
Transport Agency Consent Compliance Management System



Compliance burden !!!

The NZ Transport Agency (Agency) has over 3,500 approvals across the nation @10 conditions = 35,000

These cover :

Construction projects:- all the land disturbance consents.

Maintenance activities :- stormwater systems, landscaping and numerous structural assets (e.g. bridges, retaining walls, culverts).

RMA, NZ Heritage Act, Wildlife Act, and Marine Reserve Act etc.

Why ?

- The Transport Agency Environmental and Social Responsibility Policy makes a commitment to protecting and enhancing the environment as well as avoiding adverse effects during the planning, construction, maintenance and operation of the state highway network
- To ensure this is achieved a robust, user friendly and transparent system has been chosen for the management of the Transport Agency environmental statutory requirements



POLICY / ENVIRONMENTAL AND SOCIAL RESPONSIBILITY

Section 96(1)(a) of the Land Transport Management Act requires that the NZTA exhibit a sense of social and environmental responsibility. We promote an accessible and safe transport system that contributes positively to New Zealand's economic, social and environmental welfare, and we are committed to acting in an environmentally and socially responsible manner.

We are committed to: protecting and enhancing the natural, cultural and built environment, enhancing the quality of life for New Zealanders by improving community livability including land transport safety, taking appropriate account of the principles of the Treaty of Waitangi, providing meaningful and transparent engagement with stakeholders, customers and the general public and providing customer focused services that are fair, trusted and efficient.

To implement our policy we will:

- › promote the safe and efficient movement of goods and people in a manner that avoids, to the extent reasonable in the circumstances, adverse environmental and social impacts
- › continuously improve performance in the management of environmental and social impacts
- › integrate good urban design into all our activities
- › work to improve our knowledge and understanding of the extent and condition of New Zealand's environmental and cultural heritage assets
- › maintain and improve opportunities for Māori to contribute to our decision-making processes
- › actively and meaningfully engage with affected and interested persons and organisations
- › identify and comply with all relevant environmental and social legislation and regulations
- › seek whole-of-life value for money by taking into account environmental and social costs and benefits when procuring goods and services
- › provide our employees with the skills, awareness and leadership to achieve environmental and social objectives.

We have described aspects of our approach in more detail, including our Environmental Plan that guides the Highways and Network Operations Group and our action plan for the New Zealand Urban Design Protocol, to which we are a signatory.

The Transport Agency uses CS VUE Internal compliance tool



CS VUE is a web-based consent compliance management system which eliminates a myriad of electronic and paper systems thus improving the efficiency and effectiveness of our statutory consent compliance.

www.csvue.com

Over 3500 permits : at least 10 conditions each : = 35,000 conditions

What for !

The Agency's project management and reporting allows us to:

Understand, predict and plan for its regulatory compliance costs locally and nationally effectively.

Identify the form of compliance conditions it should be striving for with regulatory authorities.

Enable ease of compliance management for providers to understand our commitments.

Manage risks to the Agency of noncompliance: e.g. environmental impacts, reputation, and legal implications.

Align performance with Agency environmental and social policy.

Who uses the compliance system ?

Anyone who is involved in environmental compliance in the design, construction, operation and maintenance of the state highway network

- Permit Manager
- Condition Manager

Roles and responsibilities will determine the level of involvement required on the system

The compliance tool is a contractual obligation, also required are those skilled in its use.

Roles and Responsibilities

- Transport Agency National Specialists – manage new users, provide training, set projects up in the system provide on-going support and regularly report on compliance
- Permit Managers (e.g. Transport Agency project managers/contract managers) – they are ultimately responsible for permit compliance
- Condition Manager – responsible for the day to day compliance management and keeping the system up to date



What is managed !

Resource consent conditions

Designation conditions

Department of Conservation concessions

Heritage New Zealand authorities

And any other statutory requirements which have compliance conditions e.g. National Parks Act, Reserves Act and Wildlife Act, Marine Mammals Protection Act

What the system does for the Transport Agency

A 'live' system for managing Transport Agency environmental compliance

Email alerts when action is required

Searchable database of permits

Monitors permits due to expire or lapse

Enables reporting and analysis

- Quarterly Regional Reporting
- Statement of Intent Annual Report

Auditing and tailored management flexibility

- Contract Management Reviews
- Spot Audits

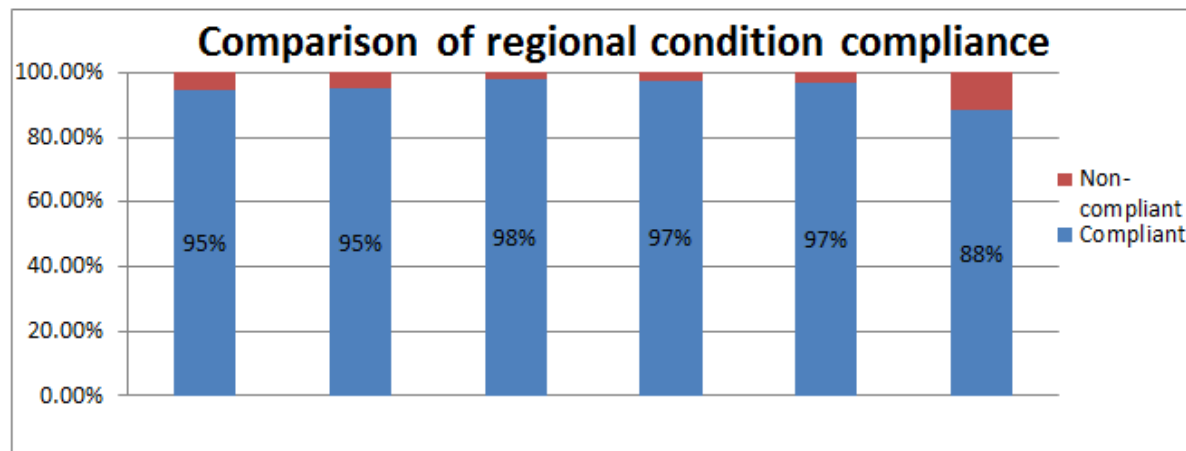
How does it work

- Decisions granted need to be sent to consents@nzta.govt.nz
- Permits then uploaded into the compliance system
- Monthly basis: permit manager and condition manager assigned
- Condition managers then manage compliance (snooze or sign off)
- Phases of projects updated when required
- On completion of capital projects;
 - Check to ensure compliance has been recorded
 - Surrender consents with no ongoing operating conditions
 - Handover ongoing operational conditions to the operations contract

Understand, predict and plan

NATIONAL REPORTING STATISTICS

100% 0.0%



100% 0.0%

Auckland/Northland Capital Projects

100% 0.0%

Auckland/Northland Maintenance Areas

Locally

Key Performance Indicators

Regional Key Performance Indicators & Current Financial Status



Key	Over ±10%	±10%	±5%
Financial Performance (Actuals compared to Forecasts)	7.00 and above	4.00 - 6.99	0.00 - 3.99
Zero Harm - Total Recordable Injury Frequency Rate (TRIFR)	Less than 80%	80%-89%	90%-100%
CRMS (Actioned)	over 5	2 to 5	0-1
PACE (Overdue Evaluations)	Less than 90%	90-94%	95-100%
CS-Vue (Compliant Conditions)	Less than 94%	95-99%	100%
OCU Requests completed on or before OCU due date			

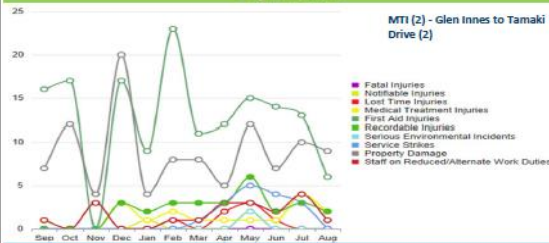
A&N HNO Expenditure

A&N HNO Overall Programme - FY16/17

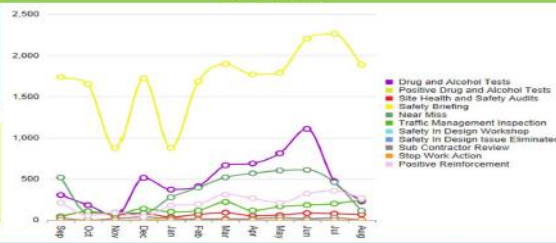


Zero Harm

Lag Indicators



Lead Indicators

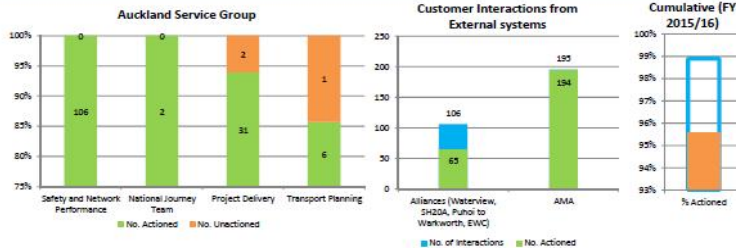


Total Reportable Injury Frequency Rate

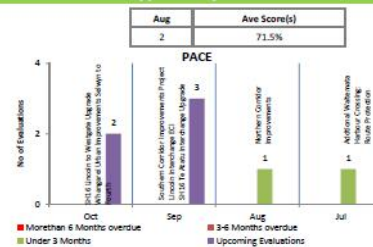
Graph not available at time of publishing

Customers, Suppliers & Compliance

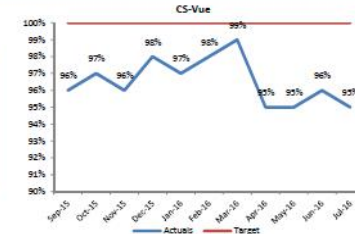
Customers

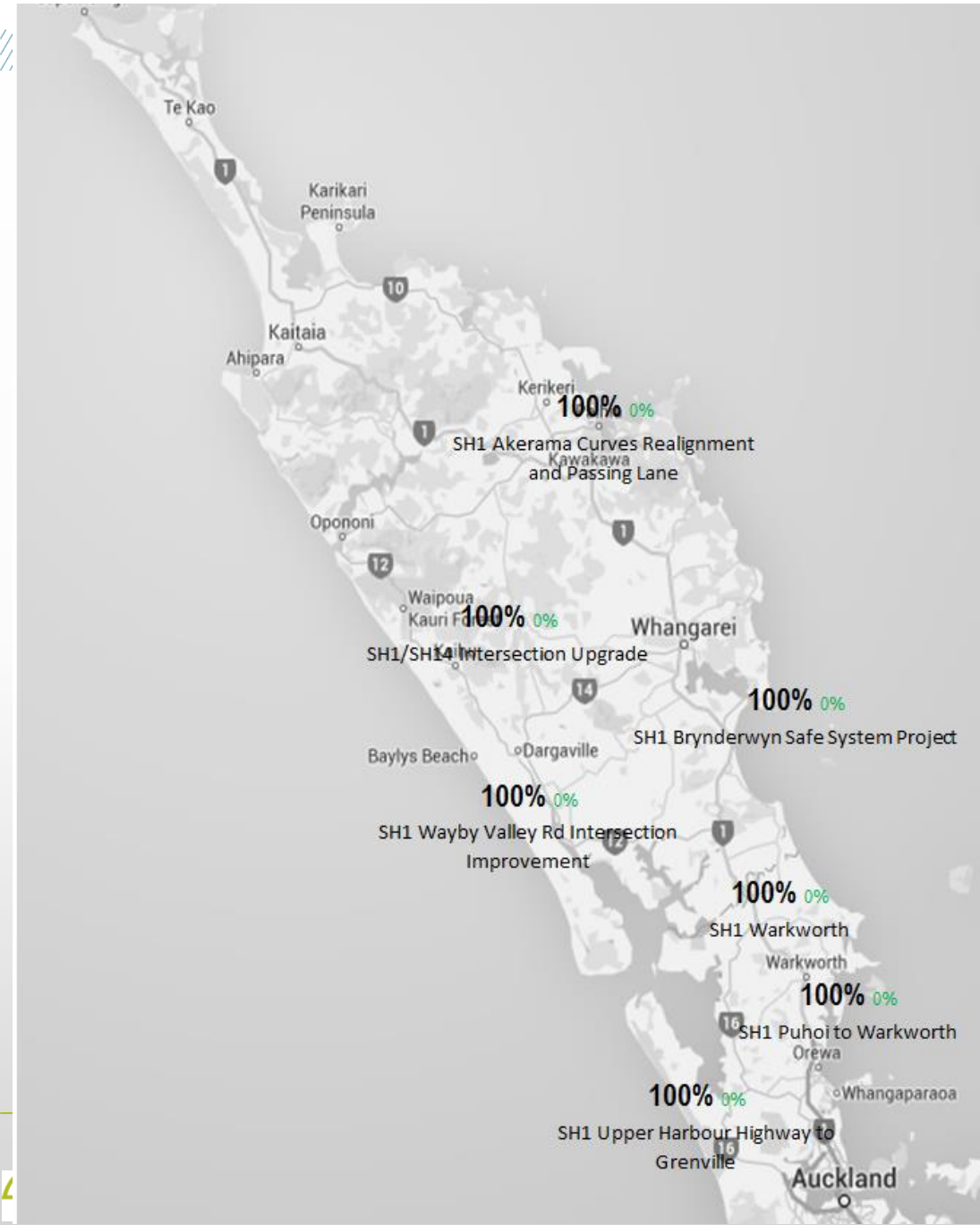


Suppliers Performance



Compliance



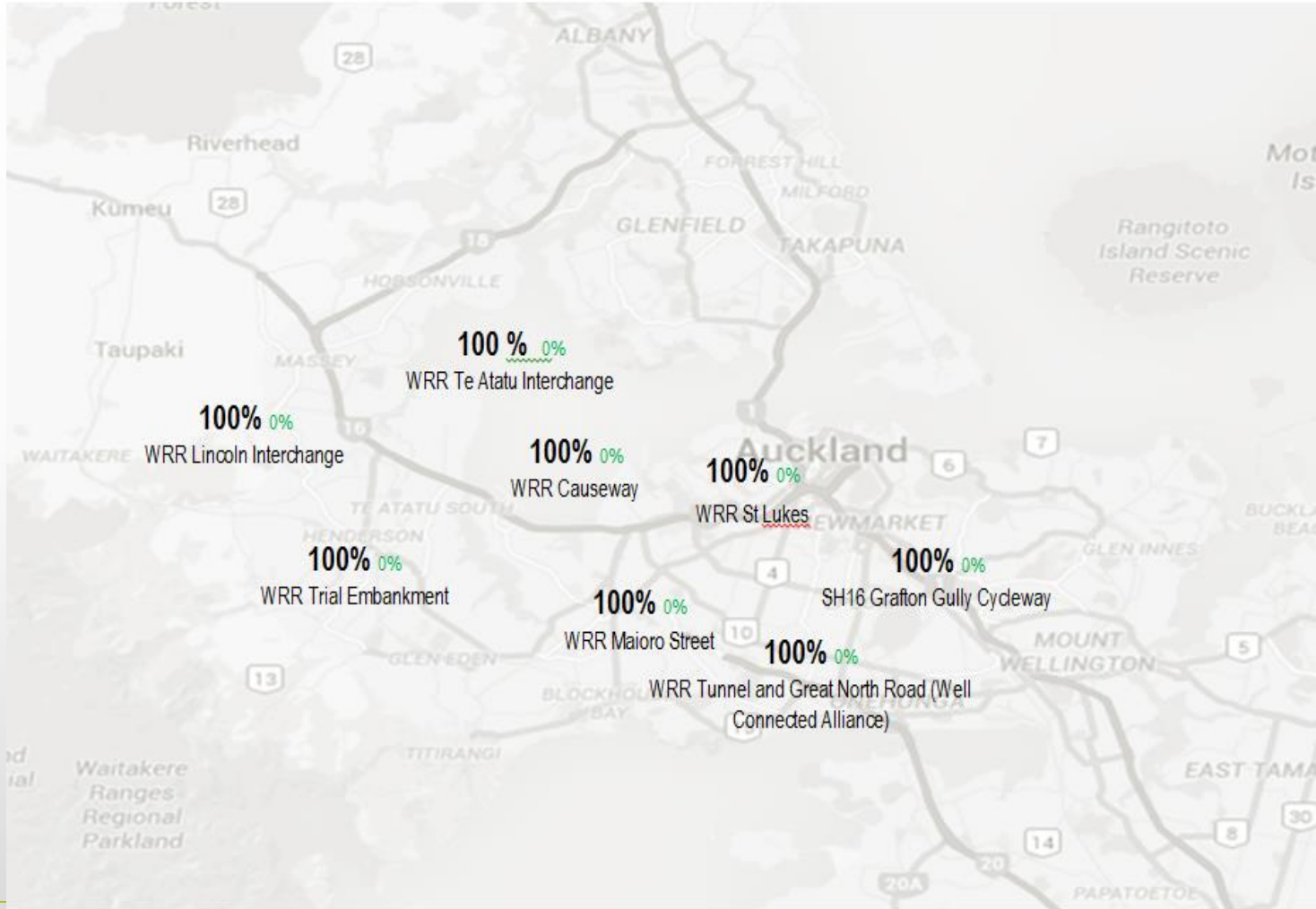


NORTH AUCKLAND/NORTHLAND

CAPITAL PROJECTS

COMPLIANCE PERCENTAGE

AUCKLAND CAPITAL PROJECTS COMPLIANCE PERCENTAGES





NORTH AUCKLAND/NORTHLAND NETWORK MAINTENANCE COMPLIANCE PERCENTAGE

Form of conditions

MODEL CONSENT CONDITIONS: for preparing RMA permit applications **Cover**

- Environmental and Social Management Plans
- Erosion and sediment control
- Construction noise and vibration
- Operational Noise
- Construction Air Quality
- Operational Air Quality
- Urban Design and Landscaping

<https://www.nzta.govt.nz/roads-and-rail/highways-information-portal/technical-disciplines/consenting-and-consent-compliance/model-consent-conditions/>

Where to from here ?

Integrated asset data bases: Links between conditions, maintenance , funding and compliance management systems being strengthened.

Work with Councils: some wish to use Agency system for compliance signoff. Important for large projects where resourcing by all parties is large

Increase project manager and regional ownership: Key aspect: much more responsibility by Agency teams.

Manage risks to the Agency

Aim to be ahead of environmental impact problems , ensure good reputation is maintained and avoid legal implications.

So far good

Align performance with policy.

Been useful for reporting, guiding further work, gaining support for projects

Able to indicate positive management approach