Small Diameter Tunnels and Pipejacks

A Reference Guide for New Zealand



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Small Diameter Tunnels and Pipejacks: A Reference Guide for New Zealand

Introduction

Worksafe New Zealand and the New Zealand Tunnelling Society (NZTS) have identified the need to document and promote the use of 'good practice' in the planning, design and construction of projects that incorporate small diameter tunnels and pipejacks in New Zealand. Small diameter tunnels and pipejacks are defined as those less than or equal to 3m inside diameter.

Accordingly, this guide ('the Guide') has been developed and defines roles and responsibilities and the assessments required during the planning, procurement and construction of small diameter tunnel and pipejack works.

The Guide is for persons conducting a business or undertaking (PCBUs), workers, upstream PCBUs, and competent people involved in the construction of small diameter tunnels and pipejacks and provides practical guidance on how they can meet obligations under the Health and Safety at Work Act 2015 (HSWA) and its associated regulations.

Some tunnels and pipejack projects maybe subject to the Health and Safety at Work Mining Operations and Quarrying Operations) Regulations 2016.

Information about the hierarchy of the legislation and the relationship with other guidance documents is detailed in Section 1.4 of WorkSafe's special guide 'Introduction to the Health and Safety at Work Act 2015' (the 'Act'.)

A list of relevant legislation and standards is given in Appendix 1.

The specific hazards of small diameter drill and blast tunnels are not addressed, although this document may provide some useful guidance. Refer also to BS 6164 Code of Practice for Health and Safety in Tunnelling in the Construction Industry for good practices in the construction of drill and blast tunnels.



Project Timeline

Project Development Stage

- Assessment and evaluation of project options assessing the risks associated with different alignments and construction techniques in view of regional geotechnical conditions
- Project development design studies
 - o Site investigations (geology, hydrogeology, utilities, existing buildings and structures)
 - o Preliminary design
 - o Risk Assessment
 - o Constructability Assessments
 - o RMA Consent Requirements

Design Stages

- Development of design
- Transfer of information between designers
- Geotechnical Assessment
- Constructability Assessment
- Design risk assessment and 'Safety-in-Design' process as an 'upstream' PCBU.

Construction Contract Procurement Stage

- Preparation of contract documentation and works information for tendering purposes, including transfer of risk assessment/register
- Selection of contractors for tendering
- Tender assessment

Construction Stage

- Health and Safety Management System and Risk Management Plan
- Construction plans, safe work methodology development and documentation
- Further development of Project Risk Register



Competency

It is considered essential that each person involved in the project is competent to carry out their role and that each organisation involved in the project should ensure that their employees or agents are competent to carry out the work required of them. Competency may be assessed by consideration of relevant experience and skill, development training and academic qualifications and/or certifications.

Given the critical role of the client during the development stage, the client (definition below) should have or procure technical and contract management competence appropriate to the nature and scale of the project and only select competent designers and constructors.

For the purposes of the Guide a competent person¹ is a person who has the relevant knowledge, experience, and skill to carry out a task required by the project. During construction in particular a competent person is also a person who is able to recognize hazards associated with a particular task, and has the ability and authority to mitigate those hazards.

Roles and Responsibilities

The following are definitions of the roles of the principal parties involved in a project. All parties are obliged to confirm and inform the others of their roles and responsibilities in relation to the Health and Safety at Work Act ('the Act'). For further information on primary duties of care refer to section 36 to 43 of the HSWA.

- Client
 - The final owner of the project to be constructed and/or the procurer of goods or services including design services whether a public entity or a private agency or developer, and responsible for:
 - The information issued to design or construction tenderers as "works information".
 - The adequacy and suitability of designs prepared by or on behalf of the Client, construction supervision and monitoring of the project. Therefore the Client should assess the competency of Designers. (Refer also procurement stage below).
 - Where necessary because a pipejack or tunnel falls under the scope of the Act and the corresponding Regulations appoints the Mine Operator as required by the Act.²
- Designer
 - The individual/organization appointed to undertake the planning and design process. Different designers may be appointed for different stages of the design process. It is noted that significant design activities may be undertaken by Clients, particularly at the early stages of project planning, e.g., route selection, consenting, etc.



¹ Refer also competent person defined by Worksafe –

http://www.worksafe.govt.nz/worksafe/information-guidance/all-guidance-items/best-practice-guidelines-for-demolition-in-new-zealand/definitions

² In most cases it is expected that the contractor would be appointed to this role.

- Responsible for being competent in their area of practise as applied to the design and conversely not practising outside their area of competency, and adhering to the code of ethics of their practise.
- Contractor
 - The organization contracted by the Client to construct the project, i.e., to carry out or manage construction work.
 - Responsible for the adequacy and suitability of designs prepared by or on behalf of them, covering in particular temporary works designs.
 - Responsible for Principal Hazard Management Plans, Principal Control Plans, and provision of safety-critical roles defined under the Act.
 - Responsible for the provision of competent personnel for construction.
- Plant and equipment manufacturers and providers
 - Providers of mechanical and electrical plant for the construction of a project on either a hire or purchase basis, elements of which may be governed by requirements of the Act and any relevant New Zealand Standards
- Worksafe New Zealand
 - New Zealand's Workplace Health and Safety Regulator responsible for:
 - Monitoring and enforcing compliance with the Act
 - Providing guidance, advice and information on work health and safety
 - Fostering a co-operative and consultative relationship between the people who have health and safety duties and the persons to whom they owe those duties and their representatives.
 - Collecting, analysing and publishing statistics and other information relating to work health and safety
- Mines Rescue Services
 - A specialist rescue service that covers all coal mines, metalliferous mines and tunnels longer than 150m long, responsible for:
 - Training rescue brigades
 - Responding to emergencies
 - Assisting Mine Operators within scope with emergency planning
- Emergency Services
 - Police, Fire and Ambulance emergency services may be involved in an emergency response situation. The nature of their response and the role that they play is defined by the New Zealand Coordinated Incident Management System (CIMS) protocol.

Collaboration

It is considered best practice that all parties to a project cooperate to achieve and maintain safe places of work.

Input from the public emergency services and utility providers during the project development stage is recommended and is input from experienced contractors and specialist plant and equipment designers and suppliers.



Health and Safety Hazards

Health and safety hazards to be assessed may include but may not be limited to:

- Noise
- Manual handling
- Vibration
- Hand Arm Vibration Syndrome
- Heat
- Dust & Chemicals present during construction
- Hazardous materials
- Contaminated water orsoils
- Inundation
- Toxic or explosive gases from the ground, adjacent infrastructure or from the construction processes
- Other atmospheric contaminants
- Stored energy
- Lifting operations
- Working at height
- Fire & smoke
- Access &rescue
- Oxygen deficiency
- Working space
- Fatigue
- Radiation
- Biological hazards
- Plant and people interaction
- Adjacent activities
- Explosives
- Asbestos
- Ground support failure
- Mechanical hazards
- Electricity

Consideration of the above may impact the diameter and length of a small diameter tunnel or pipejack and the associated construction methods (e.g., excavation techniques) that are selected.



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Design Assessments

Designers should understand how construction processes are achieved and what the associated and inherent hazards are. The assessments should include the properties of construction materials (including the ground and the influence of groundwater) related to or defined and specified by the design.

Detailed risk assessments must be carried out for all projects at the Project Development Stage and for the Contract Procurement Stage and subsequently with risks and their controls clearly allocated between the parties involved in the construction process.

It is recommended that Designers should undertake risk assessments for the following subjects (as a minimum) modify the design as necessary and that the risks are communicated to downstream PCBU's:

- Natural hazards which the project is exposed to
- Hazards present at the site and arising from the design;
- Sufficient space for safe working, noting adjacent activities and associated hazards, temporary traffic management including pedestrian movements and property access, and any demolition processes;
- Requirements for the provision of a safe temporary works environment, i.e., elimination, isolation or minimization of hazards, operational and emergency ventilation, emergency access, moving plant equipment;
- Potential for harm from materials specified;
- Processes, which can release potentially harmful agents;
- Existing utilities and their potential interaction with the excavations
- Existing buildings and structures and their potential interaction with excavations

Procurement Stage Assessments

During procurement it is essential that a comprehensive understanding of the project constraints and all hazards and risks previously identified is obtained by all parties. The Client should assess the competency of all downstream PCBU's associated with the Project and select accordingly.

It is recommended that the design risk assessments and associated documentation are provided to tenderers. It is further recommended that interactive meetings with the Designer and the tenderers are undertaken.

Establishing a reasonable programme allowance for implementation of the project should be an objective of the procurement process. Reasonable timeframes to allow proper assessment of the tender documentation and associated tender queries from the tenderers should therefore be provided by the Client.

Alternative designs must be assessed to a similar level in terms of the Health and Safety hazards and risks previously identified.



Construction Phase Assessments

During the construction phase it is essential that robust and sufficiently detailed final planning is carried out in advance of works commencing.

Construction stage risk assessment and management should involve competent people including representatives from the workforce who will be involved in delivering the works.

Development of construction execution plans, work plans, method statements, Principal Hazard Management Plans (PHMP's) and Principal Control Plans PCP's) that incorporate the risk assessments and consequent hazard management measures is essential. Trigger Activated Response Plans (TARP's) should be developed to identify responses to changing conditions identified by monitoring of the works. All of these documents will then form the basis of ensuring a clear understanding of how the works will be delivered by all of those involved, and how to respond to a change in working conditions. This should not be a one-off exercise: the plans should be regularly reviewed and revised as appropriate, following on-site experience in addressing the actual health and safety risks underground.

The following are key considerations during the construction phase which are particularly relevant to small tunnel and pipejack projects:

Planning and Predefined Responses

- Risk assessment and review
- Development of safe work methods
- Competency management
- A clear process for managing change
- Trigger Action and Response Plans (TARP's)
- Emergency Response Plans and testing of these

Monitoring and Reporting

- Existing buildings structures and utilities settlement and ground movement monitoring, reporting and analysis
- Gas and air quality monitoring
- Ongoing checks and audits for compliance against plans and expected performance or conditions
- Validation of the design through monitoring and inspection



NZTS Pipejacking Working Group

References

- Worksafe New Zealand <u>http://www.worksafe.govt.nz/worksafe</u>
- Guidance and ACOPs for tunnelling operations <u>http://www.worksafe.govt.nz/worksafe/information-guidance/guidance-by-industry/extractives/extractives-documents</u>
- ITIG A code of Practice for Risk Management of Tunnel Works', 2nd Edition, 2012.
- Code of Practice for Health and Safety in Tunnelling in the Construction Industry', BS 6164, 2011.
- The Pipe Jacking Association: An introduction to pipe jacking and microtunelling design
- National Utility Contractors Association: Guide to Pipejacking and Microtunneling



NZTS Pipejacking Working Group

Appendix A

NZTS Tunnelling and Pipejacking Table and Notes



NZTS Small Diameter Tunnels and Pipejacks Table and Notes:



Internal dimensions and indicative drive lengths for pipejacks and tunnels below 3.0m diameter

DEFINITIONS

Acceptable – PCBUs should undertake an assessment of the risks normally associated with small size pipejacking/tunnelling and specify the appropriate mitigation control measures.

Avoid – PCBUs should undertake a robust technical assessment and risk assessment to justify decisions to deviate from "acceptable" criteria. PCBUs should identify appropriate risk mitigation measures and involve Worksafe. Not acceptable – Larger diameter or different excavation technique to be used.

Nominal internal diame	eter and indicative maximum drive length	s (e.g. betwee	en shafts) for p	pipeline or tun	nel linings
Excavation Technique	<1.2m	>1.2m- 1.35m	>1.35m- 1.5m	>1.5m – 1.8m	>1.8m
Trenchless – machine; remote operation (See Note 9)	Drive length only limited by equipment capability. (See note 9)		500m		>500m See note 8
Pipejack – machine; operator controlled at the face (See Note 7)	Not acceptable	125m	250m	500m	>500m See note 8
Pipejack – hand dig (See note 7)	Not acceptable	*75m	*75m	*75m	*100m
Tunnel – machine operator controlled at the face + mechanical erector	Not acceptable *500m			>500m See note 8	
Tunnel – hand dig + mechanical erector (See note 7)	Not acceptable *50			*50m	*100m
Timber heading – hand dig (See note 7)	Not acceptable		*2	5m	

Notes: Refer Page A2



- 1. This New Zealand guidance is only to be used by those competent to plan, design and construct pipejacks and tunnels.
- 2. This guidance has been developed by the NZTS based on experience of the occupational health and safety risks arising from heavy physical work in a confined space to enable rescue if necessary in a range of reasonably foreseeable incident scenarios.
- 3. Complying with the guidance does not relieve any PCBU of the duty to consider the risks arising from the foreseeable hazards of pipejacking/tunnelling, including manual handling, noise, heat, vibration and confined space working. Neither does it relieve any PCBU of the duty to ensure there is potentially adequate space to allow a safe means of access and egress along with adequate working space within the tunnel/pipejack. The minimum diameter required for construction may in some cases be determined by the construction methodology rather than by consideration of the hydraulic requirements for or the intended use of the pipejack/tunnel.
- 4. When using the table the term 'nominal internal diameter' refers to the actual minimum diameter of the pipes used allowing for manufacturing tolerances in accordance with AS/NZS 4058.
- 5. Indicative drive length and the number of drives of that length have been determined from a consideration of access and escape requirements. Again, complying with the guidance does not relieve any organisation of the duty to consider the risks arising from the range of foreseeable emergency events which could arise and which could necessitate escape or rescue of those underground.
- 6. The drive lengths given in the Table are indicative and subject to a robust risk assessment process. For entries not marked * it is **acceptable** to exceed the indicative drive lengths by up to 25% however exceeding these drive lengths by over 25% should be **avoided**.
- 7. All hand dig is categorised as "not acceptable" or "avoid" the lengths given in Table 2 for items marked * are indicative and are already in the category "avoid". It is further noted for small diameter tunnels and pipejacks, in terms of individual worker risk exposure, that hand excavation is less preferable than mechanical excavation and remote control of mechanical excavation is preferable to manual intervention in mechanical excavation. The risks associated with worker intervention in the mechanical excavation process should be carefully considered and the physiological demands of small diameter working and ability of workers to self-rescue or to be rescued shall be carefully considered and documented in the PHMP. It is recommended that clients when assessing alternative methods of excavation should also carefully consider the risk benefits to workers of the risk hierarchy described above.
- 8. Drive lengths exceeding 1000m should be considered **not acceptable** unless the pipe/tunnel is of sufficiently large cross section to allow the Contractor to incorporate an access envelope 0.9m wide by 2.0m high within the pipe/tunnel and clear of services e.g ventilation, spoil handling systems and pumping systems.
- 9. Planned worker entry during excavation is **not acceptable**. Access in this size range after excavation is complete or for extraordinary reasons during excavation should be **avoided**.

NZTS Pipejacking Working Group

Appendix B

Consultation Feedback and Response



 Draft circulated to initial workshop attendees on 15/06/17

 From:
 Princilla Page

 To::
 Date follower/ss: [Terore Watts: Estone Pauga@fire.org.nz]; Purcell, Geoff; Nicholas Gulley; SMcIntosh@tonkintaylor.co.nz'; Inatiaha@gmail.com'; Idetmar.Jonder@auddlandcoundl.govt.nz'; I'm.Madintosh@hynds.co.nz'; I'm.Madintosh@hynds.co.

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