WE ARE TARGETING** | **WHAT WE WILL DOING** | **OUTCOMES**
---|---|---|---
| | | | 
**INDUSTRY PARTICIPATION PROGRAMMES** | | | 
Industry participation programmes targeting high-risk areas for education initiatives and process improvements | Improving access to the land transport system | 
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| | | |
### COMMERCIAL OPERATORS

**Risks we are targeting:**
- Field/serious crashes involving heavy vehicles increased 40% from 2013 to 2017 with higher levels of non-compliance

**What we will focus on:**
- Improving operating standards, and monitoring of commercial operators
- Partnering with NZ Police, WorkSafe, ACC and Ministry of Transport to develop a joined-up view and approach to reducing crashes
- Engaging with industry groups to set appropriate standards and undertaking sector-wide education
- Pursuing health and safety designation under Health and Safety at Work Act

**Outcomes:**
- Improved commercial operator performance and safety for all users of the transport system
- Partnering with NZ Police, WorkSafe, ACC and Ministry of Transport to develop a joined-up view and approach to reducing crashes
- Engaging with industry groups to set appropriate standards and undertaking sector-wide education
- Pursuing health and safety designation under Health and Safety at Work Act

### RAIL

**Risks we are targeting:**
- Rail infrastructure and vehicles are ageing, increasing the potential for incidents causing catastrophic harm
- Passenger demand predicted to increase from 35m in 2017/18 to 55m by 2024, putting greater strain on the rail system
- An inadequate regulatory framework, unclear accountabilities and an unsustainable funding model mean that unsafe practices may not be addressed in time to prevent harm

**What we will focus on:**
- Improving the regulatory framework for rail safety
- Strengthening the governance and risk management capability of the rail sector
- Developing a continuous improvement plan for our regulatory processes, tool and guidance
- Developing a critical risk strategy
- Improving our monitoring processes and benchmarking to ensure more robust oversight
- Leveraging relationships with rail industry bodies, such as the National Rail Industry Advisory Forum
- Developing a fit-for-purpose funding model for the rail safety regulator and working with Ministry of Transport to deliver a funding strategy

**Outcomes:**
- Improved regulatory ability to prevent the risk of catastrophic harm, and effectively managed public interactions with the rail system
- Developing and implementing a new collection management approach (education, engagement and enforcement)
- Improving intelligence capability to proactively identify risks
- Developing Road User Charges Compliance Strategy and Debt Management Strategy

### NETWORK

**Risks we are targeting:**
- Inconsistent approach in the road network regulatory environment

**What we will focus on:**
- Delivering the Tackling Unsafe Speeds programme
- Putting in place a more nationally consistent speed limit environment for highways and local roads
- More widespread use of automated speed compliance
- Increasing coverage of automated heavy vehicle weight compliance management technology

**Outcomes:**
- National and regional speed management plans in place for all highways and local roads
- Improved regulatory ability to prevent the risk of catastrophic harm, and effectively managed public interactions with the rail system
- Developing a new system to make it easier to comply with fees and charges
- Debt reduction
- Developing Road User Charges Compliance Strategy and Debt Management Strategy

### REVENUE

**Risks we are targeting:**
- Unpaid fees and charges go undetected and are not actively pursued for recovery, resulting in high levels of debt for individuals and businesses and a significant under-funding of the National Land Transport Fund

**What we will focus on:**
- Developing a new system to make it easier to comply with fees and charges
- Debt reduction
- Developing and implementing a new collection management approach (education, engagement and enforcement)
- Improving intelligence capability to proactively identify risks
- Developing Road User Charges Compliance Strategy and Debt Management Strategy

**Outcomes:**
- Significantly increased fees and charges compliance
- Reductions in the number of entities with RUC debt and the amount of RUC debt per entity

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**Key actions across the areas we regulate**

Ngā tukanga matua e hāngai ana ki ā mātou waeture
As we implement Tū ake, tū māia, we are guided, but not constrained, by our past—titiro whakamuri, kōkiri whakamua. Tū ake, tū māia is underpinned by good regulatory practice, signalling a future culture of rigorous regulatory oversight.

Stepping firmly into our role as the system leader, we will contribute to a safe, effective and efficient land transport system in the public interest. Building our capability to turn data into intelligence, we will target our resources for the greatest impact. Our firm and fair stance will apply the right regulatory response at the right time—we will lift our engagement, continue education so people understand what they need to do to be safe, and exercise our enforcement function for the right impact.

Looking to the future, we aspire to be the regulator that others look to for a model of ‘how to do it right’. We are bringing a uniquely Aotearoa flavour to our regulatory role, reflecting our obligations as a Crown entity under Te Tiriti o Waitangi.

We have a clear goal—we are on the Road to Zero, reaching for something fundamental and aspirational. Now is the right time for us to rise to the challenge and meet the ambitious targets we have set.

Seek that which is most precious; if you must bow your head, let it be to a lofty mountain.

Kristy McDonald, ONZM QC