

# **TRANSPORT SCOTLAND TRUNK ROAD & BUS OPERATIONS**

## **TS INTERIM AMENDMENT 40/11**

### **Road Safety Auditor Certification – Compliance with EC Directive 2008/96/EC**

#### **Summary**

This Interim Amendment provides guidance to ensure that Road Safety Audits comply with the requirements of Directive 2008/96/EC of the European Parliament.

#### **Instructions for Use**

This Interim Amendment provides supplementary guidance and should be read in conjunction with DMRB Volume 5 SECTION 2 Part 2 HD 19/03.

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## **1. Introduction**

### **1.1. Background**

This Interim Amendment (IA) provides supplementary advice and further requirements to the guidance and requirements contained within the Design Manual for Roads and Bridges (DMRB) Volume 5 Section 2 Part 2 (hereafter referred to as HD 19/03).

The European Commission (EC) has produced a Directive on Road Infrastructure Safety Management (hereafter referred to as The EC Directive). The aim of this EC Directive is to ensure that safety is integrated into the planning, design and operation of all road infrastructure on the Trans-European Road Network (TERN).

The EC Directive requires that Member States employ, by 19 December 2011, a certification process to demonstrate the necessary competency and training of Road Safety Auditors working on the TERN. Road Safety Auditors are then given two years to comply with this certification process.

Road Safety Audit on the motorway and trunk road network in the UK is currently undertaken in accordance with DMRB Standard HD 19/03. Transport Scotland and the other Overseeing Organisations are currently reviewing this Standard in the light of the EC Directive requirements and other changes in areas relating to the Road Safety Audit process. It is envisaged that a revised Road Safety Audit Standard will be published in early 2012 which will incorporate the changes detailed within this IA.

Prior to the publication of the revised Standard, this IA introduces the changes required to the Road Safety Audit process by the EC Directive.

### **1.2. Outline**

The aim of this IA is to detail the required changes to the existing approach for Road Safety Auditor competence set out in HD 19/03, to meet the requirements of the EC Directive.

In particular, this document provides guidance and requirements on how a Road Safety Auditor may attain a Certificate of Competency in Road Safety Audit.

As stated in Section 1.1 above, this IA provides supplementary advice and further requirements to HD 19/03 and, therefore, must be read in conjunction with that Standard.

This IA is also commended for use on the TERN, where it forms part of the Local Authority road network.

### **1.3. Implementation**

It is important to note that the EC Directive allows Member States two years from the adoption of guidelines and a training curriculum, before Audit Teams must include Road Safety Auditors who hold a Certificate of Competency. Therefore, Road Safety Auditors and those involved with the management of the Road Safety Audit process, have two years from the publication of this IA to meet the requirements of the EC Directive.

Mandatory sections of this document are contained in boxes. If it is not possible to comply, a suitable Departure from Standard must be agreed with the Overseeing Organisation. The remainder of the document contains advice, explanation and guidance for consideration.

Road Safety Audits undertaken in the period between the publication of this IA and the two years subsequent to the publication date **do not** need to include a Road Safety Auditor who holds a Certificate of Competency.

#### **1.4. TERN**

The Trans-European Road Network (TERN) was defined by Council Decision 93/629/EEC of October 29 1993. It is a project to improve the internal road infrastructure of the European Union (EU). The TERN project is one of several Trans-European Transport Networks.

The Trans-European Road Network, as laid out by Article 9 of Decision 661/2010/EU, is to include motorways and high-quality roads, whether existing, new or to be adapted which:

- play an important role in long-distance traffic; or
- bypass the main urban centres on the routes identified by the network; or
- provide interconnection with other modes of transport; or
- Link landlocked and peripheral regions to central regions of the Union.

## 2. Relationship with DMRB Standard HD 19/03

### 2.1. Introduction

This IA provides advice and requirements that **supplements** and does not replace the guidance and requirements contained within HD 19/03, with respect to Road Safety Auditor training, skills and experience. It is therefore essential that Road Safety Audit practitioners and those responsible for managing the Road Safety Audit process, fully understand the current requirements of HD 19/03.

### 2.2. HD 19/03 – Audit Team Approval and Appointment

Approval of the Road Safety Audit Team is currently covered by Clauses 2.48 to 2.53 of HD 19/03.

HD 19/03 requires that the Project Sponsor satisfies themselves in respect of the independence and competence of the Road Safety Audit Team. Members of the Road Safety Audit Team shall demonstrate their competence to the Project Sponsor by means of a Curriculum Vitae. Approvals of the Road Safety Audit Team members are scheme specific and the use of personnel or organisations on previous Road Safety Audit work does not guarantee their suitability to Road Safety Audit other schemes. Experience must be relevant to the type of scheme to be Road Safety Audited.

The requirements contained in Clauses 2.48 to 2.53 of HD 19/03 remain unchanged by this IA and are to be followed by those responsible for managing and undertaking the Road Safety Audit process.

### 2.3. HD19/03 - Audit Team Training, Skills and Experience

Clauses 2.54 to 2.59 of HD 19/03 provide guidance on the appropriate levels of Road Safety Audit Team training, skills and experience. These paragraphs in HD 19/03 give guidance on the general levels of training, skills and experience that are expected of Road Safety Auditors. They are not absolute requirements, but are intended to assist potential Road Safety Auditors and Project Sponsors when proposing and approving Road Safety Audit Teams.

The guidance contained in Clauses 2.54 to 2.59 of HD 19/03 remains unchanged by this IA. However, Road Safety Auditors who intend to gain a Certificate of Competency will need to provide further evidence of their training and experience as detailed in Section 3.1 of this IA.

### 2.4. Other requirements and guidance contained in HD 19/03

As previously mentioned, this IA provides advice and further requirements that **supplements** HD 19/03, therefore all other requirements and guidance currently in HD 19/03 are unaffected by this IA.

### **3. Additional Requirements for Road Safety Auditor Competency**

#### **3.1. Certificate of Competency**

The EC Directive requires that Road Safety Auditors undergo initial training, resulting in the award of a Certificate of Competency. This could be interpreted as a certificate awarded as a result of understanding the initial training, rather than a certificate for demonstrating competence in Road Safety Auditing. Potentially, this may result in a “competent” Road Safety Auditor with little or no practical Road Safety Audit experience.

To avoid this potential confusion, Transport Scotland and the other UK Overseeing Organisations are promoting that the Certificate of Competency requirement meets the EC Directive while being consistent with the current HD 19/03 process. Therefore, the Certificate of Competency in Road Safety Audit shall be awarded when the candidate has demonstrated sufficient training **and** experience in the field of Road Safety Audit.

This IA introduces two routes through which a Road Safety Auditor can obtain a Certificate of Competency: A Portfolio of Evidence route or a Training Course route. It is envisaged that either route will count towards the two days annual Continuous Professional Development (CPD) required by HD 19/03. The routes are described below:

##### 3.1.1 Portfolio of Evidence Route

A Certificate of Competency in Road Safety Audit can be obtained by a candidate demonstrating that their existing training, skills and experience meets with the HD 19/03 guidance, Clauses 2.54 to 2.59, for an Audit Team Member or Audit Team Leader.

They must also demonstrate an appropriate knowledge and understanding of the core modules set out in the outline training curriculum (Section 3.8 of this IA).

This can be achieved by a candidate submitting to an appropriate professional organisation a Portfolio of Evidence.

In summary, the Portfolio of Evidence must include:

1. Details of how the candidate meets the Audit Team training, skills and experience guidance contained in HD 19/03, including:
  - All training undertaken, including dates and locations of courses attended.
  - Details of their Collision Investigation and Road Safety Engineering Experience.
  - Details of CPD undertaken in the last 12 months, to meet the HD 19/03 guidance.
  - Details of all Road Safety Audits undertaken in the last 24 months as Audit Team Member, Audit Team Leader, or Observer, including date of the Audit, role of the candidate and scheme details.
2. Example Road Safety Audit reports with details of the candidate's contribution to the Audit process and production of the Audit reports.
3. A witness statement from an appropriate person vouching for the content of the candidate's portfolio submission. This witness must hold a recognised qualification in the field of Road Safety, Civil Engineering or Transportation Planning or hold a senior professional position within a relevant company or organisation.

4. The Portfolio of Evidence must demonstrate that the candidate has an acceptable level of understanding of the core modules identified in the outline training curriculum in Section 3.8 of this IA.

The Portfolio of Evidence, signed by the candidate, shall be submitted to an independent professional organisation or company who have had their certification process accepted by the Highways Agency as outlined in Section 3.6 of this IA. This professional organisation or company will be responsible for reviewing candidate's submissions and where appropriate, issuing the Certificate of Competency in Road Safety Audit.

### 3.1.2 Training Course Route

A Certificate of Competency can also be obtained by a candidate undertaking an appropriate structured training course.

The training course must conform to the following requirements:

- It must be provided by an organisation or company independent from the candidate's employer.
- It must cover the core modules set out in the outline training curriculum in Section 3.8 of this IA.
- It must have had Highways Agency approval as detailed in Section 3.6 of this IA.

Prior to completion of the training course and issue of a Certificate of Competency, the candidate must submit the following to the training provider:

- Evidence signed by the candidate, of how they meet the guidance in DMRB Standard HD 19/03 in terms of training, skills and experience for an Audit Team Member or Audit Team Leader.
- Example Road Safety Audit reports with details of the candidate's contribution to the Audit process and production of the Audit reports.
- A witness statement, from an appropriate person which vouches for the content of the above submissions. This witness must hold a recognised qualification in the field of Road Safety, Civil Engineering or Transportation Planning or hold a senior professional position within a relevant company or organisation.

The independent course provider must verify that candidates meet the training, skills and experience guidance in HD 19/03 for an Audit Team Member or Audit Team Leader prior to issue of a Certificate of Competency.

The course provider must also assess candidates regarding their understanding of the content of the training course.

Where a candidate has demonstrated to the training provider that they meet the training, skills and experience guidance in HD 19/03 for an Audit Team Member or Audit Team Leader and has understood the content of the training course, the training provider will be responsible for issuing the Certificate of Competency in Road Safety Audit.

### 3.2. Extent of Road Network where the Certificate of Competency is required

Whilst the EC Directive requires a Certificate of Competency only for works on the TERN, Transport Scotland has decided that the Certificate of Competency requirement will apply to Road Safety Audits on **all roads** on the Scottish Trunk Road network.

This additional requirement is for the following reasons:

- It simplifies the process by not having a tiered approach whereby some roads would require a Road Safety Auditor to have a Certificate of Competency, whilst other roads would not.
- It simplifies the process for Project Sponsors reviewing proposed Road Safety Audit Team CV's.
- It removes the risk of Road Safety Audit Teams without a Certificate of Competency, being commissioned to Audit on the TERN.
- There is the potential that the TERN will be extended, so application of the Certificate of Competency process to the entire Scottish Trunk Road network, would help to prepare Road Safety Auditors and those managing the Road Safety Audit process, for any future changes.
- The EC Directive commends the provisions of the Directive to other roads outside the TERN.

### 3.3. Who will require the Certificate of Competency?

The EC Directive requires that at least one member of the Road Safety Audit Team holds a Certificate of Competency, and it is not, therefore, a requirement that all Road Safety Auditors gain a Certificate of Competency.

Therefore, in every Road Safety Audit Team either the Road Safety Audit Team Leader or an Audit Team Member must hold a Certificate of Competency.

The EC Directive indicates that Road Safety Audits shall form an integral part of the design process of the Infrastructure Project, at the stages of draft design, detailed design, pre-opening and early operation. Therefore, the requirements of this IA shall apply to all stages of Road Safety Audit, including Stage 4 monitoring Audits. Consequently, it is required that Road Safety Audit Teams at Stage 1, Stage 2, combined 1 and 2, Stage 3 and Stage 4, all include at least one Audit Team member that holds a Certificate of Competency.

### 3.4. Timetable for obtaining a Certificate of Competency

The EC Directive indicates that Member States have two years from adoption of guidance and a training curriculum, before teams must include Road Safety Auditors who hold a Certificate of Competency.

Road Safety Auditors, therefore, have up to two years from the publication of this IA to obtain a Certificate of Competency, if they are intending to be the member of a Road Safety Audit Team who holds the required certificate.



### **3.5. Certificate of Competency Validity Period**

The EC Directive indicates that subsequent to the award of a Certificate of Competency, Road Safety Auditors should take part in 'periodic further training courses'. This is consistent with the current HD 19/03 requirement for two days Continuous Professional Development (CPD) each year in the field of Road Safety Audit, Collision Investigation or Road Safety Engineering.

The Certificate of Competency will not have a finite validity period, nor is it intended that holding a Certificate of Competency will require a mandatory membership of an organisation. However Road Safety Auditors should demonstrate CPD and continued Road Safety Audit experience in accordance with HD 19/03, subsequent to the award of the Certificate of Competency.

### **3.6. Assessment / Authorisation of Certificate of Competency**

Organisations wishing to offer a Certificate of Competency, to meet Transport Scotland's requirements, must have had their assessment and certification process reviewed and accepted in writing, by an appropriate member of the Highways Agency (See Section 5 of this IA). Once accepted, the awarding organisation must not significantly change the review process leading to the issue of the Certificate of Competency, unless they have agreement to the change in writing, from the Highways Agency.

The Highways Agency has a duty to ensure that the quality and consistency of the detailed training curriculum, assessment and certification process, is appropriate. Therefore The Highways Agency, may wish to review a selection of Portfolio of Evidence submissions where a Certificate of Competency has been awarded or are about to be awarded. Alternatively, a member of the Highways Agency may periodically attend a training provider's course, as an observer, to oversee the Training Course Route process.

### **3.7. Certificates of Competency awarded before the entry into force of the Directive or Certificates awarded in other Countries**

The EC Directive indicates that certificates awarded before the implementation of the Directive shall be recognised. In addition, Certificates of Competency in Road Safety Audit awarded in other countries may be acceptable.

If a Road Safety Auditor holds a Certificate of Competency awarded before the publication of this IA, then details of the training curriculum and assessment process met for the prior award of the Certificate of Competency, must be provided to the Highways Agency for consideration. Alternatively, if a Road Safety Auditor holds a Certificate of Competency awarded in another country, they too must provide details of the training curriculum and the assessment process met.

Before submitting the details of their previously awarded Certificate of Competency to the Highways Agency, the Road Safety Auditor must fully satisfy themselves that the training curriculum which led to the Certificate of Competency, covers all the core modules identified in the outline training curriculum in Section 3.8 of this IA. A Certificate of Competency awarded, based on a training curriculum that varies notably from the outline training curriculum identified in Section 3.8, is unlikely to be accepted by the Highways Agency.

In addition, the Road Safety Auditor must provide evidence to demonstrate that they meet the guidance in DMRB Standard HD 19/03 in terms of relevant training, skills and experience for an Audit Team Member or Audit Team Leader. The candidates training, skills and experience must be verified by a witness statement, from an appropriate person. This witness must hold a recognised qualification in the field of Road Safety, Civil Engineering or Transportation Planning or hold a senior professional position within a relevant company or organisation.

### **3.8. Training Curriculum**

A Certificate of Competency in Road Safety Audit can be awarded either by the Portfolio of Evidence route or alternatively through the Training Course route. The training course, through its content, and the Portfolio of Evidence route through the assessment of the candidate's experience, must cover the core modules in the training curriculum in Figure 1.

The training curriculum is only intended to be an outline requirement and it is the responsibility of those who provide a Certificate of Competency in Road Safety Audit, to submit their detailed course curriculum or application assessment process to Highways Agency for acceptance.

It is envisaged that a training course to cover the core modules in the training curriculum, will be of the order of two days duration.

The outline training curriculum is intended to complement the current HD 19/03 guidance, which indicates that appropriate candidates for Road Safety Audit Teams are individuals whose current employment involves collision investigation and Road Safety Engineering. However, there will be some flexibility when Highways Agency reviews an organisation's detailed training curriculum or application assessment process, as it is recognised that experienced Road Safety professionals may have developed their careers from different backgrounds. It is expected that the organisations detailed training curriculum would cover recent developments and areas for improvement, relating to the core modules. Organisations detailed training curriculum and assessment process should be set at an appropriate level for both Road Safety Audit Team Members, as well as Team Leaders.

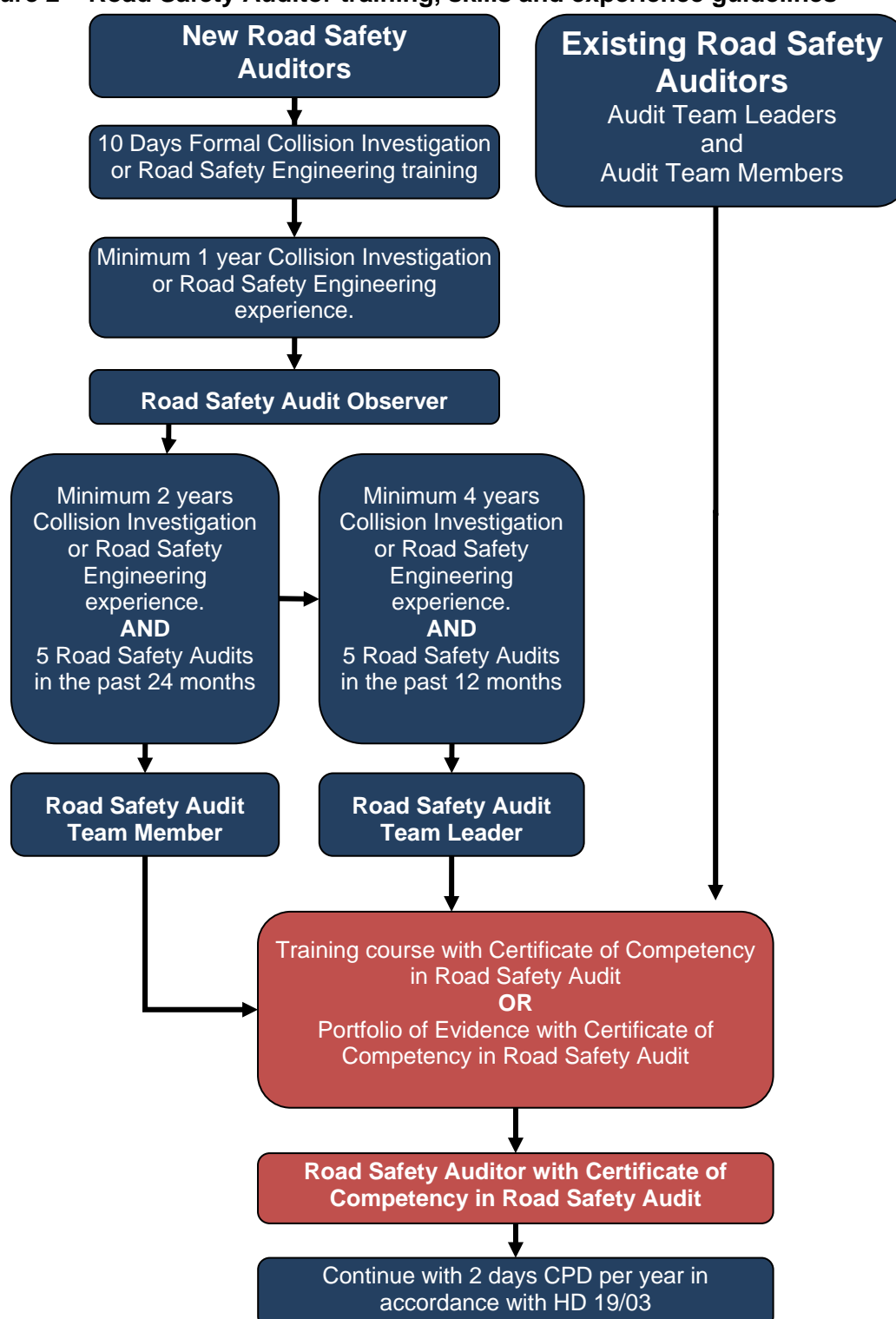
**Figure 1 – Outline Training Curriculum**

Core Module		Example Module Content
1	Road Safety Legal Issues, Legislation and Policy	<p>Review of the reasons why Road Safety Audit is undertaken, in terms of the 1984 Roads (Scotland) Act and 1988 Road Traffic Act.</p> <p>Introduction to the 2007 Road Death Investigation Manual.</p> <p>The Corporate Manslaughter and Corporate Homicide Act 2007.</p> <p>The Manslaughter by Gross Negligence Common Law.</p> <p>The EC Directive 2008/96/EC.</p> <p>Road Safety Policies, targets and strategies, including the Transport Scotland Strategic Road Safety Plan and 2020 Framework Document.</p>
2	Collision Investigation	<p>Understanding and applying collision investigation techniques.</p> <p>Update on any developments in collision trends.</p>
3	Road Safety Audit	<p>This module should focus on areas for improvement and clarification of known potential issues. It should cover:</p> <p>Roles and Responsibilities.</p> <p>Road Safety Audit administration and practice.</p> <p>Road Safety Audit reporting.</p>
4	Road Safety Engineering / Road Design	<p>This module should cover the developments in Road Safety engineering and its influence on road design, with focus on the motorway and trunk road network. The EC Directive specifically requires training or experience in road design. Road Safety Auditors should have an understanding of the Design Manual for Roads and Bridges (DMRB) design standards, and how good design principles reduce collision risk. Auditors should also have an understanding of the requirements and processes contained in “Disability Discrimination Act –Good Practice Guide for Roads” and “Cycling by Design 2010. The module could include the following:</p> <p>Road / Junction Geometry and Design</p> <ul style="list-style-type: none"> <li>•Design Speed</li> <li>•Horizontal and vertical alignment, including cross sections, drainage, Stopping Sight Distances and adverse camber</li> <li>•Appropriateness of junction type</li> <li>•Visibility</li> <li>•Road surfaces, including the use of high friction surfacing</li> </ul> <p>Roadside Features</p> <ul style="list-style-type: none"> <li>•Passive infrastructure</li> <li>•Road Restraint Systems and guard railing</li> <li>•Landscaping</li> <li>•Highway lighting</li> </ul> <p>Facilities for vulnerable road users.</p> <ul style="list-style-type: none"> <li>•Pedestrian / cycling / equestrian facilities</li> <li>•Mobility and visually impaired</li> </ul>

### 3.9. How the Certificate of Competency would align with the current HD 19/03 training, skills and experience guidance

Figure 2 below indicates how the Certificate of Competency in Road Safety Audit aligns with the established and well functioning training, skills and experience guidelines contained in DMRB Standard HD 19/03.

**Figure 2 – Road Safety Auditor training, skills and experience guidelines**



#### **4. Withdrawal Conditions**

This IA will be withdrawn when the current Standard DMRB Volume 5 SECTION 2 Part 2 HD 19/03 is updated and published.

## 5. Contacts

### 5.1 All technical enquires or comments on this Interim Amendment should be sent as appropriate to:

Transport Scotland  
Trunk Road & Bus Operations  
Strategic Road Safety & Development Management  
Buchanan House  
58 Port Dundas Road  
Glasgow  
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### 5.2 Highways Agency Contacts in regard to :-

**Section 3.6 - Assessment / Authorisation of Certificate of Competency:**  
**Section 3.7 – Certificates of Competency awarded before the entry into force of the Directive or Certificates awarded in other Countries.**

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## 6. Glossary

The following definitions and abbreviations have been used throughout this advice.

**CPD** – Continuous Professional Development

**DMRB** – Design Manual for Roads and Bridges

**EC** – European Commission

**EU** - European Union

**TS IA** – Transport Scotland Interim Amendment

**Independent professional organisation, company or training provider** – A company or organisation that is not the employer of the candidate

**Infrastructure Project (EC Directive definition)** - 'Infrastructure project' means a project for the construction of new road infrastructure or a substantial modification to the existing network which affects the traffic flow.

**Member State** - A member state of the European Union is a state that is party to treaties of the European Union and has thereby undertaken the privileges and obligations that EU membership entails.

**TERN** – Trans-European Road Network

## **7. Bibliography**

Design Manual for Roads and Bridge (DMRB) Volume 5 SECTION 2 Part 2 HD 19/03

Directive 2008/96/EC of the European Parliament and of the Council of 19 November 2008 on Road Infrastructure Safety Management