



# Emergency Works Guide

Waka Kotahi NZ Transport Agency

20 September 2021

Version 1

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## **More information**

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This document is available on Waka Kotahi NZ Transport Agency's website at [www.nzta.govt.nz](http://www.nzta.govt.nz)

# Document management plan

## 1) Purpose

This management plan outlines the updating procedures and contact points for the document.

## 2) Document information

Document name	Emergency Works Funding Guide
Document number	NA
Document availability	This document is located in electronic form on the Highways Information Portal website <a href="http://www.hip.nzta.govt.nz">www.hip.nzta.govt.nz</a>
Document owner	Nick Cook
Document sponsor	Jack Hansby

## 3) Amendments and review strategy

All corrective action/improvement requests (CAIRs) suggesting changes will be acknowledged by the document owner.

	Comments	Frequency
Amendments (minor revisions)	Updates incorporated immediately they occur.	As required.
Review (major revisions)	Amendments fundamentally changing the content or structure of the document will be incorporated as soon as practicable. They may require coordinating with the review team timetable.	At least annually.

## 4) Other information (at document owner's discretion)

There will be occasions, depending on the subject matter, when amendments will need to be worked through before the amendment is actioned. This may cause some variations to the above noted time frames.

## Record of amendment

Amendment number	Description of change	Effective date	Updated by
0.1	Initial draft	23/09/2015	Anusha Bhana
0.2	Define a Region	22/08/2017	Deborah Heffernan
03	Rewrite of the Document	12/09/2021	Nick Cook

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## About this Guide

### Purpose

The purpose of the Emergency Works Guide is to explain the following for emergency works funding:

- Application and approval process
- Emergency Works management reporting

### Background

Emergency Works Guide has been developed to clarify the policy, process and procedures for emergency works funding.

### Audience

The audience for this guide is:

- Maintenance & Operations and Suppliers
  - Network Managers
- Programme & Standards
  - Asset Investment Advisors (AIA)
  - Programme & Performance Team

# How to use this guide

## Guide structure

The structure of this guide follows the process of applying for and approving funding for emergency works.

## Finding information

To find specific information in the guide, refer to the Table of Contents.

## Hyperlinks

To find these hyperlinks, hover your mouse over a cross-reference or table of contents entry until the cursor changes to the hand icon and then click to activate the link.

## Help

If you need further help or cannot find the information you are looking for please consult the region's Asset Investment Advisor for advice.

Other websites:

[Planning and Investment Knowledge Base](#)

# How to apply for emergency works funding

## How to apply for funding

Follow these steps to submit an application for emergency works funding:

Step	Who	Action
<b>Within 24 hours:</b>		
1	Senior Network Manager (SNM)	Informs the local Asset Investment Advisor(AIA) of the event.
2	Asset Investment Advisor (AIA)	Assess the event based on the criteria for emergency works in NZTA <a href="#">Planning &amp; Investment Knowledge Base</a> and give verbal decision (approval if applicable) to SNM.
3	Asset Investment Advisor	Provides a formal response using the Accept Decline form in the link below <a href="#">Highways information portal</a>  To accept, email completed form to the Programme & Performance Team using the emergency works inbox <a href="mailto:emergencyworks@nzta.govt.nz">emergencyworks@nzta.govt.nz</a> and copies in the Senior Network Manager. For decline just respond to the SNM with reasoning and potentially alternate funding streams.
4	Programme and Standards EW team	Using the information provided on the accept/decline form creates the project name using the correct naming conventions and sets up the project in SAP. For storm events there is only one project permitted by region. Projects are not funded per NOC areas.
5	Supplier	For large events the NOC Supplier should provide an Incident Recovery Plan
<b>Within 4 weeks:</b>		
6	SNM & AIA	The Senior Network Manager and the Asset Investment Advisor work together to complete the <a href="#">Emergency Works application form and Funding request form</a>
7	Suppliers	Prepares all the relevant information and provides the supporting details to the Senior Network Manager.
8	Senior Network Manager  AIA  Delegation	Creates a folder in InfoHub, in the designated <a href="#">regional folder</a> , for the event. SNM collects all the supporting materials, application and funding forms and saves them in the folder.  When the forms are completed: AIA will recommend approval and send to relevant delegated authority as set out below.  Depending on the level of delegation required; <\$1M: System Manager \$1-5M: Senior Manager - Maintenance & Operations \$5-15M: Senior Manager - Programme & Standards \$15-50M: CFO >\$50M: Waka Kotahi Board
9	Principal Advisor Recovery (PAR)	The PAR will sign and send the links to the forms to the emergency works inbox.
10	Programme and standards EW team	Process the application and ensure the funding is provided in SAP and TIO.



## Notes

Use Waka Kotahi [Planning & Investment Knowledge Base](#) Work Category 141 for all events.

The SNM must store the following components of the Emergency Works funding application in a Folder in InfoHub "[Emergency Works](#)" directory:

- Accept/Decline form
- Emergency Works Funding Application
- Emergency Works Schedule of Works
- Emergency Works Report
- Supporting information

## Examples

See [examples](#) of emergency work activities for eligibility criteria.

## Definition of initial response

The initial response is that work required to keep the highway open, during and immediately following an event. This can include clean up and temporary works to maintain community links and to maintain the safe operation of the highway. This may include a reduced operating capacity such as single lane operations, convoy working and reduced opening times.

## Definition of reinstatement/Recovery

Reinstatement is work required to return the asset to the appropriate Level of Service for the road classification. Can also be called the Recovery Phase.

The recovery should provide a permanent, value for money reinstatement option that is fit for purpose and in line with the level of service for the route classification.

# What to submit with an application for emergency works funding

## Who's responsible for the application?

The Senior Network Manager and Asset Investment Advisor completes the applications for emergency works funding.

Suppliers are responsible for providing the supporting materials to accompany the application.

## What to submit

The following three documents must be submitted as part of an application for emergency works funding. For large events the application process can be submitted in phases.

For example, Phase one initial response, Phase two investigation and design, Phase three Construction. Investigation and design can also be split into separate phases;

Component	Form or template
<i>Accept/Decline Form</i>	<a href="#">Accept/Decline Form</a>
<i>Emergency Works Funding Application form</i>	<a href="#">Emergency Works Application Form</a>
<i>Emergency Works Schedule of Works</i> – itemised work for an initial response and re-instatement (example)	<a href="#">Emergency Works Schedule</a>
<i>Emergency Works Report</i> – supporting materials for the schedule and application.	See below for requirements

## Emergency Works Report requirements

The Emergency Works Report must:

- Provide the Asset Investment Advisor with enough information to make an informed decision about the eligibility of the event for emergency works funding.
- Include clear and relevant photographs / videos / UAV – of damage before repair. Photographs taken at night using flashlights often do not provide a clear picture of the damage. Even if debris must be cleared at night, there is usually enough evidence left the following day to indicate how far the debris extended onto the road.  
Include specific geographical location mapping and meteorological details.
- Depending on phase. For initial response it should provide enough information to justify the claim. For example, man hours and plant used, quantities of material moved, including quantities to tip. These must be supported by the relevant MCM.
- For I&D phases. It must include the ground investigation details, what investigation are we planning and what are expecting to gain from the investigations. For design. It must provide details of all the options considered and reasons why the preferred option has been prioritized ahead of the other solutions considered.
- For construction provide engineering details of the proposed re-instatement option and details of any departures required.

## When must the information be submitted?

For initial response and short duration events. The information must be submitted within 4 weeks of the emergency event.

# Setting up a project in SAP

## Who is responsible for setting up and managing the project?

The Programme & Performance team are responsible for setting up a project for the emergency works application in SAP. As soon as the Asset Investment Advisor has completed the Accept/Decline form and the Recovery Manager has emailed it the Emergency Works in box [emergencyworks@nzta.govt.nz](mailto:emergencyworks@nzta.govt.nz) the P&P team will set up the project in SAP.

For storm events there can only be one application per region. A region is defined as Northland, Auckland, Waikato, Otago etc. Where **more than one NOC exists** in a region impacted by the same event the NOCs will be set up as phases under the one WBS.

**The Senior Network Manager must then manage the project or appoint a Project Manager if deemed appropriate and budget is allocated.**

Refer to [SAP PPM Process Project Financials](#) to:

- manage all funding/financial allocations/provide accurate forecasting.
- search for your project
- add/change phases
- manage allocations, distribution and forecast, ensuring the forecast dose not exceed the allocation
- assign SAP project access to external people.

## Where a Project Manager is appointed

The SNM must provide guidance to ensure that the agreed outcomes are provided and that a value for money reinstatement is achieved. And is with the originally agreed scope of works.

## Closing the project

When the project is completed and all cost are received. The project can be closed by emailing the emergency works inbox. A final application or PLA maybe required to adjust the allocation to enable the project to close out.

## Further help with SAP

Refer to the [SAP Quick Reference Guide](#) for further information and help with SAP or contact your SAP champion.

# How to recommend approval for Emergency Works funding applications (Asset Investment Advisor and System Managers)

## How to approve emergency works funding

Follow these steps using InfoHub to recommend approval of emergency works funding application:

Step	Who	Action
<b>Within 4 weeks</b>		
1	Local Asset Investment Advisor (AIA)	Electronically opens the Collection link in the email and checks the applications.
2		Completes the relevant section of the Emergency Works Application form (sections 4 & 5) and provides support by signing the funding application form as local AIA.  If the application is not accepted; requires improvement or an alternate funding is require the AIA must email a response to the SNM to suggest an alternate funding stream or set out the improvement required and/or reason for decline.
3		Recommend approval of the forms electronically (section 6).
4		Re-save the forms in InfoHub
5		Email the Collection link to the Principal Advisor Recovery and System Manager
6	Principal Advisor Recovery (PAR)	Electronically opens the Collection and assess the application. Ensuring it complies with the current guidance and is national consistent.
7		Recommends approval of the form electronically (if approved) or provides comments and recommendations if funding is not recommended.
8		Re-save the form in InfoHub
9	System Manager	Depending on the delegation.  If <\$1M The System manager will sign the emergency works application in section 8.
10	Principal Advisor Recovery (PAR)	The PAR will sign and send the links to the forms to the emergency works inbox (following System Managers approval)

## Notes

The funding application remains in InfoHub and is not attached to the email.

No documents of the funding application are to be attached to emails.