



Emergency Works Funding Guide

Waka Kotahi NZ Transport Agency

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More information

Waka Kotahi NZ Transport Agency
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This document is available on Waka Kotahi NZ Transport Agency's website at: <https://www.nzta.govt.nz/roads-and-rail/highways-information-portal/processes/maintain/emergency-works/>

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
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 as 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

Version 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
0.3	Rewrite of the Document	12/09/2021	Nick Cook
0.4	Rewrite to align with EW Recovery Guide	17/03/2023	Nick Cook
0.5	Changes to funding application process	15/09/2023	Nick Cook

Contents

EMERGENCY WORKS FUNDING GUIDE	1
Document management plan	3
1) Purpose	3
2) Document information.....	3
3) Amendments and review strategy	3
4) Other information (at document owner’s discretion).....	3
Record of amendment	4
About this Guide	6
Purpose	6
Background	6
Audience.....	6
How to use this guide	7
Guide structure.....	7
Finding information	7
Hyperlinks.....	7
Help	7
1. How to apply for emergency works funding.....	8
How to apply for funding.....	8
Emergency works process:	10
Notes	12
Examples.....	12
2. What to submit when applying for emergency works funding.....	13
Who is responsible for the application?	13
What to submit	13
Emergency Works Report requirements	13
When must the information be submitted?.....	14
3. Setting up a project in SAP	15
Who is responsible for setting up and managing the project?	15
Scope and cost changes	16
When a PM is appointed	16
Closing the project.....	16
Further help with SAP	17

About this Guide

Purpose

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

- Application and approval process
- Emergency works management reporting.

Background

This guide has been developed to clarify the policy, process and procedures for emergency works funding.

Audience

The audience for this guide is:

- Network Teams
- Project Managers
- Asset Investment Advisors (AIA)
- Portfolio & Performance Team
- Waka Kotahi suppliers

How to use this guide

Guide structure

The structure of this guide outlines 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 then use the control button to make the cursor change to the hand icon before clicking on 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](#)

1. How to apply for emergency works funding

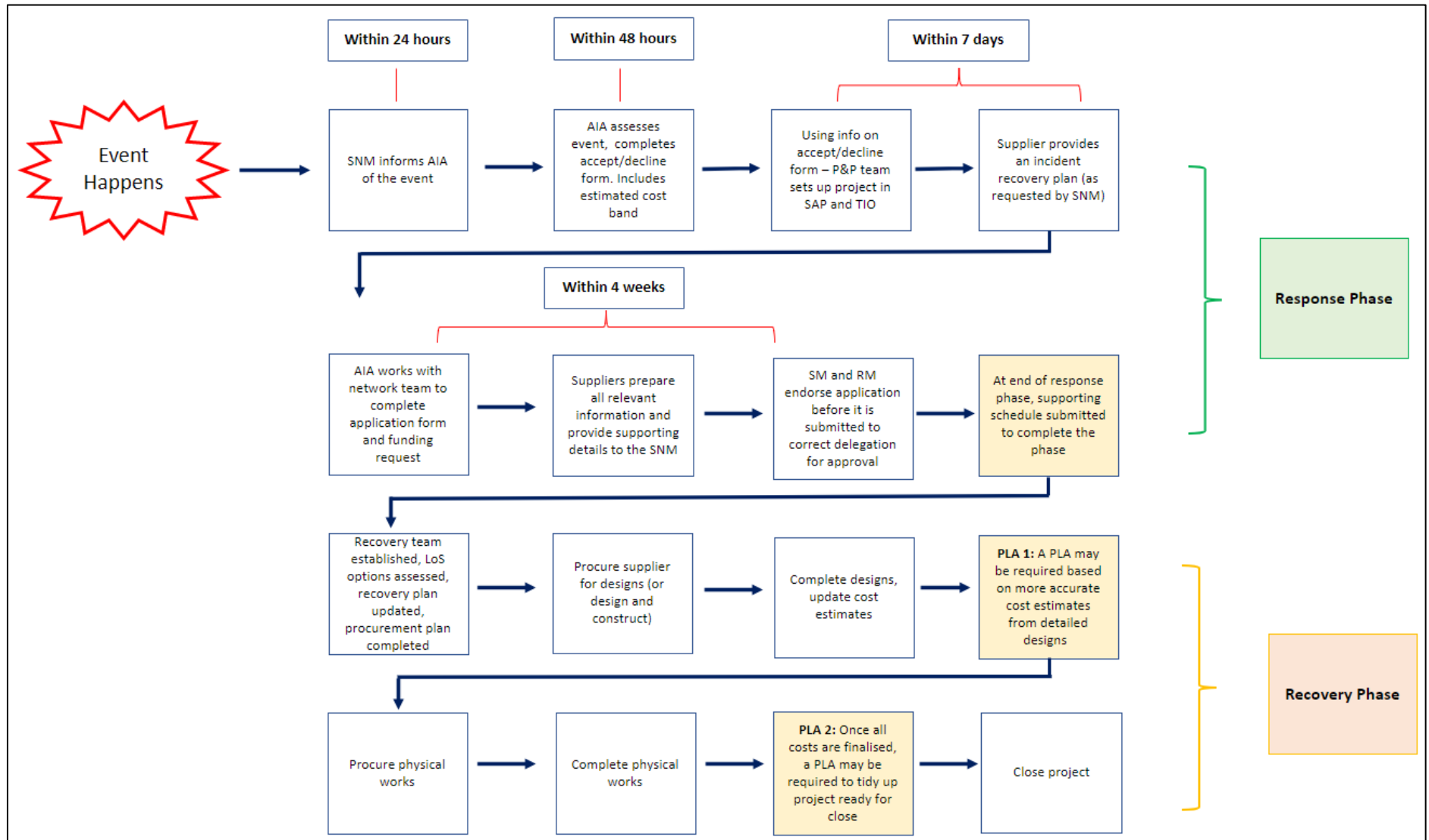
How to apply for funding

Follow these steps to apply for emergency works funding:

Step	Who	Action
Within 24 hours of event:		
1	Senior Network Manager (SNM)	Inform the local Asset Investment Advisor (AIA) of the event and provide whatever information is available e.g., photos, estimated overall cost.
Within 48 hours of event:		
2	Asset Investment Advisor (AIA)	<p>Assess the event based on the criteria for emergency works in NZTA Planning & Investment Knowledge Base and complete the accept/decline form.</p> <p>If event is accepted as an emergency works event; email the completed accept/decline form to the Programme & Performance Team using the emergency works inbox: emergencyworks@nzta.govt.nz and copy in the SNM.</p> <p>To decline, respond to the SNM with reasoning and potential alternate funding streams.</p>
Within 1 week of event:		
3	Programme and Performance Team	<p>Using the information on the accept/decline form, create the project in SAP and TIO using the prescribed naming convention and phases for both the response phase and recovery phase. See Setting up a project in SAP section below.</p> <p>For all events, only one project is permitted per region. All projects are funded by region, not by contract area, therefore a combined application is required for events affecting multiple contract areas in one region.</p>
4	Supplier	Supplier provides an incident recovery plan (when requested by the SNM)
Within 4 weeks of event:		
6	AIA	AIA works with the network team to complete the Emergency works application form and Emergency works funding request form .
7	Suppliers	Prepare all relevant information and provide supporting details to the SNM.
8	SNM AIA	<p>Create a folder in InfoHub in the designated regional folder for the event. Collects all supporting materials: Emergency Works report, schedule, application and funding form and saves them in the folder.</p> <p>When the forms are completed, the AIA will send the link to the System Manager and M&O Recovery Manager (RM) and cc in the emergency works inbox.</p>
9	System Manager	System Manager reviews and endorses the application.

	RM	The RM endorses the application and sends the links to the Activity Class Manager (ACM).
	ACM	The ACM then advises the Programme and Performance Team that funding has been approved.
10	Programme and Performance Team	<p>Forwards to appropriate delegated authority for funding approval.</p> <p><\$1M: Regional Manager - this level of approval will already be in place</p> <p>\$1-5M: Senior Manager - Maintenance & Operations</p> <p>All events >\$5M will be submitted to VOS</p> <p>\$5-15M: Senior Manager - Programme & Standards</p> <p>\$15-100M: Chief Financial Officer</p> <p>>\$100M: Waka Kotahi Board</p> <p>Ensures funding is provided in SAP and TIO</p>

Emergency works process:



Response phase

The response phase describes the work required to keep the highway open (or re-open the highway if closed), 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 and may require a reduced operating capacity such as single lane operations, controlled convoys and reduced opening times.

Recovery phase

The recovery phase describes the work required to return the asset to the agreed level of service for the affected roads. For smaller or low impact emergency works events, a recovery phase may not be required, that is, once clean-up has been completed there may be no reinstatement or additional work required.

Response phase:	
SNM	At the end of the response, the associated phase should be set to 'technically complete' in SAP and the WBS should no longer be used. A supporting schedule should be submitted to validate the spend incurred during this phase.
Recovery phase:	
SNM	<p>For events where a recovery phase is required, the SNM will work with the maintenance supplier and the AIA to develop the Recovery Plan. A new phase will be used in SAP for the recovery phase.</p> <p>It is important that the SNM monitors the spend against the amount approved in the project application. If this amount is exceeded by more than 10%, a PLA will need to be submitted and approved to the correct delegated authority. Note that more than one PLA may be required across the life of the project (see EW process diagram above) .</p>
RM and System Manager	The RM and System Manager will oversee the development of the Recovery Plan and assist with key decisions e.g., level of service assessment, procurement approach, communications requirements (see EW process diagram below)
Project close out:	
SNM	The SNM, must ensure that projects are first set to Substantially Complete in SAP and then closed down correctly and in a timely manner. A final PLA may be required to close the project out.

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:

- Emergency works accept/decline form
- Emergency works funding request form
- Emergency works application form
- Emergency works schedule
- Emergency works report
- Any supporting information

*Note: The report can be compiled using Part 1 and Part 2 of the Recovery Plan template.

Examples

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

2. What to submit when applying for emergency works funding.

Who is responsible for the application?

The AIA completes the application for emergency works funding and the SNM is responsible for providing all requested information to the AIA in a timely manner.

Suppliers are responsible for providing any required supporting material to accompany the application.

What to submit

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

These documents should be submitted as part of the response phase.

Component	Form or template
<i>Accept/decline form</i>	Accept/decline form
<i>Emergency works application form</i>	Emergency works application form
<i>Emergency works funding request form</i>	Emergency works funding request form
<i>Emergency works schedule – itemised work for the initial response and recovery (example)</i>	Emergency works schedule
<i>Emergency works report – supporting materials for the schedule and application.</i>	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 and/or videos 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 location details to allow for geographical mapping.
- Include specific meteorological details of the event.
- For the response phase 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 local Maintenance Contract Manager (MCM).

When must the information be submitted?

For the initial response phase, the information must be submitted within four weeks of the emergency event.

3. Setting up a project in SAP

Who is responsible for setting up and managing the project?

As soon as the AIA has completed the accept/decline form and emailed it to emergencyworks@nzta.govt.nz, details are entered into SAP by a finance analyst in the Programme and Performance Team.

Firstly, the initiative is created (to enable funding via Transport Investment Online - TIO), then the emergency works item (project). The item is then put under review as a 'new approval'. Basic details transfer by interphase to TIO overnight.

Under the item, two phases are opened: one for response and one for recovery. The finance analyst will advise the AIA (as well as the SNM and MCM) of these two different WBS numbers. It is important that information in both SAP and TIO is aligned to allow the systems to connect through an interphase.

Funding is allocated in TIO and this transfers to SAP.

Projects will be set up with two distinct phases:

- Phase 1: Response. This covers the initial response to the event.
- Phase 2: Recovery. Under this phase, additional "tasks" will be added:
 - Investigation/Design
 - Consenting
 - Procurement
 - Construction
 - Communications and engagement

Additional phases and tasks can be opened by a finance analyst or the project manager (PM). Once funds are allocated, the PM distributes the funds to the phases and tasks and enters the monthly forecast spend, including forecasts for subsequent years. The PM then updates the forecast finish date from the default one year time frame given to the project when it is opened.

Both actual and forecast spend in SAP needs to be reviewed monthly based on revised actuals and changing forecasts. This should be done by the project manager to ensure that financial reporting remains accurate and that any possible overspend is identified early on. The PM should also review and update the forecast finish date in SAP.

Upon completion of each task, it is classed as 'technically complete' in SAP. At the completion of all tasks the phase can be closed. Where there are no tasks, the phase can be closed as 'technically complete' once all components of the phase are complete.

Once classed as 'technically Complete' the project, phase or task cannot be invoiced against unless it is released (reopened).

The 'substantially complete' date should be submitted in SAP by the PM when appropriate. This is mandatory and feeds into Waka Kotahi Statement of Performance Expectations reporting.

There can only be one application per region for all EW events. A region is defined as Northland, Auckland, Waikato, Otago etc. Where **more than one contract area exists** in a region impacted by the same event, these will be set up as phases under the one item. For example:

Project: BOP storm event Nov22

- Item (Project): EW BOP HR yyyymmdd
 - Phase (WBS) 1: BOPE Response Phase
 - Phase (WBS) 2: BOPE Recovery Phase
 - Investigation/Design
 - Consenting
 - Procurement
 - Construction
 - Communications and engagement
 - Phase (WBS) 3: BOPW Response Phase
 - Phase (WBS) 4: BOPW Recovery Phase
 - Investigation/Design
 - Consenting
 - Procurement
 - Construction
 - Communications and engagement

The SNM must then manage the project or request that a PM is appointed if deemed appropriate and budget is allocated. For projects over \$5M, a dedicated PM is recommended.

Refer to [SAP PPM Process Project Financials](#) for more detail on how to use SAP.

Scope and cost changes

When a project is forecasting to exceed its allocation by more than 10% and/or a major change of scope is required, this change needs to be formally approved by the appropriate delegation (see table in section 1). This change should be documented using a [Price Level Cost/Scope Adjustment \(PLA\)](#).

Note, this should be done **before** the allocation is exceeded i.e., as soon as forecast is above 10% of approved allocation or work on the scope change begins. Retrospective approval will not occur. Work on the project may have to pause until approval is received. In order to avoid this scenario, the PM should submit the PLA application well in advance.

Project spend can be easily tracked via the [Emergency Work dashboard](#).

When a PM is appointed

When a PM is appointed to a project, the SNM must provide guidance to ensure that the agreed outcomes are achieved and that they provide value for money when reinstatement is completed. The SNM should also ensure that the final deliverables are within the originally agreed scope of works.

Closing the project

When the project is substantially complete the PM will update SAP with this date.

It is expected that most emergency works projects should be completed within 12 months of the event date. Substantially complete will be considered achieved, when;

- the pre-existing level of service is reinstated, or
- the agreed level of service is achieved as defined in the approved project scope.

Conditions such as consenting, any ongoing temporary traffic management, second coat seals or defect liability provision will be outside the period for substantial completion. Extensions of time will be agreed by exception.

When all costs are received, the project can be closed by emailing the emergency works inbox. A final application or PLA may be required to adjust the allocation to enable the project to close out.

The AIA and SNM will work together to ensure the project is closed out correctly.

Further help with SAP

Refer to the [SAP Quick Reference Guide](#) for further information and help with SAP, or access the webinars available through Puna Koi for help with SAP PPM functions.