



ROAD SAFETY AUDIT PROCEDURES

APRIL 2009



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A GENERAL PRINCIPLES AND DEFINITIONS

A 1 PURPOSE AND SCOPE OF ROAD SAFETY AUDIT

A 1.1 Introduction

The purpose of this document is to describe West Lothian Council's policy and procedure for carrying out road safety audits.

West Lothian Council is committed to casualty reduction through its Road Safety Plan. A key focus of the plan is building-in road safety and this will be achieved through the systematic application of road safety audit principles to ensure that all changes to the road network are as safe as practicable.

This document will be used to identify which schemes require road safety audit and set the standard for carrying out road safety audits. It is aimed at all persons who have involvement in the planning, design or construction of changes to the local road network in West Lothian and those who are commissioned to undertake road safety audits.

A 1.2 Purpose of road safety audits

Road safety audits aim to identify potential road safety hazards arising from planned changes to the road layout. Road safety audits are NOT technical checks against design standards or traffic regulations and do not consider structural safety.

In carrying out road safety audits, the audit team should consider road safety issues for all road users and will ask two key questions of the scheme (IHT, 2008):

- Who could be hurt in a collision on this part of the road and how could that happen? and;
- What can be done to reduce the potential for that collision or to limit its consequences?

In order to answer these questions, the audit team must have experience of road safety engineering and a background in understanding how collisions happen and how to reduce them. For this reason, the competence requirements of road safety audit teams are specified within this document.

The implementation of safety audit recommendations should produce safer road schemes and reduce the need for remedial measures at a later date.

A 1.3 Scope

This procedure shall apply to all measures proposed on the local road network in West Lothian that involve permanent change to the layout of the network. This includes work carried out under agreement with West Lothian Council resulting from developments alongside or affecting the local road network. There are different procedures for West Lothian Council promoted schemes and for developer promoted schemes.

Temporary traffic management schemes will not generally require auditing and are not covered by these procedures.

Road Safety Audits are not considered necessary for maintenance works that solely involve a like-for-like replacement or refurbishment of existing road or street features.

This procedure does not apply to trunk roads or motorways. Audits on these roads should comply with HD19 and the IHT Guidelines.



A 2 DEFINITIONS

Road Safety Audit	A formal, systematic, independent assessment of the potential road safety problems associated with a new road scheme or road improvement scheme. The assessment considers all road users.
Interim Road Safety Audit	The application of road safety audit to a scheme at intermediate stages during the preliminary design, detailed design or construction stages. It is not mandatory or a substitute for the formal stages of audit but may be particularly useful if a scheme needs to be opened to road users before all works are completed.
Client Organisation	<p>The organisation with overall responsibility for the scheme to be audited.</p> <p>For West Lothian Council promoted schemes, it will be the service within West Lothian Council which is promoting the scheme.</p> <p>In the case of developer led schemes, the client organisation will be the developer.</p>
Client Representative	<p>The person within the client organisation who is responsible for the progression of the scheme in accordance with these procedures. The client representative can be a member of the design team (for example the project manager).</p> <p>For West Lothian Council promoted schemes, it will be the project manager within West Lothian Council service which is promoting the scheme.</p> <p>In the case of developer led schemes, the client representative will be a representative of the developer.</p>
Design Team	The team undertaking the various stages of the design and supervision of implementation of the measures. The design team has responsibility for assisting the client in compiling the audit brief and writing the audit response report.
Audit Team	A team, of at least two people, independent of the design team, comprising of staff with appropriate levels of road safety engineering experience, which carries out the road safety audit.
Audit Team Leader	The person with overall responsibility for carrying out the audit and certifying the report.
Audit Team Member	Any other individual who is appointed to the audit team.
Audit Observer	An individual who accompanies the audit team for training



	purposes.
Audit Brief	The instructions, prepared and approved by the client organisation and design team, for the audit team to carry out the audit. It defines the scope of the audit and provides sufficient information that the audit team can carry out the requested audit.
Scheme	All works that involve construction of new road or permanent change to the existing road layout or features. This includes changes to road layout, kerbs, signs and markings, lighting, signalling, drainage, landscaping and installation of roadside furniture or equipment. A like-for-like replacement of any of the above features does not constitute a change.
Audit Report	The report prepared by the audit team, which describes potential safety problems identified within the proposals and recommends actions to overcome or mitigate them.
Audit Response Report	The report describing how the recommendations made in the safety audit report will be implemented and/or why any of the recommendations made in the safety audit report cannot or will not be incorporated into the proposals.
Audit record	All documentation relating to the audit including the audit report, submitted plans, audit response report, details of discussions between the client or design team and the audit team and any arbitration decision.
Arbitrator	The person with authority to arbitrate between design teams and audit teams if required. For all schemes in West Lothian, this will be the council's Transportation Manager with potential referral to the Head of Development and Regulatory Services in the case of developer schemes.
Road Safety Engineering	The design and implementation of physical changes to the road network intended to reduce the number and severity of collisions involving road users, drawing on the results of collision investigations.
Collision Investigation	The collection and examination of historical collision data over a period of time in order to identify patterns, common trends and factors that may have contributed to the collisions.

A 3 THE AUDIT TEAM

A 3.1 Audit team training, skills and experience

The client representative must be satisfied that members of the proposed safety audit team have adequate and relevant training, skills and experience. Table A.1 lists the requirements for audit teams working on schemes in West Lothian.

<p>Audit Team Leader</p>	<ul style="list-style-type: none"> • A minimum of 4 years collision investigation or road safety engineering experience; and • At least 10-days formal collision investigation or road safety engineering training; and • Completion of at least 5 road safety audits in the past 12 months as an audit team leader or member; and • A minimum of 2 days continuing professional development in the fields of road safety audit, collision investigation or road safety engineering in the past 12 months.
<p>Audit Team Member</p>	<ul style="list-style-type: none"> • A minimum of 1 years collision investigation or road safety engineering experience; and • At least 10-days formal collision investigation or road safety engineering training; and • Completion of at least 5 road safety audits in the past 24 months as an audit team leader, member or observer; and • A minimum of 2 days continuing professional development in the fields of road safety audit, collision investigation or road safety engineering in the past 12 months.
<p>Audit Team Observer</p>	<ul style="list-style-type: none"> • An Audit Observer should have a minimum of 2-days formal training in the fields of road safety audit or road safety engineering.

Table A.1 – Audit Team Competence Requirements

A 3.2 Assessing audit team suitability

For staff from within the council’s road safety and traffic management team, competence will be assessed through the council’s performance review/personal development plan appraisal procedure.

For individuals from outside the council’s road safety team, competence will be demonstrated by submission of a curriculum vitae to the client representative.

Each curriculum vitae should consist of no more than 2 pages of information. The curriculum vitae should demonstrate that the experience and training in road safety audit, collision investigation or road safety engineering is relevant to the scheme to be audited, in terms of scheme type and complexity. Other relevant experience, covering areas such as highway design, traffic management and highway maintenance, should also be demonstrated on the curriculum vitae.

The council’s road safety and traffic management team can give advice on the requirements.



A 3.3 Independence of Audit Team

It is central to the auditing procedures that no member of the audit team has had any connection with the design of the measures being audited and should maintain this independence throughout the audit process.

The requirement for audit team independence does not preclude direct contact between the audit team and design team. There may be times where there is clear benefit in allowing this to happen, for example in clarifying the Audit Brief.

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.

For internal audits, the audit report will be reviewed within the RSTM team and issued to the client representative as final. Any issues within the audit report that the client representative disagrees with, are considered to be outside the terms of reference, or irrelevant to the road safety audit should be addressed through the audit response report and if necessary, through the arbitration procedure.

Neither the client representative nor the design team should petition the audit team to change the content of the audit report.

All contact between the client/design team and audit team must be recorded. The audit team should keep a record of contact with the design team on the audit file and this will form part of the audit record.

A 4 WEST Lothian COUNCIL CONTACTS

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A 5 REFERENCES

IHT Guidelines for Road Safety Audit. Institution of Highways and Transportation. London, 2008.

HD19/03 Road Safety Audit. Design Manual for Roads and Bridges Volume 5. Highways Agency. London, 2003.



B ROAD SAFETY AUDIT OF WEST LOTHIAN COUNCIL SCHEMES

B 1 SCOPE

This section of the document describes the procedures for auditing schemes promoted internally by West Lothian Council.

B 2 COMMISSIONING THE ROAD SAFETY AUDIT

The client representative shall determine, at an early stage, whether a scheme should be submitted to the road safety audit procedure. If there is any doubt as to whether a scheme should be audited, the council's Road Safety and Traffic Management (RSTM) team can give advice.

The client representative should, in the first instance, attempt to obtain a road safety audit from the council's internal RSTM team. If the RSTM team cannot accommodate the request then the client representative should commission an independent road safety audit team which meets the requirements set out in Section A 3.

The client representative will initiate an internal audit by making an audit request on the audit brief proforma shown in Appendix 2. The use of the form ensures that the audit team has the minimum basic information required to carry out the audit.

The brief proforma should be accompanied by the relevant documentation as outlined in Table B.1.

The client representative should give sufficient time for the audit team to carry out the audit and prepare the audit report. The time required will depend on the scale of the project. As a guide, four weeks should be allowed for completion of the audit although the RSTM Team Leader should be consulted before commissioning for a more accurate estimate.

B 3 WHEN TO AUDIT

Safety Audits should be carried out at each of the stages identified in Table B.1. The audit process for each stage should be completed prior to any decisions being made which commit to a particular course of action and/or financial arrangement. This will allow full consideration of the audit recommendations within the overall design.

Each subsequent audit will make reference to the previous audit reports and will refer to issues raised and addressed and any issues required to be carried forward to the current stage of audit.

Table B.1 shows when each stage of Audit should be carried out and the type of information typically required by the audit team in order to complete the audit. The responsibility for providing the information rests with the client representative.

Stage F (feasibility) audits will not be undertaken for internally promoted schemes.

Stages 1 and 2 may be combined for minor schemes at the discretion of the client representative in consultation with the Team Leader - RSTM.

For large, complex schemes, particularly with accelerated programmes, it may be appropriate to undertake interim road safety audits, particularly between Stages 2 and 3. The client representative shall decide whether to carry out an interim audit. Aside from being undertaken at an interim stage, an interim audit shall be carried out following the same



procedures as for the formal audit stages. Interim road safety audits do not replace the formal audit stages, which must still be undertaken in full.

Stage 4 monitoring audits will not normally be undertaken on internally promoted schemes. The council will monitor accidents on the local road network through the annual accident investigation and prevention programme. This will identify sites where there is a developing accident problem.

All road safety audits shall have a maximum shelf life of 2 years. Should a scheme not begin the next stage in its development within 2 years of the completion of the previous audit, the scheme should be re-audited. This is to ensure that due consideration has been given to the scheme’s interface with the current network.

Audits should be repeated if any element of a scheme is significantly changed subsequent to an audit having been undertaken.

Audit Stage	Description	Examples of when to undertake Audits	Information required
Stage 1 – Preliminary design	An audit of the preliminary scheme design.	Before reports to Council Executive for outline approval or funding Before any land acquisition commences Before any public consultation Before planning approval given	Drawings showing horizontal and vertical alignment, road widths, junction types, locations of structures. Typically to 1:1250 scale. Electronic versions are useful. A short description of aims and objectives of the scheme or any relevant scheme reports. Details of any departures from standards.
Stage 2 – Detailed Design	An audit of the detailed scheme design.	Before reports to Council Executive for detailed approval or funding Before contract tenders issued	Drawings showing: drainage, kerbing and edge details, lighting, landscaping, fencing, signs, markings and signal control details (including phasing/staging diagrams, signal head designs and controller location). Typically to 1:500 or 1:200 scale. Electronic versions are useful. Details of any departures from standards. Any updated or additional relevant information since Stage 1 Audit (if applicable). Copy of all previous audits and responses to those audits.
Stage 3 – Pre-opening	An audit of the scheme as constructed.	Before schemes are opened to traffic (new schemes) At substantial completion of works and before temporary traffic management is removed Within 1 month of completion/opening.	As-built drawings. Electronic versions are useful. Any updated or additional relevant information since Stage 2 Audit. Copy of all previous audits and responses to those audits.

Table B.1 – Safety Audit stages and requirements (West Lothian Council internal schemes)



B 4 MANAGING THE AUDIT PROCESS

All internal audit requests will be recorded in a database and progress through each stage of the audit process will be monitored using the database.

Each scheme submitted for audit will be given a unique reference number of the format:

TRS/RSA/year/*scheme ID*/audit stage

The Team Leader - RSTM or deputy will appoint the audit team leader and this will be recorded in the database. The Team Leader - RSTM or deputy will also appoint the remaining audit team members.

B 5 PERFORMING THE AUDIT

The audit team will assemble and collate relevant background information including the recent injury accident history in the vicinity of the site.

The audit team will carry out a desk study of the scheme, comprising a review of the background information, an investigation into the recent accident history and a review of the documents provided by the design team.

At least one member of the audit team will, in all cases, visit the site of the scheme during daylight and make a photographic record of the site. The audit team leader will decide on a scheme-by-scheme basis whether additional audit team members are required to attend the site visit.

During the audit process, the audit team may make use of interactive checklists, control data and road user role play to identify potential road safety hazards associated with the scheme. Any checklists or control data used will be retained in the audit file for future reference.

At Stage 3, representatives of the police and those responsible for maintenance shall be invited to attend the daylight site visit. These additional advisors provide an important additional perspective to the audit. Whilst these advisors are not formal members of the audit team, their attendance will be recorded in the audit report.

Also at Stage 3, a night-time visit will be undertaken by at least one member of the audit team to help identify any potential road safety hazards arising in darkness. The audit team leader will decide on a scheme-by-scheme basis whether any additional team members should visit at night-time.

Each audit team member will record their comments in a systematic way and these comments will be used by the audit team leader to compile the audit report. A standard proforma for recording auditor comments is included in Appendix 3.

B 6 THE AUDIT REPORT

The audit team leader is responsible for compiling the comments and producing the report.

The audit report will be written in the “Ambridge” style (IHT, 2008) and will identify the location, a summary of the potential accident type, the problem and recommendations for action to mitigate the identified problems. A standard report template is reproduced in Appendix 4.

Any non-safety issues identified by the audit team will be added in a section at the end of the report and will be clearly identified as non-safety issues.

The audit report will be signed and certified by the audit team leader.

The audit report will be sent to the client representative along with a covering letter/memorandum. The covering letter will identify any other recipients of the audit report.

B 7 RESPONDING TO THE AUDIT REPORT

The client representative should review the audit report in conjunction with the design team. The client representative is ultimately responsible for responding to the audit report recommendations. However, the client representative may request that the design team responds to the recommendations, highlighting those which are acceptable and any which are not. A standard form for recording the client’s response to the audit report is included in Appendix 5.

There are three scenarios for each recommendation which can result from this process. These are listed in Table B.2.

Client response	Scenario	Outcome and action
Accept and implement	The design team and client accept the highlighted road safety issue and agree to implement the recommendations.	Client arranges for scheme to be altered to include recommendation and this is noted in response report.
Accept but cannot implement	The design team and client accept the highlighted road safety issue but are unable to implement the recommendation, perhaps due to constraints imposed on the design by cost or employers’ requirements.	The client and design team should agree an alternative to address the problem. This alternative should be presented to the Audit team in the audit response report. The Audit team should respond to this alternative. In some cases where a major amendment is proposed, a further road safety audit may be required. If no alternative can be devised, the client prepares an ‘exception statement’ for inclusion in audit response report. This statement must clearly state why the problem cannot be effectively addressed
Non-acceptance	The design team and client do not accept that identified road safety problem.	The client prepares an ‘exception statement’ for inclusion in the audit response report, stating clearly the reasons for rejecting the road safety problem identified in the audit report.

Table B.2 – Client responses to audit recommendations

The client representative should prepare an audit response report covering each of the issues raised in the audit report. The response to each issue should be one of the three responses listed in Table B.2. An example audit response proforma is included in Appendix 5.

The audit response report should be signed by the client representative and returned to the audit team. The audit report, audit response report and details of any discussions between the client and the audit team will be held together as a record of the audit process.



B 8 ARBITRATION

Where an exception statement is produced as part of the response report, the issue will be referred to the arbitrator for a final decision. The arbitrator will consider the issue and the decision will be recorded and kept on file with the other audit records. The arbitrator will inform the client and the audit team of the final decision and the client will then make the necessary changes to the scheme design.

B 9 FILING AND ARCHIVING

The audit report along with submitted plans, audit response report, details of discussions between the client or design team and the audit team and any arbitration decision will form the audit record.

The audit record will be held within the RSTM for 3 years from the date of the audit and then transferred to the archives where it will be held for a further 17 years before being destroyed.



C ROAD SAFETY AUDIT OF DEVELOPER PROMOTED SCHEMES

C 1 SCOPE

This section of the document describes the procedures for auditing schemes promoted by developers.

C 2 COMMISSIONING THE AUDIT

The client representative should appoint an independent audit team which meets the requirements set out in Section A 3. West Lothian Council has an internal road safety audit team which may be available to carry out the audit. Contact details are provided in Section A 4.

The client representative is responsible for preparing the audit brief in conjunction with the design team. An example proforma is included in Appendix 1. The brief needs careful preparation and must include sufficient information to enable an efficient audit to be undertaken. If necessary, the design team, client representative and audit team can meet to discuss the audit brief.

The brief should be accompanied by the level of information indicated in Table C.1.

The client representative should give sufficient time for the audit team to carry out the audit and prepare the audit report. The time required will depend on the scale of the project. As a guide, four weeks should be allowed for completion of the audit although the prospective audit team should be consulted before commissioning for a more accurate estimate.

C 3 WHEN TO AUDIT

Within the planning process, at pre-planning application discussions, the developer can discuss road safety issues with the council as appropriate. It may be appropriate to carry out a Stage F audit or road safety assessment at the early stages of scheme development and this should be discussed with the Transportation Development Planning team.

On submission of the planning application, it is the responsibility of the council's Transportation Development Planning team to determine whether a safety audit is required and at what stage it must be carried out. Table C.1 gives some examples of when each stage should be carried out but it is important to note that this may depend on the nature and scale of the development.

Following instruction from the Transportation Development Planning team as to whether a road safety audit is required, the client representative shall commission a safety audit. The audit process for each stage should normally be completed prior to any decisions being made which commit to a particular course of action and/or financial arrangement. This will allow full consideration of the audit recommendations within the overall design and could avoid expensive re-design work at a later stage.

Each subsequent audit should make reference to the previous audit reports and refer to issues raised and addressed and any issues required to be carried forward to the current stage of audit.

Table C.1 shows when each stage of Audit should be carried out and the type of information typically required by the audit team in order to complete the audit. The responsibility for providing the information rests with the client representative.



Stages F, 1 and 2 may be combined for minor schemes.

Stage 4 monitoring audits will not normally be undertaken. The council will monitor accidents on the local road network through the annual accident investigation and prevention programme. This will identify sites where there is a developing accident problem. However, the client representative can request a Stage 4 monitoring audit to be undertaken if required.

For large, complex schemes, particularly with accelerated programmes, it may be appropriate to undertake Interim Road Safety Audits between Stages 2 and 3. The Client Representative shall decide whether to use Interim RSA. Aside from being undertaken at an interim stage, Interim RSA shall be carried out following the same procedures as for the formal audit stages. Interim RSA does not replace the formal audit stages, which must still be undertaken in full.

All Audits shall have a maximum shelf life of 2 years. Should a scheme not begin the next stage in its development within 2 years of the completion of the previous audit, the scheme should be re-audited. This is to ensure that due consideration has been given to the scheme's interface with the current network.

Audits should be repeated if any element of a scheme is significantly changed subsequent to an audit having been undertaken.



Audit Stage	Description	Examples of when to undertake Audits	Information required
Feasibility (Stage F)	An audit or road safety assessment of outline options.	At discussion of scheme options Before form of junction control is decided	Scheme concept report with objectives. Outline drawings showing layouts. Typically to 1:2500 scale. Transport Assessments.
Stage 1 – Preliminary design	An audit of the preliminary scheme design.	Depending on the nature of the development, prior to outline planning permission being granted. Prior to the submission of detailed or full planning permission.	Drawings showing horizontal and vertical alignment, road widths, junction types, locations of structures. Typically to 1:1250 scale. Electronic versions are useful. A short description of aims and objectives of the scheme or any relevant scheme reports. Any updated or additional relevant information since Stage F Audit (if applicable). Response to Stage F Audit (if applicable).
Stage 2 – Detailed Design	An audit of the detailed scheme design.	Prior to tenders for construction being issued. Prior to the commencement of development. Prior to the submission or Road Construction Consent Depending on the nature of the development Stage 1 and 2 may be combined.	Drawings showing: drainage, kerbing and edge details, lighting, landscaping, fencing, signs, markings and signal control details (including phasing/staging diagrams, signal head designs and controller location). Typically to 1:500 or 1:200 scale. Electronic versions are useful. Details of any departures from standards. Any updated or additional relevant information since Stage 1 Audit (if applicable). Copy of all previous audits and responses to those audits.
Stage 3 – Pre-opening	An audit of the scheme as constructed.	Before schemes are opened to traffic (new schemes) At substantial completion of works and before temporary traffic management is removed Within 1 month of completion/opening.	As-built drawings. Electronic versions are useful. Any updated or additional relevant information since Stage 2 Audit. Copy of all previous audits and responses to those audits.
Stage 4 – Monitoring of the (optional - see section C3)	Monitoring of the accident history of a completed scheme.	12 Months after opening 36 months after opening	Date of opening/substantial completion Injury accident data Copy of all previous audits and responses to those audits.

Table C.1 - Safety Audit stages and requirements (developer schemes)



C 4 PERFORMING THE AUDIT

The audit team will assemble and collate relevant background information including the recent injury accident history in the vicinity of the site. Injury accident data is available from the council's RSTM team on application. Contact details are provided in Section A 4

The audit team will carry out a desk study of the scheme, comprising a review of the background information, an investigation into the recent accident history and a review of the documents provided by the design team.

At least one member of the audit team will, in all cases, visit the site of the scheme during daylight and make a photographic record of the site. The audit team leader will decide on a scheme-by-scheme basis whether additional audit team members are required to attend the site visit.

During the audit process, the audit team may make use of interactive checklists, control data and road user role play to identify potential road safety hazards associated with the scheme. Any checklists or control data used will be retained in the audit file for future reference.

At Stage 3, representatives of the police and those responsible for maintenance shall be invited to attend the daylight site visit. These additional advisors provide an important additional perspective to the audit. Whilst these advisors are not formal members of the audit team, their attendance will be recorded in the audit report.

Also at Stage 3, a night-time visit will be undertaken by at least one member of the audit team to help identify any potential road safety hazards arising in darkness. The audit team leader will decide on a scheme-by-scheme basis whether any additional team members should visit at night-time.

Each audit team member will record their comments in a systematic way and these comments will be used by the audit team leader to compile the audit report. A standard form for recording auditor comments is included in Appendix 3.

C 5 THE AUDIT REPORT

The audit team leader is responsible for compiling the comments and producing the report.

The audit report will be written in the "Ambridge" style (IHT, 2008) and will identify the location, a summary of the potential accident type, the problem and recommendations for action to mitigate the identified problems. A standard report template is reproduced in Appendix 4.

Any non-safety issues identified by the audit team will be added in a section at the end of the report and will be clearly identified as non-safety issues.

The audit report will be signed and certified by the audit team leader and sent to the client representative.

C 6 RESPONDING TO THE AUDIT REPORT

The client representative should review the audit report in conjunction with the design team. The client representative is ultimately responsible for responding to the audit report recommendations. However, the client representative may request the design team responds to the recommendations, highlighting those which are acceptable and any which are not.

There are three scenarios for each recommendation which can result from this process. These are listed in Table C.2.



Client response	Scenario	Outcome and action
Accept and implement	The design team and client accept the highlighted road safety issue and agree to implement the recommendations.	Client arranges for scheme to be altered to include recommendation and this is noted in response report.
Accept but cannot implement	The design team and client accept the highlighted road safety issue but are unable to implement the recommendation, perhaps due to constraints imposed on the design by cost or employers' requirements.	The client and design team should agree an alternative to address the problem. This alternative should be presented to the Audit team in the audit response report. The Audit team should respond to this alternative. In some cases where a major amendment is proposed, a further road safety audit may be required. If no alternative can be devised, the client prepares an 'exception statement' for inclusion in audit response report. This statement must clearly state why the problem cannot be effectively addressed
Non-acceptance	The design team and client do not accept that identified road safety problem.	The client prepares an 'exception statement' for inclusion in the audit response report, stating clearly the reasons for rejecting the road safety problem identified in the audit report.

Table C.2 – Client responses to audit recommendations

The client representative should prepare an audit response report covering each of the issues raised in the audit report. The response to each issue should be one of the three responses listed in Table C.2. An example audit response proforma is included in Appendix 5.

The audit response report should be signed by the client representative and returned to the audit team. The audit report, audit response report and details of any discussions between the client and the audit team should be held together as a complete record of the audit process.

The complete audit record for the specific stage of the scheme should be forwarded to the Transportation Development Planning team for review as part of the road construction consent/planning process. It will generally be a requirement of the planning consent that the safety audit process is completed to the satisfaction of the council. Failure to complete the process may result in planning enforcement action and/or failure to grant the roads construction consent.

C 7 ARBITRATION

Where an exception statement is produced as part of the response report, the issue will be referred to the arbitrator for a final decision. The arbitrator will consider the issue and the decision will be recorded and kept on file with the other audit records. The arbitrator will



inform the client and the audit team of the final decision and the client will then make the necessary changes to the scheme design.

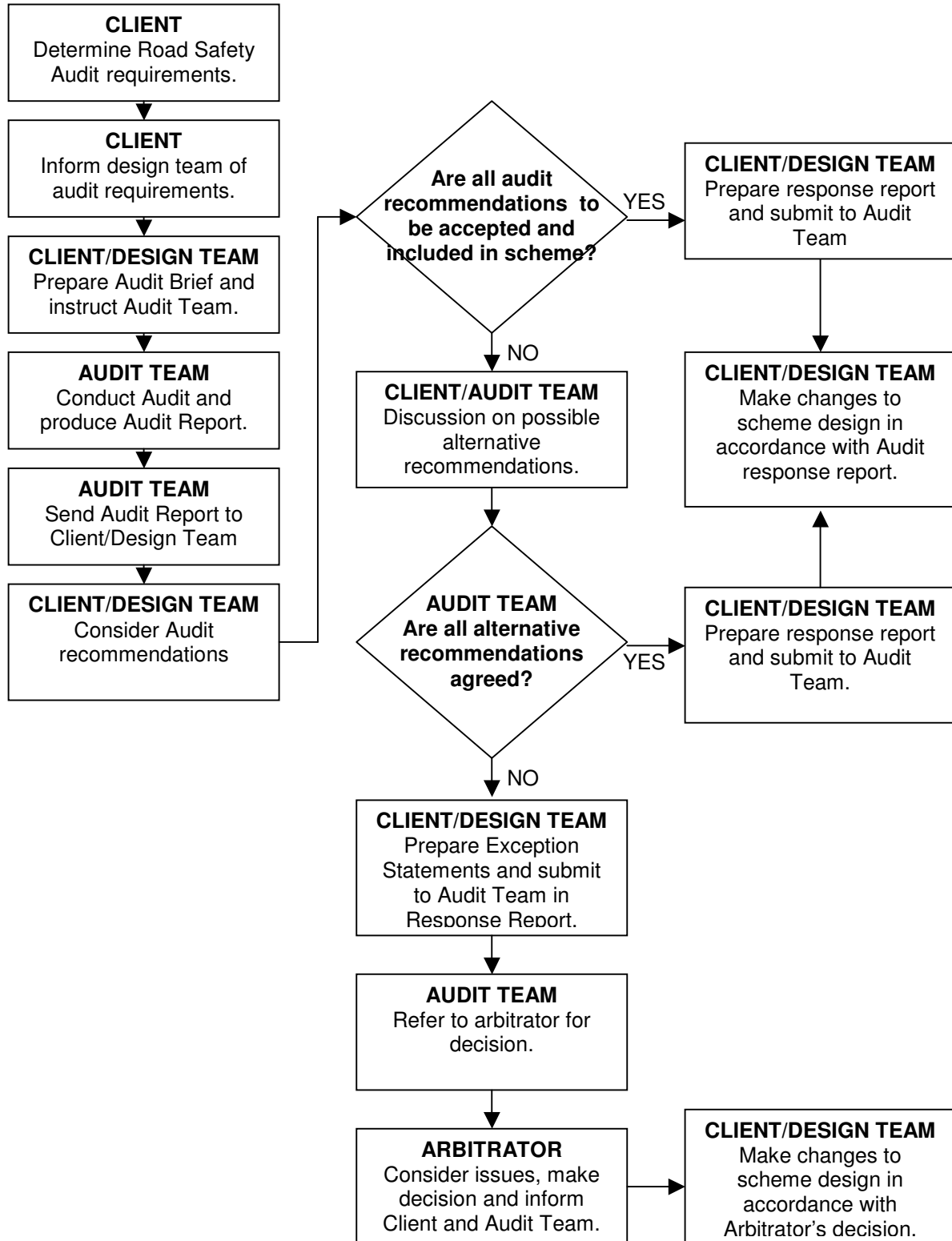
In the case of developer schemes, the arbitrator may decide to withhold road construction consent or other approval which may result in planning enforcement action being taken.

C 8 FILING AND ARCHIVING

The audit report along with submitted plans, audit response report, details of discussions between the client or design team and the audit team and any arbitration decision will form the audit record.

Where the scheme is subject to road construction consent (RCC) or adoption, the audit record should be retained with the RCC or adoption file. Otherwise, it will be held with the planning file.

APPENDIX 1 – PROCESS FLOW CHART





File Reference	
Location	
Scheme Proposal	
Audit Stage	
Auditor	
Date	

Plan No.	Comment	Comment discussed	Comment Included	Reason not included



SCHEME NAME

SCHEME DESCRIPTION

STAGE 2

ROAD SAFETY AUDIT



1. INTRODUCTION

This report describes a STAGE 2 road safety audit carried out on a SCHEME DESCRIPTION at SCHEME LOCATION on behalf of CLIENT. The audit was carried out during MONTH YEAR.

The Audit Team members were as follows:

Name	Role	Organisation
	Audit Team Leader	
	Audit Team Member	

The audit comprised an examination of the drawings and other information relating to the scheme supplied by CLIENT and as listed in Appendix A. The audit team visited the site on [SITE VISIT DATE]. The weather was [WEATHER].

[STAGE 3 ONLY]A night-time visit was carried out on [NIGHT SITE VISIT DATE] at [NIGHT SITE VISIT TIME]

[STAGE 3]Others present during the daylight / night-time visits were:

Name	Role	Organisation
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[EARLIER SAFETY AUDITS] A Stage 1 Audit was carried out by [WHO] in {MONTH YEAR} (Ref: {ENTER REF}).

Items raised in the [EARLIER STAGE] safety audit have been addressed with the exception of the items listed below. These items are discussed again in this road safety audit.

Earlier Audit Item ref.	Description	Audit item ref.
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A study of the recent injury accident history for the location has been carried out. The study covered the five year period to the end of [LATEST DATA]. There were [x] recorded injury accidents. [BRIEF DESCRIPTION OF ACCIDENTS/PATTERNS]

All of the problems described in Section 2 of this report are considered by the audit team to require action in order to improve the safety of the scheme and minimise accident occurrence.

The audit team has examined and reported only on the road safety implications of the scheme as presented and has not examined or verified the compliance of the design to any other criteria.



2. ITEMS RAISED AT THIS STAGE 2 AUDIT

2.1 Problem

Location: Description of location in scheme

Summary: Summary of identified road safety problem

Problem description in more detail

Recommendation

Use 'should' and recommend a practical solution.

2.2 Problem

Location: Description of location in scheme

Summary: Summary of identified road safety problem

Problem description in more detail

Recommendation

Use 'should' and recommend a practical solution.

2.3 Problem

Location: Description of location in scheme

Summary: Summary of identified road safety problem

Problem description in more detail

Recommendation

Use 'should' and recommend a practical solution.



3. NON-SAFETY ISSUES

In carrying out this road safety audit, the audit team also identified the following issues which are not considered to be road safety issues. However, the audit team considers that these issues should be considered to achieve a better scheme.

- *Describe any non-safety issues in these bullet points. If there are none, simply say none.*



4. AUDIT TEAM STATEMENT

I hereby certify that the audit team has carried out this audit independently of the design team and in accordance with West Lothian Council's Road Safety Audit procedures.

Audit Team Leader

[Name] [QUALIFICATIONS]

[Job Title]

[Organisation]

[Address]

[Tel:]

[Fax:]

<i>Signature</i>

<i>Date</i>
