

RCA strategies to improve Temporary traffic management (TTM) at worksites

Set out below are strategies that RCAs can consider applying to improve TTM at worksites. The strategies are grouped under 3 headings:

- Strategies to build a culture of high standard or acceptable TTM work activities on the network
- Strategies to put in place consequences for unacceptable/dangerous results for an audit/review
- Strategies where there are continued unacceptable or dangerous worksites.

These strategies are **presented as options** which RCAs can consider implementing. It is up to each RCA to apply strategies that work within their network.

Strategies to build a culture of high standard or acceptable TTM work activities on the network

Strategy	Explanation
<p>Newsletter</p>	<p>Issue a regular newsletter to the industry. This can be used to inform the industry of any common issues across the network that need addressing.</p>  <p>Page 1 Auckland Transport temporary traffic management newsletter</p> <p>It can also be used to report back to the industry the consolidated results of audits and advise them of upcoming changes.</p>
<p>Industry meetings/BBQ</p>	<p>Hold a quarterly meeting with the industry (Contractors, Consultants, principals, TMCs, Auditors). Combining the meeting with food seems to get a good attendance. During the meeting discuss issues that each of the groups are facing and look for agreed solutions. Also good for letting the industry know about any upcoming changes.</p>

Strategy	Explanation
<p>STMS of the month</p>	<p>Run an STMS of the month award. Any STMS who has received a High Standard result on an audit during the month qualifies for the competition. A certificate and prize (donated by a sponsor) is presented to the STMS of the month at a toolbox briefing</p>  <p>You may also include the name and company of the STMS of the month in the newsletter and also include all the STMSs who achieved a High Standard audit result in that month.</p>
<p>Invite contractors along on RCA audits</p>	<p>A good initiative is to invite contractors/STMS along on audits. This allows them to see that the same standard is being applied to all and that there are a wide range of onsite issues that need to be dealt with.</p> <p>There needs to be clear guidelines about their involvement in the audit – observer only (but can complete their own audit if they like).</p>
<p>Issue a safety alert to industry</p>	<p>Safety alerts can be used to advise the industry of any issues that are common across the network and that are causing hazards.</p> 

Strategy	Explanation
Complete reviews of audits to encourage consistency	<p>Set up a system of regular reviews of audits (say weekly or fortnightly).</p> <p>Review site photos / videos and get auditors to identify issues / areas of non-compliance.</p> <p>Consider inviting industry representatives to these review sessions.</p>
Undertake targeted audits/reviews	<p>Conduct a programme of audits/reviews targeting specific worksite issues.</p> <p>For example, you could have a programme specifically targeting the set out of TSLs at worksites.</p>

Strategies to put in place consequences for unacceptable/dangerous results in audits

Consequence	Explanation
Charge Utilities for selected consent compliance monitoring activities	<p>The <i>National Code of Practice for Utility Operators' Access to Transport Corridors (September 2016)</i> - section 6.5 Corridor Manager Cost Recovery allows the Corridor Manager to charge Utilities a fee for monitoring of consent compliance. Costs incurred by the Corridor Manager for this service should be separately identified and fees set through an appropriate consultative procedure. A consultation procedure is outlined in sections 83 and 150 of the LGA 2002.</p> <p>A schedule of fees could be agreed for consent compliance monitoring activities including the following:</p> <ul style="list-style-type: none"> • Unacceptable audit result • Dangerous audit result • Issue of a Stop Work Notice • Issue of an Approval to Recommence Work authority • Issue of an Advisory Note • Issue of a NNC • Follow-up audit after a NNC has been issued.
Issue a Stop Work Notice and require an Approval to Recommence Work	<p>When issuing a Stop work notice for a worksite, include the following note: <i>The stopped work is not to recommence until appropriate remedial work is carried out and an 'Approval to Recommence Work' authority is signed and issued by the Corridor Manager.</i></p> <p>An RCA representative will need to re-visit the worksite when the Contractor has carried out the remedial works in order to confirm satisfactory completion and issue the Approval to Recommence Work.</p>

Consequence	Explanation
<p>Issue Advisory Note</p>	<p>The intent of the Advisory Note is to inform the company of the on-site issues and reduce if not eliminate the root causes of the unsafe practices identified in the SCR.</p> <p>The Advisory Note triggers a formal procedure for identifying, investigating, and correcting the unsafe practices and/or any shortcomings in the company's work practices.</p> <p>An Advisory Note stands for 5 working days in which time the company must outline the corrective steps that will be taken to prevent the problem arising again. For example: investigation, documentation and implementation of a corrective action plan for each of the unsafe practices identified.</p> <p>A response to the Advisory Note must be returned to the issuer within the 5 working days detailing the Corrective Action Plan for the unsafe practices identified.</p> <p>If the company does not respond within the 5 working days, the Advisory Note is upgraded to a Notice of Non Conformance (NNC) against the responsible parties.</p>
<p>Issue a NNC and require a Corrective Action Plan with a follow up audit</p>	<p>Where an NNC is issued, it is advised that the RCA requires a plan to be submitted within 10 working days detailing the Corrective Actions for the defects identified during the audit.</p> <p>The company responsible for the issues identified at the worksite is expected to implement the Corrective Action Plan, if requested, as soon as possible and no later than 20 working days from the date of the NNC.</p> <p>In order to confirm required standards are being met, the RCA conducts a further audit of a worksite controlled by the STMS with the required audit result being Acceptable or better. To facilitate this, the RCA must be advised of at least one attended operation under the management of the STMS (24-hour notice is preferred).</p>

Strategies where there are continued unacceptable or dangerous worksites

Consequence	Explanation
<p>Meet with the organisation/company</p>	<p>Meet to discuss the following:</p> <ul style="list-style-type: none"> • Identified worksite issues • Likely consequences if audit results don't improve • A corrective action plan. <p>Follow-up the implementation of the agreed corrective action plan.</p> <p>Schedule follow-up audits.</p>
<p>Require company to employ a TTM provider</p>	<p>Where expected compliance is not being achieved on a continuous basis, in order for the company to continue operations, they must employ a TTM provider for their worksites.</p>
<p>Deny access to the network for a period of time</p>	<p>Where expected compliance is not being achieved on a continuous basis, access to the network may be denied for a period of time.</p> <p>These occurrences are often as a result of poor TMP design and implementation. Refer to CoPTTM subsection A5.5.1 TMC's responsibilities</p> <ul style="list-style-type: none"> • <i>refusing to allow any TMP to be implemented where they consider it to be unsafe or in contravention of CoPTTM, or where reasonable alternatives may exist that may be safer, or cause less traffic delay. Brief reasons must be given</i>
<p>Request NZTA to issue an Organisational NNC</p>	<p>An Organisational NNC (Org NC) applies if there is a systemic failure where the organisation is complicit in the non-conformance. An Org NC may be issued by the RCA for a one-off incident or for multiple failures.</p> <p>A 3 strikes approach is used with sanctions being applied if 3 strikes have been issued within a 12-month period. Strikes 1 and 2 will lapse if no further strike for 1 year. Any warnings and sanctions are applied at the branch level of a company.</p> <p>Where subcontractors receive an Org NC an information letter will be sent to the principal contractor asking what they propose to overcome the problem.</p> <p>Appeals to be submitted to the Senior Traffic and Safety Engineer (CoPTTM), NZ Transport Agency National Office, Private Bag 6995, Wellington 6141.</p>

Org NC 3 strikes process

Strikes	Other information
<p>Strike 1 Org NC Warning</p>	<ul style="list-style-type: none"> • The RCA notifies the organisation that it will be applying a Strike 1 Org NC. Notification is also sent to NZTA. • On receipt of Strike 1 Org NC, NZTA registers the event and sends a warning letter to the organisation/ subcontractor to warn of the consequences of continued non-compliant activity • The organisation submits a plan to the RCA detailing actions to prevent reoccurrence of non-compliant activity
<p>Strike 2 Org NC Final warning</p>	<ul style="list-style-type: none"> • A similar process is followed for the issue of a Strike 2 Org NC. On receipt of a Strike 2 Org NC within 1 year, NZTA sends a final warning letter to the organisation/ subcontractor also outlining the consequences of continued non-compliant activity • The organisation submits a plan detailing actions to prevent reoccurrence of non-compliant activity
<p>Strike 3 Org NC Apply sanctions</p>	<ul style="list-style-type: none"> • On receipt of Strike 3 Org NC within 1 year, NZTA sends a letter to the organisation/subcontractor detailing the sanctions to be applied and the period of these sanctions <p>Specific NZTA sanctions</p> <ul style="list-style-type: none"> • This non-conformance will affect an organisation's NZTA Pre-Qualification status • The information will be forwarded to the appropriate standards organisation and may affect the organisation's ISO9000 or TQS1 quality rating. <p>Other sanctions which may be applied by RCA include:</p> <ul style="list-style-type: none"> • Denied access to the network for a period of time • May not be allowed to provide the organisations own TTM on the network, and will have to employ a TTM provider for worksites on the network • Undergo retraining for CoPTTM warrants • Contract penalties applied