**About this form (v January 2024)**

From October 2023, this Emergency Works Funding Request replaced the previous versions of the Emergency Works request. Note:

* The Application form has been combined into this form (no longer available as separate form)
* The State Highways ‘Accept/Decline’ form must continue to be used
* This form can be accessed from the [VOS OnRamp page](https://onramp.nzta.govt.nz/our-organisation/our-business-groups/transport-services/the-value-outcomes-and-scope-vos-approach-and-committee/) or the [Highways Information Portal](https://www.nzta.govt.nz/roads-and-rail/highways-information-portal/processes/maintain/emergency-works/)

|  |  |
| --- | --- |
| **Who uses this form?** | Submitters using work category 141 requiring funding for Emergency Works for either State Highways or Local Roads. |
| **How to get help** | * A visual quick guide on completing the form is available on the [VOS OnRamp](https://onramp.nzta.govt.nz/our-organisation/our-business-groups/transport-services/the-value-outcomes-and-scope-vos-approach-and-committee/) page.
* State Highways: For help with TIO contact emergencyworks@nzta.govt.nz
 |

**High level process for sign off**

|  |  |
| --- | --- |
| **Local Roads (includes all modes)** | **State Highways (includes all modes)** |
| **Requestor - ensure appropriate signoffs:**[ ]  Level 1: Peer Reviewer signs off[ ]  Level 2: Regional Manager signs off [ ]  Activity Class Manager signs off[ ]  Treasury & Cashflow signs off for funding availability[ ]  Enter details in TIO & ensure it is under review status[ ]  For projects <$1m & <$5m once approved, email Rachael Davidson & Pare Puketapu who will approve in TIO**Delegation Signoff:** [ ]  **If up to $1m**, submit to Regional Manager[ ]  **If $5m or less**, submit to Senior Manager Maintenance & Operations[ ]  **If above $5m**, submit to VOSSupport@nzta.govt.nz **VOSSupport@nzta.govt.nz**[ ]  will submit request to Manager Tactical Asset Investment**Once approved:**[ ]  Send approved application to Approved\_Request\_TIO@nzta.govt.nzto get funds released in TIO | **Requestor - ensure appropriate signoffs:**[ ]  Level 1: System Manager signs off[ ]  Include Regional Manager endorsement where required[ ]  Send to Level 2: Recovery Manager for sign off **Recovery Manager:**[ ]  sends form to emergencyworks@nzta.govt.nz for funding allocation in TIO**emergencyworks@nzta.govt.nz****:**[ ]  sends form to Activity Class Manager for sign off and return[ ]  If up to $1m, allocate funding in TIO, or[ ]  If $1m to-$5m, email Senior Manager Maintenance and Operations, and return, allocate in TIO, or[ ]  **If above $5m**, submit to VOSSupport@nzta.govt.nz **VOSSupport@nzta.govt.nz**[ ]  will submit request to Manager Tactical Asset Investment and Portfolio Check tsportfolioandperformance@nzta.govt.nz |
| **VOS Key Dates (requests over $5m):** The assurance sign-off for Emergency Works starts immediately once the VOS Secretariat receives this submission.If the submission needs to be discussed, then it will be included on the next VOS agenda. Meeting dates and final dates for submission are outlined in this [calendar](https://infohub.nzta.govt.nz/otcs/cs.dll/Overview/56880638).  |

|  |  |
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| **Reference** | The Emergency Works Funding Guide and Emergency Works Recovery Guide are available on the [Highways Information Portal Emergency Works page](https://www.nzta.govt.nz/roads-and-rail/highways-information-portal/processes/maintain/emergency-works/) |

# EMERGENCY WORKS FUNDING REQUEST

Submitter to complete

|  |
| --- |
| Project information |
| Emergency Works Event | Name **MUST** be the same in TIO/SAP e.g. EW XXX |
| *Application type* | Select | **Event type** | Select |
| *Request type**(NEW = single event.**VARIATION = subsequent applications)* | Select | **Date of application** | Click here to enter a date. |
| Council *(if Local Road)* | Select | **Region** | Select |
| NZTA submitter name | [insert here] | **Submitter Phone** **Email** | [insert here][insert here] |
| Reviewer / Input | Select | [insert name] |
| Name of Regional Manager who will endorse (>$1m)(sign funding decision record) | [insert name] |

### Recommendation

Submitter to copy the relevant wording from either Appendix 1 Recommendation wording table for Local Roads or Appendix 2 Recommendation wording table for State Highways below and replace static writing in blue. Maintain the format in appendix.

The delegated decisionmaker

An action, in this case,

* A second action
	+ The organisation receiving funding (required)
	+ The project/event
	+ The total amount, inclusion of admin, and the admin rate used (required)
	+ The FAR percentage and the NLTF share in dollars (required) - *Local Roads only*
	+ The activity class and work category (required)

### Reason for recommendation

Submitter to complete

|  |  |  |
| --- | --- | --- |
| This funding approval enables the transport services at this network to be reinstated to the appropriate levels of service.The requirements of section 20 (4) of the Land Transport Management Act 2003 have been met. |  | [ ]  Confirmed (tick box) |

### Event summary

Submitter to complete*.* This section should outline what the Emergency Works event is about and what has happened - include photos, diagrams, maps where possible to help tell the story.

Includes:

* Event Date
* Description of the event (context) or why variation has occurred
* Scope (what you will be doing)
* Risks & issues
* Constraints / Dependencies (if relevant)
* Any prior or future funding requests related to this event

### Financial information

Submitter to complete. Must include admin.

|  |  |  |
| --- | --- | --- |
| Cashflow | Total ($m) | NLTF share ($m) |
| 2023/24 | $xx | $xx |
| 2024/25 | $xx | $xx |
| 2025/26 | $xx | $xx |
| <add if required> | $xx | $xx |
| Total | **$xx** | **$xx** |
| STATE HIGHWAYS ONLYTotal + 9% admin | **$xx** | **$xx** |

|  |
| --- |
| **TIO | SAP Section** |
| **SAP Item ID** | [insert here] | **TIO Activity ID** | [insert here] |
| **GIS Coordinates****(State Highways only)** | [insert here] |
| **Funding amount** | $xxx | **Total Estimated Project Cost** | $xxx |
| **Is there a need to apply special FAR?****(Local Roads only)** | Select | **If yes, outline why special FAR required** | [insert here] |
| **Provide InfoHub links for all relevant documents** | [Application form] etc |
| **Actions Completed (mandatory)** | [ ]  TIO Updated (submissions will not be accepted unless actioned)[ ] SAP Updated (State Highways only)[ ] Documents uploaded to TIO |

### Variation only

*Submitter to complete. Funding sought (including admin cost of %) only for variations.*

*Please check* [*SAP PPM Admin Rates*](https://infohub.nzta.govt.nz/otcs/cs.dll/link/53760717) *for your activity.*

|  |  |  |  |
| --- | --- | --- | --- |
|  | Current Project Cost | Variation Cost | New Project Cost |
| Funding sought | $xx | $xx | $xx |
| This request should match your Business Case and TIO. If there are variances – explain: |
| Why is this variation needed? |

**Investment Advisor commentary**

*For Local Roads: Local Road Investment Advisor*

*For State Highways: Asset Investment Advisor*

|  |
| --- |
| Investment Advisor Commentary to be completed by the Investment Advisor |
| **Name** | [insert name] | ***Date*** | Click here to enter a date |
| **Comments *(mandatory)*** | [insert] |

### Activity class management

|  |
| --- |
| Activity Class Management to be completed by the Activity Class Manager |
| **Activity Class Manager** | [insert name] | ***Date*** | Click here to enter a date |
| **Activity Class Manager comment on affordability *(mandatory)*** | [Comment on the affordability against Emergency Works allocation and note recommended conditions] |
| **Conditions** | [This section can be used to outline if there are any conditions precedent or subsequent that need to be included in the recommendation or satisfied before further funding is approved] |

### Management endorsement

*For Local Roads: To be completed by Peer Reviewer*

*For State Highways: To be completed by System Manager*

|  |
| --- |
| Level 1 Endorsement |
| **Completed by** | [insert name] | ***Date*** | Click here to enter a date |
| **Role** | [insert role] |
| **Comments *(mandatory)*** | [insert] |

*For Local Roads: To be completed by Regional Manager*

*For State Highways: To be completed by Recovery Manager*

|  |
| --- |
| Level 2 Endorsement |
| **Completed by** | [insert name] | ***Date*** | Click here to enter a date |
| **Role** | [insert role] |
| **Comments *(mandatory)*** | [insert] |

**Delegation authority business delegations**

DA 3.19 Emergency Works – approve funding (and any variations to that funding) for emergency works activities

|  |  |  |
| --- | --- | --- |
| Tick relevant box | Limits | Delegates |
|[ ]  Where cost of works is $1 million or less | Regional Manager |
|[ ]  Where cost of works is $5 million or less | Senior Manager Maintenance and Operations |
|[x]  Where cost of works is $15 million or less | National Manager Programme and Standards |
|[ ]  Where cost of works is $15 million - $100 million  | Chief Financial Officer |
|[ ]  Where cost of works is over $100 million | NZ Transport Agency Waka Kotahi Board |

### Section for requests over $5m

### Portfolio check (does not apply for Local Roads)

|  |
| --- |
| Portfolio check assessment (For State Highway Requests >$5m) Completed by Portfolio & Performance |
| ***Completed by*** | Name & role | ***Date***  | Click here to enter a date |
| ***Assessment*** | Provide formal recommendation |
| ***Key considerations*** | 1. Trade-offs to be understood
 |

### Assurance summary

|  |
| --- |
| Completed by Manager Tactical Asset Investment (for requests >$5m) |
| ***Name***  | [insert name] | ***Date***  | Click here to enter a date |
| ***Assessment*** | Select |
| ***Key considerations*** | [insert] |

|  |
| --- |
| Assurance Sign off – Portfolio (For State Highway Requests >$5m). Does not apply for Local RoadsCompleted by Portfolio & Performance |
| ***Completed by*** | Name & role | ***Date***  | Click here to enter a date |
| ***Assessment*** | *Select* |
| ***Key considerations*** |  |

|  |
| --- |
| Additional information |
| *Are there other circumstances or aspects that should be noted by decision makers?* |

**Funding Decision Record**

|  |  |
| --- | --- |
| **Transport Services Approver** to complete | **Resolution / Decision – Delegation – Transport Services** |
|  | Delegation | Select |
|  | Endorsed |[ ]  Recommendation: |
|  | Deferred (Revise and resubmit) |[ ]   |
|  | Declined |[ ]   |
|  | Conditions |[ ]   |
|  |  |[ ]   |
|  | Conditions Met | Choose an item. |
|  | Name | Insert name |
|  | Position  | Select |
|  | Signature |  |
|  | Date | Click here to enter a date. |
|  | Actions taken |  |

|  |  |
| --- | --- |
| **Process Coordinator** to complete | **Accepted for consideration by National Manager, Programme and Standards, Transport Services** |
| Paper number: |  |
| Meeting date: | Click here to enter a date. |

|  |  |
| --- | --- |
| **Commercial & Corporate Approver** to complete | **Resolution / Decision – Delegation – Chief Financial Officer, Commercial & Corporate** |
|  | Endorsed / Approved  |[ ]  Recommendation: |
|  | Deferred (Revise and resubmit) |[ ]   |
|  | Declined |[ ]   |
|  | Conditions |[ ]   |
|  |  |[ ]   |
|  | Conditions Met | Choose an item. |
|  | Name | Howard Cattermole |
|  | Position | Chief Financial Officer, Commercial & Corporate |
|  | Signature |  |
|  | Date | Click here to enter a date. |
|  | Actions taken |  |

### Appendix 1 | LOCAL ROADS | Recommendation wording table

*Copy the relevant wording onto page 2 Recommendation section (use same formatting of bullets). Appendix can then be deleted.*

|  |
| --- |
| **LOCAL ROADS | Recommendation wording table (delete table before submitting)** |
| **$ value** | **New Phase** | **Variation** |
| **$1m or less** | That the Regional Manager, Maintenance & Operations, Transport Services:* **Approves** emergency works funding to **AO**
* for **XXX (*name of project in TIO*)** project
* at a cost of **$XX** (including **x%** admin)
* at a funding assistance rate of **xx%** ($x out of the NLFTF)
* For **[phase]**
* from activity class 8, work category 141.
 | The Approver\* of the original Emergency Works request [insert role here]:* **Approves** the [price level adjustment/cost scope adjustment] for emergency works to **AO**
* for **XXX (*name of project in TIO*)** project
* for an increase of **$XX** (including **x%** admin)
* at a funding assistance rate of **xx%** ($x out of the NLFTF)
* For **[phase]**
* from activity class 8, work category 141.
* thereby increasing the approved [total or phase] cost from **$xxx to $xxx** **(including Admin)**
 |
| **Between $1m and $5m** | That the Senior Manager, Maintenance & Operations, Transport Services:* **Approves** emergency works funding to **AO**
* for **XXX (*name of project in TIO*)** project
* at a cost of **$XX** (including **x%** admin)
* at a funding assistance rate of **xx%** ($x out of the NLFTF)
* for **[phase]**
* from activity class 8, work category 141.
 | The Approver\* of the original Emergency Works request [insert role here]:* **Approves** the [price level adjustment/cost scope adjustment] for emergency works funding to **AO**
* for **XXX (*name of project in TIO*)** project
* for an increase of **$XX** (including **x%** admin)
* at a funding assistance rate of **xx%** ($x out of the NLFTF)
* For **[phase]**
* from activity class 8, work category 141.
* thereby increasing the approved [total or phase] cost from **$xxx to $xxx (including Admin)**
 |
| **Between $5M and $15M** | That the National Manager, Programme and Standards, Transport Services:* **Approves** emergency works funding to **AO**
* for **XXX (*name of project in TIO*)** project
* at a cost of **$XX** (including **x%** admin)
* at a funding assistance rate of **xx%** ($x out of the NLFTF)
* for **[phase]**
* from activity class 8, work category 141.
 | The Approver\* of the original Emergency Works request [insert role here]:* **Approves** the [price level adjustment/cost scope adjustment] for emergency works to **AO**
* for **XXX (*name of project in TIO*)** project
* for an increase of **$XX** (including **x%** admin)
* at a funding assistance rate of **xx%** ($x out of the NLFTF)
* For **[phase]**
* from activity class 8, work category 141
* thereby increasing the approved [total or phase] cost from **$xxx to $xxx (including Admin)**
 |
| **Between $15M-$50M** | That the National Manager, Programme and Standards, Transport Services:* **Endorses** this emergency works funding request
* **Recommends** that the Chief Financial Officer **approves**
	+ emergency works funding to **AO**
	+ for the **XXX (*name of project in TIO*)** project
	+ at a cost of **$XX** (including x% admin)
	+ at a funding assistance rate of **XX%** ($x out of the NLTF)
	+ for **[phase]**
	+ from activity class 8, work category 141.
 | The Approver\* of the original Emergency Works request [insert role here]:* Endorses this [price level adjustment/cost scope adjustment] for this emergency works funding request
* Recommends that the Chief Financial Officer approves
* emergency works funding to AO
* for the XXX **(*name of project in TIO*)** project
* for an increase of $XXX (including x% Admin)
* at a funding assistance rate of XX% ($x out of the NLTF)
* for **[phase]**
* from activity class 8, work category 141
* thereby increasing the approved [total or phase] cost from $xxx to $xxx (including Admin)
 |
| **Above $50m** | That the National Manager, Programme and Standards, Transport Services:* **Recommends that the Chief Financial Officer recommends to the NZ Transport Agency Waka Kotahi Board to:**
	+ **Endorse** this emergency works funding request
	+ **Approves** emergency works funding
		- to **AO**
		- for the **XXX** **(*name of project in TIO*)** project
		- at a cost of **$XX**
		- at a funding assistance rate of **xx%** ($x out of the NLTF)
		- for **[phase]**
		- from activity class 8, work category 141.
 | The Approver\* of the original Emergency Works request [insert role here]:* **Recommends that the Chief Financial Officer recommends to the NZ Transport Agency Waka Kotahi Board to:**
* **Endorse** this [price level adjustment/cost scope adjustment] emergency works funding.
* **Approves** emergency works funding
* to **AO**
* for the **XXX** **(*name of project in TIO*)** project
* at a cost of **$XX**
* at a funding assistance rate of **xx%** ($x out of the NLTF)
* for **[phase]**
* from activity class 8, work category 141.
* thereby increasing the approved [total or phase] cost from **$xxx to $xxx (including Admin)**
 |

\*Unless subsequently delegated

### Appendix 2 | STATE HIGHWAYS | Recommendation wording table

*Copy the relevant wording onto page 2 Recommendation section (use same formatting of bullets). Appendix can then be deleted.*

|  |
| --- |
| **STATE HIGHWAYS Recommendation wording table (delete table before submitting)** |
| **$ value** | **New Phase** | **Variation** |
| **$1m or less** | That the Regional Manager, Maintenance & Operations, Transport Services:* **Approves** emergency works funding to **NZ Transport Agency Waka Kotahi** for
* **XXX** **(*name of project in TIO*)** project
* at a cost of **$XX** (including admin)
* for **[phase]**
* from activity class 9, work category 141.
 | The Approver\* of the original Emergency Works request [insert role here]:* **Approves** the [price level adjustment/cost scope adjustment] for emergency works funding to **NZ Transport Agency Waka Kotahi**
* for **XXX** **(*name of project in TIO*)** project
* for an increase of **$XX** (including admin)
* for **[phase]**
* from activity class 9, work category 141.
* thereby increasing the approved [total or phase] cost from **$xxx to $xxx (including admin)**
 |
| **Between $1m and $5m** | That the Senior Manager, Maintenance & Operations, Transport Services:* **Approves** emergency works funding to **NZ Transport Agency** **Waka Kotahi**
* for the **XXX** **(*name of project in TIO*)** project
* at a cost of **$XX** (including admin)
* for **[phase]**
* from activity class 9, work category 141.
 | The Approver\* of the original Emergency Works request [insert role here]:* **Approves** the [price level adjustment/cost scope adjustment] for emergency works funding to **NZ Transport Agency** **Waka Kotahi**
* for **XXX** **(*name of project in TIO*)** project
* for an increase of **$XX** (including admin)
* for **[phase]**
* from activity class 9, work category 141
* thereby increasing the approved [total or phase] cost from **$xxx to $xxx (including admin)**
 |
| **Between $5M and $15M** | That the National Manager, Programme and Standards, Transport Services:* **Approves** emergency works funding **to NZ Transport Agency** **Waka Kotahi**
* for the **XXX** project
* at a cost of **$XX** (including admin)
* for **[phase]**
* from activity class 9, work category 141.
 | The Approver\* of the original Emergency Works request [insert role here]:* Approves the [price level adjustment/cost scope adjustment] for emergency works funding to NZ Transport Agency **Waka Kotahi**
* for the XXX **(*name of project in TIO*)** project
* for an increase of $XX (including admin)
* for **[phase]**
* from activity class 9, work category 141.
* thereby increasing the approved [total or phase] cost from $XX to $XX (including Admin)
 |
| **Between $15M-$50M** | That the National Manager, Programme and Standards, Transport Services:* **Endorses** this emergency works funding request
* **Recommends** that the Chief Financial Officer **approves** emergency works funding to **NZ Transport Agency** **Waka Kotahi**
* for the **XXX** project
* at a cost of **$XX** (including admin)
* for **[phase]**
* from activity class 9, work category 141.
 | The Approver\* of the original Emergency Works request [insert role here]:* **Endorses** this [price level adjustment/cost scope adjustment] emergency works funding request
* Recommends the Chief Financial Officer approves:
* funding to NZ Transport Agency **Waka Kotahi** approves:
* for the XXX project **(*name of project in TIO*)**
* for an increase of $XX (including admin)
* for **[phase]**
* from activity class 9, work category 141
* thereby increasing the approved [total or phase] cost from $XX to $XX (including admin)
 |
| **Above $50m** | That the National Manager, Programme and Standards, Transport Services:* **Recommends that the Chief Financial Officer recommends to the NZ Transport Agency** **Waka Kotahi Board to:**
	+ **Endorse this** emergency works funding request
	+ **Approves** emergency works funding to **NZ Transport Agency Waka Kotahi**
		- for the **XXX** project
		- at a cost of **$XX**
		- for **[phase]**
		- from activity class 9, work category 141.
 | The Approver\* of the original Emergency Works request [insert role here]:* **Recommends that the Chief Financial Officer recommends to the NZ Transport Agency Waka Kotahi Board to:**
* **Endorse** this [price level adjustment/cost scope adjustment] emergency work funding.
* **Approves** funding
* to NZ Transport Agency Waka Kotahi approves
* for the **XXX** project **(*name of project in TIO*)**
* for an increase of **$XX** (including admin)
* for **[phase]**
* from activity class 9, work category 141.
* thereby increasing the approved [total or phase] cost from **$xxx to $xxx** **(including admin)**
 |

\*Unless subsequently delegated