



## Transport, Economy and Environment Overview and Scrutiny Committee

15 July 2019

### Report of the Corporate Director Business and Environmental Services

#### Ringway Performance – 2018/19

#### 1.0 Purpose of Report (Mandatory)

- 1.1 The purpose of this report is to advise Members of Ringway's (RIS's) performance under the Highways Maintenance Contract (HMC2012) during the period 1 April 2018 – 31 March 2019 and of the outcome of the Evaluation Panel held on 5 June 2019 which was to keep the term of the Contract at 9 years with a Contract completion date of 31 March 2021.

#### 2.0 Key Background Information

- 2.1 Following a restricted EU procurement process, the HMC2012 was awarded to RIS which commenced on 1 April 2012 for a term of 6 to 10 years dependant on performance.
- 2.2 An Evaluation Panel is held annually to review Contract Performance Indicators (CPI's) and determine the term of contract. The CPI's comprise Primary Performance indicators (PPIs) and Secondary Performance Indicators (SPIs). The PPIs directly affect the term of the contract, although the SPIs can also be taken into consideration. The Evaluation Panel is also asked to support the implementation of the rolling CPI targets, together with any interim amendments.
- 2.3 The Contract starts with a default 10 year term, which can then be reduced following poor performance. Once reduced, the term can be increased again following good performance.
- 2.4 The Contract term was reduced by one year at the Evaluation Panel meeting held on 22 May 2014.
- 2.5 The Evaluation Panel meeting held on 5 June 2019, considered the performance of RIS for the period 1 April 2018 – 31 March 2019. The performance for this period was that the required targets for 12 out of 13 PPIs and 7 out of 10 SPIs were met.
- 2.6 Based on a detailed assessment of the level of performance, the Panel took the decision to keep the term of the Contract at 9 years with a Contract completion date of 31 March 2021. Although Ringway had demonstrated improved performance compared with the previous year, for which the panel complimented the management team, the level of improved performance did not warrant a change to the current length of the contract.
- 2.7 Through the HMC 2012 Governance arrangements, RIS's performance is scrutinised throughout the year at the monthly Operational Management Group (OMG), quarterly

Strategic Management Group (SMG) and 6 – monthly Partnering Steering Group (PSG) meetings.

- 2.8 Since the first HMC 2012 Evaluation Panel, RIS's performance has been further scrutinised by Members at:
- Transport, Economy and Environment Overview and Scrutiny Committee (TEE OSC) – 17 July 2013
  - BES Executive Members (with County Councillor David Jeffels in attendance as Chairman of TEE OSC) – 27 November 2013
  - TEE OSC – 22 January 2014
  - TEE OSC – 16 July 2014
  - TEE OSC – 21 January 2015
  - TEE OSC – 14 October 2015
  - TEE OSC – 27 July 2016
  - TEE OSC – 20 July 2017
  - TEE OSC – 12 July 2018
- 2.9 RIS has demonstrated an improved level of performance since the last report. Appendix A details the overall performance for the financial year 2018/19 compared to the previous year.
- 2.10 Appendix B details the 'Rectification Action Plans' presented to the Evaluation Panel relating to those indicators where the required Target was not met.

### **3.0 Key Implications**

#### Local Member

3.1 None

#### Financial

3.2 Over the first seven years of HMC 2012, approximately £343 million of work has been delivered to date. Spend over the remaining years will be from the indicative Department for Transport budgets along with successful grant applications.

#### Human Resources

3.3 None

#### Legal

3.4 The requirement for an Annual Review of HMC 2012 is stipulated in the contract documents and shall be completed before 1 June in each Contract Year.

3.4.1 The Key Decisions associated with the Evaluation Panel held in this and in previous years have been published on the County Council's Statutory Forward Plan in accordance with its Constitution.

#### Equalities

3.5 None.

#### **4.0 Conclusion**

- 4.1 Based on a detailed assessment of the level of performance, the Panel took the decision to keep the term of the Contract at nine years

|  |
|--|
| <b>5.0 Recommendation(s)</b>   |
| 5.1 It is recommended that Members note the contents of this report and the attached appendices. |

#### **6.0 Reasons for Recommendations**

- 6.1 The decision by the Evaluation Panel was made following the procedures set out in the contract.

Author of Report: Nick Burgess – Commercial Services Contracts Officer  
Presenter of Report: Barrie Mason – Assistant Director, Highways and Transportation (BES)  
27/06/2019

Background papers relied upon in the preparation of this report:-  
HMC 2012 Annual Evaluation Panel Report – Contract Term and Future Targets  
For further information contact the author of the report

#### **Appendices:**

Appendix A Summary of CPI Scores for 2018-19  
Appendix B RIS Rectification Action Plans

## Appendix A Summary of PPI Scores for 2018-19

### Primary Performance Indicators (PPIs)

| Reference No. | PPI | Measure | Performance |        |           | Technical Notes | 2017/18 Performance |  |
|---------------|-----|---------|-------------|--------|-----------|-----------------|---------------------|--|
|               |     |         | 2018/19     |        |           |                 |                     |  |
|               |     |         | Target      | Actual | Pass/Fail |                 |                     |  |

#### WINTER MAINTENANCE:

|                     |   |                                     |      |       |      |  |      |       |
|---------------------|---|-------------------------------------|------|-------|------|--|------|-------|
| PPI WM01            | Client Satisfaction<br>–Winter Maintenance<br>Gritting Routes | Max no. scores <10                  | 9    | 0.00  | Pass |  | Pass | 1.00  |
|                     |   | Average score (based on 42 returns) | 9.65 | 10.00 | Pass |  | Pass | 9.79  |
|                     |   | Max total no. failure points        | 52   | 0.00  | Pass |  | Pass | 15.00 |
|                     |   | Max no. 1 pt deductions             | 9    | 0.00  | Pass |  | Pass | 0.00  |
|                     |   | Max no. 3 pt deductions             | 6    | 0.00  | Pass |  | Pass | 0.00  |
|                     |   | Max no. 5 pt deductions             | 4    | 0.00  | Pass |  | Pass | 3.00  |
| Overall Performance |   |                                     |      |       | Pass |  |      |       |

**SCHEMES** (surface dressing, resurfacing and reconstruction (R&R) schemes, integrated transport schemes, bridge schemes, section 38 and section 278 works, and street lighting [if included in final contract]):

|                     |                       |   |     |         |      |   |  |        |
|---------------------|-----------------------|---|-----|---------|------|---|--|--------|
| PPI S01             | Start on Time         | % on time or better   | 91% | 100.00% | Pass | All allocation of party responsible for delays taken as having been agreed by operational teams. Of the 159 schemes programmed to start 159 were started on time                | Pass   | 96.19% |
| PPI S02             | Finish on Time        | % on time or better   | 91% | 99.38%  | Pass | All allocation of party responsible for delays taken as having been agreed by operational teams. Of the 160 schemes programmed to finish, 159 were finished on time. 1 were not | Pass   | 93.42% |
| PPI S04             | Street works Noticing | Number of completed works orders that require works notices as a % based on a random sample | 50  | 39      | Pass | To date 39 sites have been found to have no authorised/deemed permit from driving the network as part of other duties..   | Not Applicable (revised scoring methodology) |        |
|                     |                       | Number of compliant notices   | 90% | 31.94%  | Fail | To date of the 216 inspections, 69 have been compliant. 147 were not compliant with their permit conditions.  | Not Applicable (revised scoring methodology) |        |
|                     |                       | Number of notices that over run the proposed notice end date                                | 6%  | 2.87%   | Pass | To date there have been 10,533 stop notices, 302 have been overruns.  | Not Applicable (revised scoring methodology) |        |
| Overall Performance |                       |   |     |         | Fail |   | Fail   |        |

**ROUTINE MAINTENANCE** (grass cutting and weed killing, gully emptying, street lighting, other routine maintenance including lining, sign installation and repair, tree maintenance, pothole repair, drainage repair and the like and GMUs):

|          |   |  |     |        |      |   |      |        |
|----------|---|--|-----|--------|------|---|------|--------|
| PPI RM05 | Road Markings                               | % Completion of road marking schemes within deadline                             | 90% | 95.20% | Pass | Based on RIS data, of the 396 beds which have been lined, 377 were lined in time.   | Pass | 93.90% |
| PPI RM06 | Achievement of Programme – Surface Dressing | % Completion of surface dressing programme by 15 <sup>th</sup> August, annually. | 97% | 98.42% | Pass | 3,148,599 of the programmed 3,199,275 surface dressing beds have been completed. 3,148,599 of this is prior to 15th August. | Pass | 97.96% |

## Appendix A Summary of PPI Scores for 2018-19

### Primary Performance Indicators (PPIs)

| Reference No. | PPI | Measure | Performance |        |           | Technical Notes | 2017/18 Performance |  |
|---------------|-----|---------|-------------|--------|-----------|-----------------|---------------------|--|
|               |     |         | 2018/19     |        |           |                 |                     |  |
|               |     |         | Target      | Actual | Pass/Fail |                 |                     |  |

**ROUTINE MAINTENANCE** (grass cutting and weed killing, gully emptying, street lighting, other routine maintenance including lining, sign installation and repair, tree maintenance, pothole repair, drainage repair and the like and GMUs):

|          |  |  |     |         |      |   |      |        |
|----------|--|--|-----|---------|------|---|------|--------|
| PPI RM08 | Highway Dangerous Defects CAT 1                            | % of dangerous defects made safe within 24 hours of identification | 99% | 100.00% | Pass | 527 instructions that have been raised, of those 527 were completed in time.  | Pass | 99.59% |
| PPI RM09 | Completion on Time – Emergency Call Outs                   | % on time  | 99% | 100.00% | Pass | 1,850 instructions that have been raised, of those 1,850 were completed in time.  | Pass | 99.94% |
| PPI OB7  | Completion in time option B (minor works) 7 day response   | Number of jobs completed as % of those planned to be completed.    | 75% | 76.98%  | Pass | Of the 1,742 instructions 1,341 were completed on time, or commenced on time and were completed within a timely manner. | Pass | 76.01% |
| PPI OB8  | Completion in time option B (minor works) 30 day response  | Number of jobs completed as % of those planned to be completed.    | 80% | 84.29%  | Pass | Of the 5,282 instructions 5,282 were completed on time, or commenced on time and were completed within a timely manner. | Fail | 78.00% |
| PPI OB9  | Completion in time option B (minor works) 3 month response | Number of jobs completed as % of those planned to be completed.    | 85% | 88.79%  | Pass | Of the 1,561 instructions 1,386 were completed on time, or commenced on time and were completed within a timely manner. | Pass | 88.30% |

**FLEET MAINTENANCE** (Maintenance of the County council's vehicle fleet and management of the fuel supply and storage facilities):

|          |                                    |   |     |        |      |   |      |        |
|----------|------------------------------------|---|-----|--------|------|---|------|--------|
| PPI FM01 | Compliance with Servicing Schedule | % Completion of servicing within deadline | 95% | 99.85% | Pass | Of the 681 services carried out 680 have been carried out as planned. | Pass | 99.67% |
| PPI FM02 | MOT Pass Rate                      | % of MOTs passed                          | 97% | 97.56% | Pass | Of the 123 MOT's carried out, 3 have failed.                          | Pass | 99.15% |

**STREET LIGHTING MAINTENANCE** [if included in final contract]

|          |   |                                     |     |        |                |  |      |        |
|----------|---|-------------------------------------|-----|--------|----------------|--|------|--------|
| PPI SL01 | Street Lighting Fault Repair                                    | % of defects repaired within 7 days | 96% | 93.06% | Mitigated Pass | To date 7,718 seven-day repairs have been received and 536 have not been completed on time.  | Pass | 99.59% |
| PPI SL02 | Achievement of Programme – Street Lighting Cyclical Maintenance | % Completion of programme           | 90% | 93.79% | Pass           | To date 12,677 of the programmed 13,516 tests and clean of bollards and lit signs have been completed. Works are running 15.89 days behind programme | N/A  | N/A    |

## Appendix A Summary of PPI Scores for 2018-19

### Summary of SPI Scores for 2018-19

#### Secondary Performance Indicators (SPIs)

(Only to be taken account of by the Evaluation Panel on failure of one or more of the PPIs. To be considered as part of "NYCC's discretion"):

| Reference No. | SPI | Measure | Performance |        |           | Technical Notes | 2017/18 Performance |  |
|---------------|-----|---------|-------------|--------|-----------|-----------------|---------------------|--|
|               |     |         | 2018/19     |        |           |                 |                     |  |
|               |     |         | Target      | Actual | Pass/Fail |                 |                     |  |

#### SCHEMES

|         |                              |                                   |        |      |      |   |      |        |
|---------|------------------------------|-----------------------------------|--------|------|------|---|------|--------|
| SPI S03 | Defects – Impact at Handover | % schemes defect free at handover | 92.00% | #N/A | #N/A | To date 0 schemes have been handed over, with 0 having a defect outstanding | Pass | 99.55% |
| SPI S06 | Value of Gain Achieved       | Value of pain + gain              | >£0.00 | £ -  | Fail | #REF!   | Fail | £ -    |

**ROUTINE MAINTENANCE** (grass cutting and weed killing, gully emptying, street lighting, other routine maintenance including lining, sign installation and repair, tree maintenance, pothole repair, drainage repair and the like and GMUs):

|          |  |  |     |         |      |  |      |         |
|----------|--|--|-----|---------|------|--|------|---------|
| SPI RM02 | Achievement of Programme – Grass Cutting Rural | % of rural grass cutting routes completed within 14 calendar days of programme | 97% | 100.00% | Pass | 22 'villages' have been programmed to be cut of which 22 were cut in time.   | Pass | 100.00% |
| SPI RM03 | Achievement of Programme –Weed Spraying        | % of weed spraying routes completed within 14 calendar days of programme       | 97% | 100.00% | Pass | 18 sites have been treated, 18 were within time.   | Pass | 100.00% |
| SPI RM04 | Achievement of Programme – Gully Emptying      | % of gullies cleaned within 14 calendar days of scheduled cleanse              | 97% | 78.22%  | Fail | 145,614 gullies were originally programmed. When visited, 15,106 were deemed to be jammed, obstructed or missing. Of the remaining 130,508 gullies, 102,089 have been cleaned within time. | Fail | 66.88%  |
| SPI RM07 | Defects  | Max No. of Defect Notices issued   | 140 | 9       | Pass | 9 defects have been received   | Pass | 1       |

#### HEALTH AND SAFETY:

|          |   |  |      |      |      |  |      |      |
|----------|---|--|------|------|------|--|------|------|
| SPI HS01 | LTIFR (Lost Time Through Injury Frequency Rate) | Number of lost time incidents per 1,000,000 hours worked | 2.50 | 3.27 | Fail | A total of 610,889 hours have been recorded. 0 lost time incidents have been recorded. | Fail | 3.10 |
|----------|---|--|------|------|------|--|------|------|

## Appendix A Summary of PPI Scores for 2018-19

### Secondary Performance Indicators (SPIs)

(Only to be taken account of by the Evaluation Panel on failure of one or more of the PPIs. To be considered as part of "NYCC's discretion"):

| Reference No. | SPI                               | Measure                                       | Performance |        |      | Technical Notes  | 2017/18 Performance |        |
|---------------|-----------------------------------|---|-------------|--------|------|--|---------------------|--------|
|               |                                   |   | 2018/19     |        |      |  |                     |        |
| SPI PCS01     | Public Satisfaction – All Schemes | % satisfied or very satisfied                 | 90%         | 95.39% | Pass | 282 cards have been returned of which 269 were satisfactory or better. To date 2,160 cards have been posted out. | Fail                | 89.94% |
| SPI PCS05     | Annual Client Survey              | A - % Satisfaction Management of the Contract | 85%         | 88.34% | Pass |  | Pass                | 87.51% |
|               |                                   | B - % Satisfaction Service Provision          | 85%         | 93.21% | Pass |  | Pass                | 93.38% |
|               |                                   | Overall Performance                           |             | 90.77% | Pass |  | Pass                | 90.45% |

### CONTRACTOR – SELF EVALUATION AGAINST ANNUAL ACTION PLAN

|           |  |   |     |         |      |  |      |        |
|-----------|--|---|-----|---------|------|--|------|--------|
| SPI AAP01 | Contractor Progress against Annual Action Plan – self evaluation | % actions complete against Annual Action Plan | 90% | 100.00% | Pass |  | Pass | 98.33% |
|-----------|--|---|-----|---------|------|--|------|--------|

|   |                           |                   |   |
|---|---------------------------|-------------------|---|
|  | <b>ACTION REPORT FORM</b> |                   | <b>PROCESS OWNER: Group<br/>IMS Manager</b> |
|   | Issue: 5A                 | Date: August 2011 | Page 1 of 2                                 |

**Section 1**

Business Ref: RIS HMC2012      Division and/or Location: North Yorkshire      Action Report No: RAP 2019 01 PPI SO4

**Section 2**

|                          |                               |                           |
|--------------------------|-------------------------------|---------------------------|
| Issued by: P Jepps       | Issued to:<br>North Yorkshire | Date: 02/5/2019           |
| Contract Number: MU 5382 | Works Order Number: N/A       | Delivery Note Number: N/A |

**Section 3 DESCRIPTION OF ISSUE**

Not achieving the minimum target of CPI PPI SO4 during the contract year 2018/19  
Of the 3 parts to the CPI measure pt B (Inspections) didn't meet the target

**Section 4 STATE THE ROOT CAUSE OF THE ISSUE**

- Gangs not being aware of the requirements
- Gangs not complying with the imposed conditions
- Gangs not following procedure and displaying a permit board with the correct reference number.
- Inspectors not introducing themselves and not reporting to the gang any problems at time of inspection.

**Section 5 WHAT ACTION IS PLANNED TO ADDRESS THE ABOVE ROOT CAUSE?****5a CORRECTIVE ACTION (To address the issue)**

- Briefings took place in November and March to stress the importance of the Streetworks procedures and the reasoning behind them
- The March briefings included NYCC staff responsible for the Inspections and their management responsible for monitoring

**5b PREVENTIVE ACTION (To prevent recurrence)**

- Monitor performance on a daily basis and report to Area staff when failure occur so that they can be rectified and the gang reminded of what is expected of them

**5c RESPONSIBILITY CHART REQUIRED (PAGE 2)?**      Y

*Note: When you have completed this section please send copy to originator.*

**Section 6 CONFIRM ACTION HAS BEEN IMPLEMENTED (Supply supporting evidence)**



|   |                           |                   |   |
|---|---------------------------|-------------------|---|
|  | <b>ACTION REPORT FORM</b> |                   | <b>PROCESS OWNER: Group<br/>IMS Manager</b> |
|   | Issue: 5A                 | Date: August 2011 | Page 2 of 2                                 |

**Business Ref:**

**Division and/or Location:**

**Action Report No:**

|  |   |   |                 |           |  |  |  |  |  |  |  |                        |                 |
|--|---|---|-----------------|-----------|--|--|--|--|--|--|--|------------------------|-----------------|
| <b>Date Prepared: 02/05/2019</b>   |   | <b>Responsibility of: Mike Francis</b>                    |                 |           |  |  |  |  |  |  |  |                        |                 |
| <b>Improvement/Concern</b><br>Meet the CPI Targets for Streetworks noticing. |   | <b>Persons Involved</b>                                   |                 |           |  |  |  |  |  |  |  |                        |                 |
| <b>Planned Completion Date:</b>  |   | Mike Francis  | Ashley Beecroft | Area Team |  |  |  |  |  |  |  | <b>By When</b>         | <b>Complete</b> |
| <b>Task No</b>   | <b>Task Description</b>   |   |                 |           |  |  |  |  |  |  |  |                        |                 |
| 1  | Monitor Inspections as they are reported to the Hub. Forward details on to Area team and Operations manager each time there is a failure.   | I   | X               | I         |  |  |  |  |  |  |  | Ongoing until Apr 2020 |                 |
| 2  | Speak to the gang each time a failure is reported and establish the circumstances.<br>Establish whether the Inspector made contact with the gang and informed them of the result on site. |   |                 | X         |  |  |  |  |  |  |  | Ongoing until Apr 2020 |                 |
| 3  | Report finding of each failure investigation to the Operations Manager  | I   |                 | X         |  |  |  |  |  |  |  | Ongoing until Apr 2020 |                 |
| 4  | Report performance to the Ringway SMT and OMG each month  | X   |                 |           |  |  |  |  |  |  |  | Ongoing until Apr 2020 |                 |
| 5  |   |   |                 |           |  |  |  |  |  |  |  |                        |                 |
| 6  |   |   |                 |           |  |  |  |  |  |  |  |                        |                 |
| 7  |   |   |                 |           |  |  |  |  |  |  |  |                        |                 |
| <b>Note</b>  |   | <b>ONLY ONE PERSON CAN BE RESPONSIBLE FOR AN ACTIVITY</b> |                 |           |  |  |  |  |  |  |  |                        |                 |
|  |   | <b>(X = RESPONSIBLE, I = INVOLVED)</b>                    |                 |           |  |  |  |  |  |  |  |                        |                 |

**Distribute to: CSU, OMG, SMG, Jill Davies**

**REMEMBER TO UPDATE THE IMPROVEMENT CONFORMANCE LOG**

|   |                           |                   |   |
|---|---------------------------|-------------------|---|
|  | <b>ACTION REPORT FORM</b> |                   | <b>PROCESS OWNER: Group<br/>IMS Manager</b> |
|   | Issue: 5A                 | Date: August 2011 | Page 1 of 2                                 |

**Section 1**

Business Ref: RIS

Division and/or  
Location: North  
YorkshireAction Report No: RAP 2019 04 SPI  
RM04 Gullies**Section 2**

|                          |                               |                           |
|--------------------------|-------------------------------|---------------------------|
| Issued by: P Jepps       | Issued to:<br>North Yorkshire | Date: 02/05/2019          |
| Contract Number: MU 5382 | Works Order Number: N/A       | Delivery Note Number: N/A |

**Section 3 DESCRIPTION OF ISSUE**

Failure of Secondary Performance Indicator RM04 Gully Cleansing

**Section 4 STATE THE ROOT CAUSE OF THE ISSUE**

Failure to clean the gullies to the programme agreed.

- Loss of Skilled labour to operate the vehicle
- Not achieving outputs due to plant breakdown
- Insufficient information to plan effectively

**Section 5 WHAT ACTION IS PLANNED TO ADDRESS THE ABOVE ROOT CAUSE?****5a CORRECTIVE ACTION (To address the issue)**

Utilise the information obtained from the Gully Survey undertaken in 2018 to capture cleanse data against individual gullies.  
Utilise the ESRI software to capture cleanse data and report on progress.  
Utilise the ESRI software to provide location information to the gully crews

**5b PREVENTIVE ACTION (To prevent recurrence)**

- Appoint a Contracts Manager (Liam Taylor) to manage the service
- Hold regular monthly meetings with the Area teams to review progress
- Use the ESRI software to monitor outputs of individual teams and compare against each other.
- Review gully running order with the Operatives.
- Manage gully cleaning vehicles maintenance schedule and plan downtime into the programme. (MOT, Servicing and tank pressure check)
- Schedule unplanned gully cleans during weekend shifts
- Use sub-contract resource when require to keep to programme

**5c RESPONSIBILITY CHART REQUIRED (PAGE 2)?** Y**Note: When you have completed this section please send copy to originator.****Section 6 CONFIRM ACTION HAS BEEN IMPLEMENTED (Supply supporting evidence)**

|                   |       |
|-------------------|-------|
| Action closed by: | Date: |
|-------------------|-------|

|   |                           |                   |   |  |
|---|---------------------------|-------------------|---|--|
|  | <b>ACTION REPORT FORM</b> |                   | <b>PROCESS OWNER: Group<br/>IMS Manager</b> |  |
|   | Issue: 5A                 | Date: August 2011 | Page 2 of 2                                 |  |

**Business Ref:**

**Division and/or Location:**

**Action Report No:**

|   |  |                                   |              |          |  |  |  |  |  |  |  |                      |                 |
|---|--|-----------------------------------|--------------|----------|--|--|--|--|--|--|--|----------------------|-----------------|
| <b>Date Prepared: 02/05/2019</b>  |  | <b>Responsibility of: P Jepps</b> |              |          |  |  |  |  |  |  |  |                      |                 |
| <b>Improvement/Concern</b>  |  | <b>Persons Involved</b>           |              |          |  |  |  |  |  |  |  | <b>By When</b>       | <b>Complete</b> |
|   |  | Liam Taylor                       | Mike Francis | Hub Team |  |  |  |  |  |  |  |                      |                 |
| <b>Planned Completion Date:</b>   |  |                                   |              |          |  |  |  |  |  |  |  |                      |                 |
| <b>Task No</b>  | <b>Task Description</b>  |                                   |              |          |  |  |  |  |  |  |  |                      |                 |
| 1   | Review Schedule and assign Cleansing teams to Areas                          | X                                 |              |          |  |  |  |  |  |  |  | 31/5/2019            |                 |
| 2   | Review programme to match the new schedule and include Vehicle down time.    | X                                 |              |          |  |  |  |  |  |  |  | 31/5/2019            |                 |
| 3   | Log outputs of individual teams using the ESRI software                      |                                   |              | X        |  |  |  |  |  |  |  | Ongoing until APR 20 |                 |
| 4   | Report monthly, actual output verses planned output.                         |                                   |              | X        |  |  |  |  |  |  |  | Ongoing until APR 20 |                 |
| 5   | Address any shortfalls in production quickly and monitor against CPI targets | I                                 | X            |          |  |  |  |  |  |  |  | Ongoing until APR 20 |                 |
| 6   | Provide NYCC with monthly data to upload into Symology                       | I                                 |              | X        |  |  |  |  |  |  |  | Ongoing until Apr 20 |                 |
| <p><b>Note</b> <b>ONLY ONE PERSON CAN BE RESPONSIBLE FOR AN ACTIVITY</b><br/><b>(X = RESPONSIBLE, I = INVOLVED)</b></p> |  |                                   |              |          |  |  |  |  |  |  |  |                      |                 |

**Distribute to: CSU, OMG, SMG, Jill Davies**

**REMEMBER TO UPDATE THE IMPROVEMENT CONFORMANCE LOG**

|   |                           |                   |   |
|---|---------------------------|-------------------|---|
|  | <b>ACTION REPORT FORM</b> |                   | <b>PROCESS OWNER: Group<br/>IMS Manager</b> |
|   | Issue: 5A                 | Date: August 2011 | Page 1 of 2                                 |

**Section 1**

Business Ref: RIS

Division and/or  
Location: North  
YorkshireAction Report No: RAP 2019/20  
SPI HS01  
LTIFR**Section 2**

|                          |                               |                           |
|--------------------------|-------------------------------|---------------------------|
| Issued by: P Jepps       | Issued to:<br>North Yorkshire | Date: 09/5/2019           |
| Contract Number: MU 5382 | Works Order Number: N/A       | Delivery Note Number: N/A |

**Section 3 DESCRIPTION OF ISSUE**

Failure of Secondary Performance Indicator HS01 LTIFT (Lost Time Incident Frequency Rate)  
In the rolling year there was 3 incidents which were recorded with lost time.

- 1No. Ankle sprain resulting in an operative being off longer than 7 days
- 1No. Incident involving a gas bottle causing a fire on a pick up resulting in burns to an operative

**Section 4 STATE THE ROOT CAUSE OF THE ISSUE**

- Not following company procedure
- Inadequate safeguards in place

**Section 5 WHAT ACTION IS PLANNED TO ADDRESS THE ABOVE ROOT CAUSE?****5a CORRECTIVE ACTION (To address the issue)**

Review the Health and Safety plan for the contract and monitor action list through the monthly SMT meeting  
Ensure adequate checks are made of SCP equipment

**5b PREVENTIVE ACTION (To prevent recurrence)**

See Health and Safety plan for 2019/20 contract year  
Workforce and SCP's to follow Company Policies and Procedures

**5c RESPONSIBILITY CHART REQUIRED (PAGE 2)?**      Y

**Note: When you have completed this section please send copy to originator.**

**Section 6 CONFIRM ACTION HAS BEEN IMPLEMENTED (Supply supporting evidence)**

Action closed by:

Date:

|   |                           |                   |   |
|---|---------------------------|-------------------|---|
|  | <b>ACTION REPORT FORM</b> |                   | <b>PROCESS OWNER: Group<br/>IMS Manager</b> |
|   | Issue: 5A                 | Date: August 2011 | Page 2 of 2                                 |

Business Ref:

Division and/or Location:

Action Report No:

| Date Prepared: 09/5/2019 |  | Responsibility of: P Jepps                                |              |                   |                   |             |  |  |              |          |
|--------------------------|--|---|--------------|-------------------|-------------------|-------------|--|--|--------------|----------|
| Improvement/Concern      |  | Persons Involved  |              |                   |                   |             |  |  | By When      | Complete |
|                          |  | Phil Jepps  | Mike Francis | Contract Managers | Regional Director | Supervisors |  |  |              |          |
| Planned Completion Date: |  |   |              |                   |                   |             |  |  |              |          |
| Task No                  | Task Description   | Phil Jepps  | Mike Francis | Contract Managers | Regional Director | Supervisors |  |  |              |          |
| 1                        | Review Health and Safety plan for the contract   | I   | X            | I                 |                   |             |  |  | Monthly      |          |
| 2                        | Work to the plan, completing the actions and monitoring H+S performance as an indicator of performance and compliance.         | I   | X            | I                 | I                 |             |  |  | Monthly      |          |
| 3                        | Continue with the Monthly Health and Safety meetings which involve all representatives from each depot.                        |   | X            | I                 | I                 |             |  |  | Monthly      |          |
| 4                        | Ensure briefings are disseminated to workforce and SCP's   | X   | I            | I                 |                   |             |  |  | Monthly      |          |
| 5                        | Increased number of Supervisor Site Safety Inspections   |   | X            | I                 | I                 |             |  |  | Monthly      |          |
| 6                        | Stand down of Supervisors to review incidents and identify culture and behavioural issues being at the root cause of incidents | I   | I            | I                 | X                 | I           |  |  | 3 April 2019 | X        |
| 7                        | RD and DM to review monthly, site safety inspections   | X   |              |                   | I                 |             |  |  | Monthly      |          |
| <b>Note</b>              |  | <b>ONLY ONE PERSON CAN BE RESPONSIBLE FOR AN ACTIVITY</b> |              |                   |                   |             |  |  |              |          |
|                          |  | <b>(X = RESPONSIBLE, I = INVOLVED)</b>                    |              |                   |                   |             |  |  |              |          |

Distribute to:

**REMEMBER TO UPDATE THE IMPROVEMENT CONFORMANCE LOG**