

Agenda Item No. 7(h)

**DERBYSHIRE COUNTY COUNCIL**

**CABINET**

**25 April 2017**

Report of the Strategic Director – Economy, Transport and Communities

**DERBYSHIRE COUNTY COUNCIL - ADOPTION OF ROAD SAFETY AUDIT  
POLICY AND GUIDANCE (HIGHWAYS, TRANSPORT AND  
INFRASTRUCTURE)**

(1) **Purpose of Report** To seek Cabinet approval to adopt a Road Safety Audit Policy and Guidance for Highway Improvement schemes on the Derbyshire Highway Network.

(2) **Information and Analysis** A Road Safety Audit (RSA) is a process of evaluating the safety issues associated with highway improvement schemes that will affect Derbyshire's Highway Network. It provides an opportunity to identify safety issues that adherence to design standards may unwittingly create, and recommend potential solutions to ensure the safe operation of the network and safety of all road users.

Although RSAs are a mandatory requirement for schemes affecting trunk roads and motorways managed by Highways England, there is no legal requirement for Local Highway Authorities (LHAs) to undertake RSAs on improvements to its network. It is, however, considered best practice for LHAs to adopt 'in principle' the requirements of the current Department for Transport (DfT) Design Manual for Roads and Bridges HD 19/15 Road Safety Audit.

As a consequence, the RSA Policy developed for Derbyshire's Highway Network is recommended for both County Council schemes and developer led schemes, subject to a risk assessment determining the actual need with specific reference to the location, road hierarchy, speed, accident history and consequences of associated development.

A copy of the proposed Policy is attached at Appendix 1 - RSA Policy and Guidance.

The templates that support this Policy are available on request.

(3) **Financial Considerations** The undertaking of RSAs can be met from existing staffing resources.

(4) **Legal Considerations** The Council has, for many years, undertaken or sought a RSA on developer led highway improvement schemes but has not always undertaken RSAs on its own highway improvement schemes. Adopting the recommended RSA Policy and Guidance will ensure all future highway improvement schemes will be assessed, subject to a risk assessment, resulting in a safer highway network for users

(5) **Social Value Considerations** Highway improvement schemes are undertaken in order to improve the networks capacity, safety and/or to accommodate a new junction, either as a result of a new development or to meet a change in demand by the road user. A RSA is the method used to ensure that the design of a scheme is not just based on design standards, but to ensure that the improvements provide a safe and reliable addition to the network that promotes the safety of road users and creates a safer Derbyshire.

In preparing this report the relevance of the following factors has been considered: prevention of crime and disorder, equality and diversity, human resources, environmental, health, property and transport considerations.

(6) **Key Decision** No.

(7) **Call-In** Is it required that call-in be waived in respect of the decisions proposed in the report? No.

(8) **Background Papers** Held on file within the Economy, Transport and Communities Department. Officer contact details – Steve Mead, extension 38577.

(9) **OFFICER'S RECOMMENDATIONS** That Cabinet:

9.1 Approves the adoption of the Road Safety Audit Policy and Guidance.

9.2 Authorises the Strategic Director – Economy, Transport and Communities, in consultation with the Cabinet Member – Highways, Transport and Infrastructure to approve any future technical changes that may be required from time to time to the Road Safety Audit Policy and Guidance.

**Mike Ashworth**  
**Strategic Director – Economy, Transport and Communities**

# **Derbyshire County Council Economy, Transport and Communities Department**

## **ROAD SAFETY AUDIT POLICY and GUIDANCE**

**(A TECHNICAL ANNEXE TO THE HIGHWAY NETWORK MANAGEMENT PLAN)**

Issue Date: 2017

**Mike Ashworth**

**Strategic Director of Economy, Transport and Communities**

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## SECTION 1 - FOREWORD

### 1.1 SPECIAL NOTE

#### 1.1.1 This document revokes the following documents, as appropriate:

- a. ***'Highways Development Control Road Safety Audit Policy'*** dated May 2006 – withdrawn in its entirety.
- b. **Parts of the *'6Cs Design Guide'***, that relate to road safety audits – where there is any disparity.

### 1.2 GENERAL

1.2.1 This document is an appendix to the Highway Network Management Plan (HNMP).

1.2.2 The required changes to the previous version are essential to reflect the latest standards being adopted by the Council as guided by the Midland Service Improvement Group (MSIG)<sup>1</sup>, other authorities and national guidance.

1.3 For further information see Appendix A – Endnote.

1.4 This Policy will be reviewed 2 years after the Issue Date.

## SECTION 2 – Policy

2.1 Derbyshire County Council as Highway Authority has a responsibility to ensure safe passage along the highway.

2.2 Therefore the Highway Authority is responsible for ensuring that any schemes affecting the highway do not result in a detrimental effect on user safety.

2.3 In 2015, the Highways Agency (at that time – now Highways England) produced a standard within the Design Manual for Roads and Bridges, for road safety audits, HD19/15.

2.4 Road Safety Audits (RSAs) offer an opportunity for checks to be undertaken at various stages of a highway scheme, from design to completion and beyond, to ensure that it will be fit for purpose.

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<sup>1</sup> This Service Improvement Group is a collective of Midlands and North West English Shire Counties, Shire Unitaries and City Unitaries sharing Best Practice within the disciplines of Highways and Transportation.

- 2.5 Although it is only a mandatory requirement for RSAs to be carried out for all trunk road and motorway highway improvement schemes, it is considered best practice for highway authorities to adopt this in principle.
- 2.6 Derbyshire County Council has therefore made a commitment to ensure that all Developer Led and internal schemes affecting the Derbyshire County Council Highway Network, are appropriately assessed to determine whether or not they require a RSA.

## SECTION 3 – OVERVIEW, PURPOSE AND SCOPE

### 3.1 Overview

- 3.1.1 Whilst it is considered best practice for highway authorities to adopt HD19/15, taking into consideration the need for highway authorities to provide a value for money service, the Council has reserved the right to adopt a risk management approach in determining which internal schemes on the Derbyshire County Council Highway Network (DCCHN) will require a RSA.
- 3.1.2 A RSA considers all components of a highway improvement scheme, their impact on the network under **all** anticipated operating conditions and their road safety implications on **all** types of road user.
- 3.1.3 The principle of a RSA is to ensure that consideration is given to the effects of any proposal on **all** road users, especially **all** vulnerable user groups as follows:
- the very young
  - the elderly
  - people with impaired mobility
  - pedestrians
  - cyclists
  - riders of powered two wheeled vehicles
  - equestrians
- 3.1.4 Whilst a RSA is applicable to an individual junction or section of the network, it is important that as part of the audit, due consideration is given as to how the components interface with other parts of the network.
- ### 3.2 PURPOSE
- 3.2.1 A RSA is a process of aiding and evaluating highway improvement schemes that will affect the DCCHN. It is an opportunity to identify problems and suggest possible solutions to ensure the safe operation of the network and the safety of all road users.
- 3.2.2 A RSA is **not** simply a check that a scheme meets design standards.



3.2.3 RSAs can identify deficiencies before they are built into a scheme, saving time and expense, and improve the awareness of safe design practices by design, construction and maintenance personnel.

### 3.3 **SCOPE**

3.3.1 This Policy must be followed, without exception, to set the standard for carrying out RSAs for, or on behalf of, Derbyshire County Council (DCC).

3.3.2 To facilitate the Authority's commitments, this procedure shall be subject to regular reviews.

3.3.3 Users of this procedure are expected to check the Council's website periodically to ensure that they are using the most recent version.

3.3.4 This process shall apply to all DCC internal schemes requiring a RSA and all work carried out under agreement with the Council resulting from developments alongside or affecting the DCCHN.

3.3.5 A RSA will only be carried out at a planning application stage for a 'Developer Led' scheme, where Highway Development Control (HDC) recommends it or the Scheme Promoter decides to carry this out pre-submission.

3.3.6 RSAs are not required for any Section 38 schemes unless HDC require it due to departure from National or 6C's design guidance.

3.3.7 Using a Risk Assessment, the Scheme Promoter, and or Casualty Reduction Team, will evaluate the scheme at the initial design stage to ascertain whether or not a RSA is required.

3.3.8 The assessment of Developer Led schemes carried out as part of the Highway Authority's formal statutory consultation at a planning application stage are deemed to have fulfilled the requirements of Stage 1 of a RSA by virtue of the Highway Authority's independent appraisal. Given the level of supporting information submitted as part of these applications, a Risk Assessment, as detailed in Appendix E, will not be required.

3.3.9 A copy of the Risk Assessment is contained with Appendix E.

3.3.10 Definitions relating to RSAs are contained within Appendix B.

3.3.11 Roles and Responsibilities relating to RSAs are included in Appendix C.

## **SECTION 4 – DETERMINING THE NEED FOR A ROAD SAFETY AUDIT**

4.1 In order for DCC to ensure that resources available provide efficient and value for money services, the decision has been taken that not all highway improvement schemes on the DCCHN will require a RSA. All schemes will

be risk assessed to determine whether or not a RSA is required. Schemes on Principal/Strategic routes identified as requiring a RSA will be prioritised.

- 4.2 An exemption list will form part of the risk assessment to enable the Scheme Promoter to identify minor schemes that would not qualify for a RSA.
- 4.3 For schemes promoted by DCC, the responsibility for carrying out the risk assessment is with the Scheme Promoter.
- 4.4 The DCC Traffic and Safety Team must be made aware of all RSAs carried out on schemes affecting the DCCHN.

## SECTION 5 – INITIATING THE ROAD SAFETY AUDIT

- 5.1 The Scheme Promoter/HDC Team is responsible for initiating the RSA, ensuring that sufficient time is available to complete the full process. This **must** include an allowance for the potential integration of changes into the design that may arise from the RSA. In the event that not enough resources are available to undertake an audit, the work will be given to an external consultant with the relevant safety audit skills to complete.
- 5.2 The Scheme Promoter or HDC Team must be notified of the intention to undertake a RSA on the DCCHN by the Scheme Promoter to allow for the vetting of the Audit Team or external consultant to be undertaken and recorded. Sufficient advance notification of the Audit should be provided to ensure that the Audit Team has the time to respond before the Audit is commenced.
- 5.3 A RSA is initiated by the submission of the Audit Brief to the Audit Team at the appropriate stages of a scheme's development. A template document is available in the Application Pack. The submission of an Audit Brief is a mandatory requirement.
- 5.4 The Audit Team Leader will consider the Audit Brief and will direct any requests for clarification of, or inadequacies, in the Brief to the Scheme Promoter/HDC Team. If any points raised or the inadequacies are not resolved then the Audit Brief may ultimately be either rejected or, if appropriate, an earlier stage of the RSA is undertaken.
- 5.5 Where the Traffic and Safety Manager (or current equivalent) considers that it is not essential for a RSA to be carried out, then a note **must** be put on file stating why a RSA is not considered necessary – Appendix E.

## SECTION 6 – SCHEMES TO BE AUDITED

- 6.1 All DCC internal schemes will be subject to a risk assessment to ascertain whether or not they require a RSA – Appendix E.
- 6.2 Temporary traffic management schemes will not generally require auditing. However, where a temporary traffic management scheme is to remain in operation for a period of **six** months or more, then a RSA may be considered.
- 6.3 Consideration should be given to auditing temporary traffic management schemes that are to remain in operation for a period of less than **six** months if a significant impact on the DCCHN is anticipated or road safety concerns have been identified.
- 6.4 Phased traffic management schemes where each phase is less than **six** months, but the combined total of all phases exceeds **six** months, may be considered.
- 6.5 RSAs are not required for maintenance works that solely involve a like-for-like replacement or refurbishment of existing street features. However, the procedure will be considered for highway alterations that are proposed as part of a maintenance scheme.

## SECTION 7 – RESPONSIBILITY

- 7.1 **Audit Team**
  - 7.1.1 A RSA will **not** consider non-road safety related issues and it is not a technical check to confirm compliance standards.
  - 7.1.2 A RSA will **not** cover issues relating to the stability of any structure, nor the structural integrity of any proposed element or method of construction.
  - 7.1.3 A RSA **must** not be used as a means of selecting between various design options that are under consideration. A RSA may be conducted on separate options, but no definitive judgement on which option is preferable will be given.
  - 7.1.4 A RSA is **not** an opportunity to:
    - a. Query why other measures are not being proposed.
    - b. Comment on the operational characteristics of the proposals where there are no adverse safety implications.
    - c. Suggest alterations or additions to the proposals which are not as a result of a specified safety concern.

- 7.1.5 A RSA Team **must** consist of at least two members, one of which will be appointed as the Audit Team Leader and the other(s) shall be appointed as Team Member(s). Additional specialist advisors providing independent advice, for their respective specialism, may be utilised for complex features, which are outside the experience of the Audit Team members. The requirements of the Audit Team are referenced in Section 12 of this document.
- 7.1.6 Auditors are required to have the appropriate levels of training, skills and experience of accident investigation and or road safety engineering work as appropriate.
- 7.2 **Design/Highway Development Control (HDC) Team**
- 7.2.1 It is the Design Team's responsibility to create solutions/options to recommendations for improvement included in a RSA report. The decision on which option to develop will remain entirely with the Design Team.
- 7.2.2 The HDC Team may recommend to a developer's designer that a RSA be undertaken on a scheme or suggest alternatives be considered (and audited as necessary).
- 7.2.3 No part of a RSA report should be regarded as a direct instruction to include, remove or amend any scheme element. The responsibility for designing the scheme lies with the Design Team and as such, the Audit Team accepts no design responsibility for any changes made to a scheme following the completion of a RSA report.
- 7.2.4 RSAs are not a process which is required by the current Construction Design and Management (CDM) Regulations. In principle, a RSA is only concerned with the future operational road safety of a scheme and it does not deal with construction or maintenance issues relating to the project. Where a re-design is required, as a consequence of a RSA, the Design Team should conduct a further assessment of the hazards as required by the CDM Regulations.

## **SECTION 8 – STAGES OF ROAD SAFETY AUDITS**

- 8.1 RSAs are not a single procedure that is undertaken once for each scheme. A RSA and its subsequent actions shall be undertaken following completion of specific stages of a scheme's development. The stages are:
- 8.2 **Stage 1: Completion of Preliminary Design / Conceptual Design**
- 8.2.1 For DCC internal schemes, Stage 1 will be undertaken during the preliminary / conceptual design. The scheme design must be sufficiently progressed such that all significant features are clearly shown on a layout drawing at an appropriate scale (1:500).

- 8.2.2 For 'Developer Led' schemes, the need for a Stage 1 RSA will be discharged by the HDC Team as part of the planning consultation process unless specified otherwise by the HDC Team as part of the planning consultation process.

### 8.3 **Stage 2: Completion of Detailed Design**

- 8.3.1 To be undertaken as soon as practicable following completion of the detailed design. At this stage, the Audit Team will have been employed and will consider all the detailed aspects of the scheme. The scheme design must be sufficiently progressed such that it could be constructed without further development.

- 8.3.2 As a guide, the following information should be provided, as appropriate:

- a. General arrangement details
- b. Site clearance details
- c. Traffic signs and road markings
- d. Drainage alterations
- e. Street lighting alterations
- f. Traffic signal details and traffic signal staging alterations
- g. Carriageway and footway level alterations
- h. Swept path analysis
- i. Surfacing and material details / specifications

### 8.4 **Stage 3: Completion of Construction**

- 8.4.1 To be undertaken as soon as practicable after the works are complete. The Audit Team may also deem it prudent to carry out a RSA on certain schemes prior to full completion, to allow any significant issues arising to be addressed without delay. Where a RSA is carried out before the scheme is complete, a further RSA should also be carried out as soon as feasible upon completion.
- 8.4.2 Under normal circumstances, a Stage 3 RSA should be completed within **three** months following the completion of the scheme.

### 8.5 **Stage 4: Monitoring**

- 8.5.1 All 'Developer Led' schemes that have been through Stages 2-3 of a RSA **must** be subject to Stage 4 of the process unless formally exempt by the Highway Authority and an exception report prepared.

- 8.5.2 Stage 4 RSAs are not routinely undertaken on the Council's internally promoted schemes. The Council monitors the performance of highway engineering schemes through various internal processes. Where any emerging collision problems are identified, the Scheme Promoter should commission a Stage 4 RSA.
- 8.5.3 Where Stage 4 RSAs are undertaken, they will be at defined stages following the implementation of a scheme and when the required post-construction collision data is available, being:
- a. **Stage 4A** – This will be prepared using 12 months of collision data from the time the scheme became operational and 36 months of collision data prior to the commencement of construction works. A scheme is regarded to be operational from the date construction ceases on site, the location is open to the general public and all traffic management has been removed.

The collision records are analysed in detail to identify:

- I. Locations at which personal injury collisions have occurred.
  - II. Personal injury collisions that appear to arise from similar causes or show common factors.
  - III. How the scheme may have affected collision patterns and rates.
- b. **Stage 4B** – The Scheme Promoter/HDC Team, with advice from the Traffic and Safety Team, must decide if a Stage 4B RSA needs to be prepared. The decision is led by the results of the Stage 4A report, the scale of changes instigated by the original scheme, outputs from any monitoring reports and any issues since the completion of the scheme.

A Stage 4B RSA is prepared using 36 months of collision data from the time the scheme became operational and collision data for the 36 months prior to the commencement of the works.

## 8.6 **Supplementary Road Safety Audit Stages**

- 8.6.1 In addition to the defined stages detailed above, it may, at times, be beneficial to conduct combined Stage 1 / 2 audits as follows:
- a. **Combined Stage 1 and 2 Audits** (Stage 1 / 2) – For some smaller and simpler schemes, combined stage 1 / 2 RSAs can be carried out on the overall design of the schemes. It must be recognised, however, that a combined Stage 1 / 2 RSA has the disadvantage of identifying potential safety issues late in a scheme's development when corrective action may be more difficult.

## SECTION 9 – IMPARTIALITY OF THE ROAD SAFETY AUDIT TEAM

- 9.1 It is fundamental to the auditing process that no member of the Audit Team has had any design involvement with the scheme being audited and that they will maintain this independence throughout the Audit process. The Scheme Promoter/HDC Team must be satisfied as to the independence and competence of the Audit Team to undertake the RSA. The use of personnel from previous RSA work does not guarantee their suitability to undertake future Audits on the DCCHN.
- 9.2 The Council would prefer the RSA to be undertaken by a company independent to that carrying out the design of the scheme. However, if this is not possible then (subject to approval of the Highway Authority) a RSA may be undertaken by personnel from the same company provided they are from an entirely separate team or office.
- 9.3 The requirement for the Audit Team's independence does not preclude direct contact between the Audit Team and Design/HDC Team. There may be times where there is clear benefit in allowing this to happen; for example, in clarifying the Audit Brief, however, the Design/HDC Team must not, in any way, influence the outcome of the Audit by discussing any design considerations or issues with the Audit Team.
- 9.4 The Design/HDC Team shall not petition the Audit Team to change the content of the RSA report.
- 9.5 The Audit Team Leader may find it pertinent to document and store on file any important discussions between the Design/HDC Team and the Audit Team.
- 9.6 The Audit Team is not permitted to go beyond making recommendations in broad terms. In making detailed recommendations the Audit Team may be seen to be taking on design responsibilities and hence, lose its independence from the design process.

## SECTION 10 – ROAD SAFETY AUDIT EXPIRY PERIOD

- 10.1 All pre-construction RSAs have a 'shelf life' of **three** years. Where a scheme has not begun the next stage in its development within three years of the completion of the RSA, the scheme must be re-audited. This is to ensure that due consideration has been given to the scheme's interface with the current highway network and its current usage etc.
- 10.2 RSAs may need to be repeated if the Design Team or HDC Team considers that any element of a scheme has significantly changed, or the highway layout has substantially been altered, subsequent to a RSA having been undertaken.



## SECTION 11 – RISK, COMPLIANCE AND CONSEQUENCE

- 11.1 To mitigate unreasonable risk associated with an improvement to DCCHN, an evaluation of a highway improvement scheme to ensure compliance to standards, identify problems and suggest solutions to eliminate or mitigate any concerns is considered best practice.
- 11.2 As it is not practicable for the Council to undertake a RSA for all internal improvement works on the DCCHN, the Scheme Promoter will make a decision following completion of a risk assessment – Appendix E.
- 11.3 If, following the completion of the risk assessment, the Traffic and Safety Team decide that a RSA is not required; justification for the decision will need to be provided in the non-audit form (see Appendix E) using the results from the assessment as supporting evidence. The Highway Authority Traffic and Safety Manager (or current equivalent) will ultimately make the decision as to whether or not a scheme requires a RSA using all information available.

## SECTION 12 – APPOINTING THE ROAD SAFETY AUDIT TEAM

- 12.1 The Audit Team will only be made up from individuals that have the required qualifications, adequate and relevant training, skills and experience.
- 12.2 Their relevant training/employment record must:
  - a. Demonstrate the individual meets the minimum requirements set out within this section.
  - b. Clearly demonstrate that the experience and training in RSA, Collision Investigation or Road Safety Engineering is relevant to the scheme to be audited in terms of scheme type and complexity.
- 12.3 The minimum qualifications and experience for Audit Team Leaders and Team Members are as follows:
  - a. Attendance of a 10-day formally structured and recognised Collision Investigation or Road Safety Engineering course. A condensed course following the same syllabus is deemed satisfactory to meet this requirement.
  - b. A minimum of **four** years Collision Investigation or Road Safety Engineering experience (Team Leader) or a minimum of **two** years Collision Investigation or Road Safety Engineering experience (Team Member).
- 12.4 It is expected that those completing Audits on the DCCHN will be conversant with this policy and its requirements; therefore, retrospective approval will not



be given to Auditors who have not followed this policy, except in exceptional circumstances.

- 12.5 The Council reserves the right to check the validity of any information submitted as part of the verification process. This may include checking education and employment history as deemed appropriate. At the discretion of the Council, candidates may be requested to provide evidence of any document and relevant training.
- 12.6 The Auditor must demonstrate that they have experience relevant to the scheme being audited before approval will be given.
- 12.7 If there are any unusual or specialist measures to be audited, then the Audit Team Leader may elect to appoint an appropriate specialist to advise the Audit Team.
- 12.8 On occasions, an individual with the appropriate training, skills and experience may accompany the Audit Team as an Observer in order for them to gain experience of the Audit process. The Audit Team Observer will be encouraged to contribute actively to the Audit process.
- 12.9 An Audit observer must have acceptable levels of training, skills and experience prior to accompanying the Audit Team in order that they gain worthwhile experience from the audit.
- 12.10 The Police, specialist advisors and Audit Team observers do not form part of the formal Audit Team, but assist the Audit Team in the completion of the Audit.

## **SECTION 13 – PERFORMING STAGE 1, STAGE 1 / 2, STAGES 2 OR STAGE 3 ROAD SAFETY AUDITS**

- 13.1 When an Audit is intended to be undertaken on the DCCHN by a team external to the Council then the Council's Audit Team **must** be advised in advance of the Audit being carried out so that it may be recorded.
- 13.2 To ensure the requirements of this procedure have been met, for consistency purposes, the Council's Traffic and Safety Team reserve the right to request a draft copy of any RSA report to review prior to it being issued as final.
- 13.3 The Team must consider the measures from the perspective of all the road users that may be anticipated to use the scheme. Where appropriate, a combination of driving, walking and cycling through the scheme may be used to assist their evaluation and ensure they have a comprehensive understanding and appreciation. The Team should also consider the effects of different weather conditions and site conditions that may affect the operation of the scheme.

- 13.4 As part of the RSA process, the Audit Team **must** obtain up-to-date collision data for the proximity of the scheme and undertake an assessment to gain an overview of current collisions. This data should be used to determine current safety concerns which may not be discernible from the site visit alone and build a greater appreciation of the future operation of the proposals.
- 13.5 At each stage of the RSA process, all members of the Audit Team must visit the site of the scheme together during daylight hours.
- 13.6 With reference to paragraph 12.10, the Audit Team Leader shall invite representatives from the Police to accompany the Audit Team to offer their views for Stage 2 and 3 of the Audit. Where it proves not to be possible to arrange a mutually convenient time, the Police will be invited to submit their views in writing. To expedite the Audit process, the Audit Team may visit the site and compile the Audit report in advance of the Police visit, at which time the Audit may be issued as 'Interim'
- 13.7 At Stage 3, in addition to the daylight site visit, all members of the Audit Team should visit the site of the scheme together during the hours of darkness to identify hazards particular to night-time operation. Seasonal variation will sometimes necessitate undertaking night-time site visits at a late hour. In such cases the Audit Team Leader may elect to defer the night time site visit, particularly if the personal safety of the Audit Team is considered to be an issue. When deferring the night time site visit, the RSA report will be issued in interim form until such time as the night time visit is undertaken.
- 13.8 At the Audit Team Leader's discretion, following appropriate consultation with the Design Team and the Council's Audit Team, the site may not require a visit during the hours of darkness. In such instances the reasons for not visiting the site at night **must** be stated within the RSA Report.
- 13.9 Issues with an immediate safety concern that may be identified at any RSA stage should be notified to the Design Team as soon as reasonably practicable. This is to give the best chance for resulting modifications to be undertaken at the earliest opportunity or to ensure that expeditious action can be taken to remedy a potentially hazardous situation. This is particularly important for problems identified during the Stage 3 RSA.
- 13.10 In exceptional circumstances, such as when auditing unique and complicated schemes to tight deadlines, it is permissible to deviate away from this Policy to suit local circumstances. The decision to change the way in which Audits are undertaken can only be made by the approved Traffic and Safety Manager (or current equivalent) without exception. In such cases, the reasons for not adopting the Council's standard procedures must be stated within the RSA report.

## SECTION 14 – PERFORMING A STAGE 4 (A OR B) ROAD SAFETY AUDIT

- 14.1 All 'Developer Led' schemes must be audited at Stage 4 of the process subject to clause 7.5.1 above. If required, it will comprise of the following:
- a. A comparison of the collision data before the scheme was built with the 12 months (4A) or 36 months (4B) post completion data to identify changes in collision patterns in terms of number, types, other collision variables and comparisons with control data (such as Levels of Collision Risk in Derbyshire).
  - b. An analysis of the collision data to identify the impact of problems and recommendations identified at previous Audit stages.
  - c. Details of other notable events that have occurred since construction where this is known by the Audit Team.
  - d. The Stage 4 reports should identify any road safety problems linked to the scheme and indicated by the data analysis and observations during any site visits undertaken. The reports should make recommendations for any remedial action.
- 14.2 It may be prudent to consider a night time site visit supplementary to the daytime visit if collision trends are identified during the hours of darkness.

## SECTION 15 – COMPLETING THE ROAD SAFETY AUDIT REPORT

- 15.1 This process **must** be followed by all persons who have involvement in the planning, design or construction of changes to the DCCHN and those who are commissioned to undertake RSAs for, and behalf of, DCC.
- 15.2 For each scheme presented, the Audit Team should carry out an Audit and prepare a written RSA report.
- 15.3 For consistency, all RSA reports **must** follow the Council's specific report layout without exception. It is intended that all suppliers provide reports following the same layout and structure to ensure consistency in delivery. It is acceptable to modify the visual appearance of the front cover to include corporate branding and internal quality assurance information as appropriate. However, the report structure **must** follow the Council's standard layout.
- 15.4 The problems and recommendations in the Audit Report should be set out in a logical sequence. The use of headed sections and the details of those headed sections are at the Audit Team's discretion. The Audit Team must avoid the use of unnecessary headings for features or road users for which no issues have been identified.

- 15.5 In some cases, particularly when auditing innovative schemes, the auditor may find it prudent to make a recommendation using the words 'consider' or 'monitor'. Whilst the use of this wording should be avoided where possible, in some cases it may be inevitable. It is appreciated that some Clients may overlook these problems as the recommendation may be seen as too weak, hence, these problems should be given greater emphasis within the Audit report.
- 15.6 RSAs must be concise and understandable by those without a background in the field. The use of complicated engineering terminology should be avoided, wherever possible.
- 15.7 The RSA report is submitted direct to the Design Team. Once issued, the Audit Team's input into the Audit report is complete unless stated otherwise and all issues raised in it must be addressed by way of the formal response, except where a Stage 3 night time site visit is deferred.
- 15.8 When a Stage 3 night time site visit is deferred, the RSA report should be issued in Interim form until such time that the site visit has been carried out. It should be noted that when an interim report is issued, the Design Team is encouraged to complete its response within the report and action accordingly in advance of the final report being issued.
- 15.9 Road Safety issues, that are beyond the scope of the RSA but the Audit Team considers that they should be brought to the attention of the Design Team, may be included within the RSA report. These issues could include areas where repair or renewal may be required, operational concerns or existing poor provision. Such issues should be clearly identified as being beyond the scope of the RSA and should **not** be integrated into the main Problems and Recommendations section of the report.
- 15.10 The RSA report is not intended as an opportunity for the Audit Team to provide a record of inspection of the existing site conditions; only issues that are regarded by the Audit Team as significant should be included.
- 15.11 A large number of nonessential issues provided with the RSA report may dilute the RSA and remove the focus from the genuine issues of concern and should hence be avoided. It may be preferable to provide such information to the Design Team, separately to the RSA report.
- 15.12 Existing issues and problems, identified beyond the geographical extent of the scheme, should not normally be included within the RSA report unless those issues impact directly on the operation or delivery of the scheme as presented.

## SECTION 16 – RESPONDING TO THE ROAD SAFETY AUDIT REPORT

- 16.1 Design/HDC Team (Developer) response **must** be completed as it is a mandatory requirement. RSA reports can be subject to Freedom of

Information requests, which have the potential to be provided without Design/HDC Team (Developer) response highlighting the full design process.

- 16.2 To mitigate against this problem, all RSA reports completed on the DCCHN must have the Design and HDC Team (Developer) response incorporated within the body of the RSA report in accordance with the Council's standard layout.
- 16.3 For this reason, it should be clear to any reader of an Audit report whether the Design/HDC Team (Developer) has given due consideration to the problems raised in the report and any intended actions. It will also need to be made clear if this process has not been completed.
- 16.4 This Procedure requires the Design/HDC Team (Developer) response to each problem identified in the RSA report and this is recorded in the Design/HDC Team (Developer) response areas of the RSA report. The response will contain details of how the problems identified in the RSA report will be resolved. Where the Design/HDC Team (Developer) disagrees with the problems or recommendations, or decides that the solutions recommended are not appropriate, then the response should justify the alternative action(s) to be taken.
- 16.5 It is the responsibility of the Design/HDC Team to review the RSA report and ensure that each problem identified is given due consideration.
- 16.6 The RSA report, incorporating the Design/HDC Team (Developer) comments, is signed off by a Senior Member of the Traffic and Safety Team or a Senior Member of the HDC Team as they are independent to the design process. A copy is forwarded to the Audit Team Leader for information.
- 16.7 The RSA is **not** an opportunity to document differences; neither in the case of 'Developer Led' schemes is it an opportunity to over-rule the democratic planning process. **All** disagreements, relating to the progression of the proposals, should be discussed and agreed separately to the RSA report and the final way forward on which the Design/HDC Team (Developer) are agreed should be documented within the Design/HDC Team response section.
- 16.8 In the event that a RSA cannot be signed off due to a disagreement relating to the progression of a proposal, the issue should be referred to someone at the Highway Authority of an appropriate level, for example Service Director for Highways (or current equivalent).
- 16.9 The Design/HDC Team is encouraged to provide background information to complement their decisions, which may be beneficial to those reading the RSA report.
- 16.10 With the prior agreement of the Design/HDC Team, alternative response / comment / sign-off roles and arrangements may be considered to suit local circumstances, but only with the approval of all parties involved.

- 16.11 Changes required to the scheme arising from the RSA response shall be requested of the developer by the Design Team and a scheme should be re-submitted for a RSA if significant changes are made to it as a result of a RSA.
- 16.12 The RSA response sections of the RSA report **must** be completed before the next stage in the scheme's development is instigated.

## SECTION 17 – RETENTION OF RECORDS

- 17.1 In accordance with the Council's document retention Policy for RSA reports and related information, these records must be retained for a period of 7 years from the date the report is issued.
- 17.2 It is the responsibility of any Organisation (Developer/Consultant), which is external to the Council, to ensure all RSA's are retained in accordance with their own Policy.
- 17.3 The Audit Team Leader should ensure that all working documents, plans and maps supplied as part of the Audit Brief are collated and retained in accordance with their retention policy.
- 17.4 It is the responsibility of the Design/HDC Team to retain a copy of the signed final RSA report, which must include the RSA response and maintained on the scheme file.
- 17.5 Filing and retention arrangements for RSAs **must** pay due regard to complying with the Freedom of Information Act 2000.

## SECTION 18 – REFERENCES

- 18.1 Design Manual for Roads and Bridges (DMRB) Volume 5 Section 2, Part 2, HD19/15: (2015) [Department for Transport].
- 18.2 Construction (Design and Management Regulations): (2015) [Health and Safety Executive].
- 18.3 Manual for Streets: (2010) [Department for Transport].
- 18.4 Road Safety Audit Procedure: (2015) [Transport for London] - with kind permission of Transport for London (TfL).
- 18.5 CIHT Road Safety Audit Guidelines
- 18.6 DCC Highway Network Management Plan
- 18.7 Highway Risk and Liability Claims (UKRLG)
- 18.8 6C's Design Guide

## **SECTION 19 - APPENDIX A – ENDNOTE**

### **19.1 USE OF THIS DOCUMENT**

- 19.1.1 This document has been classified, on the cover, as 'Public' because it does not include information that is personal, however, it is also part of a registered Quality Management System (QMS) and as such, it is categorised as 'Controlled' by way of its production and approval in the QMS.
- 19.1.2 This document may include information on various inter-related topics and aspects of particular issues that may be covered in different places and other elements, therefore individual sections and or elements should not be read in isolation.
- 19.1.3 This document should also be read in conjunction with the following documents, where appropriate.
- 19.1.4 This Policy should be used by appropriately qualified / trained staff undertaking RSA.

### **19.2 PURPOSE OF THIS DOCUMENT**

- 19.2.1 This document sets out how the Policy will be achieved. The Policy is a high level document that endorses the County Council's commitment to highway safety.
- 19.2.2 This document is the basis from which the Council will continually review its approach, develop its practices and, where necessary, identify and quantify improvements.

### **19.3 LEGAL AND DUTY REFERENCE**

- 19.3.1 The objective of the Council's Traffic and Safety Section's role is to fulfil the Council's statutory obligations for that service. The aim regarding any improvements and additions to the DCCHN is to ensure that protective measures are designed and implemented with due consideration for the safety of all users of the DCCHN, as well as serviceability and sustainability.
- 19.3.2 The general management and maintenance of the DCCHN should also take into account the Council's safety role for the DCCHN.

### **19.4 DUTY OF CARE**

- 19.4.1 Most of the traffic and safety activity is based upon statutory powers and duties which are contained in legislation. Case law may provide additional guidance on the interpretation of legislation.
- 19.4.2 Traffic safety and risk management have grown in importance, both in assessing the implications of investment decisions for asset management

purposes, but also for determining the appropriate responses to highway deficiencies when they arise.

- 19.4.3 In the event of the absence of specific duties and powers, the Authority has a general 'duty of care' to users and the community to maintain the highway in a condition, which is safe and fit for its purpose. The principle, as far as is reasonably practicable, will be applied to all decisions affecting policy, priority, programming and implementation of highway safety and maintenance works.

## 19.5 **RISK MANAGEMENT**

- 19.5.1 The management of highway safety, including the establishing of inspection regimes, setting condition standards, determining priorities and programmes for effective asset management and procuring the service should be undertaken against a clear and comprehensive understanding and assessment of the risks and consequences involved.

## 19.6 **LEGISLATION**

- 19.6.1 **The Highways Act 1980** – This places a duty on the Highway Authority to manage and maintain the public highway network in a condition that is safe for users. The public highway network includes all roads, footways, footpaths and verges, for which the Highway Authority has responsibility.
- 19.6.2 **The Equalities Act 2010** – A requirement of this Act requires the Council to consider the needs of all individuals in making society fairer by tackling discrimination and providing equality of opportunity for all.
- 19.6.3 In the context of this document, the Act imposes a duty on the Council to consider the requirements of persons with particular protected characteristics e.g. Age and Disability, when establishing procedures for the management of safety.
- 19.6.4 By taking account of the requirements of certain protected characteristics, the Council will be able to ensure, as far as is reasonably practical, continuity of the use of the County's Highway Network, whilst providing a safer and more equal environment for all users in terms of the use of the highway network.



## SECTION 20 - APPENDIX B – DEFINITIONS

Term/Acronym	Definition
<b>Road Safety Audit (RSA)</b>	A RSA is the staged evaluation of the safety of changes to the highway during design, implementation and subsequent operation. It seeks to identify potential safety hazards that may result in personal injury for any type of road user and to suggest measures to eliminate or mitigate those problems.
<b>Audit Brief</b>	The Audit Brief is the information provided to instruct the Audit Team to undertake the Audit. It defines the scope of the Audit and provides sufficient supporting information that the Audit Team can carry out the Audit.
<b>Road Safety Audit Report incorporating the response from the Designer(s)</b>	<p>The RSA report is the report prepared by the Audit Team, which describes potential safety problems identified within the proposals and recommends actions to overcome or mitigate them.</p> <p>Built into the RSA report is the Designer's response which describes how the Client Organisation will implement the recommendations made in the RSA report and / or why any of the recommendations made in the RSA report cannot or will not be incorporated into the proposals.</p>
<b>Highway Improvement Scheme</b>	<p>A Highway Improvement scheme includes all works that involve construction of new highway or permanent change to the existing highway layout or features.</p> <p>This includes, but is not limited to, changes to the road layout, kerbs, signs and markings, lighting, signalling, drainage, landscaping and installation of roadside equipment. A like-for-like replacement does not constitute a change.</p>
<b>Road Safety Engineering</b>	Road Safety Engineering is the design and implementation of physical changes to the road network intended to reduce the number and severity of collisions involving road users by deriving the results of Collision Investigations.
<b>Collision Investigation</b>	Collision Investigation is the collection and examination of recorded personal injury collision data, over a period of time, in order to identify patterns, common trends and factors that may have contributed to the collisions.
<b>Risk Assessment</b>	This is the method that the Council has committed to use in order to identify which DCC internal schemes require a RSA.

## SECTION 21- APPENDIX C – ROLES AND RESPONSIBILITIES

### 22.1 SCHEME PROMOTER

22.1.1 The Scheme Promoter is the team responsible for initiating the scheme.

### 22.2 DESIGN TEAM

22.2.1 The Design Team is the organisation commissioned to undertake the various stages of the design. Reference may be given in this Policy to the role of the Designer(s), which is the individual(s) responsible for undertaking the design of the scheme.

### 22.3 HIGHWAY DEVELOPMENT CONTROL TEAM

22.3.1 The Highway Development Control Team, in its capacity as the Local Highway Authority, has responsibility for commenting on external schemes submitted via the Planning Application Process.

### 22.4 HIGHWAY AUTHORITY

22.4.1 The Highway Authority is Derbyshire County Council which is responsible for the upkeep and maintenance of the Highway or asset for the route on which the scheme is to be implemented.

### 22.5 ROAD SAFETY AUDIT TEAM

22.5.1 The Audit Team is a team consisting of at least two people, independent of the Design and Highway Development Control Team, comprising of staff with appropriate levels of training, skills and experience as specified in Section 11 of this policy, who carry out the RSA.

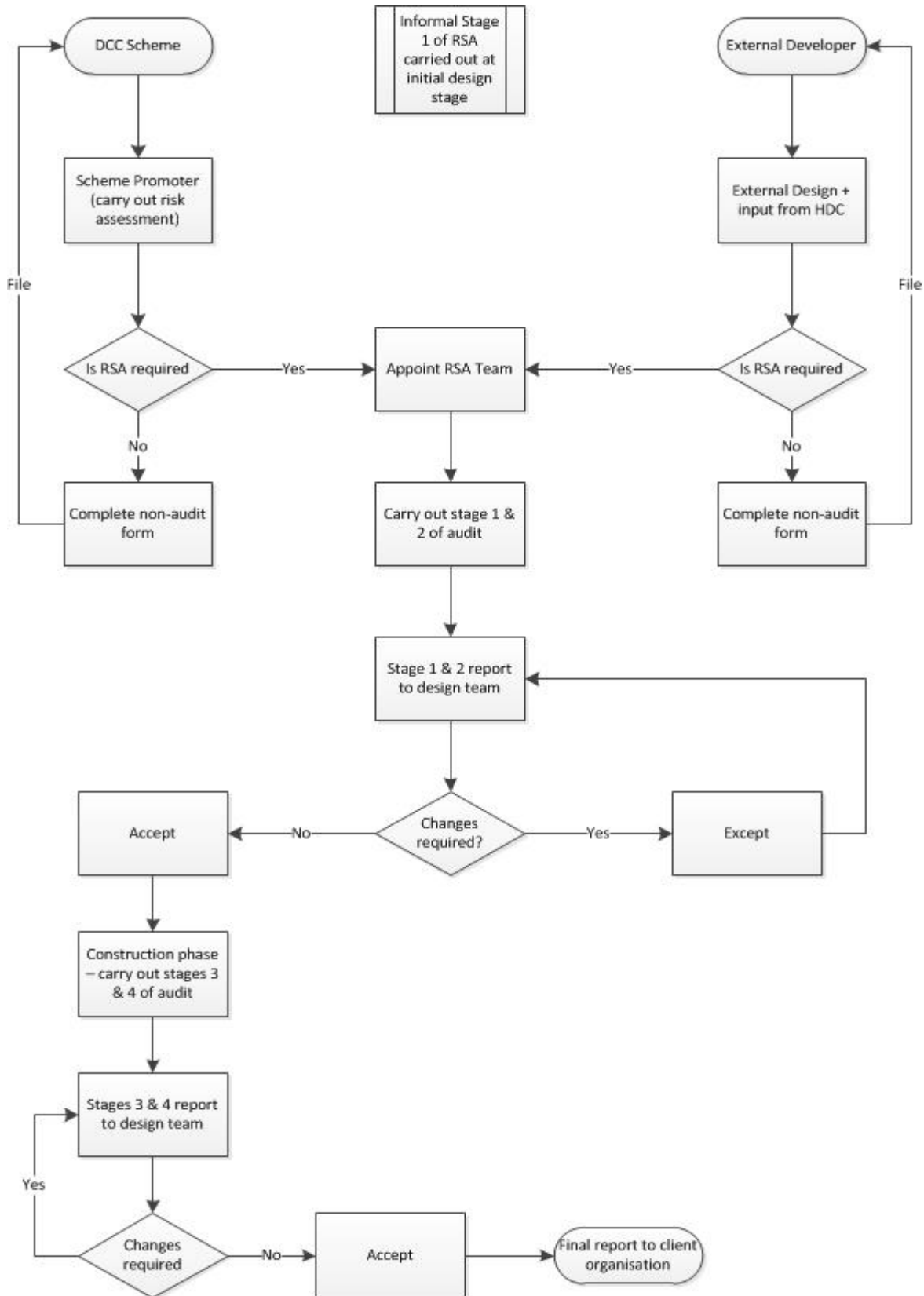
22.5.2 **Audit Team Leader** - The Audit Team Leader is the person with overall responsibility for carrying out the Audit, managing the Audit Team, certifying the report and responsible for ensuring the Audit is undertaken in accordance with this Policy.

22.5.3 **Audit Team Member(s)** - An Audit Team Member is an individual appointed to the Audit Team to assist the Team Leader.

#### 22.5.4 Other Road Safety Audit Parties:

- a. **Derbyshire Constabulary** – The relevant Police representative for the specific area.
- b. **Audit Observer** - An Audit Observer is an individual who accompanies the Audit Team to gain experience of the Audit process.
- c. **Specialist Advisor** - A Specialist Advisor who is appointed by the Audit Team Leader to advise the Audit Team on occasions when a scheme includes unusual or specialist measures where their experience may be beneficial to the Audit Team.

## SECTION 22- APPENDIX D – RSA PROCESS MAP



## **SECTION 23- APPENDIX E – LIST OF FORMS / TEMPLATES IN THE ROAD SAFETY AUDIT PACK**

### **24.1 ROAD SAFETY AUDIT (RSA) APPLICATION PACK**

- 24.1.1 The following forms / templates make up the Council's RSA Application Pack. All Parts are to be used as appropriate:
- a. Risk Assessment – Part 1 of 9
  - b. Non-Audit Note for File – Part 2 of 9
  - c. Audit Brief Checklist (Internal – DCC only) – Part 3 of 9
  - d. Audit Brief Checklist (External) – Part 4 of 9
  - e. Auditor Vetting Request Template – Part 5 of 9
  - f. RSA Template (Stage 1 / 2 - Pre-construction) - Part 6 of 9
  - g. RSA Template (Stage 3) – Part 7 of 9
  - h. RSA Template (Stage 4A or 4B) – Part 8 of 9
  - i. RSA Audit Report Template - Part 9 of 9