

**Scientific Professional and Technical Services
Framework
Task Ref: 1-286**

**Task Title: HD 19/15 Road Safety Audit - Maintain &
Develop Road Safety Audit Database**

**Quarterly Reporting and Factsheets
Guidance Notes**



Document Control

Document Title	Quarterly Reporting and Factsheets Guidance Notes
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Distribution	Task 286 - ACJV Project Team
Document Status	Final

Revision History

Version	Date	Description	Author
2	28/11/17	Draft	Neil Hutchings

Reviewer List

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Approvals

Name	Signature	Title	Date of Issue	Version

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Table of Contents

	1
1.1. Project Objectives	4
3.1. Compliance of RSAs at Stages 1 to 3	4
3.2. Compliance of Interim and Combined Stage 1 & 2 RSAs	6
3.3. Compliance of Stage 4 RSAs	6
3.4. Factsheet Charted Compliances	6
3.5. Certificates of Competency in RSA	10

This guidance pertains to the Task 286, HD 19/15 Road Safety Audit - Maintain & Develop Road Safety Audit Database project. It explains the sampling process; the measures of HD 19/15 compliance applied and the rationale behind the charting used in the corresponding quarterly factsheets.

This guidance supersedes the 'Quarterly Reporting and Factsheets, Guidance Notes' published at the front of the July 2015 to September 2015 Quarterly Report (T-TEAR Task: 479(4/45/12)ATK).

1.1. Project Objectives

The three objectives of Task 286 are to:

- Continue to maintain and develop the RSA database ensuring that all audit, response and exception reports received are entered promptly;
- Complete quarterly interrogation of the RSA database to determine common safety problems, good and bad practice, consistency of recommendations and adherence to HD 19/15 requirements. The focus of this interrogation may be influenced by requests for specific information originating from groups involved in the RSA process; and
- Produce quarterly reports and factsheets to form part of a feedback mechanism whereby Project Sponsors, Designers and Auditors can improve their knowledge and work towards a key aim of the RIS to reduce the number of people Killed or Seriously Injured (KSI) on our network by 40% by 2020.

Sample reports are selected from those submitted to the Highways England Safer Roads - Design Team (SRDT) inbox at roadsafetyaudit@highwaysengland.co.uk within each quarterly reporting period.

Whilst initially selected at random, to ensure that the reports contain sufficient, relevant material for review, the sample will be spread as evenly as possible across various stages. Some RSAs within the initial sample will be rejected if they do not meet the following criteria:

- RSAs must purport to have been carried out to HD 19/15; and
- RSAs at Stage 1 to 3 (including Combined Stage 1 & 2 RSAs and Interim RSAs) should include at least three RSA problems.

However, in some cases, where submission numbers are low for instance, the sample group may be expanded to include reports with fewer than three problems or even zero problem reports.

The principal purpose of the quarterly reviews is to:

- Share identified road safety problems to inform a consistent approach to problem identification and development of recommended resolutions;
- Provide feedback to RSA professionals on good practice and areas of potential improvement;
- Provide feedback to highway designers to encourage 'right first time' designs;
- Provide feedback to Highways England Project Managers on the management of RSAs; and
- Provide feedback to DMRB Document Owners.

3.1. Compliance of RSAs at Stages 1 to 3

In order to quantify levels of compliance in RSA Stages 1 to 3, the revised database principally uses the mandatory 'black-box' requirements of HD 19/15 in reference to the contents of the RSA report and as listed in the following paragraphs of the standard.

These are:

- HD 19/15 paragraph 2.97
 - 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.”*
- HD 19/15 paragraph 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.”
- HD 19/15 paragraph 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.”
- HD 19/15 paragraph 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.”
- HD 19/15 paragraph 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.”

And, by inference:

HD 19/15 paragraph 2.84 states that *“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.”* Whilst the certification of at least one member of the RSA Team is mandatory, the inclusion of such detail in the RSA report is not a requirement of the standard. The illustrative RSA reports in Annexes F, G and H do, however, include this detail.

It should be noted that paragraph 2.90 of the standard states *that “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.”

The absence of such a statement in the RSA report cannot be assumed as a non-compliance as the RSA Team may not have requested any additional information.

3.2. Compliance of Interim and Combined Stage 1 & 2 RSAs

This review infers from HD 19/15 that the requirements for Interim RSAs and for Combined Stage 1 & 2 RSAs are the same as detailed for Stage 1, Stage 2 and Stage 3 RSAs.

3.3. Compliance of Stage 4 RSAs

The reporting requirements listed in HD 19/15 paragraphs 2.97, 2.100 and 2.104 are not explicitly (or by inference) applied to Stage 4 RSAs in the standard. In addition, the standard lists no similar Stage 4 RSA requirements that can easily be assessed by the person entering the data into the database (i.e. the ‘data recorder’) as measures of compliance.

Hence, the factsheet issued in conjunction with this qualitative quarterly report deals only with compliance of RSAs to Stages 1 to 3 (including Combined Stage 1 & 2 RSAs and Interim RSAs).

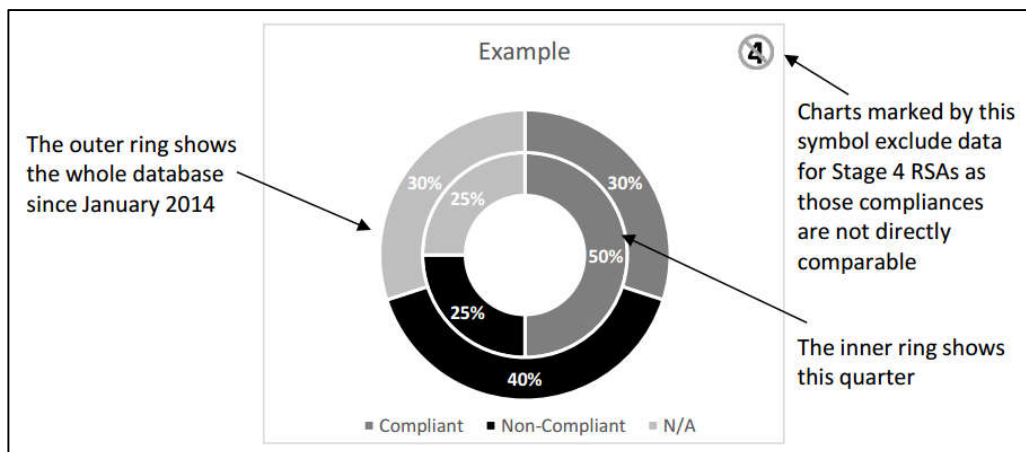
Further study into the levels of compliance and best practice in Stage 4 RSAs is currently being carried out and will be referred to in future Quarterly Reports.

3.4. Factsheet Charted Compliances

The factsheet complimenting each quarterly report (usually in Appendix A) charts levels of compliance of RSAs to Stage 1, Stage 2, Combined 1 & 2, Stage 3 and Interim RSAs submitted during the selected quarter.

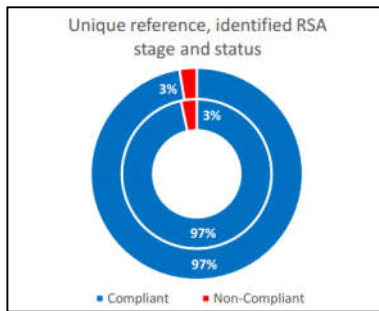
The charts each comprise two rings. The inner ring details the level of compliance of RSAs submitted during the quarterly period under study, whilst the outer ring illustrates the level of compliance indicated by the historical data contained in the database (back to 1st January 2014).

Figure i Levels of Compliance - Key Chart



A number of the compliances stated in HD 19/15 are not directly applicable to Stage 4 RSAs and the chart for each compliance measure indicates if Stage 4 RSA data has been excluded.

The following section explains how levels of compliance (or non-compliance) of RSAs is determined by the ‘data recorder’. Each explanation is accompanied by an example illustration taken from the June 2017 to September 2017 factsheet.



Unique reference, identified RSA stage and status (Compliant or Non-compliant)

In order to be considered compliant, the RSA report must include all three of these elements.

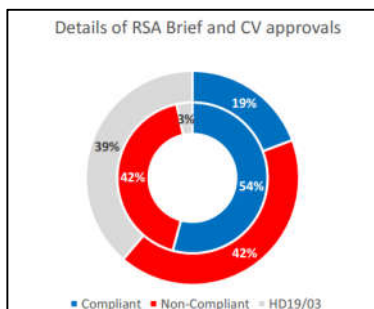
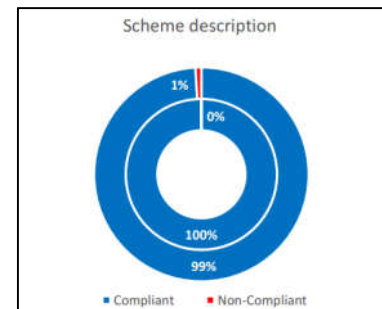
It is not practicable for the data recorder to verify that reference numbers, if used, are unique within the Audit Organisation’s systems. However, where it appears that an identifying reference number (or alpha-numeric reference) has been given to an RSA report, this is counted as having complied with the

requirement.

Scheme description (Compliant or Non-compliant)

In order to be considered compliant, the RSA report must include a description of the Highway Improvement Scheme including details of its location and its objectives.

The data recorder is not expected to judge whether or not the descriptions are accurate or representative although the qualitative reviews may comment on this area if evident from reports sampled for review.



Details of RSA Brief and CV approvals (Compliant, Non-compliant or HD 19/03)

In order to be considered compliant, the RSA report must detail the name of the person(s) who supplied the RSA Brief, who approved the RSA Brief and who approved the RSA Team.

The data recorder is not expected to judge whether or not the person approving the RSA Brief or CVs is qualified or appropriately positioned to do so. The qualitative reviews may comment on this area if evidence from sampled reports suggests

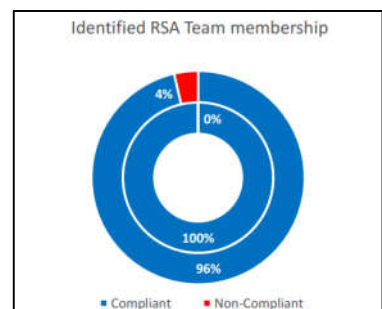
that the Project Sponsor has not been appropriately identified or is not sufficiently involved in the approvals or instruction processes.

With regard to approval of the RSA Brief, the illustrative reports use the term “...*Road Safety Audit Brief provided by Elaine Gain, Project Sponsor*”. If sample reports use the same terminology (i.e. regarding the ‘provision’ of a brief rather than the ‘approval’ of it) the assumption will be made that an RSA Brief to the illustrative copy given in Annex E of HD 19/15 was signed and issued by the person named in the RSA report although no certainty can be given that this is the case.

This element was not a requirement for RSAs carried out to HD 19/03 and so RSAs carried out to that earlier standard are counted as not applicable for the purpose of the quantification of compliance.

Identified RSA Team Membership (Compliant or Non-compliant)

In order to be considered compliant, the RSA report must detail the names of those forming the RSA Team. The standard also requires that the names of others contributing (such as the Police, Maintaining Agent and Specialist Advisors) should also be included. However, the data recorder cannot be expected to know whether other parties were involved or not if they are not detailed in the report and so the database cannot practicably



record the absence of this detail. The qualitative reviews will, however, comment in this area if it is evident from sampled reports that others were involved but not named.



Details of site visit (Compliant or Non-compliant)

In order to be considered compliant, the RSA report must detail the names of those present at the site visit (or state that the RSA Team, who should be named elsewhere, attended together), the date and time period(s) when it was undertaken and what the site conditions (weather, traffic congestion, etc.) were on the day of the visit.

It clearly needs to be evident that all members of the RSA Team attended the site visit together but some leeway might be allowed

with regard to how detailed the weather and traffic descriptions should be.

Stage 4 RSA site visits are only required under certain conditions and so Stage 4 RSAs are not included for consideration against this compliance measure.

Specific road safety problems identified (Compliant, Non-compliant or Zero-problem report)

In order to be considered compliant, the RSA report must detail specific road safety problems supported with the background reasoning. **This should include the type of collisions or incident considered likely to occur as a result of the problem.** The data recorder will have to make a subjective decision about whether or not the problems are expressed in a way which generally satisfies the requirement.



Zero-problem RSAs will be recorded as not applicable in this regard.

Stage 4 RSAs are not considered against this measure of compliance as they do not follow the problem/recommendation format as required at other stages.



Recommendations for action (Compliant, Non-compliant or Zero-problem report)

In order to be considered compliant, the RSA report must detail recommendations for actions to resolve or mitigate the identified problems.

Zero-problem RSAs will be recorded as not applicable in this regard.

The data recorder is not expected to judge whether or not the recommendations made are appropriate and reasonable. The

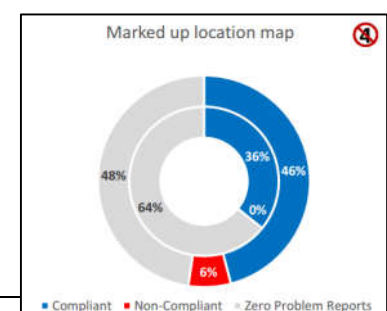
qualitative reviews will consider this as far as is practicable within the scope of this project.

Stage 4 RSAs are not considered against this measure of compliance as they do not follow the problem/recommendation format as required at other stages.

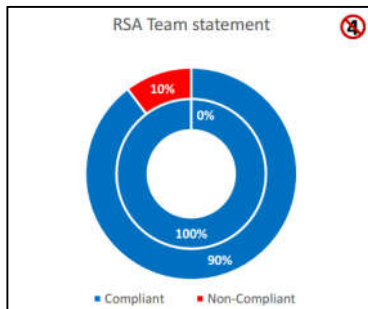
Marked up location map (Compliant, Non-compliant or Zero-problem report)

In order to be considered compliant, the RSA report must include a map showing the locations of problems identified.

Zero-problem RSAs will be recorded as not applicable in this regard.



Stage 4 RSAs are not considered against this measure of compliance as, whilst they may contain a collision plot, a problem location map is not a requirement for Stage 4 RSAs.



RSA Team Statement (Compliant or Non-compliant)

In order to be considered compliant, RSAs must include a signed statement to the format given in Annex D of the standard. It should be noted that for HD 19/15 reports, all members of the RSA team must sign the statement. HD 19/03 reports will be recorded as ‘Compliant’ in this regard if signed only by the Audit Team Leader (as was the requirement in that standard).

The data recorder is not expected to judge whether or not the process adopted for signing the reports is robust. For example, scanned images of signatures or ‘E-signed’ reports will be counted as compliant but comment may be made in the qualitative review with regard to the appropriateness of the method adopted by the RSA Team.

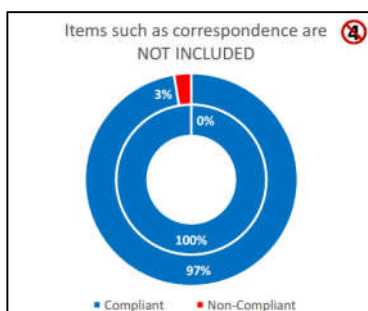
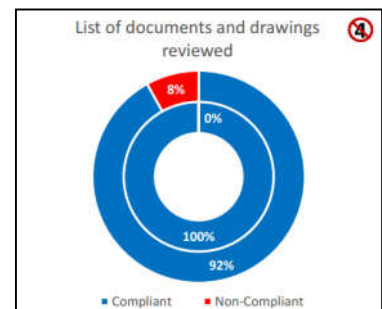
Stage 4 RSAs are not considered against this measure of compliance as RSA Teams are not required to sign Stage 4 RSA reports.

List of documents and drawings reviewed (Compliant or Non-compliant)

In order to be considered compliant, RSAs must include a list of documents and drawings reviewed for the RSA.

The data recorder is not expected to judge whether or not the list is robust.

Stage 4 RSAs are not considered against this measure of compliance as, whilst one would expect the RSA Teams to detail the data examined for Stage 4 RSAs, a list of drawings and documents is not a requirement.



Items such as correspondence are NOT INCLUDED (Compliant or Non-compliant)

In order to be considered compliant, RSAs MUST NOT include copies of correspondence, marked up checklists or similar materials within the RSA report.

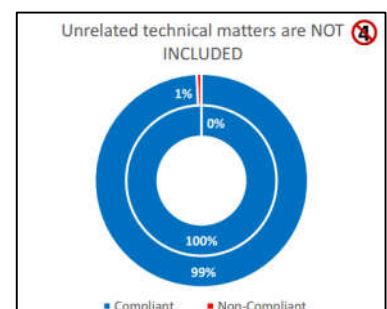
Covering letters bound onto PDF copies of RSA reports submitted to the SRDT inbox are not counted as a non-compliance unless they are contained within the RSA report itself.

Stage 4 RSAs are not considered against this measure of compliance as correspondence and other materials might be germane to the collision analysis.

Unrelated technical matters are NOT INCLUDED (Compliant or Non-compliant)

In order to be considered compliant, RSAs MUST NOT include technical matters that have no implications on road safety or any other matters not covered by the RSA Brief, such as (but not necessarily restricted to):

- maintenance defects observed during site visits;
- health & safety issues;
- pre-existing problems not exacerbated by the scheme proposals; and



- items out of scope.

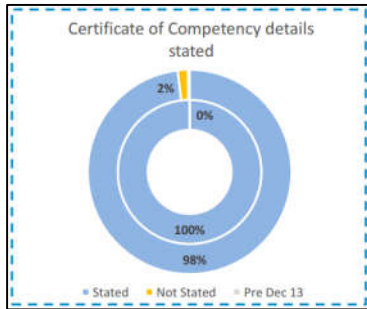
Stage 4 RSAs are not considered against this measure of compliance as Stage 4 RSAs would be expected to report maintenance defects and other non-scheme-related issues which might have contributed to post-opening collisions.

3.5. Certificates of Competency in RSA

The requirement for the RSA Team (for schemes on the motorway and/or trunk road network) to include at least one person holding an approved Certificate of Competency in RSA first came into force on 19th December 2013 as specified in Interim Advice Note 152/11.

The illustrative RSA reports in Annexes F, G and H of HD 19/15, show the inclusion of a statement in reports to say that an individual auditor is certified in this regard but, whilst the certification of at least one member of the RSA Team is mandatory, the inclusion of such detail in the RSA report is not, in itself, a requirement of the standard.

Whilst inclusion of such a statement can only be considered as an example of best practice, it is felt that this detail is usefully included in the quarterly factsheet.



Certificate of Competency details stated (Stated, Not Stated or Pre December 2013)

As this is not in itself a measure of compliance, the chart illustrates percentages in terms of RSAs in which certification of individual auditors is stated (as shown in the illustrative RSA reports)

