

AUDIT REPORT – FIELD COMPLIANCE / BONUS

END
PRODUCT



Ministry of
Transportation
and Infrastructure

SECTION 1: AUDIT DETAILS

Audit Report #: 09-W

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: **AIM Roads**

Audit Date: February 10, 2020

Date Discussed with MC: February 17, 2020

Auditor Blake Dixon _____

Auditor Signature

Field Attendee Register: (NOTE: field audit does not require MC presence, but if present list attendees)

Name	Position
Blake Dixon	A/ Road Area Manager

Office Attendee Register:

Name	Position
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Topic of Audit:

Compliance with PM 3.01.2-3

Location(s):

Bailey Road, Salmon River road, Yankee flats road, Haines road, Branchflower road. Irish Creek road

Overall Summary of Findings:

The contractor is compliant with meeting this specification on Class B and C roads on the roads listed

Attachments (e.g. photos, monitoring records, public complaints, etc.):



Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor



SECTION 2: QUESTIONS/ FINDINGS/ EVIDENCE – RECORDS REVIEWED

Question 1: Have the Winter Accumulations and Compact been removed after the end of the Weather Event from Travelled Lanes?

What is being assessed:
Compliance with PM 3.01.2-3

Findings:
Paved class C roads on this audit were bare in the Travelled Lanes.

Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor

Last measurable snowfall in the areas of this audit was on January 7th in the late morning and pavement temperatures were above -9°C during the 48hrs following the Weather Event.

Evidence-Records Reviewed:

Field review

SECTION 3: ACTIONS TO BE COMPLETED / RE-DONE

Describe all actions to be completed and/or re-done by the contractor

n/a

SECTION 4: NCR/OFI ISSUED

No

Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor

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SECTION 1: TRACKING DETAILS

NCR #: 2020W-01 _____

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: **AIM Roads**

Date: October 20, 2020

Prepared by: Peter Cocker

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

Maintenance Specification 1.01 "to provide a smooth, stable, sealed surface of highway and bicycle/pedestrian paths".

Maintenance Specification 1.03 "to provide a safe, smooth, stable, compacted and free draining dirt and gravel highways and shoulders.

Performance Criteria – construct temporary patches consistent with the profile and crossfall of the adjacent surfaces as per table PM1.01.2-1

Performance Criteria – Grading or Re-shaping of dirt and gravel highways as per table PM1.03.3-2.

Non-conformance with timeframes set out in table PM1.01.2(a) on Class 5 road.

Non-conformance with time frame set out in table PM1.03.3-2 (b) on class 5 road

SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

YES x Deadline for correction: October 23, 2020

NO _____ MOT accepts the non-conforming product/service
Reason:

N/A _____ Reason:

Signatures upon completion of required correction:
Temporary Patching must be completed by October 23, 2020. Pavement edge drop must be repaired by October 23, 2020. (no later than Oct 26- as stated in email).

Completed Nov 27th

Contractor representative confirms correction complete.

Date accepted by MOT: Click here to enter a date.

Nov 27th/2020

Contractor Signature: _____

MOT Representative: PC _____

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SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: October 30, 2020

4B) Root Cause Analysis: (Why did the non-conformance occur?)

The root-cause resulting in the non-conformity with the contractual requirements is due to a lack of material and planning for repair and maintenance of the identified areas by the operations team. AIM's internal training processes and associated plans for temporary patching were not executed within a timely matter according to the specifications due to underestimated timeframes for other summer works and prioritizing the planning for the repairs of these specific areas.

Note: The extreme weather and high volumes of water has resulted in erosion and unusual wear on the road surface throughout SA 13, increasing the rate of delamination and potholes in many areas. AIM has underestimated the frequency and number of repairs required to maintain the above mentioned specification.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

AIM intends to implement hot mix to patch the required locations and shoulder drops along the Class 5 road that remain unrepaired in order to meet specification timeframes. Pothole patching is ongoing as of Oct 20 and will be completed no later than Oct 26 (as noted via email). AIM plans to prevent the reoccurrence of the above NCR by prioritizing all repairs with major safety concerns and non-compliances notified to AIM by the ministry. AIM plans to prevent the re-occurrence of the non-conformance moving forward next season by considering extreme weather conditions and the possibility of excessive rain contributing to an increase in road surface maintenance.

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report..

Name: Celina Guerreiro

Contractor Signature: _____

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: Peter Coudel

MOTI Signature:

Date: October 20, 2020

INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

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SECTION 1: TRACKING DETAILS

NCR #: AB20S-01

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: AIM Roads Inc.

Date: June 22, 2020

Prepared by: Aimee Barre

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

Maintenance Specification - Surface Cleaning PM 1.07.2-1

Performance Criteria h) All other Highways, Travelled Lanes, Shoulders, Raised Hard Surfaced Infrastructure, intersections, adjacent to barrier, and pedestrian walkways by June 15

Accumulations were observed along Eagle Bay Rd, Torry Rd, Keane Rd, Ivy Rd, and Reid Rd through field observations and End Product Audit (refer to **Audit #20-21S** for additional information and photos).

SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

YES ☒ Deadline for correction: NA

NO ☐ MOT accepts the non-conforming product/service

Reason:

N/A ☐ Reason:

Signatures upon completion of required correction:

Contractor representative confirms correction complete. Contractor Signature: _____

Date accepted by MOT: [Click here to enter a date.](#) MOT Representative: _____

SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: NA

4B) Root Cause Analysis: (Why did the non-conformance occur?)

The root-cause resulting in the non-conformity with the contractual requirements is due to a lack of understanding of new equipment operation processes by the field operator that resulted due to a lack of

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training from the foreman. AIM's internal training processes and associated plans for surface cleaning were not executed properly by the operations team.

Outside influences such as extreme rain events with excessive water volumes have resulted in surface runoff from adjacent gravel surfaces. This has resulted in a larger volume of gravel accumulation on the road surface than usual at this time of the year. AIM has underestimated the frequency required to maintain a clean road surface when undergoing extreme rain events in accordance with the June 15 due date.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

AIM intends to implement proper training for all new equipment prior to commencing works moving forward through the generation of appropriate standard operating procedures and communication between foreman and operators. AIM plans to prevent the re-occurrence of the non-conformance moving forward by considering extreme weather conditions and the possibility of excessive rain regarding scheduling for road surface cleaning. AIM has planned to redo the surfacing cleaning as soon as possible to ensure safer road surface for all road users.

AIM is currently undergoing a large scale internal audit that will result in major process and performance to ensure compliance with the contractual requirements.

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report.

Contractor Signature:

Name: Celina Guerreiro

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: Aimee Barre

MOTI Signature:

Date: June 26, 2020

INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

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SECTION 1 : TRACKING DETAILS

DATE: (dd:mm:yyyy) 24-09-2020

NCR #: AB20S-02

SERVICE AREA: SA13 Okanagan
Shuswap

CONTRACTOR: AIM Roads

REFERENCE AUDIT #: 20-25S

REFERENCE AUDIT TOPIC: 5.01 Sign System Maintenance

DATE DISCUSSED WITH MC: 24-09-2020

SECTION 2 : ATTENDANCE REGISTER

NAME	TITLE
Aimee Barre	Area Manager, Roads

SECTION 3 : DESCRIPTION OF NON-CONFORMANCE

Contractor failed to meet basic contract requirements as set out in the Maintenance Services Reporting Manual - Highway Maintenance Agreements (May 26, 2020). Activity Number 501302 and 501308 require site specific GPS locations for each record. Multiple records from July 2020 and August 2020 D3 reports have identical GPS coordinates, with no other identifying factors such as Landmarks.

Lack of location specificity resulted in inability to accurately identify signs installed on site during Audit #20-25S.

SECTION 4 : REQUIRED CORRECTION

Does the Contractor have to redo/complete the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

Yes

Dead line for correction:

n/a

No

x

MoTI accepts the non-conforming product/service for the following reasoning:

Time and effort will be better utilized moving forward with improvements with reporting to meet compliance.

N/A

Signatures upon completion of required correction:

Contractor representative confirms correction complete and the Ministry Representative confirms correction is accepted.

Ministry Representative:

Name:

n/a

Signature:

Date:

Contractor Representative:

Name:

n/a

Signature

:

Date:

SECTION 5 : ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

Deadline for submission of corrective action plan to MoTI:

November 6, 2020

Root Cause Analysis: (Why did the non-conformance occur?)

The root-cause resulting in the non-conformity with the contractual requirements regarding the Maintenance Services Reporting Manual - Highway Maintenance Agreements for GPS accuracy for signage is due to a technical error with the data entry in the field and the SmartRoads Program. Due to a new sign maintenance program and crew and the entry prompts in the software program used to document sign works, data was being missed when the forms were being created in the field. Errors with GPS locations was noted due to signs located in one area having multiple pieces of the sign being repaired resulting in multiple entries in one location without comment to determine which pieces of the sign were being replaced.

Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

AIM's QHSE staff and Operations Team intends to work with the sign foreman and SmartRoads to ensure that the field form prompts for comment entry and the foreman knows the importance of entering comments when installing signs. The sign foreman's monthly submittal for Quantified work will also be utilized and compared with our SRs generated report to ensure that all duplicated locations have comments explaining the duplication.

Signatures upon completion of root cause analysis & corrective action plan:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the non-conformance identified within this report.

Contractor Representative:**Name:****Signature**

:

Date:

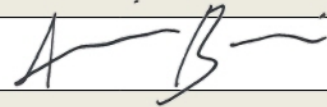
Ministry representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Ministry Representative:**Name:**

Aimee Barre

Signature

:

**Date:**

2020/10/20

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SECTION 1: TRACKING DETAILS

NCR #: 19-001S

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: AIM Roads

Date: May 16, 2019

Prepared by: Ken T. Namislo

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

Single Lane Alternating Traffic was in effect at a work zone on Grandview Bench Rd.
As per Sect. 7.8 Traffic Management Manual for Work on Roadways 2015 Office Edition, Two
Traffic Control Personal are required, one on the North end and one at the south end of the
work zone.

Only Traffic Control Person on the South end was present and at his station. North end
Traffic control Person was present but off of the road surface and out of sight of motorists.

SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

YES ☒ Deadline for correction: May 24, 2019
NO ☐ MOT accepts the non-conforming product/service
Reason:
N/A ☐ Reason:

Signatures upon completion of required correction:

Contractor representative confirms correction complete. Contractor Signature: Paul Primas

Date accepted by MOT: MOT Representative: _____

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SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: May 24, 2019

4B) Root Cause Analysis: (Why did the non-conformance occur?)

Not maintaining excellent working communication between AIM Roads and the Traffic Control Contractor

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

AIM Roads has been coaching employees in all foreman positions to be vigilant to maintain communication and visual contact with traffic control employees during all phases of the project. In addition, AIM Roads met with Frontline Traffic Control on Monday May 27, 2019 to discuss this event and to ensure that Frontline employees are aware of the traffic control manual requirements. As a result of this meeting, AIM Roads will not be working with Frontline Traffic Control moving forward. Inspection and test plans (ITP's) will be developed for the remaining AIM Roads third party traffic control companies.

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report..

Name: Paul Primas

Contractor Signature: Paul Primas

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: _____

MOTI Signature: _____

Date:

INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

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SECTION 1: TRACKING DETAILS

NCR #: 19-001W_____

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: AIM (Acciona Infrastructure Maintenance)

Date: November 25, 2019

Prepared by: Erik Lachmuth

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

Quote the contractual requirement which is not being met and/or the relevant section of the QMS. Also quote location of non-conformance, e.g., highway number, foreman area, when applicable

Highway Maintenance Agreement Article 15.5 B) The Contractor shall, no later than the 10th Working Day of each month, for the prior month provide to the Province: a report of the completed Quantified Maintenance Services prepared in accordance with the Maintenance Services Reporting Manual

Highway Maintenance Agreement Article 15.7 C) The Contractor shall provide to the Province the Two-Year Quantified Work Plan prepared in a format determined by the Province as soon as reasonably practicable with the current Contract Year, if the Two Year Quantified Work Plan is amended pursuant to subsection 2.7(a) of Schedule 2 ("Quantified Maintenance Services")

Non-Conformance on:

- Submitting Quantified Work plans as per schedule (10th working day of the month following the Quantified work) . i.e. August report still not received
- Accuracy of Quantified Maintenance Services report as per Maintenance Services Reporting Manual. i.e. Unit prices, appropriate activity #'s, misreported quantities.
- Significant changes to Two Year Quantified Work Plan not provided to the Province as soon as reasonably practicable with the current Contract Year. i.e. significant changes in quantities reported that were not provided to the Province as an update to the plan.

SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

- Contractor must submit accurate Quantified Maintenance Services reports as per Maintenance Services Reporting Manual for all months by the date below.
- Contractor must provide to the Province the current Quantified Work Plan to reflect amended work plan since previous submission by the date below.

YES ☒ Deadline for correction: January 10, 2020

NO ☐ MOT accepts the non-conforming product/service
Reason:

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N/A Reason: _____

Signatures upon completion of required correction:

Contractor representative confirms correction complete. Contractor Signature: _____

Date accepted by MOT: [Click here to enter a date.](#) MOT Representative: _____

SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: December 23, 2019

Deadline extension provided by MOT to December 23, 2019.

4B) Root Cause Analysis: (Why did the non-conformance occur?)

The root cause is made up of a number of factors. There was an internal error with Excel unit prices in the quantified reports which had a snowball effect and caused errors in all the early quantified reports for SA13. This error was not caught until recently – and all incorrect reports are now being corrected. Not enough time was spent to ensure the accuracy of the first quantified reports submitted to the MOTI. In addition, not enough emphasis was placed on reviewing the MOTI reporting manual before reports were submitted which led to errors that could have been prevented before sending.

The AIM Roads Two Year Quantified Work Plan was originally accepted by the MOTI. After the contract start date, there were some changes to the Two Year Quantified Work Plan that were verbally agreed upon between the MOTI and AIM Roads that were not signed and documented. As a result of these verbally agreed upon changes, the quantified work plan differed from the original submission. The root cause is that the time was not taken to formally document the changes before work commenced which affected the work plan.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

A former employee with significant road maintenance experience has been hired as a contractor to help ensure the required MOTI reports are submitted on time and accurately. This former employee is working with the QHSE team and also with operations to ensure that the information is being reported in the correct format, and is being reported accurately. Additional Q/C checks – including a second set of eyes reviewing the reports before they are sent have been implemented. Foremen have received additional information showing what information format to use for reporting purposes.

Moving forward any changes to the Two Year Quantified Work Plan need to be agreed to by the MOTI and AIM Roads, and these changes need to be documented and signed off by both parties before work commences. It is recommended that moving forward, monthly joint meetings be scheduled between the MOTI and AIM Roads to review the operations plan and

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to sign off on any agreed upon changes to the Two Year Quantified Work Plan and update the work plan versions as we move forward.

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report..

Name: _____Paul Primas_____ Contractor Signature: _Paul Primas_____

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: _____ MOTI Signature: _____

Date: December 23, 2019

INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

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SECTION 1: TRACKING DETAILS

NCR #: 19-002S

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: AIM (Acciona Infrastructure Maintenance)

Date: May 24, 2019

Prepared by: Erik Lachmuth

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

Quote the contractual requirement which is not being met and/or the relevant section of the QMS. Also quote location of non-conformance, e.g., highway number, foreman area, when applicable

Maintenance specification 1.07.2-1 Performance Time Frames for removing accumulations on hard surfaced highways and raised hard surface infrastructure

Performance criteria g) Other Class 1 and 2 Travelled lanes, Shoulders, Raised Hard Surfaced Infrastructure, intersections, adjacent to barrier, and pedestrian walkways.

Non-conformance with performance May 15th completion on numerous Class 1 and 2 roads across the service area as per performance criteria listed above.

SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

YES ☒ Deadline for correction: June 15, 2019
NO ☐ MOT accepts the non-conforming product/service
Reason:
N/A ☐ Reason:

Signatures upon completion of required correction:

Contractor representative confirms correction complete. Contractor Signature: Paul Primas

Date accepted by MOT: Click here to enter a date.

MOT Representative:

July 23 2019

SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: July 1, 2019

Deadline for submission of corrective action plan was extended to July 19, 2019 as per Erik Lachmuth.

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4B) Root Cause Analysis: (Why did the non-conformance occur?)

AIM Roads had insufficient sweeping equipment in place at the April 1, 2019 contract date takeover to meet the specification timeframe.

This root cause was influenced by these factors:

- There were higher than normal levels of precipitation lasting into April, and the previous contractor opted to not perform any sweeping prior to the end of their contract
- Due to the delay in AIM Roads being provided essential employee training and competency documents, and the time taken for in-house employee orientation, employees were delayed in beginning sweeping activities

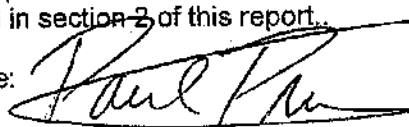
4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

- AIM has now received their full complement of sweeping equipment – this equipment is now in place to meet contractual requirements
- AIM Roads has booked (in advance) 4 mechanical sweepers from Atlas for next season
- Staff have now received orientation training and will be ready to go at the start of the new sweeping season
- AIM Roads plans to start the sweeping program earlier in 2020 and utilize night shift employees to sweep for longer hours

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report.

Name: Paul Primas - July 19, 2019

Contractor Signature: 

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: Erik Lachmuth

July 19 2019

MOTI Signature: 

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SECTION 1: TRACKING DETAILS

NCR #: 19-002W

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: AIM Roads Inc

Date: December 10, 2019

Prepared by: Alex O'Brien

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

Quote the contractual requirement which is not being met and/or the relevant section of the QMS. Also quote location of non-conformance, e.g., highway number, foreman area, when applicable

Two separate rockfall incidents were reported to the contractor's shift foreman on November 15, 2019 on Douglas Lake Rd at 12.5km and 16.9km. The contractor reported nil rockfall for the month of November on December 7. The contractor is not conforming to section 15.11 of the Highway Maintenance Agreement.

< Matt Falkland

s.22



Hey Matt, saw a plow come out of Douglas lake though still choppy slush up top. Rockfall at 12.5k and 16.9km as well as many sections needing grading due to frequent potholes and washboard >3cm on hill



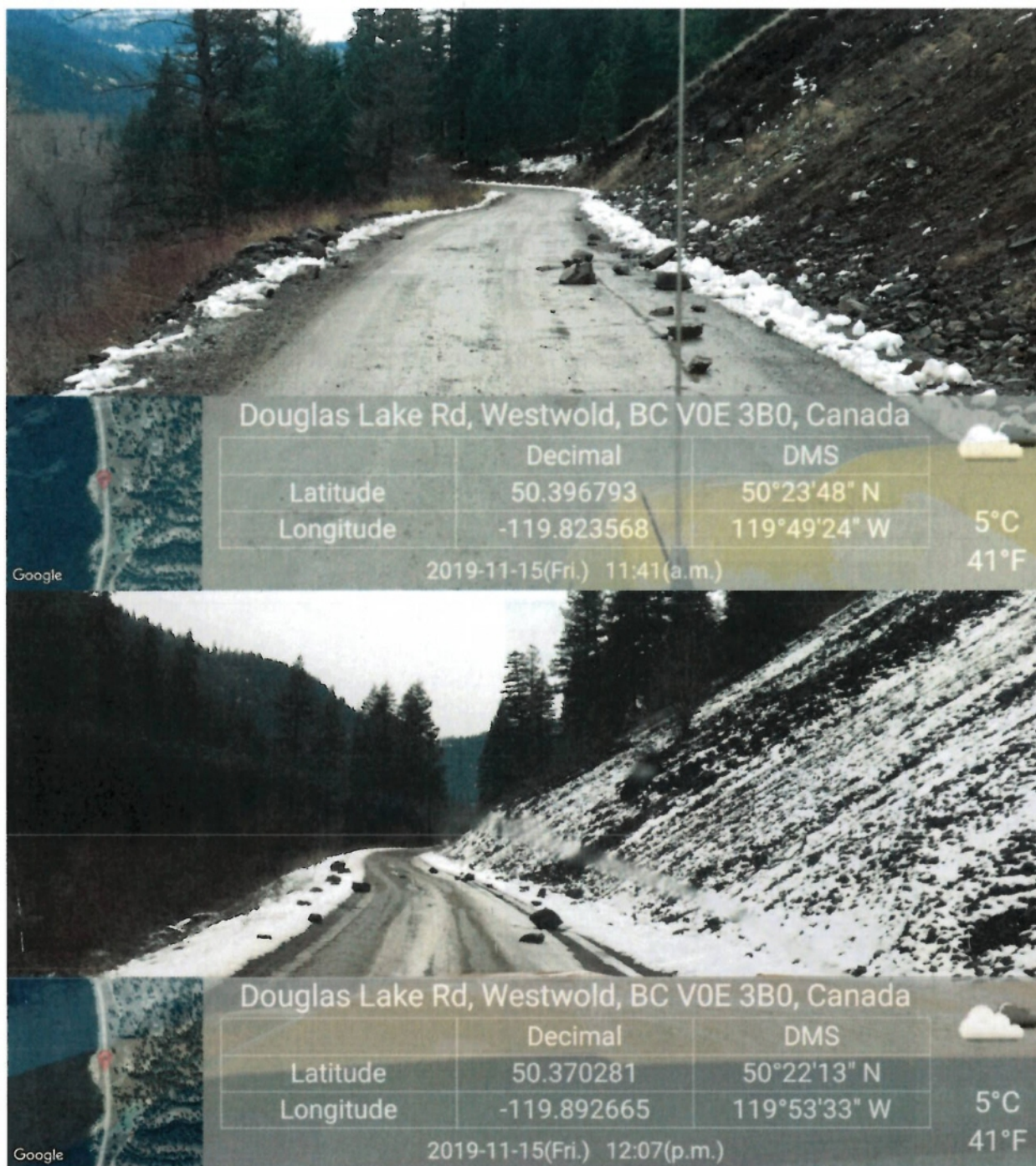
MMS 1.05 p.m.



Ok we'll be up to get rid of rock right away road prob won't be able to be graded unless it dries out but soon plowing and ice blading will get it smooth Thanks

1.08 p.m.

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SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.
Yes, submit Rockfall Reports

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YES ☒ Deadline for correction: December 12, 2019
NO ☐ MOT accepts the non-conforming product/service
Reason:
N/A ☐ Reason:

Signatures upon completion of required correction:

Contractor representative confirms correction complete. Contractor Signature: _____

Date accepted by MOT: Jan 22 2020 [Click here to enter a date.](#) MOT Representative: Alex O'Brien

SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: December 24, 2019

4B) Root Cause Analysis: (Why did the non-conformance occur?)

There was internal confusion regarding the Rockfall reporting requirements. Some AIM Roads foremen thought that Rockfall reports need to be completed only on roads of higher classification, where a fist sized rock or bigger reaches the travelled lane. Adequate information on the MOTI reporting requirements for Rockfalls was not provided to all foremen.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

Two Rockfall reports for the events in question were generated and uploaded to the MOTI SharePoint site as of December 19, 2019. All foremen have been notified that Rockfall reports need to be completed for all roads (regardless of classification) where a fist sized rock (or bigger) makes it onto the travelled lane on a road.

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report.

Name: Paul Primas Contractor Signature: Paul Primas

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: Alex O'Brien MOTI Signature: Alex O'Brien

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Date: December 23, 2019

INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

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SECTION 1: TRACKING DETAILS

NCR #: 19-003S

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: AIM (Acciona Infrastructure Maintenance)

Date: July 3, 2019

Prepared by: Erik Lachmuth

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

Quote the contractual requirement which is not being met and/or the relevant section of the QMS. Also quote location of non-conformance, e.g., highway number, foreman area, when applicable

Maintenance specification 1.04.3-1 Performance Time Frames for applying Dust Control on Dirt and Gravel Highways by June 1st of each calendar year.

Non-Conformance on numerous roads across service area. Dust control application still not completed on all Dirt and Gravel Highways in Service Area 13 as of July 3, 2019.

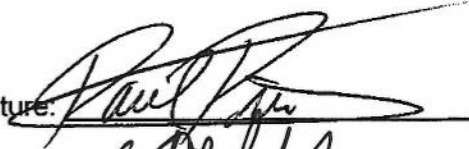
SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

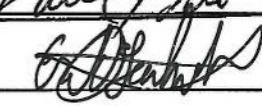
YES ☒ Deadline for correction: July 12, 2019
NO ☐ MOT accepts the non-conforming product/service
Reason:
N/A ☐ Reason:

Signatures upon completion of required correction:

Contractor representative confirms correction complete.

Contractor Signature: 

Date accepted by MOT: Click here to enter a date.

MOT Representative: 

July 22 2019

SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: July 12, 2019

Deadline for submission was changed from July 12 to July 19 by Eric Lachmuth.

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4B) Root Cause Analysis: (Why did the non-conformance occur?)

This root cause is made up of a number of factors:

There was a delay in road reshaping because of:

- Delays with acquiring equipment (E.G. graders) contributed to the delay in road reshaping
- Date of contract takeover – historically Spring grading re-shape would take place earlier in the season
- Weather conditions – more precipitation than normal this year

The delay in road reshaping contributed to the delay in the application of dust control.

In addition - with the increased specification, the volume of product resulted in delivery delays for our key dust control provider Tiger Calcium. This delay in the product delivery to Tiger Calcium contributed to the delay in dust control activities.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

All AIM Roads graders are now present which will allow for earlier road re-shaping, which will allow for an earlier application of dust control product to meet MOTI specifications. Additional grader training for employees to increase grading capacity is to be completed in the Fall of 2019. Additional AIM Roads equipment (1 unit for service area 13) will be purchased to provide dust control capacity for smaller applications. Calcium Chloride storage will be available at the facility yards by the fall of 2019.

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report.

Name: Paul Primas July 19, 2019

Contractor Signature:

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: Erik Lachmuth

MOTI Signature:

Date: Click here to enter a date. July 19 2019

INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

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SECTION 1: TRACKING DETAILS

NCR #: 19-003W

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: AIM Roads Inc

Date: December 16, 2019

Prepared by: Alex O'Brien

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

Quote the contractual requirement which is not being met and/or the relevant section of the QMS. Also quote location of non-conformance, e.g., highway number, foreman area, when applicable

On December 13th, C class roads in the Cherryville area were found to be non-compliant for accumulation under PM3.01.2-1. These side roads include Sugar Lake Rd, Aumond Rd, North Fork Rd, Lang Rd, Begbie Rd, Puckett Rd, and Hammond Rd, Beaven Rd, and Hollingsworth Rd. These roads were found have between 12-16cm in accumulation.

SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

YES ☐ Deadline for correction:
NO ☐ MOT accepts the non-conforming product/service
Reason:
N/A ☒ Reason:

Signatures upon completion of required correction:

Contractor representative confirms correction complete. Contractor Signature: Paul Primas

Date accepted by MOT: Jan 22/20 MOT Representative: Alex O'Brien

SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: January 2, 2020

4B) Root Cause Analysis: (Why did the non-conformance occur?)

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Heavy snowfall was a factor – this was a significant snowfall event. The AIM Roads route deployment plan for Cherryville was not fully communicated to the Shift Foremen. This route deployment plan contains the optimal process of route deployment to the roads in the area to ensure that roads of all classes are within specification during winter storm events. In addition, equipment breakdown was a factor that affected operations.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

On December 17 the AIM Roads Management team including: the Contract Manager, Operations Manager, QHSE Supervisor, and the Lead Foreman for Armstrong met with the two Cherryville Foremen. During the meeting the following corrective actions were discussed and implemented:

- Ensure employees are trained on the deployment plan as per the LAOP (local area operations plan)
- Increased training for senior employees to ensure that employees understand the new specifications and the deployment plans
- Additional employees to be hired and available for future storm events
- Overtime may be utilized as needed to provide extra resources during future storm events
- A pre-storm planning process has been implemented which includes regular communications between AIM Roads Operations Management and the Cherryville Foremen
- QA patrols and support has been increased for the Cherryville & Lumby areas

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report..

Name: Paul Primas Contractor Signature: Paul Primas

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: Alex O'Brien MOTI Signature: Alex O'Brien

Date: December 30, 2019

INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

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SECTION 1: TRACKING DETAILS

NCR #: 19-004S

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: AIM (Acciona Infrastructure Maintenance)

Date: July 3, 2019

Prepared by: Erik Lachmuth

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

Quote the contractual requirement which is not being met and/or the relevant section of the QMS. Also quote location of non-conformance, e.g., highway number, foreman area, when applicable

Maintenance specification PM7.04.2-5 The Contractor must identify and document immediately, conditions that have a performance criteria response of 7 days or less during highway patrols.

Non-Conformance on specification PM7.04.2-5 for roads checked during audit 19-13S:

No documentation for Hwy 97A between Vernon and Armstrong Catch basins identified throughout the summer.

No documentation of shoulder drops in mid-August on Kalamalka Lakeview drive.

No documentation of potholes/washboard, leaning reflector, or shoulder drops from SRT audit in August on Trinity Valley Road.

SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

YES ☐ Deadline for correction: [Click here to enter a date.](#)

NO ☐ MOT accepts the non-conforming product/service
Reason:

N/A ☒ Reason: Opportunity has passed. Future highway patrols expected to identify and document as per PM7.04.2-5

Signatures upon completion of required correction:

Contractor representative confirms correction complete. Contractor Signature: _____

Date accepted by MOT: [Click here to enter a date.](#) MOT Representative: _____

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SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: October 30, 2019

4B) Root Cause Analysis: (Why did the non-conformance occur?)

The root cause of this nonconformance is made up of two main causes. #1) Smartroads – the tool that was intended to record all road identification work had some GPS related issues that caused the tool to not be fully utilized in the field. The employees who were struggling to record the defects in Smartroads and did not always record the information using the AIM Roads hardcopy format (OP03 – Inventory Inspection Form). #2) The nonconformance happened due to the foremen not being held accountable to ensure road identification is being performed regularly and is a part of their duties.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

Management and employees provided feedback regarding inaccurate GPS coordinates happening periodically when SmartRoads was used. Based on this feedback, the information technology department recognized that changing the settings on the tablets improved the GPS accuracy on SmartRoads. An AIM Roads 'Setting Changes' document was developed by Diego Gazapo (dated September 29, 2019, reference number AIM-CA/Setting Changes). This document provides the step by step instructions to change the settings on the Samsung tablet to enable SmartRoads to capture accurate GPS coordinates. This document has been communicated to AIM Roads employees.

The second phase of corrective action involves the QHSE department performing 7 day and less short response time defect identification audits at random intervals. The audit results will be documented and shared with the management team and foremen to ensure that employees are aware of and in compliance with this important requirement.

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report..

Name: Paul Primas

Contractor Signature: Paul Primas

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: Erik Lachmuth

MOTI Signature: [Signature]

Date: November 19, 2019

INSTRUCTIONS:

SECTION 1 : TRACKING DETAILS

DATE: (dd:mm:yyyy)	05/01/2020	NCR #:	19-004
SERVICE AREA:	S.A.13	CONTRACTOR:	AIMRoads
REFERENCE AUDIT #:	Monitoring Report Jan 5 th , 2020		
REFERENCE AUDIT TOPIC:	Maximum Accumulation		
DATE DISCUSSED WITH MC:			

SECTION 2 : ATTENDANCE REGISTER

NAME	TITLE
Chad Marsh	Bridge Area Manager

SECTION 3 : DESCRIPTION OF NON-CONFORMANCE

Siwash Creek road off of Six Mile Creek Rd is a class C and contained 29cm of snow on January 05, 2020 at 16:49. The specification in PM3.01.2-1 states a 10cm maximum accumulation.

235–267 Six Mile Creek Rd, Okanagan (Part) 1 BC

☉ 296°NW (T) ● 50°17'30"N, 119°25'57"W ±8m ▲ 514m



05 Jan 2020, 16:49:13

201–207 Siwash Creek Rd, Okanagan (Part) 1 BC

☉ 308°NW (T) ● 50°17'29"N, 119°25'57"W ±4m ▲ 516m



05 Jan 2020, 16:49:47

SECTION 4 : REQUIRED CORRECTION

Does the Contractor have to redo/complete the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

Yes

Dead line for correction:

No

MoTI accepts the non-conforming product/service for the following reasoning:

Will accept if records indicate that road has been plowed since monitoring

N/A

Reasoning:**Signatures upon completion of required correction:**

Contractor representative confirms correction complete and the Ministry Representative confirms correction is accepted.

Ministry Representative:**Name:**

Chad Marsh

Contractor Representative:**Name:**

Paul Primas

Signature: Chad Marsh

Signature: Paul Primas

Date: March 26, 2020

Date: February 14, 2020

SECTION 5 : ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

Deadline for submission of corrective action plan to MoTI: 2020/02/17

Root Cause Analysis: (Why did the non-conformance occur?)

The quality management system process to document and communicate which roads had been plowed and which roads had not yet been plowed following a winter storm event was not well implemented.

Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

1) Improvements have been made to the quality management system process of documenting and communicating which roads have been plowed during and after a storm event. Smart Roads was initially planned to identify the status of roads that have been plowed, but the system is not fully implemented.

Plow blocks were re-introduced as a stop gap to correct this problem. The Plow Block hardcopy documents have been printed and organized for employees (copies are available in the base coffee room). There are over 10 unique plow blocks available for employees in the Armstrong yard. Each employee completes a hardcopy Plow Block document for the specific area they are working in. This sheet is completed during each shift and is passed to the Foreman when the employee returns to the yard. The Foreman then goes through the plow block sheets to determine which roads still require plowing.

The plow block process will be utilized until the Smart Roads system is fully up and running. The AIM Roads Winter Preparedness Plan for the Winter of 2020-2021 will include a focus on this important process. Part of this process will include training for employees to ensure that the requirements are fully understood.

2) Additional QHSE resources have been hired. A new QHSE Manager was hired on February 11, 2020. In addition, a second QHSE Supervisor was hired on March 17, 2020. Moving forward, these new resources will be available to perform additional post storm QC inspections across SA13 and monitor the compliance with MOTI specifications and identify accumulation related findings for correction by operations.

Signatures upon completion of root cause analysis & corrective action plan:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the non-conformance identified within this report.

Contractor Representative:

Name:	Paul Primas	Signature:	Paul Primas
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Date:	March 17, 2020
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Ministry representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Ministry Representative:

Name:	Chad Marsh	Signature:	Chad Marsh
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Date:	March 26, 2020
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SECTION 1 : TRACKING DETAILS

DATE: (dd:mm:yyyy) 10/01/2020

NCR #: 19-005

SERVICE AREA: S.A.13

CONTRACTOR: AIMRoads

REFERENCE AUDIT #: Monitoring Report Jan 10th, 2020

REFERENCE AUDIT TOPIC: Maximum Accumulation

DATE DISCUSSED WITH MC:

SECTION 2 : ATTENDANCE REGISTER

NAME	TITLE
Chad Marsh	Bridge Area Manager

SECTION 3 : DESCRIPTION OF NON-CONFORMANCE

Silver Queen Road road is a class C and contained 12-20cm of snow evenly spread across road on January 10, 2020 at 15:16. The specification in PM3.01.2-1 states a 10cm maximum accumulation.

280 Silver Queen Rd, North Okanagan C BC V1B 3M6

☉ 316°NW (T) ● 50°21'23"N, 119°3'29"W ±8m ▲ 1619m



10 Jan 2020, 15:16:35

280 Silver Queen Rd, North Okanagan C BC V1B 3M6

☉ 321°NW (T) ● 50°21'23"N, 119°3'29"W ±8m ▲ 1620m



10 Jan 2020, 15:16:43

SECTION 4 : REQUIRED CORRECTION

Does the Contractor have to redo/complete the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

Yes

Dead line for correction:

No

MoTI accepts the non-conforming product/service for the following reasoning:

Road has been plowed since

N/A

Reasoning:

Signatures upon completion of required correction:

Contractor representative confirms correction complete and the Ministry Representative confirms correction is accepted.

Ministry Representative:

Name:

Chad Marsh

Contractor Representative:

Name:

Paul Primas

Signature:	Chad Marsh	Signature:	Paul Primas
Date:	March 26, 2020	Date:	February 14, 2020

SECTION 5 : ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

Deadline for submission of corrective action plan to MoTI: 2020/02/17

Root Cause Analysis: (Why did the non-conformance occur?)

The quality management system training process did not adequately train and communicate the related MOTI specifications to the employees working the Silver Star area. Because the MOTI specifications were not fully understood, the call was made later than was possible to have additional resources dispatched and present on scene to meet the specifications during the storm event.

Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

1) The quality management system training process has been improved to better communicate MOTI specifications. Education has been provided on the MOTI specifications using the AIM Roads 'Tool Box Talk' process (completed March 5, 2020). The Tool Box Talk included information on the Highway Maintenance Agreement and related MOTI Winter Specifications. Hardcopy MOTI Winter Maintenance specification information is available at the base locations for employee reference. The Winter Awareness training presentation (communicated in the Fall to all field employees) has been changed to include a greater emphasis on the MOTI Winter Specifications:

- Slide #27 has been added with PM3.01.2-3 and PM 3.01.2-5
- Slide #28 has been added with PM3.01.2-4, PM3.01.2-5, and PM3.01.2-6

The test related to this presentation will be updated to include questions on this new information. Employees will be tested after the Winter Awareness training to measure employee comprehension of the Winter Specifications. As employees better understand the MOTI specifications they will be in a position to more proactively communicate the need for additional resources during a storm event to achieve compliance.

2) Additional QHSE resources have been hired. A new QHSE Manager was hired on February 11, 2020, and a second QHSE Supervisor was hired on March 17, 2020. Moving forward, these new resources will be available to perform additional post storm QC inspections across SA13 and monitor the compliance with MOTI specifications and identify accumulation related findings for correction by operations.

Signatures upon completion of root cause analysis & corrective action plan:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the non-conformance identified within this report.

Contractor Representative:

Name: Paul Primas

Signature: Paul Primas

Date: March 17, 2020

Ministry representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Ministry Representative:

Name: Chad Marsh

Signature: Chad Marsh

Date: March 26, 2020

NON-CONFORMANCE REPORT

SECTION 1 : TRACKING DETAILS

DATE: (dd:mm:yyyy)	05/02/2020	NCR #:	19-006 NonRectfied
SERVICE AREA:	S.A.13	CONTRACTOR:	AIMRoads
REFERENCE AUDIT #:	Monitoring Report Jan 10 th , 2020 Non Rectified Monitored on February 5th		
REFERENCE AUDIT TOPIC:	Sign System Maintenance		
DATE DISCUSSED WITH MC:	Original NCR sent on Jan 15 th , 2020		

SECTION 2 : ATTENDANCE REGISTER

NAME	TITLE
Chad Marsh	Bridge Area Manager

SECTION 3 : DESCRIPTION OF NON-CONFORMANCE

Regulatory and Warning Signs on Silver Star road are buried and not visible. Phone call reporting buried signs made to AIM Call Centre at 10:12am Jan. 9th to report signs. Signs monitored at 15:00 on January 10th noting no change in sign visibility. Maintain Sign Systems so they are clean, repaired, legible, visible, erect, and properly placed. (PM5.01.2-1)

Signs monitored on February 5th, 2020 showed no change from January 10th monitoring. Deadline for correction was 24hrs from notification.

Photos 2020/01/10



Photos 2020/02/05



SECTION 4 : REQUIRED CORRECTION

Does the Contractor have to redo/complete the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

Yes	Yes	Dead line for correction:	1 day after receipt of this NCR
No		MoTI accepts the non-conforming product/service for the following reasoning:	
N/A		Reasoning:	

Signatures upon completion of required correction:

Contractor representative confirms correction complete and the Ministry Representative confirms correction is accepted.

Ministry Representative:		Contractor Representative:	
Name:	Chad Marsh	Name:	Paul Primas
Signature:		Signature:	Paul Primas
Date:		Date:	February 14, 2020

SECTION 5 : ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

Deadline for submission of corrective action plan to MoTI:	2020/02/17
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Root Cause Analysis: (Why did the non-conformance occur?)

This nonconformance has two main root causes:

- 1) The quality management system internal communication process to follow up on PCR's was not well implemented.
- 2) The quality management system internal process to train employees to identify Short Response Type items using Smart Roads was not well implemented.

Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

The snow has been removed from the applicable signs, and the signs are now fully visible for travelling motorists. In addition:

- 1) There have been changes made to the AIM Roads quality management system internal communication PCR reporting process. An internal Opportunity For Improvement was raised regarding the PCR reporting process (QM07-SA08-2020-000001). This opportunity for improvement (dated January 17, 2020) calls for the Communication Center to call out to the shift foreman on the radio Short Response Type items – to ensure that these items are responded to within MOTI time frames. The information called out on the radio is also documented on a PCR to create a paper trail of the event. These changes have been implemented at the AIM Roads Communications Center.
- 2) There have been improvements made to the quality management system process to train employees on using Smart Roads. An additional internal resource has been allocated to Canada to visit SA13 employees and train employees on identifying short response time items using Smart Roads. Smart Roads is the tool that will be used moving forward to ID the work, to communicate the work to the appropriate foreman, and to record the completion of the work when the job is done. Employee training is on-going and is being completed yard by yard.

Additional QHSE resources have been hired. A new QHSE Manager was hired on February 11, 2020. In addition, a second QHSE Supervisor was hired for SA13 on March 17, 2020. These new resources will be available to perform additional QC inspections across SA13 and better monitor the compliance with MOTI specifications.

- 3) An internal Opportunity for Improvement was raised by the Armstrong Foreman to address this issue in the future (QM07-SA13-2020-000001). Before next Winter, AIM Roads plans to install 'extension' teleposts on the upper part of Silver Star Road to ensure that the signs can be raised and will remain visible during times of above normal snow fall levels.

Signatures upon completion of root cause analysis & corrective action plan:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the non-conformance identified within this report.

Contractor Representative:

Name: Paul Primas

Signature: Paul Primas

Date:	March 17, 2020
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Ministry representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.
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Ministry Representative:

Name:	
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Signature:	
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Date:	
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SECTION 1: TRACKING DETAILS

NCR #: 19-07W

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: AIM Roads Inc

Date: January 15, 2020

Prepared by: Alex O'Brien

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

Quote the contractual requirement which is not being met and/or the relevant section of the QMS. Also quote location of non-conformance, e.g., highway number, foreman area, when applicable

Many high severity potholes have been on Highways for over a week with many more present since December. Response times are extremely overdue. PM 1.01.2-1 has a response time of 1 day for Potholes on the Travelled Lane on these Highways. Locations include but are not limited to Hwy 97 near Bailey Rd, Hwy 97 on top of Hospital Hill, Hwy 97 through Vernon, Hwy 97 near Swan Lake junction, Hwy 6 near 25th Ave, Hwy 97B between Hudson Rd and Sonora Rd, and Hwy 1 on the Tappen end of Kault Hill. These potholes present serious safety issues for the travelling public and they have already caused damage to countless vehicles.



The pothole above is on the Northbound Travelled Lane of Hwy 97B and is over 100mm deep.

SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

Yes, construct Temporary Patches on all numbered route Highways that are over 50mm deep.

YES ☒ Deadline for correction: 4:30 pm on December 16, 2019

NO ☐ MOT accepts the non-conforming product/service
Reason:

N/A ☐ Reason:

Signatures upon completion of required correction:

Contractor representative confirms correction complete. Contractor Signature: _____

Date accepted by MOT: January 25, 2020 MOT Representative: Alex O'Brien

The required corrections were not complete by the correction deadline. Many were not corrected for over a week.

SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: January 30, 2020

4B) Root Cause Analysis: (Why did the non-conformance occur?)

The quality management system process of work identification failed to identify and schedule high priority potholes for repair within the MOTI specifications. And due to the number and severity of the recent winter storms, the quality management system was focused on snow removal and traction restoration activities rather than pothole repairs.

The highway 97 pothole (near Bailey Rd.) and a number of other smaller severity potholes are related to a delamination problem with the pavement. The pavement is failing in multiple areas and rehabilitation of the pavement is needed.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

The quality management system requirement of identifying potholes (during all seasons) will be recommunicated to employees. Additional internal efforts will be focusing on identifying

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and repairing potholes within the MOTI specification timeframe. A third party contractor has been hired to perform pothole repairs. The contractor was working on Highway 97B with traffic control on the evening of January 15 to complete pothole repairs. The contractor continues to work on pothole repairs and has been working within Vernon on Highway 97 and on Highway 97 repairing potholes on a priority basis. The most significant potholes are being repaired first and then less significant potholes are being repaired. In addition to the third party contractor, AIM Roads crews (both night shift and day shift) have been dispatched to perform pothole repairs on multiple locations including: Highway #1, Highway 97, Highway 97 W, Highway 97 S and downtown Vernon. In addition – pavement patching work is being conducted by a third party contractor to repair whole sections of road that contain numerous potholes.

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report.

Name: Paul Primas Contractor Signature: Paul Primas

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: Alex O'Brien MOTI Signature: Alex O'Brien

Date: January 28, 2020

INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

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SECTION 1: TRACKING DETAILS

NCR #: 19-08W

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: AIM Roads Inc

Date: January 31, 2020

Prepared by: Alex O'Brien

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

Quote the contractual requirement which is not being met and/or the relevant section of the QMS. Also quote location of non-conformance, e.g., highway number, foreman area, when applicable

Hwy 97B, Black Rd, Grandview Bench Rd, Deep Creek Rd, and Mallory Rd were the locations in Audit 19-22W. Compliance with PM 3.01.2-3, the bare to -9°C spec, was assessed over 48hrs after the last measurable snowfall in the area. Black Rd, Grandview Bench Rd, Deep Creek Rd, and Mallory Rd were not in a bare state.

SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

YES ☐ Deadline for correction:

NO ☐ MOT accepts the non-conforming product/service

Reason:

N/A ☒ Reason: Opportunity to rectify has passed. It snowed the following day on January 10th.

Signatures upon completion of required correction:

Contractor representative confirms correction complete. Contractor Signature: Paul Primas

Date accepted by MOT:

MOT Representative: _____

SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: February 10, 2020

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The original AIM Roads submission of this NCR (sent on February 10, 2020) was not accepted by the MOTI. The deadline for submission for the updated and revised corrective action plan was changed to February 19, 2020.

4B) Root Cause Analysis: (Why did the non-conformance occur?)

The training process to ensure that Foremen were aware of this MOTI specification was poorly implemented. There was a general lack of awareness of this specification among employees which corresponded to an operations plan not being put together to strive for compliance. Internal resources inadequate to perform QC inspections on roads across the service area after winter storm events.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

Senior foremen will ensure that the PM3.01.2-3 specification is communicated to their foremen and other relevant employees. The senior foremen will develop an operations plan to target roads (on a priority basis) to move towards compliance. A new QHSE Manager was hired on February 12, 2020, part of his focus will be ensuring that MOTI specifications are met. In addition there is currently an open position for an additional QHSE Supervisor position. These additional resources will be available in the future to help perform QC inspections on roads across the service area after winter storm events.

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report.

Name: _____ Paul Primas _____ Contractor Signature: _____ Paul Primas _____

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: _____ Alex O'Brien _____ MOTI Signature: _____ Alex O'Brien _____

Date: February 18, 2020

INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

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SECTION 1: TRACKING DETAILS

NCR #: 2020S-04_____

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: **AIM Roads**

Date: July 9, 2020

Prepared by: Peter Cocker

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

Maintenance Specification 1.01 "to provide a smooth, stable, sealed surface of highway and bicycle/pedestrian paths".

Performance Criteria – construct temporary patches consistent with the profile and crossfall of the adjacent surfaces as per table PM1.01.2-1

Non-conformance with timeframes set out in table PM1.01.2-1 on Class 2,4,5,6 roads identified in Audit 20-08S

SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

YES ☒ Deadline for correction: July 13, 2020
NO ☐ MOT accepts the non-conforming product/service
Reason:
N/A ☐ Reason:

Signatures upon completion of required correction:
Temporary Patching must be completed by July 13th 2020.

Contractor Signature: _____

Contractor representative confirms correction complete.

Date accepted by MOT: [Click here to enter a date](#)

MOT Representative: PC

SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: July 17, 2020

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4B) Root Cause Analysis: (Why did the non-conformance occur?)

The root-cause resulting in the non-conformity with the contractual requirements is due to a lack of material and planning for repair and maintenance of the identified areas by the operations team. AIM's internal training processes and associated plans for temporary patching were not executed within a timely matter according to the specifications due to a shortage of auxiliary personnel to conduct road repairs and a shortage of material (cold mix) supplied by the supplier.

The delamination of the road surface (specifically 97B) has resulted in a higher volume and higher frequency of road maintenance repairs. The extreme weather and high volumes of water has resulted in erosion and unusual wear on the road surface, increasing the rate of delamination and potholes. AIM has underestimated the frequency required to maintain the above mentioned specification.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

AIM intends to implement hot mix (that has been recently approved by MOTI) to aid in increasing the frequency and time that potholes remain unrepaired in order to meet specification timeframes. Pothole patching is scheduled for the last week of July. An increase in auxiliary personnel is being considered in order to manage the large volume of road surface maintenance issues. AIM plans to prevent the re-occurrence of the non-conformance moving forward by considering extreme weather conditions and the possibility of excessive rain contributing to a increase in road surface maintenance.

AIM is currently undergoing a large scale internal audit that will result in major process and performance to ensure compliance with the contractual requirements.

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report..

Name: Celina Guerreiro

Contractor Signature:

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements

Name: Peter Corder

MOTI Signature:

Date: July 17, 2020

INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

Distribution: Original to District; Copy to Contractor

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SECTION 1: TRACKING DETAILS

NCR #: 2020S-01_____

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: **AIM Roads**

Date: June 17, 2020

Prepared by: Peter Cocker

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

Maintenance Specification 5.01.2 "Maintain Sign System so they are clean, repaired, legible, visible, erect and properly placed.

Performance Criteria a) Regulatory and Warning Signs (Class 1&2 highway) = 1D

Non-conformance with sight lines to Regulatory 50km/h sign at the north end of Grindrod (97a), 70km/h Warning sign 4.2 km north of Grindrod (97a), and Warning sign 200m north of 34th Ave (97b)

SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

YES ☒ Deadline for correction: June 20, 2020
NO ☐ MOT accepts the non-conforming product/service
Reason:
N/A ☐ Reason:

Signatures upon completion of required correction: Correction completed June 25, 2020

Contractor representative confirms correction complete.

Contractor Signature: _____

Date accepted by MOT: June 25, 2020

MOT Representative: PC

SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: July 10, 2020

4B) Root Cause Analysis: (Why did the non-conformance occur?)

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The root-cause resulting in the non-conformances with the contractual requirements listed above (Section 2) are due to a failure of following and executing AIM internal processes outlined in the Quality Maintenance Manual (QMS) and the Operations Maintenance Manual (OMM). These include but are not limited to communication and tracking failures within AIM's operations team for identified works on signs requiring repair or maintenance, an absence of document referral for steps in completing duties and conducting required repairs to signs, a shortage of personnel specifically delegated to sign maintenance and repair, a lack of training within all departments of AIM standard operating procedures, specifically routine maintenance services and delay in repairing and maintaining signs according to the specification timeframes.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

AIM plans to prevent the re-occurrence of the above non-conformances moving forward from implementing a series of changes to aid in improving the effectiveness and support in conducting existing and new internal processes. All AIM employees who will be conducting sign inspections will be provided the proper training through orientation of sign specifications and tracking requirements in order to identify and repairs signs within the specification timeframes (including brushing, cleaning, straightening and replacement). Hiring of specific personnel (including a senior foreman and 2 field personnel for sign identification) and tracking has been conducted for SA 13 (specifically SA 13 south) and will aid in improving all over tracking and repair of sign maintenance and aid in providing appropriate support for executing all proposed plans and the QMS. The operations team has implemented a specific schedule for the sign team that allows for proper sign identification coverage and prioritization by HWY classification. The QMS, alongside other AIM documentation and processes will be updated and adjusted to be reflect internal team additions and changes for more efficient and standardized processes. Due to the large volume of signs that require repairs, AIM is working closely with MOTI to produce a long-term plan in repairing all the signs that our out of specification for the duration of the contract based on HWY classification and priority.

AIM has conducted the required repairs and responded to MOTI after completion on June 25, 2020.

AIM is currently undergoing a large scale internal audit that will result in major process and performance to ensure compliance with the contractual requirements.

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report..

Name: Celina Guerreiro

Contractor Signature: 

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: Peter Conrad

MOTI Signature: 

Date: July 6, 2020

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INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

SECTION 1 : TRACKING DETAILS

DATE: (dd:mm:yyyy)	13/11/2020	NCR #:	MS-20W-01
SERVICE AREA:	S.A.13	CONTRACTOR:	AIM Roads
REFERENCE AUDIT #:			
REFERENCE AUDIT TOPIC:			
DATE DISCUSSED WITH MC:	17/11/2020		

SECTION 2 : ATTENDANCE REGISTER

NAME	TITLE
Mike Scott	District Ops. Tech.

SECTION 3 : DESCRIPTION OF NON-CONFORMANCE

On November 13/2020, MoTI monitoring reports show the following class C and D roads to be out of spec. for maximum winter accumulations.

- # 842 Grandview Place class D – 29 cm
- # 904 Duncan Road class D – 20 cm
- # 896 Parkview Place class D – 24 cm
- # 124 Six Mile Creek Road class C – 24 cm
- # 415 Westshores Road class C – 15 cm
- # 64 Irish Creek Road class D – 18 cm
- # 132 Grandview Flats Road class C – 18 cm

3.01.2 Routine Maintenance Services

PM3.01.2-1 Remove Winter Accumulations from Travelled Lanes as follows:

Performance Criteria	Maximum Winter Accumulations Response by Highway Classification				
	A	B	C	D	E
a) One lane each direction	4 cm	6 cm	10 cm	15 cm	25 cm
b) Second lane	8 cm	10 cm	n/a	n/a	n/a
c) All other lanes including brake checks, chain up/off areas and any other vehicle accessible portions within the Right-of-Way	12 cm	16 cm	20 cm	20 cm	n/a
d) Rest Areas, pull-outs and parking areas at a minimum 2.5 metre pass width	12 cm	16 cm	20 cm	20 cm	n/a

SECTION 4 : REQUIRED CORRECTION

Does the Contractor have to redo/complete the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

Yes

Dead line for correction:

No

MoTI accepts the non-conforming product/service for the following reasoning:

N/A

X

Reasoning:

Roads have been plowed

Signatures upon completion of required correction:

Contractor representative confirms correction complete and the Ministry Representative confirms correction is accepted.

Ministry Representative:

Contractor Representative:

Name:

Name:

Celina Guerreiro

Signature:

Signature:



Date:

Date:

Nov 19 2019

SECTION 5 : ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

Deadline for submission of corrective action plan to MoTI:

27/11/2020

Root Cause Analysis: (Why did the non-conformance occur?)

The root-cause resulting in the non-conformity with the contractual requirements is due to a failure of following and executing the contract requirement specifications (PM3.01.2-1 Remove Winter Accumulations from Travelled Lanes as follows: 15 cm for Class D and 10 cm for Class C) in relation to subcontractors not being utilized to the fullest extent during the storm to aid in additional equipment for the high volume of snow (internal process related to Winter Event Response from SA 13 LAOP 500). Due to the higher than expected volume of accumulation within the area AIM's equipment was delayed in its deployment to clearing the accumulations along the Class C and D roads. Equipment failures and repairs that were ongoing during the storm caused some equipment to be off the road and undergoing repairs during the storm, which allowed for accumulations to exceed the spec. During the storm, AIM was prioritizing Class A and B roads to ensure that majority of the traveling public could commute safely and all Class A and B roads remained open. With the high volume of snow (15 cm in 2 hours) AIM did not reach the Class C & D roads in the area with plow trucks to keep them within the specification.

Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)


The Operations Manager had discussions with the foreman and mechanics within SA 13 at our internal Storm Debrief to ensure that Class C & D roads are prioritized as well for all plowing efforts during a storm (school bus routes specifically). Discussions were had with the mechanical team and the foreman on communicating repairs required during a storm and simplifying the process to ensure equipment is repaired quickly and ready for work. AIM plans to utilize equipment from different yards as need to help with areas within the SA that experience more extreme weather events to help meet specification times. AIM also plans to utilize subcontractors for additional resources as required. There are multiple subcontractors on standby for winter events as required. This list has been provided to MOTI.

Signatures upon completion of root cause analysis & corrective action plan:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the non-conformance identified within this report.

Contractor Representative:

Name:	<i>Celina Guerreiro</i>
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Signature:	
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Date:	Nov 19 2020
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Ministry representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Ministry Representative:

Name:	Mike Scott
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Signature:	
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Date:	Jan 14 2021
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SECTION 1 : AUDIT DETAILS

AUDIT DATE:	October 5, 2020	AUDIT REPORT #:	20-055
AUDIT TIME:	10:30am		
SERVICE AREA:	SA 13	CONTRACTOR:	AIM Roads
AUDIT TOPIC:	Bridge Inspections Road Patrols		

SECTION 2 : ATTENDANCE REGISTER

NAME:	TITLE:
CHAD MARSH	BRIDGE AREA MANAGER
Rod Keetch	Bridge Operations Super.
Celina Guerreiro	Quality & Environmental Supervisor

SECTION 3 : RECORDS REVIEW / FINDINGS

QUESTION #1:

1) Does the contractor do all required structure inspections as per PM7.03.2-3? (a-k)

- I would like to see bridge inspections
- Quality Control records for inspections
- Examples of inspections (I will randomly choose when we meet)
- Any evidence to support your answer to the question

2) Has the contractor completed all structure inspections as per PM7.03.3? (a-d)

- I would like to see the tracking for this
- Any Quality Control records for this activity
- Examples (I will randomly choose when we meet)
- Any evidence to support your answer to the question

3) Does the contractor complete safety patrols at the continuous frequencies listed in PM7.04.2-2

- I will randomly pick two roads from each summer class and a timeframe that would encompass that patrol period
- Quality Control records
- Any evidence to support your answer to the question

EVIDENCE:

QUESTION #1:

The contractor is compliant

Random Bridge Inspections pulled for Structure numbers: 06049, 04517R, 08169 and 00824

- inspections for these structures were all completed within appropriate time frames
- Quality Control for completed tasks showed inspections completed within time frames:
- QM11-SA13-2020-000272, 000783, 005545, 004434, 003501

QUESTION #2:

The contractor is compliant

a) Inspections are still on paper. Random Examples of First Year Inspections provided for Structure Numbers 06802, 06057, 6502. All completed

Internal Audit PM7.03 Feb 13, 2020 Highway Patrol

b) Structures completed by Certified Bridgeman or Bridge Engineer

Rick, Steve or Rod

-QM07-SA13-2020-019 OFI to transition Bridge Crew to SmartRoads

c) Minimally using as the inspections are on paper and time consuming to use to go back and plan from however the bridge crew is transitioning to the SmartRoad system

d) Internal OFI issued for Invasive Species QM-SA13-2020-000020 will be adding invasive species to SmartRoads Bridge inspection form

QUESTION #3:

The contractor is NOT compliant

The contractor was able to provide SmartRoads GPS reports for Class 1-5 roads showing that these roads had been patrolled in the appropriate time frames. The Contractor was not able to provide evidence that Class 6 or 7 roads had been patrolled.

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AUDIT FINDINGS:

The Contractor was not compliant. No evidence provided that Class 6 or 7 roads have been patrolled within the appropriate time frames.

****Note that during the next Joint Operations Meetings there should be a discussion on the definition of a Patrol Vehicle and what that vehicle needs to meet the requirements of a patrol vehicle****

SECTION 4: AUDIT SUMMARY/FOLLOW UP

WAS THE CONTRACTOR IN CONFORMANCE? ☐ NO

WAS A NCR/OFI ISSUED? ☐ YES

IS A FOLLOW-UP NEEDED? ☐ YES

If "yes" fill out Section 5 below

IF YES, WHAT FOR?

The Contractor was not able to provide evidence that Summer Class 6 or 7 roads have been patrolled or met patrol frequencies as noted in PM7.04.2-2 a)

SECTION 5: NCR/OFI SUMMARY

MAINTENANCE SPEC FOR NCR/OFI	NCR /	NCR/OFI #	DATE ISSUED	COMMENTS
PM7.04.2-2 a)	Yes	CM 2020S-06	Oct 5, 2020	

SECTION 1: TRACKING DETAILS

Date Issued: 2020-10-05

NCR Number: CM2020S-06

Issued By: Chad Marsh

Service Area: SA 13

Contractor Name: AJM Roads

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

What is being assessed?:

Road Patrols as per specification PM7.04.2-2 a)

Findings:

The Contractor was not compliant, unable to show evidence that patrol times have been met on Class 6 and 7 roads.

Evidence/Records Reviewed:

SmartRoads gps tracking

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SECTION 3 : REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed

YES _____

NO _____

Deadline for correction:

MoTI accepts the non-conforming product/service

Reason:

N/A _____

X

Reason:

This activity cannot be retroactively redone.

Signatures upon completion of required correction:

Contractor representative confirms correction complete

Contractor Representative: _____

Date accepted by MoTI: _____

MoTI Representative: _____

SECTION 4 : ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4a.) Deadline for submission of corrective plan to MoTI: 27-Oct-20

4b.) Root Cause Analysis (Why did the non-conformance occur?)

4c.) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

SECTION 5 : SIGNATURES

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report

Name: _____

Contractor Signature: _____

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: _____

MoTI Signature: _____

SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: October 27, 2020

4B) Root Cause Analysis: (Why did the non-conformance occur?)

The root-cause resulting in the non-conformity with the contractual requirements 7.04 2-2a is due to a not having all equipment conducting patrols equipped with GPS (including AIM roads equipment, QHSE Staff and subcontractor units). The equipment without GPS have no viable way of providing mapping data through SmartRoads for patrolling efforts, resulting in a noncompliance with providing data for class 6 and 7 road patrols on the specific dates chosen for the audit. Although the roads may have been patrolled, the missing GPS units in some of the AIM fleet resulted in missing patrol data.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

AIM intends to ensure that all equipment, AIM vehicles and subcontractors are equipped with GPS as soon as possible. The QHSE and Operations staff are working the Mechanical staff to aid in completing the GPS installs.

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AIMs SmartRoads team is working on a new part of the program that will help coordinate with the foreman through email on the timeframes and patrol frequencies required on all roads (including Class 6 and 8) to help ensure that these roads are patrolled at the stated frequencies in the specifications. This program is aiming to be operating by Dec 2020. By having all units tracked through GPS and coordination with the foreman on patrol frequency due dates through SmartRoads, AIM plans to improve the patrol frequencies of class 6 and 7 roads to become compliant with the specifications outlined in 7.042-02a.

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report.

Name: Celina Guerreiro

Contractor Signature:

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: Chad Marsh

MOTI Signature: Chad Marsh

Date: October 13, 2020

INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

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AUDIT REPORT

SHORT RESPONSE TIME

SECTION 1: AUDIT DETAILS

DATE: (yyyy-mm-dd)	2022-09-20	AUDIT REPORT #:	20-115
AUDIT TYPE:	Field Short Response Time	AUDITOR:	Chad Marsh
SERVICE AREA:	SA 13	CONTRACTOR NAME:	AIMRoads
INITIAL INSPECTION:	13:08 (hh:mm)	ROAD TYPE:	20km Highway
FOLLOW UP INSPECTION:	24-Sep-20 (mm-dd) (hh:mm)	HIGHWAY #:	East Vernon and Hwy 6
HIGHWAY NAME:	East Vernon and Hwy 6	SEGMENT #:	East Vernon Rd and Hwy 6 (5st to Noble C)
HIGHWAY CLASS:	East Vernon class 4 and Hwy 6 class 1	if collecting multiple roads place names/numbers in box to right	
ROAD & WEATHER CONDITIONS:	Bare and Dry		

SECTION 2: ROAD OBSERVATIONS

Maintenance Observed	KM	1st Phase Observations	Response Time	Comments/Phase 2 Observations
PM5 01 2-1	0.1	At BX School and East Vernon Int. 30km/hr brushing	1d	no change
PM5 01 2-1	0.2	W54 at BX Creek leaning	1d	no change
PM5 01 2-1	0.4	50km/hr sign brushing	1d	no change
PM1 03 3-2	0.5	Shoulder Drop	6d	no change
PM1 01 2-1	1	Potholes at Haynes Rd Int.	3d	no change
PM1 03 3-2	1.3	Shoulder Drop	6d	no change
PM5 01 2-1	1.3	Missing Chevron	1d	no change
PM5 01 2-1	1.4	Slow Sign brushing	1d	no change
PM1 03 3-2	1.9	Shoulder Drop	6d	no change
PM1 03 3-2	2.8	Shoulder Drop	6d	no change
PM1 03 3-2	3.6	Shoulder Drop	3d	no change
PM5 01 2-1	5	Neighbor Hood Watch Sign Brushing on Mountview at	7d	no change
From Mountview Rd to Silverstar Rd				
PM5 01 2-1	0.1	Stop sign with stoker	1d	no change
PM5 01 2-1	1.5	Short Stop Sign in Ditch line	1d	no change
PM5 01 2-1	1.8	East Vernon and Welker Rd sign bent	1d	no change
PM1 03 3-2	2.1	Shoulder Drop	6d	no change
PM5 01 2-1	2.5	Faded Curve Sign and brushing	1d	no change
PM1 03 3-2	2.7	Shoulder Drop	6d	no change
PM5 01 2-1	3.7	30km/hr sign brushing	1d	no change
PM5 01 2-1	5.2	Chevron Missing	1d	no change
Hwy 6 starting at 15th Street going East				
Not an SRT item but noted as a potential issue				
	0.2	Mowing/brushing shoulder, may soon cause issues with sign visibility	n/a	no change
PM1 10 2-2	11	Disconnected Bull nose	3d	no change
PM1 07	12.1	Hwy 6 and Hill Dr. Island not swept	immediately	no change
Noble Canyon Rd to 15th Street Vernon going West				
PM5 01 2-1	12.8	Brushing Do Not Pass Plow sign	1d	no change
Not an SRT item but noted as a potential issue				
	13.4-14.0	Brushing (may soon cause site line and shading issues with ice forming in winter)	n/a	no change

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BRITISH COLUMBIA Ministry of Transportation and Infrastructure		NON-CONFORMANCE REPORT	
SECTION 1: TRACKING DETAILS			
Date Issued:	07-Oct-20	NCR Number:	CM2020N-05
Service Area:		Issued By:	
		Contractor Name:	
SECTION 2: DESCRIPTION OF NON-CONFORMANCE			
What is being assessed?			
NCR for Sign Maintenance based on Short Response Time Audits: 20-09S 20-11S 20-12S			
Findings:			
The Contractor was not compliant for specification PM5.01.2-1			
Evidence/Records Reviewed:			
Audits 20-09S, 20-11S, 20-12S			
SECTION 3: REQUIRED CORRECTION			
Does Contractor have to re-do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed			
YES <input checked="" type="checkbox"/>	Deadline for correction: Immediate		
NO <input type="checkbox"/>	MOT accepts the non-conforming product/service		
	Reason:		
N/A <input type="checkbox"/>	Reason:		
Signatures upon completion of required correction:			
Contractor representative confirms correction complete		Contractor Representative:	
Date accepted by MOT:		MOT Representative:	
SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN			
4a.) Deadline for submission of corrective plan to MOT: November 9th, 2020			
4b.) Root Cause Analysis (Why did the non-conformance occur?)			
4c.) Corrective Action Plan (How will the contractor prevent re-occurrence of the non-conformance?)			
SECTION 5: SIGNATURES			
Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report			
Name:		Contractor Signature:	
MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.			
Name:		MOT Signature:	

NCR SRT Combined Sign Maintenance

2020-10-07

SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: November 9, 2020

4B) Root Cause Analysis: (Why did the non-conformance occur?)

The above NCR resulted from multiple Short Response Time Audits conducted throughout Sept 2020 (20-09s, 20-12s, 20-11s) demonstrated a non-compliance with the specifications PM5.01.2-1 regarding signs. The root-cause resulting in the non-conformity with the contractual requirements is due to a failure of following and executing AIM internal processes outlined in the LAOP and QMS manual for performing short time response (more specifically Work IDs) in regards to identification and replace/repair of signs and other short response time items. The work performed did not meet the specifications for SRT and safety concerns due to, but not limited to, a misunderstanding for properly recording Work IDs for short response time items that require repair or replacement, properly

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documenting the priority of the SRT within our tracking system and improper planning or improper prioritizing of the safety concerns related to signs and other short time response items.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

The QHSE Team will work closely with the Operations Team within AIM to aid the operations staff to Work ID SRT items (signs) identified that require replacement and/or repair. Over the winter months, during times of moderate weather, training will be ongoing regarding SRs and proper identifications. The foreman of the above listed items will be scheduling the repairs of the identified list as soon as possible by high to low safety risk. Extreme weather may impede on the scheduling of the above repairs due to winter works taking priority in weather events.

AIM plans to prevent the re-occurrence of the non-conformance moving forward by increasing SRT training and education to all foreman and field staff. Organizing and readjusting the current Work ID process is required to ensure it is user friendly and easily done in the field.

AIM is currently undergoing a large scale internal audit that will result in major process and performance to ensure compliance with the contractual requirements. Further changes to the system will occur as errors in the process are identified and adjusted."

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report..

Name: ___Celina Guerreiro

Contractor Signature: _____

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: Chad Marsh

MOTI Signature: Chad Marsh

Date: October 23, 2020

INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

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SECTION 1: TRACKING DETAILS

NCR #: **Unrectified**
AO20S-04

Service Area: SA13 - Okanagan-Shuswap

Name of Contractor: AIM Roads Inc

Original Date: June 24, 2020

Prepared by: Chad Marsh

Non- Rectified Date: Oct 7, 2020

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

NON-CONFORMANCE REPORT	
SECTION 1: TRACKING DETAILS	
<u>Date Issued:</u> Oct 07, 2020	<u>NCR Number:</u> AO20S-04 Non Rectified
<u>Service Area:</u> SA13	<u>Issued By:</u> Chad Marsh
	<u>Contractor Name:</u> AIM Roads
SECTION 2: DESCRIPTION OF NON-CONFORMANCE	
<u>What is being assessed?:</u> Completion of sweeping as per PM1.07 2-1 g)	
<u>Findings:</u> The Contractor is not compliant and is receiving a Non Rectified NCR, sweeping not completed and noted in NCR AO20s-04 on June 24th, 2020 has not been completed as of September 25th, 2020	
<u>Evidence/Records Reviewed:</u> Audits: AO20S-04, 20-11s, 20-12s, Provincial Audit	
SECTION 3: REQUIRED CORRECTION	
<u>Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed</u>	
YES <input checked="" type="checkbox"/>	Deadline for correction: Immediate
NO <input type="checkbox"/>	MoTI accepts the non-conforming product/service
	Reason:
N/A <input type="checkbox"/>	Reason:
<u>Signatures upon completion of required correction:</u>	
Contractor representative confirms correction complete	Contractor Representative: _____
Date accepted by MoTI: _____	MoTI Representative: _____
SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN	
4a.) Deadline for submission of corrective plan to MoTI: November 30th, 2020	
4b.) Root Cause Analysis (Why did the non-conformance occur?)	
4c.) Corrective Action Plan (How will the contractor prevent re-occurrence of the non-conformance?)	
SECTION 5: SIGNATURES	
Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report	
Name: _____	Contractor Signature: _____
MoTI representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.	
Name: _____	MoTI Signature: _____

Non Rectified NCR AOS-04

2020-10-07

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SECTION 3: REQUIRED CORRECTION

Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed.

YES ☒ Deadline for correction: **November 30, 2020**
NO ☐ MOT accepts the non-conforming product/service
Reason: _____
N/A ☐ Reason: _____

Signatures upon completion of required correction:

Contractor representative confirms correction complete.

Contractor Signature: _____

Date accepted by MOT: [Click here to enter a date.](#)

MOT Representative: _____

SECTION 4: ROOT CAUSE ANALYSIS & CORRECTIVE ACTION PLAN

4A) Deadline for submission of corrective action plan to MOT: November 30, 2020

4B) Root Cause Analysis: (Why did the non-conformance occur?)

The root-cause resulting in the non-conformances with the contractual requirements listed above (Section 3) are due to a failure of following and executing AIM internal processes outlined in the Quality Maintenance Manual (QMS) and unpredicted increased frequency of road maintenance due to extreme weather events. These include but are not limited to a lack of communication and guidance from the AIM internal mechanical division, an absence of document referral for steps in completing duties, a lack of training within all departments of AIM standard operating procedures, specifically routine maintenance services and delay in executing the proposed spring road maintenance services plan. The regional area has also undergone extreme weather condition with above average water volumes resulting in increased accumulation of sediment and runoff drainage holes, scuppers, and barrier openings. The extreme rainfall has also contributed in delayed sweeping efforts due to unable to sweep in high water volume road conditions. This has resulted in a frequency demand for sweeping and cleaning that was not included or predicted in the spring road maintenance services plan. The frequency of demand for sweeping and cleaning has resulted unpredicted in increased personnel and rescheduling of priority work which has contributed in the non-conformances listed above (Section 3). AIM will continue to coordinate and communicate with the contractor to ensure all line painting requirements are met within the specifications.

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Due to a large volume of summer works and poor time management, AIM did not effectively executed the planned sweeping with the above NCR for June 24th, 2020 completion date resulting in a continued Non- compliance. Due to sanding efforts ongoing on the roadway location for winter works, the sweeping works will not be completed in the 2020 season.

4C) Corrective Action Plan: (How will the contractor prevent re-occurrence of the non-conformance?)

AIM plans to prevent the re-occurrence of the above non-conformances moving forward from implementing a series of changes to aid in improving the effectiveness and support in conducting existing and new internal processes. All AIM employees will be provided the proper training through orientation and process specific standard operating procedures. Changes within the mechanical operations team have been made, which will aid in providing appropriate support for executing all proposed plans and the QMS. The QMS, alongside other AIM documentation and processes will be updated and adjusted to be reflect internal team additions and changes for more efficient and standardized processes. AIM will consider extreme rainfall events as part of their scheduling for road maintenance moving forward and adjusting their frequency and capacity to adjust to any weather events. AIM will ensure that the winter shift will remain on next year until the sweeping program and will allow for the operator to sweep for a full 24 hour period. AIM's operations team has scheduled the above surface cleaning to be completed as soon as possible.

AIM is currently undergoing a large scale internal audit that will result in major process and performance to ensure compliance with the contractual requirements.

As stated above, AIM will be working on its internal processes and procedures to ensure meeting the specifications of the contract for sweeping timeframes in the spring 2021 season. Due to winter works starting within the area and all sweeping equipment being outfitted for material dispersion of winter roads, sweeping efforts will not be completed until 2021.

Signatures:

Contractor representative commits to implementing the corrective action plan and confirms that the plan is intended to prevent the re-occurrence of the Non-conformance identified in section 2 of this report.

Name: Celina Guerreiro

Contractor Signature: _____

MOT representative accepts the corrective action plan. Acceptance does not negate the contractor's responsibility to perform the services in accordance with the contract requirements.

Name: Chad Marsh

MOTI Signature: Chad Marsh

Date: July 1, 2020

INSTRUCTIONS:

SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT

SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

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