MIN-3953 Business continuity planning

9 September 2022

Waka Kotahi NZ Transport Agency organisational resilience / business continuity plans in case of extreme natural event in Wellington.

Waka Kotahi NZ Transport Agency's response:

- Business continuity (BC) planning at Waka Kotahi follows three principles:

  1. Ensure the safety and welfare of our employees
  2. Continue our critical business activities
  3. Support the relevant emergency management groups.

- Following a disruptive event, we have four stages of response.

1) Emergency response

- Our initial response focuses on safety followed by securing assets. This is managed by our emergency wardens, first aiders and other response volunteers.

2) Incident Management Response

- The Waka Kotahi Incident Management Plan (IMP) is our strategic-level Business Continuity Plan[1]. It sets out how Waka Kotahi manages the organisation's response to any event that significantly disrupts, or threatens, operations and the delivery of services. An extreme natural event in Wellington would be considered a High Impact Incident and result in a Level Three activation of the IMP.

- The IMP is supported by an Incident Management Team (IMT) who provide management and coordination of the business continuity response. The National IMT leads strategic emergency response while the Local IMT coordinates on-the-ground operational response. The Secondary National IMT based outside Wellington would lead the response following an extreme natural event in Wellington. Our response on the road network is led by the National Emergency Response Team, in this scenario the alternative location (Auckland Transport Operations Centre) would be utilised.

- Our incident management arrangements are aligned with the Coordinated Incident Management System and plans are tested and maintained to ensure they remain current, actionable, and effective.

3) Business continuity response

- Business Continuity Plans (BCP) are documented procedures that guide organisations to respond, recover, resume, and restore to a pre-determined level of operation following a disruption. Planning is based on the impacts of an event, rather than specific scenarios. These strategies incorporate the likely impacts of an extreme natural event in Wellington.

- Waka Kotahi has two kinds of Business Continuity Plans:

  1. Critical Business Function Plans, focused on resumption of minimum levels of service.

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[1] Note this response is focused on organisational continuity not the operational response on the roading network to an extreme natural event in Wellington. Organisational continuity enables the response on the network.

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2. Office Business Continuity Plans which consolidate key information from Critical Business Function Plans for each of our office locations, including our Wellington offices.

- All our identified Critical Functions[2] have developed BCPs. These must be regularly reviewed to ensure they remain up to date and fit for purpose. Waka Kotahi last required all BCPs to be reviewed in early 2022.

4) Recovery response

- The recovery response focuses on processes, resources and capabilities that help us to resume normal activities following a disruptive event and prepare for future events.

- Waka Kotahi currently has a concentration of resources in the Wellington Region. Business continuity arrangements in the case of an extreme natural event in Wellington include:

- **Geographical Diversity** - As per the 2021 Critical Function Coordinator Questionnaire responses received all critical functions, except one, based outside Wellington, can be undertaken remotely or have an alternative location.

- **Digital Resilience** - Waka Kotahi has diversified physical locations of its servers and adopted cloud-based hosting services; continuity of business operations is further supported by Disaster Recovery plans.

- **Leadership Continuity** - Waka Kotahi has multiple Temporary Authorisation to Act in the Event of a High Impact Incident delegations in place for each member of our Executive Leadership Team.

- **Workforce Continuity** - our workforce is increasingly geographically diversified outside the Wellington CBD and supported by a high level of remote working capability. Work has been undertaken to ensure processes are not reliant on individual people or locations.

- **People Management** - Waka Kotahi has multiple tools to communicate with a staff in an emergency.

- **Supply Chain** - Waka Kotahi requires continuity and contingency plans to be in place for our Significant Service Contracts and for the suppliers to demonstrate that they have BCPs in place.

- **Alpine Faultline Magnitude 8 Scenario Planning** - Organisational wide planning has been initiated, this closely replicates an extreme natural event in Wellington scenario.

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[2] Critical Functions are the activities or processes sufficiently important that they will require business continuity plans. Reasons why something might be deemed critical include:

- Has a direct, immediate effect in preventing loss of life, personal injury, or loss of property.
- Is mandated in law.
- Enables significant revenue collection.
- Provides vital support to critical function(s) in another part of the Transport Agency or partner organisation.
- If disrupted, would result in a severe or extreme consequence (per, the Waka Kotahi Risk Consequence Table) to Waka Kotahi or its customers or stakeholders within 14 days of the interruption occurrence.