The 6Cs Design Guide

Appendix D: Additional information on safety audits

- Section SA1: Introduction
- Section SA2: What are safety audits?
- Section SA3: When will we require safety audits?
- Section SA4: What are you responsible for?

Section SA1: Introduction

1.1 This appendix provides some general information on safety audits and our requirements in respect of new works constructed on the existing highway (under Section 278 of the Highways Act or, in some cases, works under Section 38 of the Highways Act.

Section SA2: What are safety audits?

- General
- Pre-works construction (Stage 1 and 2 audits)
- Post-works construction (Stage 3 and 4 audits)

General

1.2 The Design Manual for Roads and Bridges, Volume 5, Section 2, Part 2, HD19/03 is the national standard for safety audits. Paragraph 1.5 says: “Road safety audits are intended to ensure that operational experience is applied during the design and construction process in order that the number and severity of accidents is kept to a minimum. Auditors identify and address problem areas using experienced gained from accident reduction schemes, accident investigation and research work.”

1.3 Paragraph 1.21 of HD19/03 says: “[An] Audit Team works together on all aspects of the audit, independent of the Design Team [designing the works]…”

1.4 So, safety audits are checks to ensure that a road is designed and operates as safely as is possible in order to keep accident numbers to a minimum. They must be carried out by people who are not involved with the design of the proposed works.

1.5 They should only consider road safety matters – they are not a technical check that the design conforms to standards and they do not consider structural safety.

1.6 Paragraph 2.8 of HD19/03 says: “Although the Audit Team’s contribution to design [of the proposed works] is limited, in making recommendations they may be considered to have undertaken design work under health and safety legislation. It is therefore recommended that audit teams make themselves aware of current health and safety legislation and consider the implications of their recommendations for the health and safety of others.”

Note: For developments within the city, developers can use Leicester City Council to undertake safety audits (see appendix A)

Pre-works construction (Stage 1 and 2 audits)

1.7 Stage 1 audits: These should be carried out at the preliminary design stage when you submit a planning application. This is the last occasion that the basic design of the works

can be significantly changed and any land requirements finalised. We will normally require these audits to be carried out where new junctions, improvements o existing junctions or other highway improvements are required as a result of new development.

1.8 Stage 2 audits: These should be carried out when you have completed the works' detailed design. This audit is concerned with the more detailed aspects, for example the provision of signs, road markings and street lighting.

1.9 Where we require Stage 1 and Stage 2 safety audits of your proposed works (see Section SA3), we will not issue technical approval for your works until the audits have been completed to our satisfaction and we are satisfied with any changes we have asked you to make. Construction cannot take place without technical approval.

Post-works construction (Stage 3 and 4 audits)

1.10 Stage 3 audits: These should be carried out only when the works have been substantially completed and preferably before the works are open to road users. This audit should look at the works from all road users' viewpoints and be carried out both in daylight and during the hours of darkness.

1.11 Where we require a Stage 3 safety audit of your works (see Section SA3), we will not issue you with a provisional certificate for your works until the audit has been completed to our satisfaction and we are satisfied with any changes that we have asked you to make.

1.12 Stage 4 audits: These should look at how the works are operating and examine the accident record. They should normally be carried out at 12 months and 36 months after the works opened. Based on the accident record and observations made during any site visits, these audits should identify any road safety problems and recommend remedial measures.

1.13 Where we require a Stage 4 safety audit of your works (see Section SA3), we will decide whether we can issue the final certificate once the 12-month report has been completed.

Note: We are able to provide you with personal injury accident details (for a fee).

Section SA3: When will we require safety audits?

1.14 Works under Section 38 agreements: We will not normally require safety audits unless:

- your development layout contains features which are not explicitly covered by this design guidance or your layout is not covered in any other way by this document; or
- the proposal is for, or contains, a Home Zone

1.15 Works under Section 278 agreements: We will require Stage 1, 2, 3 and 4 audits for all works. We will normally require a Stage 1 safety audit to be carried out when you submit a planning application.

Section SA4: What are you responsible for?

1.16 When you enter into either a Section 278 agreement or Section 38 agreement, you, the developer, will be required to indemnify (protect us from legal responsibility) against any claims arising from your works.

1.17 You are also responsible for:

- commissioning and paying for all safety audits;
- ensuring that the audits are carried out by an accredited safety audit team that is independent from the works' designers;
- submitting the audits to us, along with the designers' response (we will not consider the audit report until we have received the designers' response); and
- ensuring any audit recommendations we require to be implemented are completed to our satisfaction.

1.18 You must also comply with all aspects of the Construction (Design and Management) Regulations 2007 and indemnify us (protect us from legal responsibility) against all claims, liabilities and actions if you fail to do so.