

# Management Arrangement of Safety Risk for Highways England Activities

**Highways England Governance  
for activities that may impact on  
safety outcomes for the strategic  
road network**

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## Reviewer list

Name	Role
NSCRG	As described herein
Mike Wilson	Chief Highway Engineer

## Approvals

Name	Title	Date of issue	Version
Mike Wilson	Chief Highway Engineer	07/08/20	12.1

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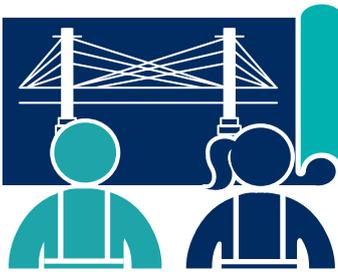
## Key messages

- Highways England has a responsibility to manage safety risks for all using our roads
- This document outlines how safety risks are addressed and by whom

## 1. Introduction

This document outlines Highways England’s requirements for safety governance to manage safety risks arising from our activities that have or may have an impact, either directly or indirectly, for anyone affected by our operation of our motorway and all-purpose trunk roads.

### These activities include:



- Planning, preparing, designing, constructing, operating, maintaining, renewing and disposing of assets (examples of direct influences on safety risk)



- Revising Highways England requirements, directions and all procedures, policies and strategies (examples of indirect influences on safety risk)

The main parties involved in safety governance are shown in the chart below. However, the two main groups that must provide that governance are the safety control review group (SCRG) and the national safety control review group (NSCRG).

It also sets out the relationship between the NSCRG, the chief highway engineer (CHE), the Executive Safety Committee (ESC), and the role played by the Safety Risk Requirements Team (SRRT).

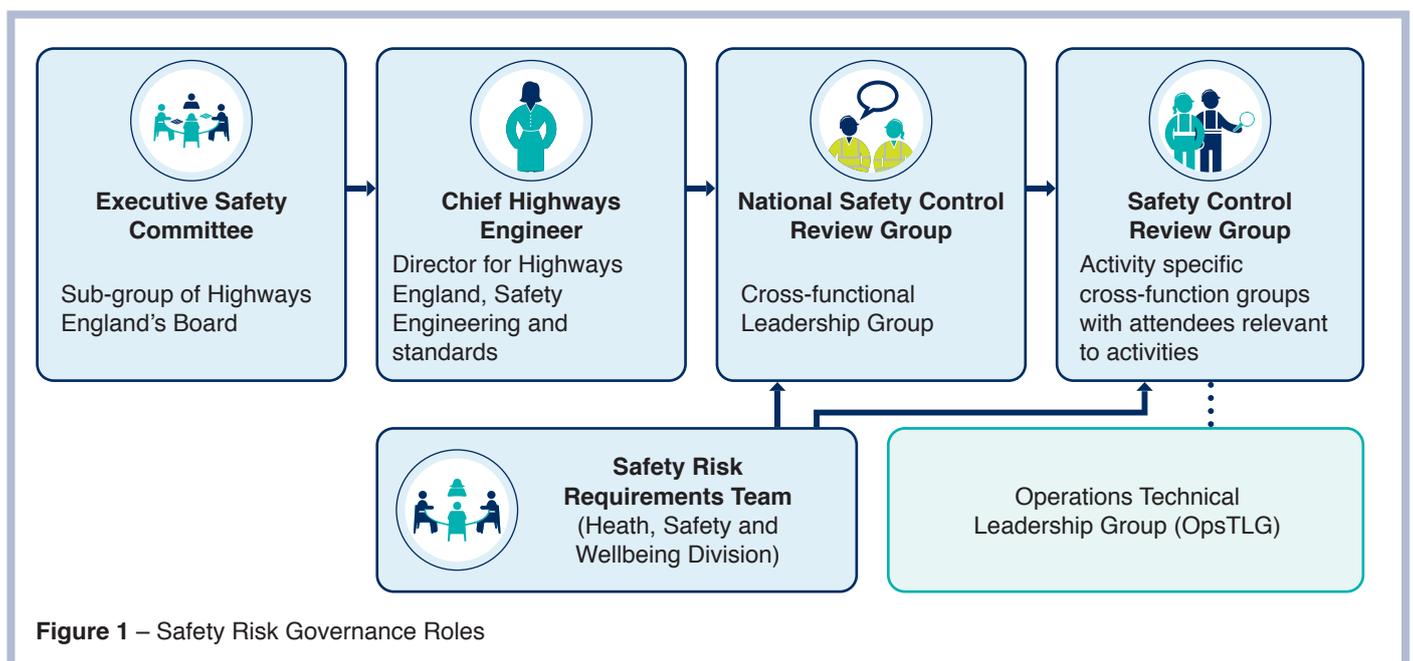


Figure 1 – Safety Risk Governance Roles

## 2. Executive Safety Committee (ESC) and Chief Highway Engineer (CHE)



The ESC sets the direction for effective implementation of safety governance across the business; over and above the statutory and regulatory responsibilities owned by Highways England.



Safety governance requirements are clearly stated in our Health, Safety and Wellbeing Policy.

Safety governance is a standing agenda item for executive meetings and each business area's performance reports are provided, reviewed and acted upon on a regular basis. A non-executive director provides scrutiny of the business' safety governance processes.

The CHE acts as the 'champion' for safety governance at executive level and delegates this responsibility via NSCRG and the SRRT.

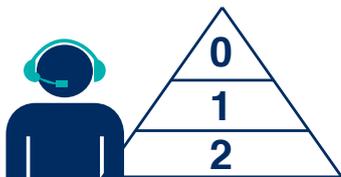
## 3. Safety Risk Requirements Team (SRRT)



The SRRT has delegated responsibility from the CHE to define the [Requirements for Safety Risk Assessment \(GG104\)](#). They are responsible for agreeing on and accepting each business area's governance arrangements as suitable and sufficient.



The SRRT also has an assurance role through sampling to provide insight into the effectiveness of individual business area safety governance arrangements, which is independent of formal audits.



The SRRT provides support, training and advice to the business, and maintains the Safety Engineering and Standards (SES) online Safety Group (tier 0) guidance on the Way We Work and Supply Chain portal. It also provides tier 1 and 2 safety governance support, appropriate to business need.

## 4. Safety Control Review Group (SCRG)



The SCRG provides a forum for reviewing and accepting 'safety work' associated with the activity before it's submitted for formal approval through the **appropriate governance arrangements owned by and applicable for that business area**. These will vary and the activity manager is responsible for identifying what these are.

Safety governance requires that we correctly identify and efficiently mitigate and manage safety risks through the application of key requirements.



GG104 sets requirements which ensure appropriate safety risk assessment, evaluation and management is undertaken to inform all activities, projects and decisions.

Safety governance accounts for the safety risk impact for all and aims to balance safety risk between affected populations.



Safety governance documentation is regularly updated to ensure safety assessments, procedures and decisions are appropriate.

Safety governance requires us to keep documentation, so that safety risk processes and management can be scrutinised/assessed throughout the various stages and lifespan of the project/activity at SCRG. This includes any proposed value engineering that may impact on safety risk.

To ensure that safety decisions are made considering the safety implications of the current and future application of the ‘activity’, a SCRG should comprise representatives from across the business who have expertise, or will be affected by the activity.

All activities are required to be categorised for safety management purposes and this is achieved through the application of GG104 Requirements for Safety Risk Assessment (section 2.6 and associated tables).

The three categories are:

Type A

Type B

Type C

For **type A** activities, the categorisation and the safety risk assessment process is reviewed and agreed by the activity manager. The activity manager’s agreement is documented in accordance with the governance procedures for the business area in which the activity is undertaken.

Procedures will generally include a decision/acceptance point at each stage of safety risk assessment with the SRO for the activity. This process to be documented and form part of the audit trail for decisions made.

SCRGs are mandatory for **type B and C** categorised activities and shall be organised by the activity manager. **Type C** categorised activities will require a higher level of consideration and thus will be referred to the NSCRG for review and acceptance. **Type A** categorised activities will not require a SCRG but may choose to follow the approach for some, or all decisions as this represents best practice in terms of early engagement with stakeholders.



The SCRG reviews safety-related Departures from Standard (DfS) and considers activity-specific safety challenges, resultant safety mitigation(s) and their effect on the delivery of the safety objectives. The Highways England project manager for each activity is responsible to implement SCRG recommendations.

The SCRG must be cross-functional and ensure appropriate:

- Consultation and agreement is achieved for safety management decisions
- Actions are taken to effectively manage hazards and risks during the activity
- Programme-wide decisions are applied consistently

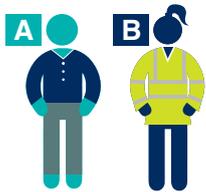


The Highways England project manager will decide if the SCRG needs to be convened throughout the life of the activity. Before the first meeting, the senior responsible owner (SRO) and Highways England project manager will agree on requirements like the quorum, membership of the group and the degree to which consistency of attendance is required.

**Records/minutes of all decisions made and their justifications shall be kept, including appropriate risk assessment activities carried out:**

- Five working days before the meeting the agenda and supporting papers shall be sent to all attendees.
- Minutes of each meeting shall include details of actions agreed, responsible owners and target dates. Draft minutes shall be circulated within ten working days of the relevant meeting date.
- A record of every activity reviewed shall be maintained for audit purposes.
- SCRGs shall only be convened when a decision requires acceptance as they are not forums for general discussion.

**The SCRG shall comprise two types of attendees:**



- A) **Principal attendees** from across the business areas affected by the planned activity collectively determine whether to accept evidence presented to the group. Each has the power of veto over such decisions.
- B) **Specialist attendees** who provide additional expertise to the group, such as when specialist input is required for a decision to be accepted

The requirement for specialist attendee attendance shall be decided by the activity manager and lead consultant but shall always comprise representative from the parts of the organisation/supply chain affected by the safety risks associated with the activity.

**Typical attendees may include:**

- Additional technical support, as required (e.g. SES specialists or external subject matter experts (SMEs))
- Maintenance contract representative
- Maintenance representatives, including technology
- Stakeholder representatives (e.g. other regional control centre (RCC)/regional operations centre (ROC)/traffic officer representatives)
- Information technology (IT) representative

These principal attendees and specialist attendees will be the typical constitution of a SCRG and appropriate in most cases. However, there will be activities proposed by Highways England, with Highways England working with partners, or third party led, where there will need to be agreement on appropriate makeup of the SCRG to ensure that the intended consultation and oversight functions are met and discharged.

All attendees should be prepared for and participate openly in the review group to ensure appropriate consultation, decision making and action taking.

While such a situation should be avoided, it may be necessary for **principal attendees** to send representatives to the SCRG. Representative attendees shall have the competency and delegated authority to represent their senior representative.





The Highways England project manager for the SCRГ must show that the group has sufficient collective competence to fulfil its duties. The SRRT GG104 self assessment tool should be used to test competence. Where gaps are identified, relevant SMEs may be consulted (in person, or by correspondence) to provide advice or supplementary information. If they are not able to attend the meeting, their input should be sought in advance, so it can be presented at the meeting. They may also be asked to audit items under discussion or decisions reached.

Where a safety risk decision made by a SCRГ is reviewed outside of the group, these must be referred to SCRГ for acceptance.

## 5. National Safety Control Review Group (NSCRG)



The NSCRG is established by the CHE to:

- Review type C categorised safety issues as defined by GG104 Requirements for Safety Risk Assessment
- Assure the CHE and the senior responsible owner (SRO) for the activity, that the scope and content of safety products are correct and fit for purpose, given the current stage of the activity
- Review and direct on unresolved safety issues escalated from type A/B activities
- Promote the application of appropriate governance for safety risk management

The NSCRG reviews and advises on complex or unique safety issues and network consistency items. Their key objectives are to:

- Provide direction on safety matters to activities, and ensure Highways England discharges both its statutory and regulatory responsibilities
- Ensure alignment of safety objectives with relevant Highways England objectives and targets
- Review and advise on complex, unique safety issues arising on activities
- Review and advise on safety issues that have a national impact or haven't arisen on the SRN before
- Provide advice for corrective actions to SROs
- Inform the SRO where an activity is not working in accordance with Highways England's stated requirements for safety governance, and require the activity manager to provide evidence of their consideration of safety risk

### Membership:

The Chair will consider the quorum and consistency of attendance at NSCRG meetings. There may be two types of attendees who are invited to each NSCRG meeting:

- A) **Principal attendees**, who collectively review and advise on complex, unique safety issues that are referred by SCRГs, and accept solutions developed by SCRГs. Each has the power of veto over such decisions.

B) **Specialist attendees**, who provide additional SME experience to the group.



**The NSCRG will:**

- Accept or reject safety work presented to them
- Provide corrective advice and refer to the project manager/SCRG

(Note: All costs associated with project representation to the NSCRG will be met from the individual activity budget, and not by the SES directorate.)

## 6. Further information



For further information or clarification please contact the SRRT via email:

[SafetyGovernance@highwaysengland.co.uk](mailto:SafetyGovernance@highwaysengland.co.uk)

# NATIONAL SAFETY CONTROL REVIEW GROUP TERMS OF REFERENCE

## 1. Purpose and authority

The National Safety Control Review Group (NSCRG) is established by the Chief Highway Engineer (CHE) to:



- Review type C categorised safety issues, as defined by GG104 Requirements for Safety Risk Assessment, assuring the CHE and the senior responsible owner (SRO) for the activity that the scope and content of safety products are correct and fit for purpose, given the current stage of the activity
- Review and direct unresolved safety issues escalated from type A/type B categorised activities
- Promote the application of appropriate governance for safety risk management

## 2. Membership

Membership of the group is based on role/function and will be reviewed annually. There are two types of NSCRG attendees, being principal and specialist. Principal attendees shall be subject matter experts for the field they are representing and shall demonstrate this through submission of competence statements/CVs. A record of these will be maintained for audit purposes. Specialist attendees provide additional subject matter experience that's relevant to the group when there are specific issues that require a more detailed knowledge of a discipline area.

Principal attendees	Representing
Chief Highway Engineer	Chair (delegated)
Head of Customer and Operational Requirements, Customer Experience Division	Deputy Chair
Head of Health & Safety Risk, Standards and Assurance Health, Safety and Wellbeing Division	Deputy Chair
Major Projects (Safety Lead)	Major Projects
Major Projects (Operational Safety Subject Matter Expert)	Major Projects
Major Projects/Operations Liaison Manager	Operations (Major Projects Lead)
Major Projects (Head of Health and Safety)	Major Projects
Chief Technology Officer	Information Technology
Operations (Safety Lead)	Operations
Independent Advisor	Independent Operational Safety Advice
National Health and Safety Team	Safety, Engineering and Standards - Health and Safety
Principal Designer	Independent CDM advice
Safer Roads Group Manager	Safety, Engineering and Standards - Safety
Health, Safety and Wellbeing Director	Safety, Engineering and Standards – Health, Safety and Wellbeing
Smart Roads Group Manager	Safety, Engineering and Standards - Smart Roads
ITS Group Manager	Safety, Engineering and Standards - ITS
Asset Information Group Manager	Safety, Engineering and Standards – Asset Information
Safety Risk Requirements Senior Advisor	Secretariat

\*Review annually for accuracy. Refer to principal attendee register for competent individuals.

In the event of the Chair being unavailable, prearrange for the deputy to chair the meeting. The Chair will consider the quorum and appropriate attendance at meetings.

### 3. Proceedings of the NSCRG



The group will meet monthly:

- Unless otherwise agreed, the agenda and supporting papers shall be sent to group attendees and to other attendees (as appropriate) no later than five working days before the date of the meeting
- Minutes of each meeting shall include details of actions agreed, responsible owners and target dates. Draft minutes shall be circulated within ten working days of the relevant meeting date
- A record of every activity reviewed shall be maintained for audit purposes
- Review and manage the NSCRG risk register, assigning ownership for management actions

While such a situation should be avoided, principal attendees may send representatives to the NSCRG. Principal attendees must be content that representative attendees have the competency required to undertake the duties delegated to them.

### 4. Responsibilities



- Accept/reject safety products for type C categorised activities as meeting the requirements of GG104; providing feedback and advising the SRO for the activity (whom will retain overall responsibility for the activities progression)
- All management actions associated with the NSCRG risk register
- Direction, ad hoc advice and guidance as required on unresolved safety issues escalated from type A/type B categorised activities/projects

### 5. Reporting



The group chair shall provide a verbal report to the CHE after each meeting:

- A summary of the matters arising
- An update on the risk register

A quarterly report and dashboard shall be provided to the CHE for presentation at the Executive Safety Committee.

### 6. Other matters, policy and best practice



Where an activity is identified as not working in accordance with Highways England's stated requirements for managing safety risk, the NSCRG shall require the activity manager to provide evidence of their consideration of safety risk.

NSCRG shall participate in an annual review of its own performance, to ensure it is operating at maximum effectiveness.

# LEGISLATION TO SAFETY RISK ASSESSMENT MATRIX

Document	Status	Where and when it applies					Who it applies too			Purpose
		General operation and management of the SRN	Construction of schemes	Maintenance of the SRN	Demolition of our infrastructure	Our offices and workplaces	Customers (road users)	Our workforce, traffic officers and supply chain	Neighbours (other parties)	
Road Traffic Act	Legislation	✓					✓			Managing safety of the road user
Highways Act	Legislation	✓					✓			Managing safety of the road user
Health and Safety at Work Act	Legislation	✓	✓	✓	✓	✓	✓	✓	✓	Managing safety of employees
Health, Safety and Wellbeing Policy	Legal requirement	✓					✓	✓	✓	The organisation's general approach to managing health, safety and wellbeing
Home Safe and Well Approach	Strategy and plans	✓	✓	✓	✓	✓	✓	✓	✓	To improve the health, safety and wellbeing of employees, road users, neighbours, and road workers
Operational Safety Risk Assessment	Standard	✓	✓	✓	✓	✓	✓	✓	✓	A framework for assessing and controlling safety risk relating to operating and managing the SRN
Occupational Health and Safety Risk Assessment	Standard and procedure	✓					✓	✓	✓	A framework for assessing and controlling the safety risk to our people and others effected from our work activities