

TAIC open recommendations

Half-yearly report

For the six months ended 30 June 2017

Summary

Purpose

This report updates you on the status of open recommendations that the Transport Accident Investigation Commission (TAIC) has issued across the aviation, rail, and maritime transport modes.

Contents

The information and data in the report focus mainly on the recommendations issued to the modal regulators, who are reporting progress against implementation as a matter of good practice. The Commission has no mandate to compel recipients of its recommendations to provide such information.

TAIC has compiled the report using information and data supplied by the Civil Aviation Authority (CAA), the New Zealand Transport Agency (NZTA), and Maritime New Zealand (MNZ).

Each sector report also shows numbers of open recommendations issued to the Ministry of Transport (MoT), State Owned Enterprises (SOEs), other government organisations (such as local government), and non-government organisations.

Explanatory notes

Explanatory notes are on the back page.

Summary data

The table below shows summary data for the open safety recommendations TAIC has issued to the CAA, the NZTA, and MNZ.

Key points:

- The time needed to implement a safety recommendation can vary considerably. Some recommendations are aimed at modifying behaviour or processes across complex systems. That may take several years to achieve, especially if changes to legislation are required.
- In the rail sector, the NZTA and TAIC have a well-established process for monitoring safety recommendations. The CAA and MNZ are working with TAIC to establish similar arrangements, and to close 'historic' recommendations. Without a formalised monitoring process, some recommendations have remained open even though actions have been taken (or circumstances have changed) such that the regulators consider the intent of the recommendations has been met. The CAA and MNZ have been preparing and submitting the documentation required by the Commission to close these historic recommendations. They plan to have completed the process within the next year.

	Recommendations issued and closed 1 January to 30 June 2017			Number open as at 30-Jun-17	Estimated time to closure			
	Issued	Closed	Closed YTD		Within 12 months	1 to 5 years	More than 5 years	Not accepted or no further action
CAA	0	10	10	69	74%	13%	6%	13%
NZTA	3	8	11	18	33%	44%	22%	Nil
MNZ	3	4	8	40	88%	12%	Nil	Nil

Air open TAIC safety recommendations as at 30 June 2017

Summary of open recommendations

The table shows the numbers of open recommendations by recipient in the aviation sector. The numbers for government organisations are also shown by areas of activity.

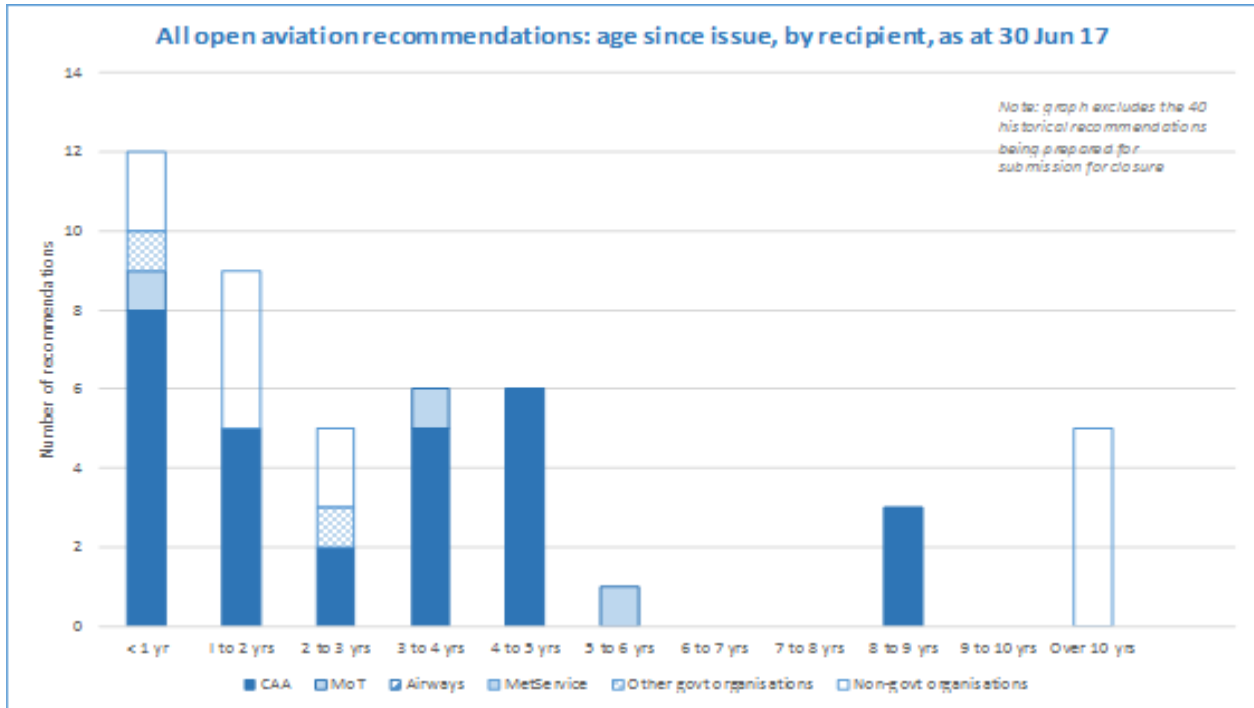
Number of open recommendations	Issued to government organisations Regulator/MoT/SOEs/other							Issued to non-government organisations	
	Total	CAA	MoT	Airways	MetService	Other govt org	Est. closure within 12 months (CAA)	Not accepted (CAA)	Total
Total	74	69	3	Nil	Nil	2	51	7	13
Operations		10					4	1	
Airworthiness		9					2	3	
Aerodromes		1					1		
Air Traffic Control									
Licensing		9					4	3	
Historic recs to submit for closure		40					40		

Status for CAA recommendations

In October of 2013 the CAA wrote to the Commission expressing its concern about the status of a large number of historic recommendations which the CAA considered should be closed but the Commission's website indicated were still open. In this regard, the CAA acknowledges that only the Commission can determine the status of a recommendation. In the Oct 2013 correspondence, and subsequently, the CAA has provided information which it considers should allow the Commission to make a judgement about the status of the 40 outstanding historic recommendations in the table above. Acting on that information the Commission has recently closed a number of such recommendations and the CAA will work with the Commission to provide any additional information it may need to assess the status of the open historical recommendations

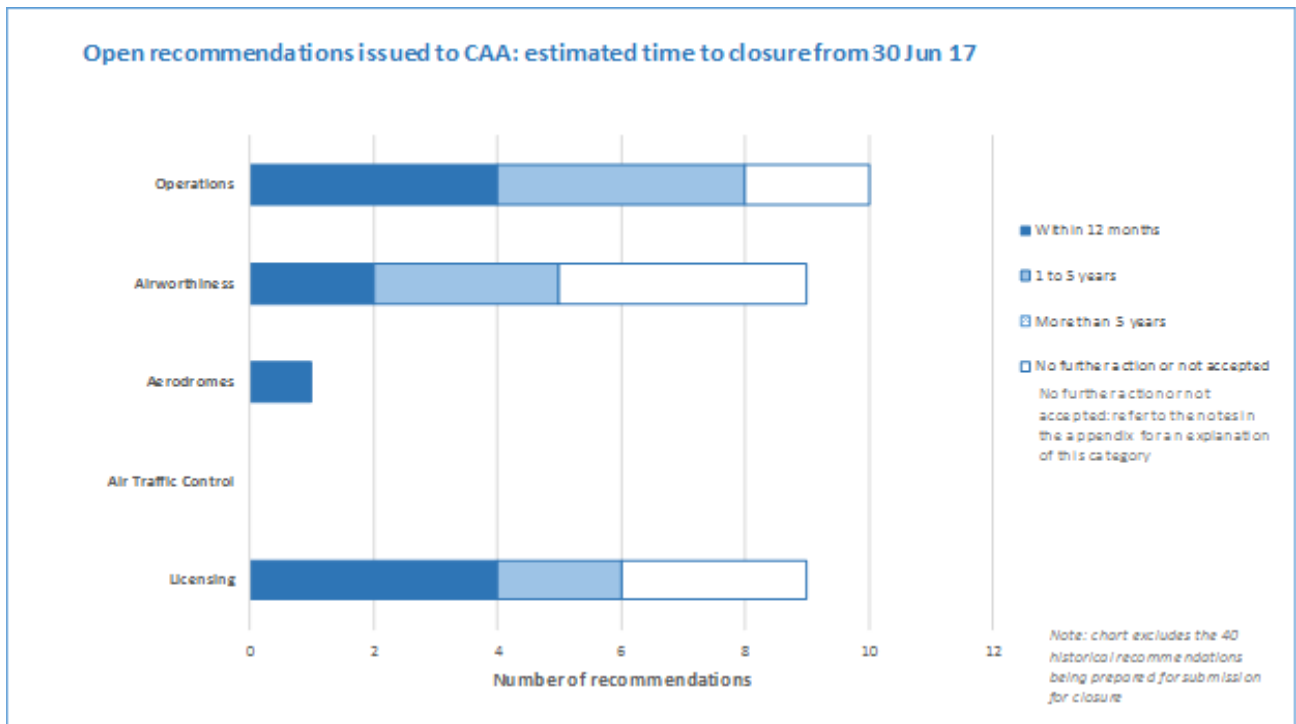
Age of open recommendations

The graph below shows the age of all open recommendations by recipient in the aviation sector.



Estimated time to completion for recommendations issued to CAA

The graph below shows the estimated time to implementation for the recommendations issued to CAA.



Rail open TAIC safety recommendations as at 30 June 2017

Summary of open recommendations

The table shows the numbers of open recommendations by recipient in the rail sector. The numbers for government organisations are also shown by areas of activity.

Number of open recommendations	Issued to government organisations Regulator/MoT/SOEs/other						Issued to non- government organisations
	Total	NZTA	MoT	KiwiRail	Est. closure within 12 months (NZTA recs only)	Not accepted (NZTA)	Total
Total	28	18	1	9	6	Nil	Nil
Main focus	National Train Control Centre	4	1		3	1	
	Level crossings	7	7			1	
	Impairment: drugs/alcohol/health/fatigue	4	1	1	2		
	National Rail System Standards	1	1			1	
	Other areas of activity	12	8		4	3	

Status of main focus recommendations assigned to the NZ Transport Agency

National Train Control Centre	The open recommendation is on track for closure by August 2017.
Impairment	The open recommendation calls for the development of a National Rail System Standard to require all rail participants who operate on the National Rail System (NRS) to have drug and alcohol policies that meet certain criteria. New Zealand's largest NRS operators already have drug & alcohol policies in place, and the Transport Agency is in the process of developing drug & alcohol policy best practice guidelines to be rolled out to the remaining NRS operators.
Level crossings	One recommendation is on track for closure by August 2017. There are programmes of work underway to address level crossing safety issues around New Zealand, which will address aspects of the remaining open recommendations. There is further work to be done to ensure the ongoing approach to tackling level crossing safety issues fulfils all practicable components of the TAIC recommendations.
NRSS	The open recommendation is on track for closure by the end of June 2018.

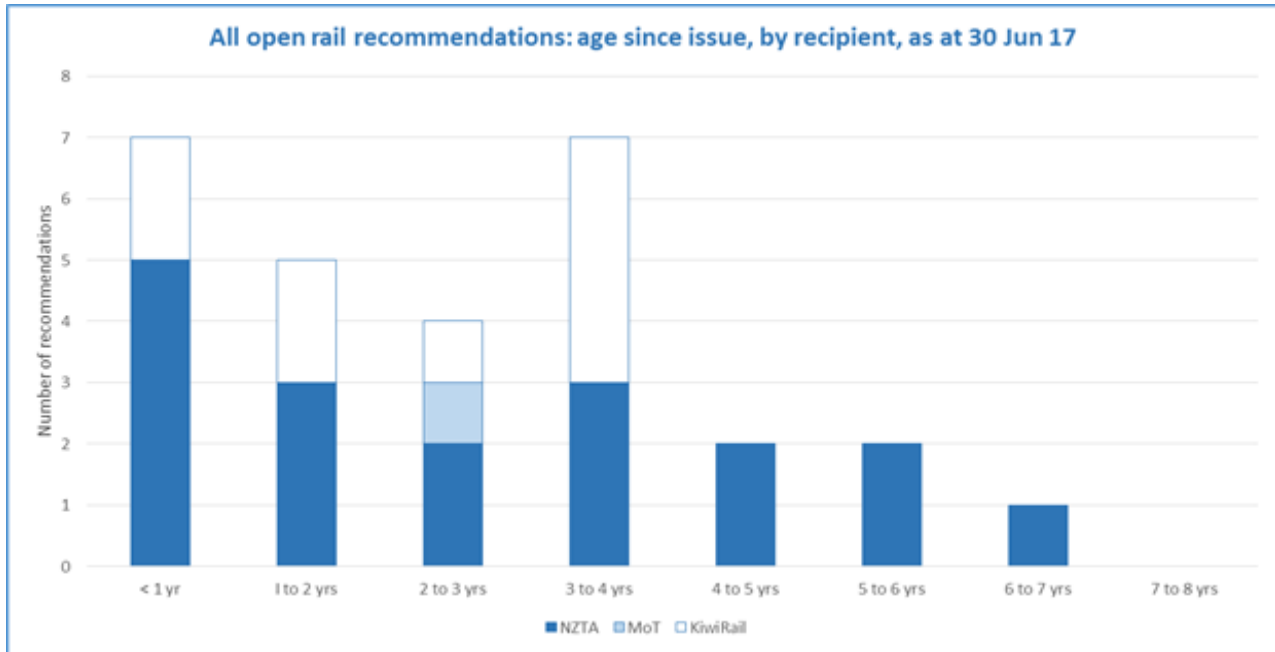
Status of oldest recommendations assigned to the NZ Transport Agency

The graph on the following page shows the ages of each of the open recommendations. Of the oldest recommendations (those more than four years' old), all but two are on track to be closed within the next 12 months.

Of the remaining two recommendations, one calls for improvements to be made to 264 level crossings where the existing design presents a safety risk for long road vehicles. Due to the high number of crossings requiring improvements this recommendation is likely to take a number of years to be fully addressed. The final recommendation is related to drug & alcohol policies and is outlined in the section above. Completion of the work to address this recommendation is anticipated to take another one to two years.

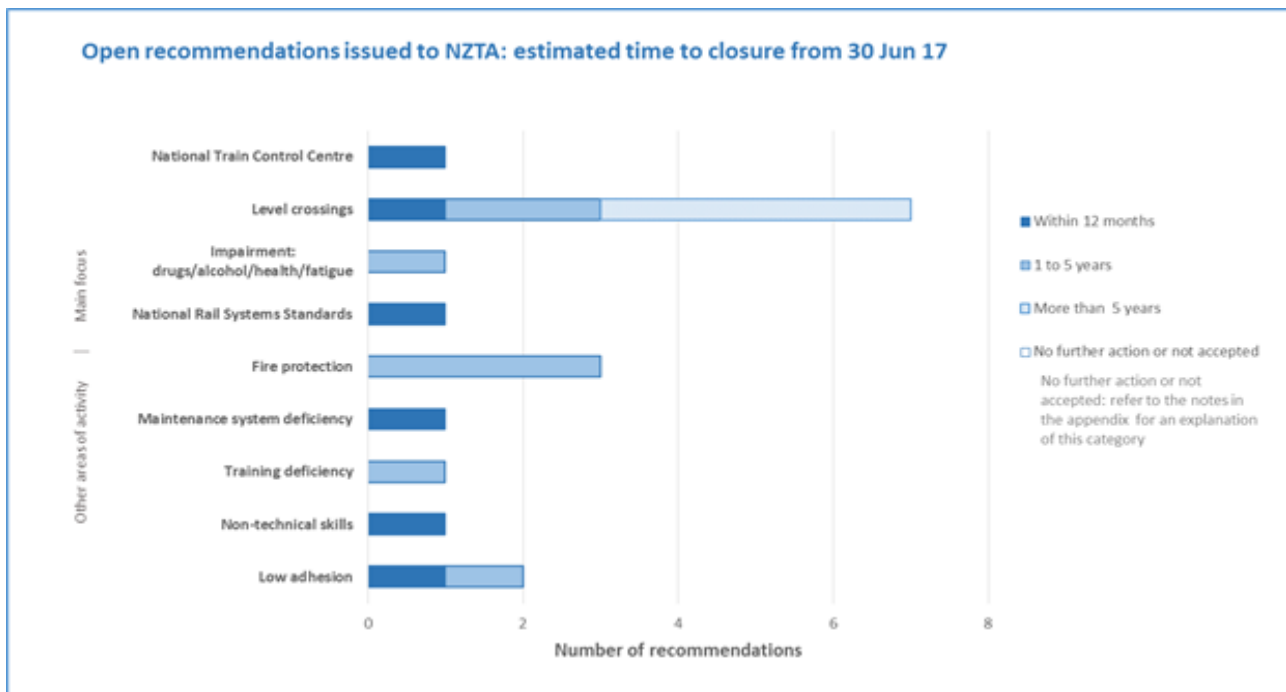
Age of open recommendations

The graph below shows the age of all open recommendations by recipient in the rail sector.



Estimated time to completion for recommendations issued to NZ Transport Agency

The graph below shows the estimated time to implementation for the recommendations issued to the Transport Agency.



Maritime open TAIC safety recommendations as at 30 June 2017

Summary of open recommendations

The table shows the numbers of open recommendations by recipient in the maritime sector. The numbers for government organisations are also shown by areas of activity.

Number of open recommendations	Issued to government organisations Regulator/MOT/SOEs/other								Issued to non-government organisations
	Total	MNZ	MoT	KiwiRail	MetService	Other govt.org	Est. closure within 12 months (MNZ)	Not accepted (MNZ)	Total
Total	64	40	3	2	Nil	19	35	NIL	24
Training or Education		4					4		
Safe Ship Management									
Maritime Rules		3							
Safety Management Systems		1					1		
Administrative		2					1		
Aids to Navigation									
Compliance		3					2		
Historic recs to submit for closure		27					27		

Status for MNZ recommendations

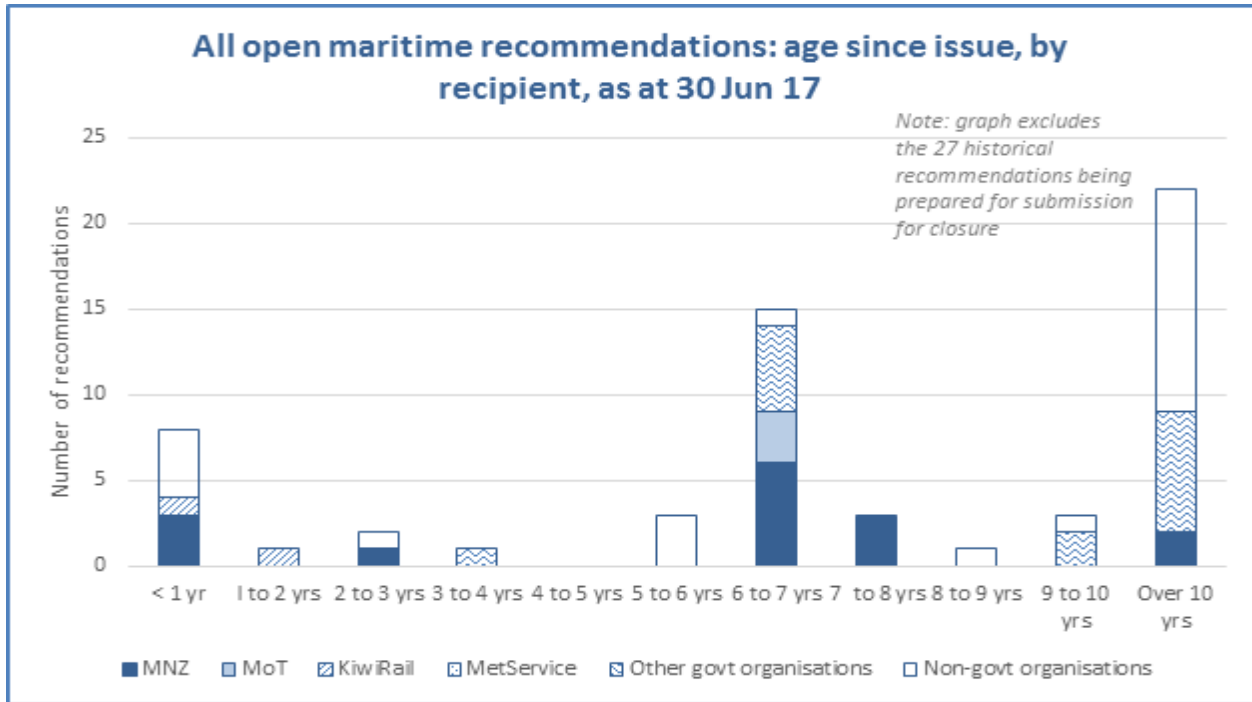
As at 30 June 2017, 40 TAIC recommendations were open (one has since been closed). Working with the Transport Accident Investigation Commission, Maritime NZ has made a concentrated effort to consolidate and resolve many of these recommendations. Maritime NZ anticipates that 27 recommendations, most of which are historic, will be closed by the end of this financial year. A further seven recommendations are actively being worked on and are likely to also be resolved within this timeframe also.

The remaining seven recommendations mostly relate to the Maritime Rules or engagement with the Secretary for Transport and are substantially larger pieces of work requiring policy investigation.

Note: The project to close historic recommendations has identified a small number of discrepancies between MNZ and TAIC databases with respect to the status of some recommendations (TAIC had 43 open maritime recommendations in its database as at 30 June 2017). TAIC and MNZ are working to reconcile these differences.

Age of open recommendations

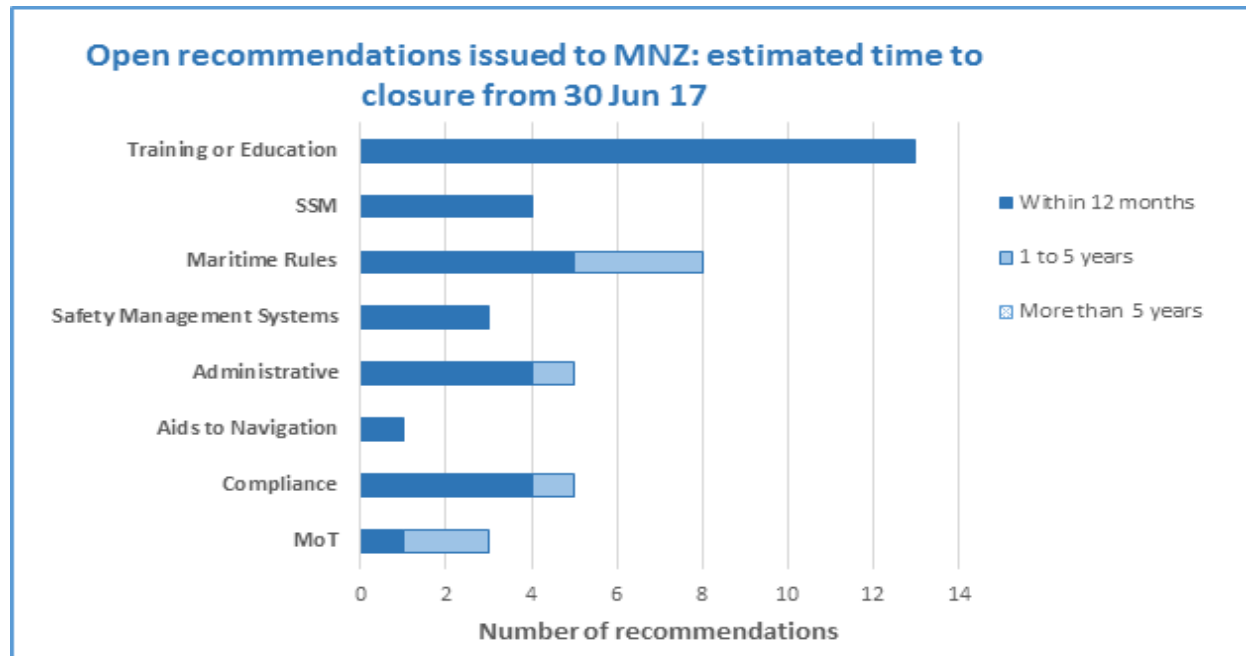
The graph below shows the age of all open recommendations by recipient in the maritime sector.



Note: Two urgent recommendations are excluded from the above graph (016/17, issued in April 2017 and since closed in July 2017; and 013/17 issued in April 2017).

Estimated time to completion for recommendations issued to MNZ

The graph below shows the estimated time to implementation for the recommendations issued to MNZ.



Note: The recommendation closed since 30 June 2017 (016/17) is excluded from the above graph.

Appendix: explanatory notes

Definitions

Government organisation	For the purposes of this report, a government organisation is a New Zealand regulator, SOE, or a commercial enterprise with more than 50% government ownership.
Not accepted	The recipient has not accepted the safety recommendation. For example, it might consider the recommendation is not relevant or not applicable. The Commission classifies such recommendations as 'open' or 'open, no acceptable action'.
No further action	The recipient has accepted the recommendation, and considers it has taken sufficient action to meet the intent of the recommendation; but the Commission does not agree that the intent has been fully met. The Commission classifies such recommendations as 'open' or 'open, no acceptable action'.
Classification of recommendations	<p>The Commission classifies open recommendations as follows:</p> <ul style="list-style-type: none">• Open: the recipient has accepted the recommendation, but has not yet submitted a request to close it.• Open, no acceptable action: the recipient has not accepted the recommendation, or considers it has taken sufficient action (see 'no further action' above).• Withdrawn/cancelled: the recommendation has been withdrawn in light of further information from the recipient.• Closed superseded: the recommendation no longer applies because of changes in circumstances, for example, advances in technology, vehicle model no longer in use, or the recipient is no longer operating.

Timeframes for implementation

The time in which a safety recommendation can be implemented can vary considerably. Some recommendations can be implemented quickly because the action to meet its intent is specific and clearly identifiable, and relatively straightforward. Other recommendations may require considerable analysis and consultation to determine the best options, or they may depend on action by third parties. Recommendations requiring legislative change may take several years to implement.