

A38 Derby Junctions
TR010022

8.64 Design – Handover for Operation
Process Note

Planning Act 2008

Rule 8 (1)(k)

Infrastructure Planning (Examination Procedure) Rules 2010

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**The Infrastructure Planning
(Examination Procedure) Rules 2010**

**A38 Derby Junctions
Development Consent Order 202[]**

Design – Handover for Operation Process Note

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A38 Preliminary Design to Handover for Operation Process note

1 BACKGROUND

- 1.1 In response to questions raised at the A38 Derby Junctions Issue Specific Hearings on 10 and 11 December 2019 this note explains how Highways England manages the development and delivery of major projects and, in the case of the A38 Derby Junctions project, how the post-consent and construction phase would be managed along with how and when other parties would be engaged with and consulted before detailed approvals are sought.
- 1.2 This document brings together Highways England's general approach and controls as approved by the Department for Transport (DfT) and the project specific elements set out in the A38 Derby Junctions draft DCO and other documents to provide an overview of how Highways England would progress this project.
- 1.3 This note sets out existing processes for the purposes of assisting the Examining Authority and Interested Parties by bringing together various stages of the overall consenting and construction processes, it is therefore illustrative only. This note is not intended to form a control document under the DCO.

2 PCF APPROACH

- 2.1 For major projects, Highways England use the project control framework (PCF) which sets out, in detail, how Highways England manage and deliver major road improvement projects. The PCF is a joint DfT and Highways England approach to managing major projects through a series of "products". These products are developed by the project to set out and record all aspects of the project. Under the PCF, Highways England is the "project manager" responsible for developing and delivering major improvements to the strategic road network.
- 2.2 There are 7 stages¹ within the PCF:

| Phase | Pre-project | Options | | Development | | | Construction | |
|------------------|--------------------------------------|-----------------------|------------------|--------------------|---------------------------------|--------------------------|--|----------|
| | 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 |
| PCF stage | Strategy, shaping and prioritisation | Option Identification | Option Selection | Preliminary design | Statutory procedures and powers | Construction preparation | Construction, Commissioning and handover | Closeout |

- 2.3 The A38 Derby Junctions project is currently in Stage 4 - Statutory procedures and powers. In this stage Highways England seeks consent (in this case a DCO) for the preliminary design produced and consulted upon in stage 3.

¹The Major Projects Lifecycle, The project control framework Handbook, Highways England, v4 November 2018

- 2.4 The final, detailed design of the project is produced in Stage 5 by the construction contractor. The detailed design will go through the appropriate consultation in accordance with the PCF process.
- 2.5 Stage 6 lasts through discharge of DCO requirements, construction and commissioning to handover for operation.
- 2.6 Given that the project is currently in Stage 4 and that handover for operation will be at the end of Stage 6, this note focuses on Stages 4, 5 and 6 and sets out current and future activities.

3 CONSULTATION UNDER THE PCF APPROACH

- 3.1 Good engagement and consultation with stakeholders is hard-wired into the PCF. The PCF contains 3 key principles, of which principle 2 is “*Consultation is a vital component – not an afterthought*”².
- 3.2 At defined points throughout all stages of a PCF managed project, Highways England conducts stage gate assessment reviews (SGARs). SGAR reviews are internal governance activities which ensure that, amongst other criteria, the 3 key principles are being properly applied and therefore that consultation relevant to each stage is being appropriately undertaken. All SGARs must give a clear account of current progress, when sign off of any product is expected to happen, who has been consulted and any other relevant information³. Where the project team cannot satisfy the reviewer that the project stage has been undertaken properly and having due regard to the key principles, the project will not be allowed to progress to the next stage unless or until the identified issues are remediated.
- 3.3 Highways England projects are also subject to independent assurance reviews (IAR). These are a mandated assurance process for all publicly funded major projects. Independent assurance review is a 'peer review' in which independent project managers from outside the project use their experience and expertise to examine the progress of the project. Amongst other objectives, these reviews are designed to provide assurance that all stakeholders understand the project status and issues and are providing appropriate input. The most recent IAR was undertaken in April 2019 by a team from Highways England's Corporate Assurance Division.
- 3.4 Consultation is accordingly mandated by the PCF approach. In correctly following the PCF approach, the A38 project team is required by the process to consult and engage with stakeholders. The PCF defines a number of consultees for individual documents and elements, these include;
 - (a) internal Highways England specialists,
 - (b) Highways England's operations directorate,
 - (c) local authorities and
 - (d) other statutory bodies.
- 3.5 Approval from consultees ensures that the scheme has been developed in line with various sets of standards including the Design Manual for Roads and Bridges (DMRB). During Stages 3 and 5, the scheme is presented to the Operations Technical Leadership Group who provide a further level of assurance of the operational, safety and maintenance of the scheme. These ongoing PCF obligations are in addition to any consultation requirements set out in the DCO.

² The three key principles of the PCF, The project control framework Handbook, Highways England, v4 November 2018

³ Project assurance and governance, The project control framework Handbook, Highways England, v4 November 2018

- 3.6 Highways England’s approach to ensuring ongoing consultation with stakeholders for major improvement projects is driven by the ‘communication for major projects’ product of the PCF. This product is initially developed in Stage 1 and is a live document which is reviewed and updated throughout the life of the project. It is specifically updated in advance of each new stage and checked it is fit for purpose through audit for the SGARs. In stage 4 the focus of this process is on the statutory process, how HE reactively responds to any queries and how stakeholders are updated on progress. On the A38 scheme a number of methods have been used which include:
- (a) website updates,
 - (b) project newsletters,
 - (c) regular meetings,
 - (d) periodic working groups and
 - (e) focussed information events.
- 3.7 In advance of entering into the contract with the contractor early engagement is taking place where meetings have been planned with; Derby City Council, A38 Behavioural Working Group, Euro Garages, McDonald’s, the Royal School for the Deaf and others. This engagement will continue during the lifecycle of the A38 scheme during construction and then once handed-over into operation. Methods of communication will be updated in each stage and documented in the ‘communications plan’, which is part of the ‘communications for major projects’ product, to ensure that all communication is useful and relevant.
- 3.8 After the DCO decision, and before the start of Stage 5, a ‘post examination checklist’ is produced. This ensures that all commitments from the DCO are captured and delivery of them planned. Relevant aspects are then included in the ‘communications plan’.
- 3.9 During Stage 5 the focus will turn to gearing up for construction, engaging with local people, road users and stakeholders and then keeping them all informed throughout construction in Stage 6.
- 3.10 A Detailed Local Operating Agreement (DLOA) will be agreed with the local highway authority. This is produced in Stage 5 which confirms which assets will be taken out of normal maintenance regimes (both Highways England and the local highway authority), and the arrangements that will be put in place to maintain/operate them during the construction works. The DLOA is effective from the start of works until handover into operation.

4 PROJECT PROGRESSION

| PCF Stage | Project progress | Activities | References |
|-----------|---|---|---|
| 3 | Consultation on preliminary design September 2018 – October 2018 | Statutory Consultation, including with local authorities and statutory bodies, to refine preliminary design, address concerns and identify issues for further work. Informal consultation with Councils, businesses etc continued throughout Stage 3 (January 2018 to April 2019). | Consultation report [APP-5.1] SoCG records of engagement |

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| 4 | DCO Examination October 2019 – April 2020 | <p>Consideration of issues by the ExA</p> <p>Ongoing engagement with IPs, resolution of issues recorded in SoCGs. Where interested parties have not engaged in SoCGs, records of engagement are maintained under the communications plan as well as the statement of reasons where appropriate.</p> <p>Further engagement with technical working groups including behavioural change group.</p> | SoCG |
| | DCO Examination closes April 2020 | Relationship Management established for life-cycle of the scheme through established technical working groups, forums, contractor on-boarding and communications planning. | SoCG |
| | DCO decision October 2020 | Relationship Management firmly established and Highways England working closely with all affected parties | Communications plan (PCF). |
| | DCO legal challenge period October – mid-November 2020 | Technical design standards required to allow operational handover agreed with relevant IPs (eg local highway street lighting to be connected to an appropriate electricity supply independent of the SRN). | Not mandated by the DCO but undertaken ahead of and in addition to formal consultation under requirements through ongoing in advance of Detailed Design starting. |
| 5 | Detailed design process begins Jan/Feb 2020 | Ongoing engagement and informal consultation with IPs, as detailed design is progressed through Stage 5 | |
| | Detailed design developed upon Other plans and schemes produced and consulted upon Mar to Nov 2020 | <p>Formal Consultation</p> <p>Eg: the local highway authority formally consulted on detailed design, CEMP (including some elements of traffic management), landscaping, traffic management, drainage, highway lighting</p> <p>A Stakeholder liaison officer will be in place</p> | DCO requirements 3,5, 8, 9, 11, 12, 13, 14, 15, 16 |

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| 6 | Discharge of requirements sought November 2020 for early works and March 2021 for main works | Details of the consultation undertaken and responses received must be submitted along with applications for discharge under requirements. | DCO requirement 4 |
| | Construction period Nov 2020 to May 2024 | Ongoing engagement and liaison with IPs, particularly local highway authority, through behavioural change and traffic management working groups as well as communication with stakeholders through a stakeholder liaison officer who will be a dedicated resource and work with IPS to deliver effective communication across all stakeholders. Traffic management in line with approved plan (and as per outline) implemented Maintenance of highway assets through construction carried out as defined in the DLOA. | DCO requirements 3 and 11, Traffic Management Plan (certified document) DLOA |
| | Consultation on changes to approved plans and strategies where required Duration of works | Including in response to issues identified by IPs and through any working groups/liaison groups | Consultation required set out in DCO requirements 3,5, 8, 9, 11, 12, 13, 14, 15, 16 |
| | Application for changes to approved plans and strategies Duration of works | Details of the consultation undertaken and responses received must be submitted along with applications for discharge of amended details. | DCO requirements 17 and 4 |
| | Open for Traffic (OFT) Spring 2024 | Inspection by required parties and sign off that works to their assets are completed to their reasonable satisfaction as required by the DCO Agree final limits of responsibility through the production of as built information | Eg DCO articles 13 and 16 require works to be completed to the reasonable satisfaction of the local highway authority |
| 7 | Handover for operation One year after OFT | Handover for operation [April/May 2025]. Use of DLOA no longer required. | |