



Emergency works funding guide for approved organisations

July 2024

Version 1.0

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More information

NZ Transport Agency Waka Kotahi
July 2024

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This document is available on NZTA's website at www.nzta.govt.nz

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Document management plan

Purpose

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

Document information

Document name	Emergency works funding guide for approved organisations
Document availability	This document is located in electronic form on the NZ Transport Agency Waka Kotahi website
Document owner	Martin Taylor, Principal Investment Advisor Annlyn Lopez, Senior Investment Advisor

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	As required

Record of amendment

Version number	Description of change	Effective date	Updated by
0.1	Initial draft	October 2023	Martin Taylor and Annlyn Lopez
0.2	Changes required to align with Emergency works Investment Policies Review	June 2024	Pania Elliot

Other information

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.

This document is closely aligned to the internal *Emergency works funding guide for state highways*.

About this guide

Purpose

The purpose of this guide is to explain the application and approval process for approved organisations for emergency works funding.

Background

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

Users are encouraged to first familiarise themselves with work categories 141 and 140.

Audience

The audience for this guide is:

- approved organisations
- NZTA maintenance and operations investment advisors
- NZTA activity class managers.

How to apply for emergency works funding for response

Step	Who	Action
Within 24–48 hours of an emergency event: Response		
1	Approved organisation	Identify damage to transport infrastructure following the event and take appropriate action for the response to ensure public safety and access. See definitions below.
Within 1 week of event: Assess event		
2	Approved organisation	<ul style="list-style-type: none">• Notify your investment advisor of the event and the potential application for emergency works.• Assess the event based on the criteria for a qualifying event in work category 141: emergency works.• Assess damage caused and estimate the response scope and cost after checking eligibility – see qualifying activities included under work category 141 to determine eligibility.
Within 4 weeks of event: Gather information and evidence relating to the response work		
3	Approved organisation	<ul style="list-style-type: none">• Start the process of collecting and gathering information of sites impacted by the event.• Capture the information, including updating RAMM (road assessment and maintenance management) database with this data. Complete the Data submission template indicating if it is 'response' or 'recovery'.• Arrange a site visit with an investment advisor within 4 weeks (or as soon as possible) of the event to inspect the damage and confirm eligibility of emergency works funding and gain agreement on scope of works and cost estimates for response.• Use the information you have already captured to outline the details of each site in the Data submission template.• Where physical inspection is not possible, photographs and a report may be provided as evidence. Use the Emergency works report template.• Upload all evidence, including photographs, into Transport Investment Online (TIO) under supporting documents.

- Following site visit and discussions with your investment advisor, complete the relevant report.
 - Ensure you capture the information in [RAMM](#), which becomes the sole source of truth and evidence when completing Data submission template.
 - Submit an application for response funding into TIO within 4 to 6 weeks.
- 4 NZTA investment advisor
- Attend a site visit with the approved organisation and / or consider evidence sighted or provided (photographs and a report).
 - Confirm eligibility of emergency works funding and come to an agreement on scope of works and cost estimates.
 - Reiterate the importance of capturing information in RAMM, because it becomes the source of truth and evidence.

Within 6 weeks or as soon as possible: **Submit emergency works funding application into TIO**

- 5 Approved organisation
- The 6-week expectation applies to the application for funding of response (not recovery).
 - Emergency works funding application to be completed and submitted in TIO with all the required supporting documentation. A separate activity needs to be set up in TIO for each event, with relevant documentation uploaded under 'Supporting documents' to support the application.
 - Follow the applications for emergency works naming conventions: 'EW council name month/year and event name'. For example, 'EW Whangarei DC Feb 2023 Cyclone Gabrielle'.
 - Include the following supporting documents to support response works:
 - [Data submission template](#)
 - [Emergency works report template](#)
 - We encourage you to discuss your application with your investment advisor before submitting it.
 - An approved organisation may apply for a funding adjustment (price level adjustment or cost scope adjustment) if changes are required after the first application has been submitted / approved.

Within 1 week of receipt of application: **Assess funding application**

- 6 NZTA investment advisor
- Investment advisor will assess the application for eligibility and completeness and recommend funding decision to the appropriate delegated decision maker. (Value, Outcomes and Scope committee).

How to apply for emergency works funding for recovery¹

Step	Who	Action
1	Approved organisation	<ul style="list-style-type: none"> • Assess options for recovery work. • Scope recovery work. • Calculate cost estimate for recovery work and cashflow for each financial year. • Approved organisation to confirm they have local share funding available to support the application. • Approved organisation to confirm they have appropriate procurement procedures in place to undertake the recovery.

¹ These steps assume that the steps for applying for response have already been completed. It is possible to apply for response and recovery funding at the same time. However, the deadline of 6 weeks must be met for response works. There is no deadline for making an application for funding for recovery. An approved organisation must not incur recovery costs prior to obtaining funding approval as these will not be approved retrospectively.

- Assess whether or not any improvements are required to make the recovery work cost effective².
 - If the infrastructure has low volumes of use and is prone to ongoing events, then discuss with the NZTA investment advisor and follow the steps in the Uneconomic Transport Infrastructure Policy.
 - Emergency works funding application to be completed and submitted in TIO with all the required supporting documentation.
 - Include the following supporting documents, to support recovery works:
 - [Data submission template](#)
 - [Emergency works report template](#)
 - geospatial data
 - geotechnical and structures assessment reports where applicable.
 - We encourage you to discuss your emergency works application with your investment advisor before submitting it.
If you anticipate applying simultaneously for funding for improvements please discuss this with your investment advisor who will assist you to identify the correct decision pathway and requirements to follow.
- 2 NZTA investment advisor
- Investment advisor needs to have complete information in TIO and applications.
 - Investment advisor completes investment quality assurance and makes funding recommendation.
 - Investment advisor to undertake site visits where necessary to confirm scope of works.
 - **Note:** timing for completion will depend on the scale of the event, the level of information required and the level of delegation for decision making.
 - Approval is processed in TIO by the relevant staff member (with appropriate delegation such as Treasury & Cash Flow).

Emergency works report requirements

Approved organisations need to ensure that the emergency works report:

- provides the investment advisor with enough information to make an informed decision about the eligibility of the event for emergency works funding when submitting the emergency works report
- includes clear and relevant photographs and/or videos of damage
- includes specific meteorological / weather or other details, and verification and date of the event
- completes the [Data submission template](#) to justify the claim
- considers all response options, including lower levels of service
- considers other funding options
- follow the steps in the [Uneconomic Transport Infrastructure Policy](#) in situations where the benefit–cost ratio (BCR) is less than 1 and there is a net present value of less than 1.

Requests for funding adjustments

All approved organisations must monitor progress and forecasting of their claims. They will need to apply for approval for an adjustment of scope and/or costs for the response, recovery or resilience works.

² Resilience improvements that are associated with an emergency event can be considered as part of the emergency event but will need to be identified as resilience improvements are to be funded from the relevant improvements activity class with a separate decision. A Safe System audit will need to be completed for improvements.

Approved organisations must inform their NZTA investment advisor as soon as they are aware of the need for any cost scope or cash flow adjustment. This includes the release of any surplus funds that are not required to deliver the planned activity or activities.

Surpluses

Any funding that remains after the completion of the activity or activities to approved scope must be declared surplus. Surplus funds are returned to the National Land Transport Fund (NLTF) and are not available for the approved organisation to use on other activities, except by agreement with us.

Approved organisations may be reluctant to forecast or declare surplus funds as they may need them later, should the cost of the approved activity be higher than their latest forecast. We commit that, where an approved organisation declares surplus funds and later finds that it requires some or all of those funds to deliver its approved activity or activities, the approved organisation will have first call on available NLTF funds to enable it to complete delivery.

Please refer to NZTA [National Land Transport Fund Claims and Obligations Policy](#).

Definitions

Approved organisations

Organisations approved under the Land Transport Management Act (LTMA) that invest jointly with NZTA in transport activities. They include regional councils, territorial authorities, the Department of Conservation, Auckland Transport and Waitangi National Trust.

Emergency event

An event that qualifies for NLTF funding as emergency works will:

- be of unusually large magnitude or severity for the area in which they occur (as a guide, they would be expected to have an annual return period greater than 1 in 10 years)
- originate from a short-duration triggering event, including very high intensity rainfall, severe wind, fire or seismic event that causes damage to transport infrastructure or facilities
- have reduced, or will reduce within a 12-month period, levels of transport service below those that existed prior to the event
- involve a total cost of \$100,000 or more per event per approved organisation or NZTA (for its own activities in the region)
- be clearly defined, named, and described, with a separate funding application required for each event.

Response

The initial work necessary to reopen a road or other transport facility, where practicable, for safe use, albeit at a basic level of service, or to minimise risk of further damage. This includes:

- site inspections and establishment of the emergency response team
- debris clearance, temporary route management and reinstatement, emergency bridging installation (such as Bailey bridges etc), restoration of drainage, temporary site protection measures, and temporary site traffic management
- minor recovery that can be carried out in the short term at low cost and is necessary for safety or temporary access, irrespective of future decisions on recovery
- geotechnical and structural investigations, scoping, costing, and planning for recovery.

Recovery

The work to restore levels of service on a 'like for like' basis or a reduced level of service.

‘Like for like’

The phrase ‘like for like’ means the modern equivalent of the transport infrastructure, not necessarily of the same material type or structural form, that meets current design standards to restore level of service.

Current design standards may include the following:

- meeting non-avoidable engineering design requirements
- meeting building consent and resources consent requirements of the relevant local and regional authority, such as meeting engineering resistance design standards for an earthquake
- engineering requirements to manage the risk and consequence of hazards impacting the design life for the structure and the transport network it services
- improvements of a minor nature to restore level of service, such as altering the alignment of the infrastructure in a minor way.

‘Like for like’ is on the basis that the infrastructure is replaced in the same approximate location and includes the immediate approaches to the structure. This may include altering the alignment to allow off-line construction and/or improve safety and geometric performance of the structure in the network (approach lengths are limited to the distance necessary to safely transition to and from any new off-line alignment in accordance with the design parameters for the safe speed for the road classification).

‘Like for like’ excludes improvements, such as an additional cycleway where there wasn’t one previously, or an improvement in resilience.

It is acknowledged that restoration of level of service on a ‘like for like’ basis may result in the infrastructure having a longer useful life than previously, due to the provision of new materials or a new structure.

Uneconomic transport infrastructure

‘Uneconomic’ means a proposed investment with a ‘very low’ efficiency rating (benefit–cost ratio (BCR) < 1, or net present value (NPV) < 0).

Note: ‘Uneconomic’ in this context only means the monetised benefits do not exceed the monetised costs. This does not necessarily mean the proposed investment is not worthwhile or good value for money once non-monetised and/or social benefits are considered.

More information

Examples

- To be provided.

Safe System audits

- [Safe System audits](#)
- [Frequently asked questions about Safe System audits](#)