
**VOLUME 5 ASSESSMENT AND
PREPARATION OF ROAD
SCHEMES**

**SECTION 2 PREPARATION AND
IMPLEMENTATION**

Part 2

HD 19/15

ROAD SAFETY AUDIT

SUMMARY

This document provides the requirements for Road Safety Audit which are mandatory for all trunk road Highway Improvement Schemes including motorways. It describes the stages at which Road Safety Audit shall be carried out, the procedures to be followed and the requirement for road safety monitoring of Highway Improvement Schemes after opening. **HD 19/15** supersedes **HD 19/03** and **IAN 152/11** (and the other Overseeing Organisation documents **IAN 152/11 (W)**, **DEM 136/11** and **TS Interim Amendment 40/11**).

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THE HIGHWAYS AGENCY

HD 19/15
Volume 5, Section 2,
Part 2



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NORTHERN IRELAND

Road Safety Audit

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ROAD SAFETY AUDIT

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1. INTRODUCTION

Background

- 1.1. The objective of this Standard is to ensure that the road safety implications of all Highway Improvement Schemes are fully considered for all users of the motorway and trunk road network. The application of the Standard to those working on the highway is covered in paragraph 2.17.
- 1.2. The Overseeing Organisations attach great importance to the improvement of road safety. The use of Standards that are based on road safety considerations help to ensure that this objective is met.
- 1.3. Many elements of a Highway Improvement Scheme design are based on the use of Design Standards and Advice Notes. Whilst these Standards and Advice Notes provide a basis for safe design, care has to be taken when combining elements from them to avoid the creation of potential hazards. However, it is important to note that Road Safety Audit is not exclusively concerned with those aspects that are associated with the interaction of Design Standards. The objective of Road Safety Audit is to identify aspects of a Highway Improvement Scheme that could give rise to road safety problems and to suggest modifications that would improve the road safety of the resultant scheme.
- 1.4. Although road safety has always been considered during scheme preparation, there have been instances where details of the design have contributed to collisions and/or incidents on newly opened schemes. Design Teams do not necessarily contain staff with Collision Investigation or Road Safety Engineering experience and consequently they may not foresee potential factors pertaining to collision causation.
- 1.5. The Road Safety Audit procedure has been developed to ensure that operational road safety experience is applied during the design and construction process in order that the number and severity of collisions is kept to a minimum. Road Safety Auditors identify and address problem areas using the experience gained from highway design, road safety engineering, collision analysis and road safety related research. The Overseeing Organisations' aim is that the monitoring of Road Safety Audited schemes will result in more informed designs, leading to schemes that rarely require road safety related changes after opening.
- 1.6. It is recommended that Design Teams include staff with Road Safety Engineering experience to ensure that road safety issues are considered during the design process. However, Road Safety Engineers included within the Design Team cannot be permitted to be part of the appointed Road Safety Audit Teams. This is because of a potential lack of independence from the scheme design as their views may be influenced by familiarity and a natural "pride of authorship". The involvement of a Road Safety Engineer within the Design Team is not considered to be an acceptable substitute for undertaking Road Safety Audit.

Scope of this Standard

- 1.7. This Standard sets out the procedures required to implement Road Safety Audit on Highway Improvement Schemes on trunk roads including motorways. It defines the relevant schemes and stages in the design and construction process at which Road Safety Audit shall be undertaken and sets out the requirements for post-implementation collision monitoring.
- 1.8. This document includes several significant changes from the previous Standard **HD 19/03 (DMRB 5.2.2)**. This document also incorporates the requirements and advice in the withdrawn **IAN 152/11, IAN 152/11(W), DEM 136/11** and **TS Interim Amendment 40/11**, which relates to **EC Directive 2008/96/EC** in respect to Road Safety Audit. The main changes in this Standard include:

- additional guidance on schemes to be Road Safety Audited;
- clarification of the process for the collision monitoring of completed Highway Improvement Schemes in the form of Stage 4 Road Safety Audit;
- further information on the application of Road Safety Audit for developer-led schemes;
- inclusion of the Road Safety Auditor Certificate of Competency requirements;
- additional guidance on the preparation of the Road Safety Audit Brief;
- inclusion of the Road Safety Audit Response Report and guidance on its preparation; and
- additional guidance on the preparation of the Road Safety Audit Exception Report.

Mandatory Sections

- 1.9. Mandatory sections of this document are contained in boxes. The organisations involved in the Road Safety Audit process must comply with these sections or obtain agreement to a Departure from Standard from the Overseeing Organisation. The remainder of the document contains advice and explanation, which is commended to users for consideration.

Application in Northern Ireland

- 1.10. This Standard will apply to those roads designated by the Overseeing Organisation.

Superseded Documents

- 1.11. This Standard supersedes **HD 19/03 (DMRB 5.2.2)**, which is hereby withdrawn. The contents of this Standard also supersede **IAN 152/11, IAN 152/11 (W), DEM 136/11 and TS Interim Amendment 40/11**.

Implementation

- 1.12. This Standard shall be used forthwith for all Road Safety Audits on all Highway Improvement Schemes with the exception of Road Safety Audits for which a Road Safety Audit Brief in accordance with HD 19/03 has been issued before the publication date of **HD 19/15**. Those Road Safety Audits may be completed in accordance with **HD 19/03**.
- 1.13. Exemptions granted under paragraph 2.6 of **HD 19/03** prior to the publication of this Standard are recognised as valid. However, where this previous exemption only refers to a stage of the Road Safety Audit process, any stages of the process subsequent to the exemption must follow the requirements of this Standard.

Definitions

- 1.14. **Collision Investigation:** The collection and examination of historical collision data over a period of time in order to identify common trends and factors which may have contributed to the collisions. This could also include the detailed forensic investigation of single collisions.

- 1.15. **Design Organisation:** The organisation(s) commissioned to undertake the various phases of scheme preparation.
- 1.16. **Design Team:** The group within the Design Organisation undertaking the various phases of scheme preparation.
- 1.17. **Design Team Leader:** A person within the Design Team responsible for managing the scheme design and co-ordinating the input of the various design disciplines.
- 1.18. **Director:** The Director in the Overseeing Organisation with overall responsibility for the Highway Improvement Scheme. The Director will make the final decision in respect of the acceptance of any Exception Reports produced (see Annex L). For Transport Scotland, the term Director shall mean the Chief Road Engineer. For the Welsh Government, the term Director shall mean the Chief Highway Engineer. For the Department for Regional Development Northern Ireland, the term Director shall mean the Director of Engineering.
- 1.19. **Exception Report:** A report from the Project Sponsor to the Director on each recommendation in the Road Safety Audit Report that the Project Sponsor proposes should not be implemented. (See paragraphs 3.7 to 3.14 and Annex L).
- 1.20. **Highway Improvement Schemes:** All works that involve construction of new highway or permanent change to the existing highway layout or features. This includes changes to road layout, kerbs, signs and road markings, lighting, signalling, drainage, landscaping, communications cabinets and the installation of roadside equipment. The term “Highway Improvement Scheme” is considered to include the **EC Directive 2008/96/EC** term “Infrastructure Project”.
- 1.21. **Interim Road Safety Audit:** The application of Road Safety Audit to the whole or part of a Highway Improvement Scheme at any time during its design and construction. Interim Road Safety Audit is neither mandatory nor a substitute for the Stage 1, 2 and 3 Road Safety Audits.
- 1.22. **Like-for-like Maintenance Scheme:** A scheme or highway feature proposed as maintenance works, that solely involves the replacement or refurbishment of a highway feature with a corresponding feature, which as a minimum, will appear the same, be located in the same position, perform the same and be constructed of comparable materials as the feature it replaces.
- 1.23. **Non-Motorised Users (NMUs):** NMUs are considered to be pedestrians, cyclists and equestrians. The term NMU also includes disabled people and wheelchair users.
- 1.24. **Overseeing Organisation:** The highway or road authority responsible for the motorway or trunk road Highway Improvement Scheme to be Road Safety Audited, or in the case of developer-led or third party organisation promoted schemes, the highway or road authority responsible for the motorway or trunk road affected by the proposed Highway Improvement Scheme.
- 1.25. **Overseeing Organisation Specialist:** A person from the Overseeing Organisation that has the appropriate training, skills and experience in the Road Safety discipline. For the Highways Agency this will be an appropriate person from the Safer Roads – Design Team. For the Welsh Government this would be a specialist within the Network Management Division of the Transport Department. For the Department for Regional Development Northern Ireland this will be the Road Safety Engineering Policy Manager and for Transport Scotland this will be the Head of Standards.

- 1.26. **Project Sponsor/Project Manager:** A person from the Overseeing Organisation responsible for ensuring the progression of a scheme in accordance with the policy and procedures of the Overseeing Organisation, and ensuring compliance with the requirements of this Standard. It should be noted that the Project Sponsor may not always be from the same organisation as those promoting the scheme, as the scheme may be proposed by a third party organisation (see paragraph 1.40).
- 1.27. **Road Safety Audit:** The evaluation of Highway Improvement Schemes during design and at the end of construction (preferably before the scheme is open to traffic). The aim is to identify potential road safety problems that may affect any users of the highway and to suggest measures to eliminate or mitigate those problems. The Road Safety Audit process includes the collision monitoring of Highway Improvement Schemes to identify any road safety problems that may occur after opening. The Stage 4 Road Safety Audit will include the analysis and reporting of 12 and 36 months of personal injury collision data from when the scheme became operational.
- 1.28. **Road Safety Audit Brief:** The instructions to the Road Safety Audit Team defining the scope and details of the Highway Improvement Scheme to be Road Safety Audited, including sufficient information for the Road Safety Audit to be undertaken (see Annex E).
- 1.29. **Road Safety Audit Report:** The report produced by the Road Safety Audit Team describing the road safety related problems identified by the Road Safety Audit Team and the recommended solutions to those problems.
- 1.30. **Road Safety Audit Response Report:** A report produced by the Design Team following Road Safety Audit Stages 1, 2 and 3 in which the Design Team responds to the problems and recommendations raised in the Road Safety Audit Report. The Road Safety Audit Response Report (see Annex K) will assist the Project Sponsor when deciding on the need to produce an Exception Report (see Annex L).
- 1.31. **Road Safety Audit Site Visit:** a visit to the location of a proposed or completed Highway Improvement Scheme.
- 1.32. **Road Safety Audit Team:** A team that works together on all aspects of the Road Safety Audit, independent of the Design Team and approved for a particular Road Safety Audit by the Project Sponsor on behalf of the Overseeing Organisation. The Road Safety Audit Team shall comprise a minimum of two persons (a Team Leader and Team Member). The individuals within the Road Safety Audit Team may be drawn from the Design Organisation or from other organisations.
- 1.33. **Road Safety Audit Team Leader:** A person with the appropriate training, skills and experience who is approved for a particular Road Safety Audit by the Project Sponsor on behalf of the Overseeing Organisation. The Road Safety Audit Team Leader has overall responsibility for carrying out the Road Safety Audit and managing the Road Safety Audit Team.
- 1.34. **Road Safety Audit Team Member:** A member of the Road Safety Audit Team with the appropriate training, skills and experience necessary for the Road Safety Audit of a specific scheme, reporting to the Road Safety Audit Team Leader.
- 1.35. **Road Safety Audit Team Observer:** A person with the appropriate training, skills and experience accompanying the Road Safety Audit Team to observe and gain experience of the Road Safety Audit process. The Road Safety Audit Team Observer is encouraged to contribute actively to the Road Safety Audit process.
- 1.36. **Road Safety Engineering:** The design and implementation of Highway Improvement Schemes intended to reduce the number and severity of collisions involving road users, drawing on the results of Collision Investigations.

- 1.37. **Road Safety Matters:** Any element of the road environment that could potentially contribute to a Road Traffic Collision or incident. The definition of Road Safety Matters also includes features that could present an unacceptable risk of trips, slips or falls to road users.
- 1.38. **Road Traffic Collision:** A collision between road users or between a road user and a feature on or adjacent to the highway.
- 1.39. **Specialist Advisor:** A person approved by the Project Sponsor to provide specialist independent advice to the Road Safety Audit Team, should the scheme include complex features outside the experience of the Road Safety Audit Team Members, e.g. a complex traffic signal controlled junction (see paragraph 2.85).
- 1.40. **Third Party Organisations:** Organisations such as a developer, a developer's consultant, a local authority, Statutory Undertaker or other private organisation that could be promoting a Highway Improvement Scheme on the Overseeing Organisation's road network.

2. ROAD SAFETY AUDIT

Schemes to be Road Safety Audited

- 2.1. This Standard shall apply to all Highway Improvement Schemes (see paragraph 1.20) on trunk roads including motorways, regardless of procurement method. This includes work carried out under agreement with the Overseeing Organisation resulting from developments alongside or affecting the trunk road or Highway Improvement Schemes being promoted by third party organisations.
- 2.2. Highway Improvement Schemes that will not impact on road user behaviour or adversely change the outcome of an incident involving an errant vehicle, due to the nature of the works and/or the distance of the improvement from the operational highway may, in certain circumstances be excluded from the Road Safety Audit process without the need for a formal Departure from Standard application (see paragraph 2.10). In such situations, Project Sponsors must formally consult with Overseeing Organisation Specialists at an early stage and gain agreement from the Specialist that the Road Safety Audit process does not need to be applied to the Highway Improvement Scheme.
- 2.3. The Project Sponsor must formally record on their scheme file (or equivalent) any decision not to apply Road Safety Audit to a scheme that they consider will not impact on road safety. If the Overseeing Organisation Specialist does not formally agree that the scheme may be excluded from the Road Safety Audit process and the Project Sponsor still considers the Road Safety Audit unnecessary, then the Departure from Standard process must be applied in accordance with paragraph 2.10 of this Standard.
- 2.4. Like-for-like maintenance schemes are excluded from Road Safety Audit (see paragraph 1.22). However, Project Sponsor's and Designer's attention is drawn to paragraph 2.6 of this Standard. This Standard does apply to Highway Improvement Schemes that are constructed as part of the same procurement package as maintenance works.
- 2.5. When considering whether a scheme is a like-for-like maintenance scheme, the Project Sponsor must consider if the works may change road user behaviour or adversely change the outcome of an incident involving an errant vehicle. If the feature could potentially change road user behaviour or its presence could exacerbate the severity of a collision then the Road Safety Audit process detailed in this Standard must be applied. If a Project Sponsor is unsure if the scheme under consideration could impact on road user behaviour or change the outcome of an incident involving an errant vehicle, they must formally consult with an appropriate Specialist from the Overseeing Organisation.
- 2.6. Project Sponsors and Designers should ensure that any like-for-like replacement or refurbishment scheme does not reinstate a feature that is known by the Overseeing Organisation or Design Organisation to adversely affect road user safety (e.g. the replacement of a non-passively safe traffic sign in the same location where it has been previously struck by errant road users on numerous occasions).

Delegation

2.7. The Overseeing Organisation will decide on the extent of delegation of the Director's and Project Sponsor's responsibilities, duties and tasks, with respect to this Standard. Project Sponsors may delegate to an assistant within the Overseeing Organisation. The Project Sponsor is responsible for ensuring that the assistant is competent to carry out the responsibilities, duties and tasks delegated. Project Sponsors may also delegate to a supplier employed as a "Department's Representative" provided they are independent from the design, construction and Road Safety Auditor organisations and the individuals appointed are competent to undertake the role. If a Project Sponsor or Director is unsure if the individual they are intending to delegate to is competent and independent, they should formally consult with an appropriate Specialist from the Overseeing Organisation.

2.8. The Project Sponsor must inform the Road Safety Audit Team Leader and Design Team Leader in writing of any such delegations.

Application to Temporary Traffic Management Schemes

2.9. This Standard is not generally required for application to temporary traffic management schemes. The Department for Transport publication "Safety at Street Works and Road Works A Code of Practice" and Chapter 8 of the Traffic Signs Manual contain the necessary guidance to facilitate the safe planning and implementation of temporary traffic management activities. However, Road Safety Audit should be applied to exceptional temporary traffic management schemes that involve temporary changes to the layout and operation of junctions or realignment of roads that will affect the network for a considerable period. Examples of such schemes include installation of a temporary roundabout junction or a diversion using a length of temporary carriageway to allow major excavation on a main carriageway. If a Project Sponsor is unsure if the scheme under consideration should be subjected to Road Safety Audit, they should formally consult with an appropriate Specialist from the Overseeing Organisation.

Exemption

2.10. Where the Project Sponsor considers it unnecessary for Road Safety Audit to be applied to a particular Highway Improvement Scheme and the scheme in question has not been excluded from Road Safety Audit in accordance with paragraph 2.2 or paragraph 2.49 of this Standard, approval for a Departure from Standard must be obtained from the Overseeing Organisation. The Departure application must clearly state why a Road Safety Audit is not considered necessary.

2.11. A Departure from Standard allowing exemption from Road Safety Audit will only be approved when, in the opinion of the Overseeing Organisation, the effect of the Highway Improvement Scheme on the highway would be negligible and the costs and safety risks of undertaking the Road Safety Audit would outweigh its benefits.

The Relationship between Road Safety Audit and Health & Safety Legislation

2.12. Road Safety Audit does not cover health & safety legislation issues concerning the construction, maintenance and use of the road.

2.13. Although the Road Safety Audit Team's contribution to design is limited, in making recommendations they may be considered to have undertaken design work under health & safety legislation. It is therefore recommended that Road Safety Audit Teams make themselves aware of current health & safety legislation and consider the implications of their recommendations for the health & safety of others.

2.14. Overseeing Organisation Project Sponsors and Directors should make themselves aware of current health & safety legislation and consider the implications of their instructions to Design Teams and Road Safety Audit Teams in terms of health & safety.

2.15. When incorporating Road Safety Audit recommendations into scheme designs (see paragraph 3.15), the Design Team shall be responsible for reviewing and amending any design risk assessments required by health & safety legislation. The Design Team must also consider the impact that incorporating Road Safety Audit recommendations could have on other design elements.

Scope of Road Safety Audit

2.16. Road Safety Audit shall only consider Road Safety Matters (see paragraph 1.37).

2.17. Issues relating to the health & safety of operatives constructing, operating or maintaining the highway are not covered by Road Safety Audit. Only issues relating to the design and construction of facilities for highway maintenance that may potentially contribute to a Road Safety Matter (see Paragraph 1.37) should be considered by the Road Safety Audit process.

2.18. Road Safety Audit is not a technical check that the design conforms to Standards and/or best practice guidance. Design Organisations are responsible for ensuring that their designs have been subjected to the appropriate design reviews (including, where applicable, Non-Motorised User (NMU) Audits **HD 42/05 “Non-Motorised User Audits” (DMRB 5.2.5)**) prior to Road Safety Audit.

2.19. Road Safety Audit is not a check that the scheme has been constructed in accordance with the design.

2.20. Road Safety Audit does not consider structural safety.

Road Safety Audit

2.21. When making recommendations for dealing with identified problems, Road Safety Audit Teams must make allowance for the fact that strategic decisions on matters such as route choice, junction type, standard of provision and approved Departures from Standards already reflect an appropriate balance of a number of factors including road safety. Recommendations requiring major changes in these areas are unlikely to be acceptable when balanced with other aspects of the scheme and the Road Safety Audit Team must not make such proposals. In the unlikely situation where the road safety implications of the strategic decisions have not been fully considered previously, the Project Sponsor may extend the scope of the Road Safety Audit to include consideration of these items. The Project Sponsor must clearly identify within the Road Safety Audit Brief where the scope of the Road Safety Audit has been extended to cover strategic decisions.

2.22. Where the Project Sponsor has extended the scope of the Road Safety Audit to include strategic decisions in the Road Safety Audit Brief, it should be noted that the Road Safety Audit Team's recommended changes to the strategic elements of the design may not be accepted by the Project Sponsor and the Designer's original scheme layout as detailed in the Road Safety Audit Brief may be progressed. Therefore, when Road Safety Auditors are permitted to consider strategic elements of a Highway Improvement Scheme and they make recommendations for changes to the strategic decisions, the Road Safety Audit Team must also ensure that they fully assess the original layout as proposed by the Design Team so that any road safety problems are identified and addressed.

- 2.23. Advice is given on the general aspects that should be addressed at Road Safety Audit Stages 1, 2 and 3 in the lists in Annexes A to C of this Standard. An illustrative Stage 2 Road Safety Audit Report is shown in Annex F and illustrative Stage 4 Road Safety Audit Reports are contained in Annexes G and H.
- 2.24. The lists in Annexes A, B and C are not intended to be exhaustive. They provide a prompt for optional supplementary checks that Road Safety Audit Teams could make following their less prescriptive and more wide-ranging Road Safety Audit.

2.25. Road Safety Auditors must examine the overall layout of the Highway Improvement Scheme. All users of the highway shall be considered including motorists, pedestrians, cyclists, equestrians and facilities for those working on the highway (see paragraph 2.17). Particular attention should be given to vulnerable road users such as the very young, older users and the mobility and visually impaired.

- 2.26. The potential for road safety problems is often greatest at junctions, tie-ins and immediately beyond tie-ins. Where a Highway Improvement Scheme joins an existing road or junction, inconsistency in the standard of provision may potentially lead to collisions, so particular attention should be paid to these areas to ensure the safest possible transition is achieved. This applies particularly to on-line improvements where variations in the standard of provision between new and existing sections may not be obvious to the road user.

Stages of Road Safety Audit

2.27. Highway Improvement Schemes shall be Road Safety Audited at Stages 1, 2, 3 and 4. If, for any reason, a Stage 1 Road Safety Audit has not been carried out (for example, where a scheme is of such a scale that no preliminary design has been necessary and the scheme has progressed directly to detailed design with the agreement of the Project Sponsor), Road Safety Audit Stages 1 and 2 shall be combined at Stage 2 and shall be referred to as a Combined Stage 1 & 2 Audit. The information provided as part of the Road Safety Audit Brief for a Combined Stage 1 & 2 Road Safety Audit must be of sufficient detail to undertake a detailed design Road Safety Audit (see paragraph 2.33).

2.28. Stage 1 and Stage 2 Road Safety Audits must not be combined as purely a cost and/or programme saving measure.

Stage 1 Road Safety Audit: Completion of Preliminary Design

- 2.29. Stage 1 Road Safety Audits will be undertaken at the completion of preliminary design, (for example at the Order Publication Report Stage) before publication of draft Orders and for developer-led Highway Improvement Schemes, before planning consent is applied for (see paragraphs 2.54 to 2.61).
- 2.30. The end of the preliminary design stage is often the last occasion at which land requirements may be changed. It is therefore essential that Stage 1 Road Safety Audits considers any road safety issues which may have a bearing upon land take, licence or easement before the draft Orders are published or planning consent is applied for.

2.31. At Road Safety Audit Stage 1 all Road Safety Audit Team members must visit together the sites of Highway Improvement Schemes:

- that involve permanent change to the existing highway layout or features; and
- where new offline proposals tie-in to the existing highway.

2.32. The need to consider the site during specific traffic conditions at the Stage 1 Road Safety Audit should be identified in the Road Safety Audit Brief (see paragraph 2.89h).

Stage 2 Road Safety Audit: Completion of Detailed Design

2.33. Stage 2 Road Safety Audits will be undertaken at the completion of the detailed design stage. At this stage, the Road Safety Audit Team is concerned with the more detailed aspects of the Highway Improvement Scheme. The Road Safety Audit Team will be able to consider geometry (such as the layout of junctions and highway cross sections), street furniture (such as the position of traffic signs and road restraint systems), carriageway markings, street lighting provision and other issues (see Annex B).

2.34. The Stage 2 Road Safety Audit should include a review of the issues raised in the Stage 1 Road Safety Audit Report. Any issues that have not been satisfactorily resolved from the Stage 1 Road Safety Audit either by the element of the scheme being redesigned, as a result of clarification given by the provision of further information or by an approved Exception Report, should be reiterated in the Stage 2 Road Safety Audit Report.

2.35. At Road Safety Audit Stage 2 all team members must visit together the sites of Highway Improvement Schemes:

- that involve permanent change to the existing highway layout or features; and
- where new offline proposals tie-in to the existing highway.

2.36. The need to consider the site during specific traffic conditions at the Stage 2 Road Safety Audit should be identified in the Road Safety Audit Brief (see paragraph 2.89h).

Stage 3 Road Safety Audit: Completion of Construction

2.37. The Stage 3 Road Safety Audit should be undertaken when the Highway Improvement Scheme is substantially complete and preferably before the works are opened to road users. This is to minimise potential risk to road users and the difficulty that would be experienced by Road Safety Audit Teams in traversing the site when open to traffic. Where this is not feasible, alternative arrangements should be agreed with the Project Sponsor. This may result in the Road Safety Audit being carried out a short time after opening or in phases where a scheme is subject to phased completion and opening. However, all Highway Improvement Schemes should be subjected to a Stage 3 Road Safety Audit within 1 month of opening. If there is an accessibility issue that restricts the Road Safety Audit Team from fully traversing areas of the site (e.g. an area of live motorway that cannot be accessed on foot), reference to this should be included in the introduction of the Road Safety Audit Report for consideration by the Project Sponsor.

2.38. Road Safety Auditors are required to examine the Highway Improvement Scheme from all users' viewpoints and may decide to drive, walk and/or cycle through the scheme as well as consider motorcycle and equestrian use to assist their evaluation and ensure they have a comprehensive understanding. Issues raised in the Stage 2 or Combined Stage 1 & 2 Road Safety Audit Report should also be reviewed at the Stage 3 Road Safety Audit and reiterated if not satisfactorily resolved, either by the element of the scheme being redesigned, as a result of clarification given by the provision of further information or by an approved Exception Report.

2.39. All Road Safety Audit Team Members must examine the scheme site together during daylight. They shall also examine the site together during the hours of darkness at Stage 3 so that hazards particular to night operation can be identified.

2.40. The Road Safety Audit Team should also consider the potential impact on road safety of different traffic conditions which may be specific to the Highway Improvement Scheme location. For example at peak periods, the beginning or end of the school day or during frequent events. The need to consider the site during specific traffic conditions should be identified in the Road Safety Audit Brief (see paragraph 2.89h).

2.41. Road Safety Auditors should also consider the potential impacts on road safety of various weather conditions that may not be present at the time of inspection.

2.42. The Road Safety Audit Team Leader should discuss any alterations recommended at the Stage 3 Road Safety Audit with the Project Sponsor as soon as possible to give the opportunity for modifications to be undertaken before opening. This will provide a safer working environment for the workforce and delays to road users will be minimised.

Stage 4 Road Safety Audit: Monitoring

2.43. The Overseeing Organisation will arrange for evidence led collision monitoring of Road Safety Audited Highway Improvement Schemes. Stage 4 Road Safety Audits should be undertaken by individuals with the appropriate training, skills and experience as identified in paragraphs 2.76 to 2.84 of this Standard.

2.44. When a Highway Improvement Scheme is opened to road users, monitoring in the form of Stage 4 Road Safety Audits must be carried out on the number of personal injury collisions that occur, so that any road safety problems can be identified and remedial action taken as soon as possible.

2.45. Stage 4 Road Safety Audit collision monitoring reports shall be prepared using 12 months and 36 months of personal injury collision data from the time the Highway Improvement Scheme became operational and shall be submitted to the Overseeing Organisation. The Stage 4 Road Safety Audit process is an evidence led review of personal injury collisions that have occurred in the vicinity of the Highway Improvement scheme. The collision records shall be analysed in detail to identify:

- locations at which personal injury collisions have occurred; and
- personal injury collisions that appear to arise from similar causes or show common factors.

- 2.46. When considering the timing of the 12 month and 36 month Stage 4 Road Safety Audits, allowance should be made for any significant changes that may have been implemented as a result of the Stage 3 Road Safety Audit. In the case where there have been significant changes following the period the scheme first became operational, then the 12 month and 36 month reports should make reference to these changes and their potential impact on the personal injury collision history.
- 2.47. The analysis of personal injury collision data should include identification of changes in the collision population in terms of number, rate (taking account of any traffic flow changes), types and other collision variables, comparisons should be made with control data. Where the Highway Improvement Scheme is an on-line improvement then the collision record before the scheme was built should be compared with the situation after opening. The collision data should be analysed to identify the influence of problems and recommendations identified at previous Road Safety Audit stages, and any Exception Reports.
- 2.48. If collision records are not sufficiently comprehensive for detailed analysis, the Police should be contacted to ascertain the availability of statements and report forms, which could aid the 12 month and 36 month data analysis.

- 2.49. Where no personal injury collisions have been recorded in the vicinity of the Highway Improvement Scheme over the 12 month or 36 month periods, a formal Stage 4 Road Safety Audit collision monitoring report is not required. If, for the above reason, the Project Sponsor decides not to proceed with the Stage 4 Road Safety Audit collision monitoring report, then this decision must be formally recorded, with appropriate reasoning, on their Highway Improvement Scheme file (or equivalent).
- 2.50. At Road Safety Audit Stage 4 all Road Safety Audit Team members must visit together the sites of Highway Improvement Schemes:
- where higher than expected numbers of personal injury collisions have occurred since the scheme became operational (when compared to control data); or
 - where the personal injury collision rate or severity has increased since the scheme became operational; or
 - where characteristics within the personal injury collision data post-opening show unexpected common trends (e.g. a high frequency of personal injury collisions during the hours of darkness or on a wet road surface).

- 2.51. When a site visit is undertaken (for the reasons identified in paragraph 2.50), the Road Safety Audit Team should consider if the personal injury collision analysis justifies an inspection during a particular time period (e.g. the hours of darkness or peak hour).
- 2.52. The Stage 4 Road Safety Audit collision monitoring report should identify any road safety problems indicated by the collision data analysis and any related observations during any site visits undertaken. The report should make recommendations for remedial action as appropriate.
- 2.53. Illustrative Stage 4 Road Safety Audit Reports examining 12 months and 36 months of collision data are contained in Annexes G and H respectively.

Developer-led and Third Party Organisation-led Schemes

2.54. The design and Road Safety Audit process for developer-led and third party organisation-led Highway Improvement Schemes can vary from the process for Overseeing Organisation promoted Highway Improvement Schemes. Most significantly, the scheme may be designed by an organisation working for the developer or third party organisation rather than an organisation working for the Overseeing Organisation. The developer-led scheme will be submitted for planning approval to the local planning authority and, where there are highway implications, the highway or road authority will be consulted. The following paragraphs provide additional requirements and guidance for all organisations involved in the Road Safety Audit of developer-led and third party organisation led Highway Improvement Schemes.

- 2.55. Where developer-led schemes or third party organisation-led schemes will result in Highway Improvements Schemes (as defined in paragraph 1.20) on the motorway and trunk road network, the contents of this Standard must be followed for all Stages of Road Safety Audit.
- 2.56. The Road Safety Audit Team approval and appointment must follow the process set out in paragraphs 2.70 to 2.75 of this Standard. As with highway or road authority promoted schemes, the Overseeing Organisation responsible for the affected motorway or trunk road is responsible for ensuring that the developer-led or third party scheme complies with the Road Safety Audit procedure as detailed in this Standard.
- 2.57. A Road Safety Audit Brief must be prepared and issued in accordance with paragraphs 2.87 and 2.88 of this Standard for all Road Safety Audit Stages (see Annex E).
- 2.58. A Stage 1 Road Safety Audit (or combined Stage 1 & 2 Road Safety Audit where there has been no preliminary design) must be undertaken before planning consent is applied for.
- 2.59. The process of issuing and considering the draft Road Safety Audit Report identified in paragraphs 2.102 to 2.106 of this Standard must be followed for both developer-led and third party led schemes for all Road Safety Audit Stages. Once the Road Safety Audit Report has been finalised, the scheme Designer is responsible for producing a Road Safety Audit Response Report in accordance with paragraphs 3.1 and 3.2 of this Standard.
- 2.60. At all Road Safety Audit Stages, recommendations made in the Road Safety Audit Report that impact on the motorway or trunk road network must be either incorporated into the design, included within the constructed scheme or dealt with by means of Exception Report(s) to the satisfaction of the Overseeing Organisation Project Sponsor and Director. In the case of the Stage 1 Road Safety Audit Report (or combined Stage 1 & 2 Road Safety Audit Report), recommendations must be accommodated or Exceptions Reports produced to the satisfaction of the Overseeing Organisation Project Sponsor and Director prior to planning consent being given.
- 2.61. At all stages the Project Sponsor is responsible for the production of any Exception Reports. Typically the Project Sponsor will request that the developer or third party organisation produces the Exception Report(s) on their behalf. The Exception Report(s) must be produced to the satisfaction of the Overseeing Organisation's Project Sponsor and Director, for elements of the scheme on the motorway or trunk road network. The Exceptions Report(s) must be agreed with the Overseeing Organisation's Project Sponsor and Director prior to the scheme progressing to the next stage.

Design Changes and Road Safety Audit Shelf Life

- 2.62. Stage 1, Combined Stage 1 & 2 and Stage 2 Road Safety Audits must be repeated if the scheme design materially changes, if there are many minor changes which could together impact on road user safety, or if the previous finalised Road Safety Audit for the relevant stage is more than 5 years old. In the case of minor changes to a Highway Improvement Scheme then the repeated Road Safety Audit should only be concerned with the elements of the scheme that have been changed. If the changes are more significant or if there are many minor changes then the whole Road Safety Audit stage should be repeated.
- 2.63. Throughout the period following the Stage 2 Road Safety Audit, the Design Organisation and/or Contractor must keep the Project Sponsor informed of all design changes that occur so that any requirement for an additional Stage 2 Road Safety Audit can be identified. The Project Sponsor must then initiate any additional Road Safety Audits required.

Interim Road Safety Audit

- 2.64. The requirement for independence need not prevent contact between the Design Team and the Road Safety Audit Team throughout the design and construction process, provided certain conditions are met (see paragraph 2.68). The Interim Road Safety Audit process can provide the benefit of early identification of potential road safety problems leading to savings in both programme and design costs. This could be particularly beneficial to larger projects with accelerated programmes, such as Highway Improvement Schemes involving early contractor involvement.

- 2.65. The Project Sponsor will decide whether to employ Interim Road Safety Audit. Design Teams must not contact Road Safety Audit Teams without the Project Sponsor's prior written authorisation. Road Safety Audit Teams undertaking Interim Road Safety Audit must only be appointed with the approval of the Project Sponsor in accordance with paragraphs 2.70 to 2.75 of this Standard.

- 2.66. Subject to the Project Sponsor's prior agreement, at any time during the preliminary and detailed design stages, Designers may submit or be instructed to submit designs of the whole or parts of schemes to the Road Safety Audit Team for completion of an Interim Road Safety Audit. The Road Safety Audit Team and Design Team are permitted to meet if considered necessary, to enable the Design Team to explain their designs and the Road Safety Audit Team to explain any identified problems and recommendations. This meeting should be chaired by the Project Sponsor.
- 2.67. In addition, Interim Road Safety Audit may be employed during the construction process with the agreement of the Project Sponsor. Elements of the constructed scheme may be subjected to Interim Road Safety Audit, when works are partially complete or when individual elements or sections of the scheme are complete and opened to road users in stages.

2.68. Interim Road Safety Audit is subject to the following conditions:

- Road Safety Audit Teams must report in the format illustrated in the Road Safety Audit Report in Annex F, namely the “problem/recommendation” format, unless instructed differently by the Project Sponsor in writing.
- Road Safety Audit Teams must limit their reports to matters within the scope of this Standard.
- Minutes of meetings must be recorded.
- All communications between the Road Safety Audit and Design Teams including design submissions, Interim Road Safety Audit Reports and minutes of meetings must be submitted to the Project Sponsor.
- Interim Road Safety Audit supplements the Road Safety Audits at Stages 1, 2, 3 and 4, therefore these Stage 1, 2, 3 and 4 Road Safety Audits must also be carried out and reported.

2.69. The Road Safety Audit Team will require a Road Safety Audit Brief for an Interim Road Safety Audit. This should contain as many of the items given in paragraph 2.89 as are available.

Road Safety Audit Team Approval and Appointment

2.70. Responsibility for the appointment of the Road Safety Audit Team at all stages will vary according to the procurement method for the scheme. Reference should be made to the scheme contract documents or the Overseeing Organisation for each scheme. If it is considered appropriate, the Project Sponsor may ask the Design Organisation to propose a Road Safety Audit Team for approval.

2.71. It is a fundamental principle of the Road Safety Auditing process that the Road Safety Audit Team is independent from the Design Team (see paragraph 1.6). The Project Sponsor must not accept a Road Safety Audit Team where its independence from the Design Team is in doubt. In such cases, an alternative Road Safety Audit Team must be proposed.

2.72. At Road Safety Audit Stages 1, 2, 3 and 4 the Road Safety Audit Team must comprise the Audit Team Leader and at least one Audit Team Member. This enables discussion between the Road Safety Auditors of the problems and recommendations and maximises the potential to identify problems. Road Safety Audit Team Observers may also join the Road Safety Audit Team to gain experience in carrying out Road Safety Audit. However, the number of Road Safety Audit Team Observers shall be limited to a maximum of two.

2.73. The Road Safety Audit Team must satisfy the Project Sponsor of their competence to undertake the Road Safety Audit. Members of the Road Safety Audit Team must demonstrate their competence by means of a road safety specific curriculum vitae. The information provided in the curriculum vitae must concisely set out how the proposed Road Safety Audit Team member’s training, skills and experience (including Continuing Professional Development) align with the guidance and requirements of this Standard. Approvals of the Road Safety Audit Team are scheme specific and the use of personnel or organisations on previous Road Safety Audit work does not guarantee their suitability to Road Safety Audit other schemes. Experience must be relevant to the type of scheme being Road Safety Audited and this relevant experience must be identified in the proposed Road Safety Audit Team members’ curriculum vitae.

2.74. At all Road Safety Audit stages the Project Sponsor is responsible for approving the Road Safety Audit Brief which shall be issued to the Road Safety Audit Team.

- 2.75. It is not necessary for the same Road Safety Audit Team to undertake all Road Safety Audit stages of a scheme, however, any changes to a Road Safety Audit Team and its individual members will require further approval from the Project Sponsor.

Road Safety Audit Team Training, Skills and Experience

- 2.76. Paragraphs 2.77 to 2.84 include guidance on the general levels of training, skills and experience that are expected of Road Safety Auditors. Most are not mandatory requirements but are intended to assist Project Sponsors when considering proposals for Road Safety Audit Teams and also to assist potential auditors to prepare themselves as candidates for Road Safety Audit Teams. The guidance is intended to be flexible, recognising that the experienced road safety professionals that are needed to carry out Road Safety Audits may have developed their careers from a range of backgrounds.
- 2.77. The most appropriate candidates for Audit Team Leader and Audit Team Member are individuals whose recent experience involves Collision Investigation or Road Safety Engineering on a regular basis. This should ensure that Road Safety Auditors are well versed in the most recent practices and developments in the field. Those candidates who have the recommended experience in Collision Investigation or Road Safety Engineering experience, but who have not undertaken such work on a regular basis in the previous 2 years, are unlikely to be acceptable, due to their lack of current relevant experience.
- 2.78. Candidates who carry out Road Safety Audits full time, to the exclusion of Collision Investigation or Road Safety Engineering work are unlikely to be acceptable as they may lack the appropriate and recent Collision Investigation or Road Safety Engineering experience.
- 2.79. Road Safety Auditors should also have an understanding of how best practice highway design principles may benefit road safety. It is not intended that Road Safety Auditors have extensive detailed design knowledge. However, they should have a reasonable understanding of design Standards and best practice design principles, and how the application of these can minimise collision risk.

2.80. The Continuing Professional Development (CPD) record included in the curriculum vitae must focus on Road Safety Audit, Collision Investigation and Road Safety Engineering. It shall include any other relevant CPD, covering areas such as highway design, traffic management and highway maintenance.

- 2.81. It should be noted that relevant CPD does not have to take the form of formal training courses alone. Outcome based structured reading, the preparation and presenting of relevant material and work based learning can all form part of a CPD record. Examples of what constitutes CPD can be found in places such as the Engineering Council (ECUK) web site.

2.82. Road Safety Audit Teams comprised of highway design engineers with little or no experience of road safety work are not acceptable.

- 2.83. The following list gives guidelines on acceptable training, skills and experience for Road Safety Audit Team Members:
- **Road Safety Audit Team Leader:** A minimum of 4 years Collision Investigation or Road Safety Engineering experience. Completion of at least 5 Road Safety Audits in the past 12 months as a Road Safety Audit Team Leader or Member. In order to become an Audit Team Leader the auditor will already have achieved the necessary training to become an Audit Team Member. However, they should also demonstrate a minimum 2 days CPD in the field of Road Safety Audit, Collision Investigation or Road Safety Engineering in the past 12 months.

- **Road Safety Audit Team Member:** A minimum of 2 years Collision Investigation or Road Safety Engineering experience. Completion of at least 5 Road Safety Audits as Road Safety Audit Team Leader, Member or Observer in the past 24 months. The Road Safety Audit Team Member should have attended at least 10 days of formal Collision Investigation or Road Safety Engineering training to form a solid theoretical foundation on which to base practical experience. They should also demonstrate a minimum of 2 days CPD in the field of Road Safety Audit, Collision Investigation or Road Safety Engineering in the past 12 months.
- **Road Safety Audit Team Observer:** A minimum of 1 year Collision Investigation or Road Safety Engineering experience. The Road Safety Audit Team Observer should have attended at least 10 days of formal Collision Investigation or Road Safety Engineering training.

Road Safety Auditor Certificate of Competency

- 2.84. At least one individual within the Road Safety Audit Team undertaking Road Safety Audit on the motorway and/or trunk road network must hold a Certificate of Competency in Road Safety Audit, acquired in accordance with Annex J of this Standard.

Specialist Advisors

- 2.85. The Overseeing Organisation, Design Organisation and the Road Safety Audit Team should consider if there are any particular features of the project, such as complex signal controlled junctions, temporary traffic management or maintenance issues that warrant the appointment of Specialist Advisors to advise the Road Safety Audit Team. Appointment of Specialist Advisors is subject to the approval of the Project Sponsor who would separately instruct them on their role. A Specialist Advisor is not a member of the Road Safety Audit Team but advises the team on matters relating to their specialism.

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- 2.86. Paragraphs 2.76 to 2.84 of this Standard supersede the indicative levels of experience, professional status, training and competency suggested in **GD 02/08 “Quality Management Systems for Highway Design” (DMRB 0.1.2)** for Road Safety Auditors.

Road Safety Audit Brief

- 2.87. The Road Safety Audit Brief defines the scope of the Road Safety Audit to be undertaken. The Project Sponsor has overall responsibility for the Road Safety Audit Brief. However, the Design Team may prepare the Road Safety Audit Brief on their behalf. A copy of the Road Safety Audit Brief must be forwarded to the Project Sponsor for formal approval in advance of the Road Safety Audit. The Project Sponsor may instruct the Design Team to delete unnecessary items or to include additional material, as they consider appropriate. The Project Sponsor must document the reasons for deleting or adding any information to the Road Safety Audit Brief. The Project Sponsor must issue the Road Safety Audit Brief and instruct the Road Safety Audit Team when the scheme is ready to be Road Safety Audited.
- 2.88. To maximise the benefit from the Road Safety Audit process, the Road Safety Audit Brief needs careful preparation and must include sufficient information to enable an efficient and effective Road Safety Audit to be undertaken.

- 2.89. An illustrative Road Safety Audit Brief is shown in Annex E of this Standard. A Road Safety Audit Brief should contain the following:
- a) A description of the proposed Highway Improvement Scheme clearly identifying its objectives.
 - b) Scheme drawings showing the full geographical extent of the scheme and including the areas beyond the tie-in points.
 - c) Details of determined and pending Departures and Relaxations from Standards, and/or the Design Strategy Record(s) where they have been produced for an improvement to an existing motorway or trunk road.
 - d) Clear identification of the elements of the scheme proposals included within the scope of the Road Safety Audit to be undertaken and also those elements of the scheme that fall outside of the scope, including strategic decisions. The Road Safety Audit Brief should clearly identify where the scope of the Road Safety Audit has been extended to allow consideration of strategic decisions.
 - e) General scheme details, to help give an understanding of the purpose of the scheme and how the layout will operate, including design speeds, speed limits, traffic flows, forecast flows, queue lengths, NMU flows and desire lines (including NMU Context and Audit reports undertaken in accordance with **HD 42/05 (DMRB 5.2.5)**). Also details of any environmental constraints on the design and how these may have affected any strategic decisions made.
 - f) Details of any safety risk assessments undertaken as part of the design process (on the Strategic Road Network in England these will be undertaken with reference to **GD 04/12 “Standard for Safety Risk Assessment on the Strategic Road Network” (DMRB 0.2.3)**).
 - g) Any other relevant factors which may affect road safety such as adjacent developments (existing or proposed), proximity of schools or retirement/care homes and access for emergency vehicles.
 - h) The Road Safety Audit Brief should identify if the location of the Highway Improvement Scheme should be visited at a particular time of the day (e.g. peak traffic periods or beginning or end of the school day).
 - i) For on-line schemes and at tie-ins, the previous 36 months personal injury collision data in the form of ‘stick plots’ and interpreted listings. The personal injury collision data should cover both the extent of the scheme and the adjoining sections of highway.
 - j) At Road Safety Audit Stages 2 and 3, details of any changes introduced since the previous Road Safety Audit stage.
 - k) Any changes in the Highway Improvement Scheme that are not shown on the design or As-Built drawings.
 - l) Plans using an appropriate scale for the Road Safety Audit Team to mark up for inclusion in the Road Safety Audit Report.
 - m) Previous Road Safety Audit Reports, Interim Road Safety Audit Reports, Road Safety Audit Response Reports and Exception Report(s)

- n) Contact details of the Maintaining Agent to whom any identified maintenance defects should be notified (by telephone and immediately confirmed in writing for serious defects) separately from the Road Safety Audit Report (see paragraph 2.105).
- o) Details of the appropriate police contact.
- p) Details of any site access arrangements including any specific health & safety requirements such as inductions, Personal Protective Equipment and vehicle livery requirements.

2.90. If the Road Safety Audit Team considers the Road Safety Audit Brief to be insufficient for their purpose, requests for further information shall be made to the Design Team Leader and copied to the Project Sponsor. Any information requested but not supplied to the Road Safety Audit Team must be identified in the introduction to the Road Safety Audit Report.

Road Safety Audit Management

- 2.91. The Project Sponsor and Design Team should liaise and ensure that the Road Safety Audit process is initiated at the appropriate stages, allowing sufficient programme time to complete the full Road Safety Audit procedure. This should include an allowance for the incorporation of design changes.
- 2.92. The Design Team should ensure that the Road Safety Audit Team is given sufficient notice of when the scheme will be ready for Road Safety Audit and the date by which the report will be required.

2.93. The Road Safety Audit Team Leader must invite representatives of the Police and the Maintaining Agent to accompany the Road Safety Audit Team to offer their views for the Stage 3 Road Safety Audit.

- 2.94. The Road Safety Audit Team Leader may also, with the approval of the Project Sponsor, invite representatives of the Police and the Maintaining Agent to advise on Road Safety Audits at Stages 1, 2 and 4 where the Road Safety Audit Team Leader considers that their participation will benefit the Road Safety Audit.
- 2.95. During any Road Safety Audit site visit the total number of Road Safety Audit Team Members and its advisors should not exceed 6 individuals. This is because traversing sites in large groups can make the Road Safety Audit process more complex and could increase the potential for health & safety issues.
- 2.96. Site visit risk assessments should be produced prior to visiting site and reviewed during the site visit should conditions change. Risk assessment should be undertaken in accordance with the latest health and safety guidance/legislation and the Road Safety Audit organisation's Health & Safety policy. Any control measures identified during the site visit risk assessment process should be adhered to.

Road Safety Audit Report

- 2.97. At all Stages, the Road Safety Audit Team must prepare a written report. For Stage 4 Road Safety Audit Reports see paragraph 2.43 to 2.53. Stage 1, 2 and 3 Road Safety Audit Reports shall include:
- a) Identification of the Road Safety Audit stage including a unique document reference number and the status of the Road Safety Audit Report.
 - b) A brief description of the proposed Highway Improvement Scheme including details of its location and its objectives.
 - c) Details of who supplied the Road Safety Audit Brief, who approved the Road Safety Audit Brief and who approved the Road Safety Audit Team.
 - d) Identification of the Road Safety Audit Team membership as well as the names of others contributing such as the Police, Maintaining Agent and Specialist Advisors.
 - e) Details of who was present at the site visit, the date and time period(s) when it was undertaken and what the site conditions were on the day of the visit (weather, traffic congestion, etc.).
 - f) The specific road safety problems identified, supported with the background reasoning.
 - g) Recommendations for action to mitigate or remove the road safety problems.
 - h) A location map based on the scheme plan(s), marked up and referenced to problems and if available, photographs of the problems identified.
 - i) A statement, signed by both the Road Safety Audit Team Leader and the Road Safety Audit Team Member(s) in the format given in Annex D.
 - j) A list of documents and drawings reviewed for the Road Safety Audit.
- 2.98. The Road Safety Audit Report must contain a separate statement for each identified problem describing the location and nature of the problem and the type of collisions or incident considered likely to occur as a result of the problem. When deciding whether to include a potential problem, a Road Safety Auditor must consider who may be involved in a collision and how it might happen. If a collision type cannot be associated with the problem being considered, then it may not be appropriate to include the problem in the Road Safety Audit Report.
- 2.99. Each problem must be followed by an associated recommendation. The Road Safety Audit Team must aim to provide proportionate and viable recommendations to eliminate or mitigate the identified problems. On the Strategic Road Network in England, this will require awareness of the Highways Agency's level of tolerability of safety risk for road users referred to in **GD 04/12 (DMRB 0.2.3)**. Recommendations to "consider" should be avoided. Recommendations to "monitor" must only be made where a need to supplement the scheduled Stage 4 Road Safety Audit monitoring is specifically identified in terms of frequency and incidence of particular vehicle manoeuvres or collision contributory factors and the monitoring task can be specifically allocated. The use of the word "must" shall also be avoided in Road Safety Audit recommendations, as this may be misinterpreted as an instruction from the Road Safety Audit Team.
- 2.100. Items such as correspondence with the Overseeing Organisation or copies of marked up checklists must not be included in the Road Safety Audit Report.

2.101. An illustrative Stage 2 Road Safety Audit Report is shown in Annex F. The Road Safety Audit Report format shown is recommended for use for Road Safety Audit Stage 1, 2 and 3 Audits. Alternatively, the Project Sponsor may instruct the Road Safety Audit Team via the Road Safety Audit Brief to present the problems and recommendations in an alternative format, such as the order that they are encountered progressing along the length of the Highway Improvement Scheme.

- 2.102. The Road Safety Audit Team must send a draft Road Safety Audit Report directly to the Project Sponsor and not via the Design Team. The Road Safety Audit Team Leader shall discuss the draft Road Safety Audit Report with the Project Sponsor prior to formal submission so that misinterpretations of the scheme proposals or anything agreed to be outside the terms of reference can be identified and removed. If a Project Sponsor is unsure if a particular item should be removed from a Road Safety Audit Report, they must formally consult with an appropriate Specialist from the Overseeing Organisation.
- 2.103. Where the Project Sponsor agrees a variation on a recommendation with the Road Safety Audit Team Leader, this revised recommendation must be incorporated into the final Road Safety Audit Report. The Road Safety Audit Team Leader must consider the need to discuss variations with the Road Safety Audit Team and Specialist Advisors before variations are made and the final Road Safety Audit Report submitted to the Project Sponsor.
- 2.104. The Road Safety Audit Team Leader must not include in the Road Safety Audit Report, technical matters that have no implications on road safety or any other matters not covered by the Road Safety Audit Brief, such as maintenance defects observed during site visits and health & safety issues.
- 2.105. The Road Safety Audit Team Leader must send any comments on matters that are not covered by the Road Safety Audit Brief to the Project Sponsor in separate correspondence. Maintenance defects noted during site visits shall be immediately reported direct to the Maintaining Agent and the Project Sponsor must also be informed.
- 2.106. On receipt of the finalised Road Safety Audit Report, the Project Sponsor must issue the document to the Design Team to allow them to prepare a Road Safety Audit Response Report in accordance with this Standard.

3 ROAD SAFETY AUDIT – SUBSEQUENT ACTIONS

Road Safety Audit Response Report

3.1. It is the Project Sponsor's responsibility to ensure that all problems raised by the Road Safety Audit Team are given due consideration. To assist with this, the Design Team must prepare a Road Safety Audit Response Report to the Road Safety Audit Report at the Stage 1, Combined 1 & 2, Stage 2 and Stage 3 Road Safety Audits.

3.2. An illustrative Road Safety Audit Response Report is shown in Annex K. The Road Safety Audit Response Report should include the following:

- a) A summary of the scheme, the Stage of Road Safety Audit, the document reference and date of the Road Safety Audit Report it considers.
- b) Full consideration of each problem and recommendation raised in the Road Safety Audit Report.
- c) The Road Safety Audit Response Report should reiterate each problem and recommendation made, followed by a suggested Road Safety Audit response from the Design Team. The Road Safety Audit Response Report should include the problem location plan provided in the Road Safety Audit Report.
- d) The Road Safety Audit Response Report should, for each problem and recommendation, do one of the following:
 - accept the problem and recommendation made by the Road Safety Audit Team;
 - accept the problem raised, but suggest an alternative recommendation, giving reasoning for the alternative recommendation or;
 - disagree with the problem and recommendation raised, giving appropriate reasoning for rejecting both the problem and recommendation.
- e) Details of the representatives from the Design Team who prepared the Road Safety Audit Response Report.

3.3. The Design Team Leader shall send a draft Road Safety Audit Response Report to the Project Sponsor for consideration. Where the Project Sponsor agrees an amendment to a response with the Design Team Leader, this amendment shall be incorporated into the final Road Safety Audit Response Report. If a Project Sponsor is unsure about the contents of a Road Safety Audit Response Report they must formally consult with an appropriate Specialist from the Overseeing Organisation.

3.4. It is possible that the Project Sponsor may not be able to agree all the responses with the Design Team Leader. In this situation the final Road Safety Audit Response Report should identify this difference of opinion.

3.5. The Road Safety Audit Response Report should be issued to the Project Sponsor within 1 month (or an alternative timescale as agreed with the Project Sponsor) of the Design Team receiving the finalised Road Safety Audit Report.

- 3.6. The Project Sponsor must provide a copy of the final Road Safety Audit Response Report to the Road Safety Audit Team Leader for their information.

Exception Report(s)

- 3.7. The Road Safety Audit Response Report will initiate the requirement for an Exception Report(s) where:
- the problem and/or recommendation have not been accepted in the final Road Safety Audit Response Report and the Project Sponsor agrees with the response; or
 - the Road Safety Audit Response Report accepts a problem and/or recommendation, but the Project Sponsor does not agree with the Road Safety Audit Response Report.
- 3.8. An Exception Report must also be produced if the Project Sponsor considers:
- any Road Safety Audit problem raised to be insignificant; or
 - the Road Safety Audit problem to be outside the scope of the Road Safety Audit Brief; or
 - that the Road Safety Audit solutions recommended are not suitable given the relevant economic, environmental, or other relevant constraints; or
 - that the Road Safety Audit recommendations are technically not feasible.
- 3.9. In the situations identified in paragraphs 3.7 and 3.8 above, the Project Sponsor must prepare an Exception Report giving reasons and proposing alternatives for submission to the Overseeing Organisation's Director, with whom the final decision rests. Where an Exception Report(s) is approved by the Director, a record of this approval must be kept by the Project Sponsor on the Overseeing Organisation's scheme file (or equivalent). Should the Director disagree with the contents of the Exception Report(s), the Project Sponsor will either implement the Road Safety Audit Recommendation(s) or amend the Exception Report(s) to the satisfaction of the Overseeing Organisation Director.
- 3.10. If there is more than one exception in respect of a Road Safety Audit then each exception must be considered and approved separately.
- 3.11. When preparing Exception Report(s) on the Strategic Road Network in England, Project Sponsors must follow the principles contained in **GD 04/12 (DMRB 0.2.3)**. So when compiling an Exception Report(s) the Project Sponsor must ensure that an appropriate risk assessment is undertaken with consideration of the road safety risks associated with the potential problem and/or recommendation. The Project Sponsor must also consider the impact on other road users, those working on the highway, those living or working adjacent to the highway and the impact on the environment and scheme costs.

- 3.12. When producing Exception Reports, Project Sponsors may contact the Overseeing Organisation Specialists for advice.

- 3.13. The Project Sponsor shall provide copies of each approved Exception Report to the Design Team and Road Safety Audit Team Leader for action and information respectively.
- 3.14. For schemes undertaken on the Highways Agency road network, the Project Sponsor must also provide electronic copies of the final Road Safety Audit Reports, Road Safety Audit Response Reports and any Exceptions Reports to the Highway Agency Safer Roads - Design Team for their records.

Subsequent Actions

- 3.15. The Project Sponsor must instruct the Design Team in respect of any changes required during the preparation, design and construction of the scheme resulting from Road Safety Audit.

- 3.16. If the changes are substantial, the Project Sponsor should resubmit the Highway Improvement Scheme or element of the scheme that has materially changed for a further Road Safety Audit (see paragraphs 2.62 and 2.63). If a Project Sponsor is unsure if the Highway Improvement Scheme or element of the scheme needs to be resubmitted for Road Safety Audit they should formally consult with an appropriate Specialist from the Overseeing Organisation.

- 3.17. The Project Sponsor is responsible for initiating prompt action on all recommendations in the Road Safety Audit Report and on all Exception Reports approved by the Director. The Project Sponsor must notify the Director of the reasons if works to implement Stage 3 Road Safety recommendations or alternative measures proposed in Exception Reports, are not completed within 6 months of acceptance of the Stage 3 Road Safety Audit recommendations and/or approval of Exception Reports.
- 3.18. The Stage 4 Road Safety Audit Reports (see paragraphs 2.43 to 2.53) must be submitted to the Overseeing Organisation who will consider the reports and decide on appropriate action. Decisions made by the Project Sponsor in respect of the Stage 4 Road Safety Audit recommendations must be recorded by the Project Sponsor on the Overseeing Organisation's scheme file (or equivalent).

4. REFERENCES

- 1) Safety at Street Works and Road Works A Code of Practice – Department for Transport, October 2013
- 2) Department for Transport Traffic Signs Manual (TSM) Chapter 8 (2009)
- 3) GD 02/08, DMRB 0.1.2, Quality Management Systems for Highway Design
- 4) GD 04/12, DMRB, 0.2.3, Standard for Safety Risk Assessment on the Strategic Road Network
- 5) HD 42/05, DMRB, 5.2.5, Non-Motorised User Audits
- 6) European Commission (EC) Directive 2008/96/EC on Road Infrastructure Safety Management