

Proceedings
Safety management systems
review workshop

Sudima Hotel, Christchurch
18 September 2003

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Summary – Key points

A.1 Workshop purpose

The workshop was held for staff from road controlling authorities (RCAs), the Land Transport Safety Authority (LTSA) and consultants who had been actively involved in developing safety management systems (SMSs) as part of the demonstration project. The purpose of the workshop was to provide an opportunity for the participants to learn from the experiences of those involved and to make improvements to the guidelines and procedures to prepare a SMS based on practical experiences. It also allowed the LTSA to identify issues that need to be confronted to complete the current round of demonstration projects.

A.2 Results of feedback surveys

SMSs have a good level of industry support and the development process appears to have worked well. However, there are two areas where work is still needed to complete the SMS process. These concern the implementation and evaluation of SMSs.

An electronic copy of the feedback in summary form is available on request.

A.3 Discussions on guidelines – how to improve them

Most felt that the experience gained by consultants in preparing SMSs for the demonstration projects, combined with minor changes to the guidelines, would be sufficient for most future RCAs to prepare a SMS. However, some changes were considered necessary for people new to the SMS project to understand the requirements of a SMS. More examples of good SMSs were requested and recognition of other RCA documents such as the Asset Management Plan was suggested.

Discussion mostly centred on producing a second part to the guidelines on how to achieve ‘implementation’ of a SMS by the politicians, other stakeholders and the public. This is a step beyond the development of the SMS and is where the demonstration projects are currently finding some difficulty. Denise Anderson made a Powerpoint presentation of her attempts to get buy-in from all those involved in the SMS implementation in Southland District. An electronic copy of Denise’s presentation is available on request.

A marketing plan should be prepared early in the development of a SMS to ensure that the appropriate ‘sales’ are made at the relevant time. The LTSA will be a significant part of the marketing of SMSs and will be available to make presentations to RCAs as necessary.

Consideration should be given to using professional marketing consultants/facilitators for this since it is seen as a very important part of the success of SMSs.

ACTION: SMS project manager to edit the SMS guidelines to make suggested improvements concentrating on the introduction, a list of definitions and linkage to other RCA documents.

ACTION: SMS project manager to create a website to link each RCA’s SMS to show examples.

ACTION: SMS project manager to develop guidelines to assist RCA implementation of SMSs.

ACTION: SMS project manager to develop a generic marketing plan in conjunction with the LTSA communications team.

A.4 SMS development – benefits and challenges

A number of challenges were noted by RCAs. It was thought that some RCAs had tried to do too much too soon. The LTSA is interested in following the progress of RCAs that are developing SMSs which go beyond an engineering focus as the benefit of their experience could be passed on to other SMS developers.

It was suggested that regional councils might be able to take a greater role in the development process than they do at present to reduce boundary issues.

The benefit of a SMS is that it brings all council policies and standards together in one place. Other benefits are that a SMS ensures safety is considered in decisions about design, construction, maintenance and management of the road network. This assists in the achievement of targets and goals identified in the national and local road safety strategies. Implementation of road management procedures will be consistent and efficient. Risk management is documented providing protection from litigation. Road safety knowledge and expertise needs are documented and can be made available. The documentation provides clear guidance for all staff and external agencies and can be used for training new employees. Development, review and auditing of the roading network are undertaken in a systematic way.

The outcome of a successful SMS is better safety for **all** road users.

ACTION: SMS project manager to investigate a possible role for regional councils in SMS development.

ACTION: SMS project manager to consider timing to ensure sufficient time is provided for SMS development.

A.5 Delivering a safe and consistent road network

This presentation by Paul Hillier demonstrated the importance of good safety auditing to ensure a safe and consistent road network.

An electronic copy of Paul's presentation is available on request.

A.6 Evaluation of SMSs

All agreed that some form of evaluation/audit/review is necessary to ensure the SMS is operating satisfactorily. There was no clear consensus on how frequent the evaluations should be carried out or who should do this. The need for LTSA involvement in the evaluation process was emphasised.

More consultation will be needed to gain agreement on the most appropriate process for SMS evaluation.

ACTION: SMS project manager to develop a draft guideline for consultation with demonstration project RCAs to agree on an appropriate audit/review/evaluation regime.

A.7 The future of SMSs

The RCA MOUs will be signed up before the end of December for the demonstration projects of 2002/2003.

There will be a further 20 RCAs developing SMSs during the 2003/2004 year.

It is planned for **all** RCAs to be operating a SMS by 2007.

ACTION: SMS project manager to arrange for signing the MOU for the demonstration projects by December 2003.

ACTION: SMS project manager to sign-up a further 20 RCAs to develop their SMSs during 2003/2004.

APPENDICES

Discussion material from the workshop

Appendix A Agenda

When: 18 September 2003 from 10 am until 3 pm.

Where: Sudima Grand Chancellor Airport Hotel, Christchurch.

Facilitator: Paul Hillier.

Paul was facilitator for the SMS workshop in 2002.

Secretary: Antoni Facey

Agenda:

10 am	Welcome, ground rules, safety briefing, etc.	Bill Greenwood
	Brief introductions.	All
	Results of feedback surveys.	Antoni Facey
	Discussion on the guidelines.	Paul Hillier/All
	How can we improve them?	
	SMS development.	Paul Hillier/All
	What benefits and challenges did you find?	
11:45 am	Lunch	All
1:00 pm	Delivering a safe and consistent road network.	Paul Hillier
	Evaluation of SMSs. How should it be done?	Paul Hillier/All
	The future for SMSs.	Paul Hillier/Bill Greenwood
3 pm	End	

A.1 Workshop objective

The workshop was attended by RCAs that have developed a SMS and their consultants.

The workshop had the following objectives:

- Celebration of what had been achieved.
- To get feedback on the guidelines document.
- To identify what has worked well.
- To identify what hasn't worked well.
- To review the process for the development of SMS documents by getting feedback from RCAs and consultants.
- To determine how to evaluate SMS documentation and how to evaluate the results of using SMSs.
- To get feedback from RCAs and consultants on what differences SMSs are making.

A.2 Key issues for the development of SMSs

Tony Facey presented a report on the responses from consultants and RCAs to the SMS feedback survey. Some key points were:

- LTSA can be perceived as bossy and telling RCAs what they should do.
- RCAs need to take ownership of their own SMSs.
- Time commitment: the development timetable was not achievable.
- Each RCA should develop their own road safety strategy.
- The quality of an individual SMS documents is partially dependent on the knowledge and skill of the consultant who writes the document.
- The LTSA needs to continually reinforce the message that the development of a SMS is a proactive strategy to improve safety.

A.3 Key issues for the evaluation of SMSs

SMS stage	Timing	Who	How	Objectives
Review SMS document	Jan – Mar 2004 Within 3 months of draft for others	LTSA RCA Consultant	Independent peer review	Workable document Identify opportunities for improvement (critical, desired and best practice) Complies with guidelines Endorsement of document or sign off.
Monitor implementation process	Over first year	RCA with LTSA assistance	Guidance Informal meetings Relates to MOU	<ul style="list-style-type: none"> • Identify barriers to implementation • Monitor ownership • Monitor prioritisation of issues and methods • SMS working or not • Improvement process • Implementation timing • In community consultation plan • Demonstration projects?
Evaluate outcomes	Yearly	RCA LTSA	Data monitoring and analysis Road network performance Crash Analysis System	<ul style="list-style-type: none"> • Measure improvements in safety performance • Consistent road environment • Use of standards • Good working relationships across RCA boundaries

Appendix B List of attendees

Name	Representing	City
Denise Anderson	MWH NZ Ltd	Dunedin
Ian Appleton	Transfund NZ	Wellington
Richard Bailey	Christchurch City Council	Christchurch
Neville Bishop	Southland District Council	Invercargill
Gary Clark	Duffill Watts & Tse	Wellington
Bruce Conaghan	Manukau City Council	Manukau City
Phil Consedine	North Shore City Council	North Shore City
Eddie Cook	Invercargill City Council	Invercargill
Ray Cook	Transit NZ Head Office	Wellington
Ian Cox	Transit NZ Waikato	Hamilton
Wayne Davison	Whangarei District Council	Whangarei
Robyn Denton	LTSA	Hamilton
Allan Dixon	LTSA	Wellington
Ian Duncan	LTSA	Dunedin
Steve Elkington	Tasman District Council	Richmond
Antoni Facey	Consultant	Timaru
Ann Fosberry	GHD	Tauranga
Tony Francis	Francis and Cambridge	Christchurch
John Garvitch	LTSA	Whangarei
Colin Giles	Manawatu District Council	Feilding
Colin Goble	LTSA	Napier
Chris Grainger	MWH NZ Ltd	Auckland
Bill Greenwood	LTSA	Wellington
Alister Grey	Opus International	Hamilton
Karen Hay	Auckland City Council	Auckland
Chris Hewitt	LTSA	Auckland
Paul Hillier	TRL Australia	Australia
Ben Holland	Opus International	Nelson
George Jasonsmith	Waimakariri District Council	Rangiora
Roy Johnstone	Clutha District Council	Balclutha
Jeff Kaye	Opus International	Christchurch
Frank Leadingham	Hurunui District Council	Amberley
Stephen Matheson	Christchurch City Council	Christchurch
Ross McCammon	MWH NZ Ltd	Dunedin
Alister McCaw	Western Bay of Plenty	Tauranga
Andrew McKillop	Hamilton City Council	Hamilton
David Mitchell	Opus International	North Shore
Steve Murin	Marlborough Roads	Blenheim
Marten Oppenhuis	MWH NZ Ltd	Christchurch
Wayne Osmer	LTSA	Christchurch
Phillipa Robinson	Opus International	Tauranga
Bevan Sandison	Opus International	Pukekohe
David Scarlett	LTSA	Christchurch
Tim Selby	LTSA	Wellington
Mike Smith	MWH NZ Ltd	Christchurch
Tony Spowart	Transit NZ	Christchurch
Jeff Strand	Kapiti Coast District Council	Kapiti Coast
Kevin Thompson	Rotorua District Council	Rotorua
Else Tutert	Taupo District Council	Taupo
Janette Underwood	Palmerston North City Council	Palmerston North
Yvonne Warnaar	LTSA	Christchurch

Appendix C Summary of proceedings

C.1 Results of feedback surveys

Surveys were sent to all RCAs and consultants for their opinions on the guidelines and procedures for preparing a SMS. The survey also asked for opinions on the level of evaluation/audit/review required for the completed SMS. A Powerpoint presentation was prepared and given by Antoni Facey. The complete presentation was provided in a handout at the meeting. An electronic copy is available from Bill Greenwood (LTSA national office) on request.

Conclusions to be drawn from the survey were:

- The SMS has wide industry support.
- The guidelines seem robust.
- It appears the guidelines need to be tweaked rather than any major rewriting.
- The processes generally work well.
- Much more consultation is needed on the evaluation/audit/review section.
- There is a need to assess the amount of additional work arising from a SMS and determine if or how it can be funded.

C.2 Discussion on the guidelines

General discussion ensued on improvements that could be made to the guidelines for future RCAs to follow. It was generally agreed that the guidelines for developing a SMS were robust and do not need significant improvement for the next group of RCAs that will prepare SMSs. More effort is needed to prepare guidelines for implementing and evaluating a SMS.

Suggested improvements for the guidelines include:

- Clarify in the introduction the reasons for a SMS and note the benefits that RCAs have observed in SMSs. This will be particularly helpful for those that have not yet been involved in the SMS process. This could also be useful for showing to politicians. Some individual comment on what a SMS could mean to a RCA would be useful to personalise the project.
- Improve the introduction to achieve a common vision and understanding of SMSs across all RCAs. This would provide a better national focus and consistency for SMSs.
- There appears to be a lot of work when starting the process. We need to show that it is a series of small steps and not an overwhelming process.
- Improve guidance on writing a road safety strategy (RSS). The new Waimakariri RSS will help.
- Show how the LTSA supports and promotes SMSs to encourage political buy-in.
- In some areas, the SMS may duplicate the risk management plan (RMP). Perhaps use the SMS at a strategic level with the RMP operating beneath it.
- Define the terms used in the SMS and standardise their use throughout the country to ensure consistency.
- Investigate how other RCAs and strategic partners (ie Police) can be involved.

- Link SMSs to asset management plans (AMPs), quality systems, etc.
- List an improvement programme prioritising measures that are needed as a result of the SMS. This will identify future-funding shortfall.
- The LTSA is to provide a website to link all SMSs together so that a RCA can access all available SMS templates and modify them to create their own. This is better than providing one or two hardcopy examples in the guidelines.
- Consider changing the memorandum of understanding to include signing and co-operation by organisations other than the LTSA and RCAs, such as the Police, Transit NZ, etc.

ACTION: SMS project manager to edit SMS guidelines to make suggested improvements concentrating on the introduction, a list of definitions and linkage to other RCA documents.

ACTION: SMS project manager to create a website to link each RCA's SMS to provide examples.

A second part should be added to the guidelines that will assist the RCA to 'sell' the SMS to politicians and others so that the SMS is effective. It should also explain how SMSs have been implemented successfully. This should effectively be a draft marketing/consultation strategy for the RCA recognising that each RCA has a different structure and target audience. It should cover at least the following items:

- Persons/groups to target
 - Police
 - ACC
 - LTSA/Transfund NZ
 - Transit NZ
 - Regional councils
 - RCA councillors/community board members
 - RCA senior management (particularly infrastructure, planning and financial) and technical staff
 - RCA staff from other business units
 - Community through the Long Term Council Community Plan (LTCCP)
 - Consultants/network managers
 - Contractors
- How to communicate the SMS concept:
 - LTSA to develop a road show focusing on the benefits of SMSs that can be used at national seminars of interest such as SOLGM conference, INGENIUM and LGA conference, TRAFINZ, NZPI conference.
 - Need to sell the strategy of the SMSs rather than the system.
 - The road show could also be used by RCAs to help get local political buy-in early in the SMS development process. Emphasise what the RCA already does with no cost implications to the SMS then identify the benefits that the SMS provides for the

- additional costs. Emphasise the team effort between national and local government agencies and separate it into the bite-sized components.
- Consider using a specialist marketing person/facilitator to present the road show. This should include a workshop of some kind to encourage participation.
 - Look at media promotion such as national ad campaigns once SMSs are established in all RCAs.
 - Need to show what is in a SMS for everyone in the target audience and how it will make their work easier/better.
 - Field visits.
 - Include in the LTCCP and implement as contracts come up for renewal.
 - Road safety plan.
 - Use the RCA front desk and library bus.
 - Use performance agreements with specific safety outcomes and performance measures.
 - Specific training for RCA staff, consultants and contractors.
 - Contractors need specific attention because they are at the sharp end and will provide the greatest short-term gains. Prepare a safety intervention plan (SIP) in conjunction with the contractor. The contractor needs to understand their role in producing a safe road and take ownership of the outcomes of maintenance. This will lead to better maintenance and fewer identified deficiencies. In Southland, the managers of the contractors have championed the SMS and encouraged their staff working on the road to think about safety.
 - This was demonstrated in the presentation by Denise Anderson who gave a Powerpoint presentation of her experience with the Southland District SMS. The presentation included alignment of the aims of all those involved with road planning, design, construction and maintenance. A copy of the presentation is available from Bill Greenwood (LTSA national office).
 - The method of delivery needs to be tailored for the audience. It was suggested that LTSA regional managers make formal presentations to RCA CEOs and senior managers, and politicians. The LTSA SMS project manager and RCA SMS champion could present at a technical level to other RCA senior managers, technical staff and contractor management. At an operational level, contractor management could make presentations to their respective staff at informal gatherings.
 - Presentations should be made with national and local data and information to demonstrate the SMS and its benefits appropriate to the audience.
- When to target the communication:
 - In the short term:
 - Roving unit staff
 - Senior RCA management
 - Key politicians or the full council
 - Police
 - District health boards (DHB)

- Consultants
- Contractors

In the medium term:

- Continue with the above group to maintain their enthusiasm.
- All other community groups.
- Others who require a long term change in thinking.

It was suggested that the communication should be started early and should be ongoing. Some review and feedback is needed during the communication period.

Communication should be targeted at the next RCA funding round.

Timing is important so that momentum is gained and maintained but the process is not rushed to reduce the likelihood of mistakes.

ACTION: SMS project manager to develop guidelines to assist RCA implementation of a SMS

ACTION: The RCA to prepare a detailed SMS marketing plan early in the SMS development process unique to each RCA.

ACTION: SMS project manager to develop a generic marketing plan in conjunction with the LTSA communications team.

C.3 SMS development – benefits and challenges

- The biggest challenge was to try to understand what a SMS is. The proposed changes to the guidelines should assist to clarify this.
- Some RCAs have tried to include too much with their SMS in the first stage of development. However, those RCAs that are comfortable with the SMS development process and want to take it into new areas will be fully supported by the LTSA. They will act as pathfinders and their experiences will be invaluable in the future to other RCAs. They should continue to discuss their projects with the LTSA to identify what assistance the LTSA can provide.
- Getting other units within the RCA (ie planning unit) to buy in to the SMS is expected to be a significant challenge. Their involvement will be needed to ensure that the relevant road safety issues are included as part of the resource consent process.
- It was suggested that regional councils could take a stronger role in the SMS process. They could develop a fairly detailed high level document that the RCAs would refer to within their own SMS. Regional councils might also have a better chance of getting the buy-in from organisations that covered a number of boundaries such as the Police, ACC and DHBs. They would only need to deal with one organisation (the regional council) rather than a number of RCAs. Regional councils could also assist with cross boundary relationships. How this could be managed to ensure RCA involvement and acceptance would need careful consideration.
- Early political buy-in is important to ensure that the project does not proceed without support. Positive results (crash reductions) are necessary to ensure ongoing political support.
- The main benefit noted was that the SMS pulls all of the council's policies and standards together in one place.

ACTION: SMS project manager to investigate possible role for regional councils in SMSs.

ACTION: SMS project manager to consider timing to ensure sufficient time is provided for SMS development.

C.4 Delivering a safe and consistent road network

Paul Hillier gave a Powerpoint presentation to show the importance of providing a safe and consistent road network. Through a series of photos, he demonstrated the importance of effective safety auditing and adequate clear zones to prevent drivers being given false information.

A copy of Paul's presentation is available from Bill Greenwood (LTSA national office). This provides some good photos that can be used to demonstrate the need for the SMS.

C.5 Evaluation/audit/review

Time did not allow for a full discussion of this item. However, it was agreed that evaluation of the SMS is important to ensure that continuous improvement is achieved.

The issue of who should carry out evaluations and the frequency was not resolved but the following was discussed:

- A mixture of different auditors and types of audit will provide the best system.
- Transfund NZ carries out a national safety audit programme and it could be investigated to see if the programme could be extended to include reviews of SMSs.
- The LTSA should be included in any review team to provide a national perspective and the RCA should provide a member for a local perspective.
- A systems auditor could also be considered to be part of the team.

ACTION: SMS project manager to develop draft guidelines for consultation with demonstration project RCAs to determine suitable regime for SMS evaluation

C.6 The future for SMSs

- To date, a further 30 RCAs have expressed an interest in developing a SMS in 2003/04. The number supported by the LTSA in the 2003/2004 year will be limited to a maximum manageable number of around 20. It is planned to have **all** RCAs with an operational SMS by 2007.
- The MOU will be signed by the LTSA and the RCAs for the demonstration projects by the end of December 2003.
- The evaluation procedures will be agreed following further consultation with those involved.
- This group will meet again in the future to allow RCAs with SMSs at a similar level of development to work together for mutual benefit.

ACTION: SMS project manager to arrange for signing of all demonstration project SMS MOUs by end of December 2003.

ACTION: SMS project manager to arrange a further SMS review workshop in 2004.