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<b>Report To:</b>	<b>Policy and Resources Committee</b>	<b>Date:</b>	<b>26 May 2009</b>
<b>Report By:</b>	<b>Head of Organisational Development and Human Resources</b>	<b>Report No:</b>	<b>HR/10/09/PR</b>
<b>Contact Officer:</b>	<b>Pauline Ramsay, Health and Safety Team leader</b>	<b>Contact No:</b>	<b>01475 714723</b>
<b>Subject:</b>	<b>Health and Safety Construction, Design and Management (CDM) Regulations Policy Review</b>		

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## **1.0 PURPOSE**

- 1.1 To recommend to Committee the approval of the reviewed Construction, Design and Management (CDM) Regulations Policy.

## **2.0 SUMMARY**

- 2.1 The new CDM regulations were introduced in 2007. These new regulations consolidate construction related activities within H&S legislation and incorporate within them the Construction (Design and Management) Regulations 1994 and the Construction (Health, Safety and Welfare) Regulations 1996, both of which have now been revoked.
- 2.2 The Health and Safety at Work etc. Act places a duty on employers to prepare a written statement of their general policy and as part of that policy to have in place arrangements for the implementation of Health and Safety. The reviewed Risk Assessment policy will form part of the Council's arrangements for Health and Safety.
- 2.3 The previous policy required to be reviewed. The new policy replaces it and sets out how the Council will implement the Construction (Design and Management) Regulations 2007 in line with the HSE Approved Codes of Practice and guidance documents.

## **3.0 RECOMMENDATIONS**

- 3.1 The Committee is recommended to approve the reviewed CDM Policy attached at appendix 1.

Head of Organisational Development  
and Human Resources

## **4.0 BACKGROUND**

- 4.1 Inverclyde Council is required to ensure that health and safety is integrated into the management of construction projects and that everyone working on Construction related projects is involved in:
- Improving the planning and management of projects from the start;
  - Identifying hazards early on, so that they can be eliminated or reduced at the design or planning stage and that remaining risks can be properly managed;
  - Targeting effort where it can do the most good in terms of Health and safety;
  - Discouraging unnecessary bureaucracy.
- 4.2 By law (Health and Safety at Work etc Act 1974 section 2(3)) if you employ five or more people you must have a written health and safety policy. This contains a statement of general policy on health and safety at work and the organisation and arrangements in place for putting that policy into practice. The CDM Policy details the arrangements the Council has in place for working on Construction projects.
- 4.3 The CDM Policy sets a clear direction for the Council to follow; it will contribute to all aspects of business performance as part of a demonstrable commitment to continuous improvement. It will demonstrate a shared common understanding of the Council's vision, values and beliefs. A positive Health and Safety culture is fostered by the visible and active leadership of senior managers. This is reflected within the new policy.
- 4.4 The principal changes within the new policy are:
- Updating of the policy to reflect amendments to the regulations.
  - A CDM toolkit has been developed.
  - Revision of the Organisation section to reflect the Council structure and to provide a more detailed breakdown of responsibilities especially in relation to the duties imposed by the new regulations.
  - Updating of the guidance to reflect the HSE's Approved Code of Practice and guidance.

## **5.0 PROPOSALS**

- 5.1 The Corporate CDM Policy to be adopted by Inverclyde Council and used as a framework to further enhance the safety of employees and those affected by the work of the Council.

## **6.0 IMPLICATIONS**

- 6.1 Finance: None
- 6.2 Human Resources: None
- 6.3 Legal: None
- 6.4 Equality and Diversity: None

## **7.0 CONSULTATION**

- 7.1 The reviewed CDM Policy has been coordinated through the Corporate Health and Safety Committee with Health and Safety seeking the views of both union and management colleagues especially within Property Resources and Facilities Management and the Schools estates team. The Trades Unions have agreed the revised CDM Policy.



**6 a. Project type - IMPORTANT: Please select ONE checkbox only from this page**

For mixed projects please tick the box that reflects the primary element of the work. Additional information may be provided on the following page in section 6 b.

<input type="checkbox"/> Not Required	<input type="checkbox"/> Asbestos	<input type="checkbox"/> Building Services	<input type="checkbox"/> Utilities Work
<input type="checkbox"/> Painting&Decorating	<input type="checkbox"/> Road & Path	<input type="checkbox"/> Site Investigation	<input type="checkbox"/> Telecomm. Towers
<input type="checkbox"/> Tunnel	<input type="checkbox"/> Water Project	<input type="checkbox"/> Other	

**Demolition/Dismantling**

<input type="checkbox"/> House	<input type="checkbox"/> Factory	<input type="checkbox"/> Chimney	<input type="checkbox"/> Railways
<input type="checkbox"/> Other			

**Mechanical & Electrical (M & E)**

<input type="checkbox"/> Installation	<input type="checkbox"/> Repair
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**Roofwork Repair**

<input type="checkbox"/> Residential	<input type="checkbox"/> Commercial	<input type="checkbox"/> Other
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**Groundworks**

<input type="checkbox"/> Piling	<input type="checkbox"/> Tunnelling	<input type="checkbox"/> Underpinning	<input type="checkbox"/> Other
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**New Build - Civil Engineering**

<input type="checkbox"/> Bridge	<input type="checkbox"/> Road	<input type="checkbox"/> Waterway	<input type="checkbox"/> Docks
<input type="checkbox"/> New Build - Railways	<input type="checkbox"/> New Build - Other		

**New Build - Commercial Premises**

<input type="checkbox"/> Shop	<input type="checkbox"/> Warehouse	<input type="checkbox"/> Factory	<input type="checkbox"/> Other
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**New Build - Residential Premises**

<input type="checkbox"/> Houses 0 - 5	<input type="checkbox"/> Houses 5 - 10	<input type="checkbox"/> Houses 10 - 20	<input type="checkbox"/> Houses > 20
<input type="checkbox"/> Flats 0 - 5 storey	<input type="checkbox"/> Flats 5 - 10 storey	<input type="checkbox"/> Flats 10 - 20 storey	<input type="checkbox"/> Flats > 20 storey
<input type="checkbox"/> Other			

**Refurbishment (including Repair & Redecoration)**

<input type="checkbox"/> Commercial	<input type="checkbox"/> Residential	<input type="checkbox"/> Railway	<input type="checkbox"/> Other
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**Refurbishment (including Repair & Redecoration) - Civil Engineering**

<input type="checkbox"/> Bridge	<input type="checkbox"/> Road	<input type="checkbox"/> Waterway	<input type="checkbox"/> Docks
<input type="checkbox"/> Other			





**9. Client contact details**

Name\*

Address

Name

Street\*

District

Town\*

County

Country\*  England  Wales  Scotland      Postcode\*

Telephone

Email

Address

**10. Name and address of any designers already engaged**

Name\*

Address

Name

Street\*

District

Town\*

County

Country\*  England  Wales  Scotland      Postcode\*

Telephone

Email

Address

**11. Name and address of any contractors already appointed**

Name\*

Address

Name

Street\*

District

Town\*

County

Country\*  England  Wales  Scotland      Postcode\*

Telephone

Email

Address





Specify the type of contact\*:  Client  Designer  Contractor

Name\*

Address

Name

Street\*

District

Town\*

County

Country\*  England  Wales  Scotland Postcode\*

Telephone

Email

Address

Specify the type of contact\*:  Client  Designer  Contractor

Name\*

Address

Name

Street\*

District

Town\*

County

Country\*  England  Wales  Scotland Postcode\*

Telephone

Email

Address

**15. Declaration (\*delete as appropriate)**

- \* As client for this project, I hereby declare that I am aware of my duties under the Construction (Design and Management) Regulations 2007 (S.I. 2007/320).
- \* On behalf of the client, I hereby declare that the client is aware of/ I have made the client aware of their duties under the Construction (Design and Management) Regulations 2007 (S.I. 2007/320).

Signed by /on behalf of the Client

Role



Date

 /  / 

Name





**CONSTRUCTION (DESIGN & MANAGEMENT) REGULATIONS 2007**

**APPOINTMENT OF THE PROJECT TEAM**

This declaration is given to confirm the composition and appointment of the Project Team for the following Project.

<b>Name of Project</b>	
Insert project name	

Whilst it is accepted the Team may change as the Project progresses, records of these changes must be duly recorded to demonstrate the appointment of Competent Persons to appropriate statutory roles.

<b>Project Team Leader</b>	
Name:	
Job Title:	
Address:	
Tel:	

<b>Client Service/Lead Client Service</b>			
Name:			
Address:			
Contact Name:		Tel:	

<b>CDM Coordinator</b>			
Name:			
Address:			
Contact Name:		Tel:	

<b>Designer</b>			
Name:			
Address:			
Contact Name:		Tel:	

<b>Contract Administrator</b>			
Name:			
Address:			
Contact Name:		Tel:	

Project Team Member	
Role (if appropriate)	
Name:	
Address:	
Tel:	
Project Team Member	
Role (if appropriate)	
Name:	
Address:	
Tel:	
Project Team Member	
Role (if appropriate)	
Name:	
Address:	
Tel:	
Project Team Member	
Role (if appropriate)	
Name:	
Address:	
Tel:	
Project Team Member	
Role (if appropriate)	
Name:	
Address:	
Tel:	

I confirm the above personnel have been assigned to this Project Management Team and have accepted responsibility for their role and appropriate statutory appointment.

**Signed:** .....

**Name (Print):** .....

*By Corporate Director or Head of Service*

**Designation:** .....

**Date:**     /     / 20

**CONSTRUCTION (DESIGN & MANAGEMENT) REGULATIONS 2007**

**DECLARATION OF APPOINTMENT AS LEAD CLIENT SERVICE**

This declaration confirms that the Service/Section named below has been appointed to act as the Lead Client Service for the Construction Project detailed below and as such, will act as the Client Service for the purpose of the regulations.

<b>Section/Service acting as Lead Client Service</b>	
Name	
Name of Contact	
Tel:	
<b>Title or Description of Project</b>	
<b>Address where Documents may be sent</b>	
<b>Address of the Construction Site(s)</b>	

This form must be signed by the Corporate Director(s) or Head(s) of Service for each of the Client Service(s).

Print Name		Signature	
Designation		Date	
Print Name		Signature	
Designation		Date	
Print Name		Signature	
Designation		Date	
Print Name		Signature	
Designation		Date	

**CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2007**

**Appointment as CDM Coordinator**

This statement is given to confirm your appointment as CDM coordinator on behalf of the Council in compliance with the requirements of the Construction (Design and Management) Regulations 2007

<b>Title or Description of Project</b>			
<b>Name and Address of Appointed CDM Coordinator</b>			
Name:		Address:	
Tel:		Fax:	
Email:			
Where this is an organisation rather than a person, identify the individual who will coordinate and ensure the duties are discharged.			
Name		Title	
Date from which the appointment will run:			
Appointment will continue: (tick as appropriate)		a. Throughout the pre-construction phase only	<input type="checkbox"/>
		b. Throughout the project	<input type="checkbox"/>
		c. Until further notice	<input type="checkbox"/>
<b>Name and Address of Person and Client Service Making this Appointment</b>			
Name:		Service:	
Title:		Address:	
This certificate certifies that the person and/or organisation named above is appointed CDM Coordinator for the Project			
Signed:		Name:	
Title:		Date:	
<b>Cancellation or Transfer</b>			
This Appointment is hereby cancelled by virtue of: (tick as appropriate)			
a.	Completion of the construction phase		<input type="checkbox"/>
b.	Transfer of the appointment	<input type="checkbox"/>	
		To:	
		Date:	
Signed:		Name:	
Title:		Date:	
This form is to be signed by the Corporate Director or Head of Service of the Client Service.			

## Memorandum

**to:**

**from:**

**date:**

**ref:**

**subject:** Construction (Design and Management) Regulations 2007  
Memorandum of Appointment as CDM Coordinator

### PROJECT:

Inverclyde Council, as the body corporate, has been appointed CDM Coordinator for the above Project, as defined under the Construction (Design and Management) Regulations 2007 and as such the Council retains legal responsibility.

On behalf of the Council, I ask that you carry out the duties required of the Council in the role of CDM Coordinator, as defined by the Regulations and supporting Approved Code of Practice, which includes the following matters in particular:-

- i. To ensure the Health and Safety Executive are notified of the Project at an early date in accordance with the regulations and appropriately notified of subsequent changes and/ or appointments;
- ii. To meet and discuss with Designers to ensure that they apply the principles of prevention and protection so that health and safety risks are avoided where possible and minimised where not;
- iii. To prepare the Pre-Construction Information containing relevant information for use by the Principal Contractor, in his development of the Construction Phase Plan;
- iv. To ensure that the allocation of the time and resources take account of the health and safety requirements of this Project;
- v. To start and maintain the Health & Safety File so as appropriate information may be passed back to the Client Service as soon as practicable following completion of the Construction Phase;
- vi. To ensure that the Pre-Construction Information is appropriately considered in the tendering and selection process;
- vii. To assess the adequacy of the proposed Principal Contractor's Construction Phase Plan in response to the Pre-Construction Information;
- viii. To ensure that the Health and Safety Executive is notified upon appointment of a Principal Contractor and any subsequent appointments of Principal Contractor; and
- ix. To ensure the completed Health and Safety File for the Project is handed to the Client

Service.

You are required to notify me at the earliest opportunity of any difficulties which prevent you from fulfilling these statutory duties so that I may take appropriate action.

Name

Title

For Client Service



Our Ref:

Your Ref:

Date:

F10 Scanning Centre  
Health and Safety Executive  
c/o Central Despatch  
Redgrave Court  
Merton Rd  
Bootle  
Merseyside  
L20 7HS

**Regeneration & Resources**  
Corporate Director: Aubrey Fawcett

Municipal Buildings  
Clyde Square  
Greenock  
PA15 1LY  
Tel: 01475 712764  
Fax: 01475 712731  
aubrey.fawcett@inverclyde.gov.uk

Dear Sirs,

**CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2007  
NOTIFICATION OF A PROJECT**

**PROJECT:**

In respect of the above Construction Project, please find enclosed our initial / an additional notification.

Yours sincerely

**Name**  
**Job Title**  
CDM Coordinator

**Encl:**

**F10 Notification Form**

Enquiries To:

**CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2007**

**Appointment as Designer**

This statement is given to confirm your appointment as Designer and to draw attention to your duties and responsibilities under the Construction (Design and Management) Regulations 2007

<b>Title or Description of Project</b>			
<b>Name and Address of Designer</b>			
Name:		Address:	
Tel:		Fax:	
Email:			
Where this is an organisation rather than a person, identify the individual who will coordinate and ensure the duties are discharged.			
Name		Title	
Date from which the appointment will run:			
<b>Name and Address of Person and Client Service Making this Appointment</b>			
Signed:		Name:	
Title:		Date:	
Address:			
<b>Details of any limitation on the extent of the Project involvement with regards to Designer's duties.</b>			
This certificate certifies that the person and/or organisation named above is appointed Designer for the Project (or part of).			
Signed:		Name:	
Title:		Date:	
This form is to be signed by the Corporate Director or Head of Service of the Client Service. This appointment should be issued to the Designer and a copy retained by the Client Service in addition to the copy retained in the Project Toolkit.			



**CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2007**

**Appointment as Principal Contractor**

This statement is given to confirm your appointment as Principal Contractor and to draw attention to your duties and responsibilities under the Construction (Design and Management) Regulations 2007

<b>Title or Description of Project</b>			
<b>Name and Address of Principal Contractor</b>			
Name:		Address:	
Tel:		Fax:	
Email:			
Where this is an organisation rather than a person, identify the individual who will coordinate and ensure the duties are discharged.			
Name		Title	
Date from which the appointment will run:			
<b>Name and Address of Person and Client Service Making this Appointment</b>			
Signed:		Name:	
Title:		Date:	
Address:			
<b>Details of any limitation on the extent of the Project involvement with Client Service appointed Contractors or interface with Client Service business in the immediate vicinity of the Construction Site(s).</b>			
This certificate certifies that the person and/or organisation named above is appointed Principal Contractor to this Project.			
Signed:		Name:	
Title:		Date:	
This form is to be signed by the Corporate Director or Head of Service of the Client Service. This appointment should be issued to the Principal Contractor and a copy retained by the Client Service in addition to the copy retained in the Project Toolkit.			

**CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2007**

**Appointment as Contractor**

This statement is given to confirm your appointment as a Contractor and to draw attention to your duties and responsibilities under the Construction (Design and Management) Regulations 2007

<b>Title or Description of Project</b>			
<b>Name and Address of Contractor</b>			
Name:		Address:	
Tel:		Fax:	
Email:			
Where this is an organisation rather than a person, identify the individual who will coordinate and ensure the duties are discharged.			
Name		Title	
Date from which the appointment will run:			
<b>Name and Address of Person and Client Service Making this Appointment</b>			
Signed:		Name:	
Title:		Date:	
Address:			
<b>Name and Address of Principal Contractor</b>			
Name:		Address:	
Tel:		Fax:	
Email:			
<b>Detail any limitation on the extent of the Project or involvement with Client Service business in the immediate vicinity of the Construction Site(s).</b>			
This is to certify that the person and/or organisation named above is appointed Contractor to this Project and will work under the control of the appointed Principal Contractor.			
Signed:		Name:	
Title:		Date:	
This form is to be signed by the Corporate Director or Head of Service of the Client Service. This appointment should be issued to the Contractor with a copy provided to the Principal Contractor and the Client Service in addition to the copy retained in the Construction Project Toolkit.			

**CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2007**

**CHECK SHEET FOR COMPETENCY OF LEAD CLIENT SERVICE**

The following checklist should be used to support your assessing the competence and resources of the person or persons nominated as the Lead Client Service where the CDM Regulations apply. Client Services will need to determine the limits of competence and resources necessary to carry out the Client Service function on behalf of the group.

Click on or tick the check box if correct.

- 1 Does the Lead Client Service have the relevant qualifications, experience and skills for the particular Project or type of Project?
- 2 Does the Lead Client Service have familiarity with the operations and activities of the Client Services in so far as they are likely to impact upon the Project?
- 3 Does the Lead Client Service have access to technical facilities including: - 
  - BRITISH STANDARDS
  - HSE CODES OF PRACTICE AND GUIDANCE NOTES
- 4 Does the Lead Client Service have a general awareness of health and safety issues together with the requirements of the CDM regulations?
- 5 Are there adequate arrangements proposed for liaison between the Lead Client Service and the CDM Co-ordinator, especially for communicating relevant information?
- 6 Has the Lead Client Service undertaken this function within the Council previously?
- 7 Has the Lead Client Service undertaken this function with these other Client Services previously?
- 8 Is the Lead Client Service aware of the limitations of their competences and when there may be a requirement to draw upon specialist skills or knowledge?

Client Services Signatures			
Signed		Name	
Title		Date	
Signed		Name	
Title		Date	
Signed		Name	
Title		Date	
Signed		Name	
Title		Date	

This form must be signed by the Corporate Directors or Heads of Service of each of the Client Services appointing the Lead Client Service.

**CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2007**

**CHECK SHEET FOR COMPETENCY OF DESIGNER**

The following checklist should be used to support your assessing the competence and resources of the person or persons carrying out design work where the CDM Regulations apply. Client Services will need to determine the limits of competence and resources necessary to carry out the design work and where such assessments identify the need, seek support from other competent Designers.

Click on or tick the check box if correct

- 1 Does the Designer responsible for the design have the relevant qualifications, experience and skills for the particular Project or type of Project?
- 2 Does the Designer have familiarity with the construction processes for the type of Project and in particular the impact of the design allied to health and safety?
- 3 Does the Designer have access to technical facilities including: - 
  - BRITISH STANDARDS
  - HSE CODES OF PRACTICE AND GUIDANCE NOTES
  - RELEVANT BUILDING REGULATIONS & STANDARDS
- 4 Relevant to the particular Project, does the Designer and/ or Design Team have specialist skills in relation to: - 
  - STRUCTURAL FIRE PRECAUTIONS
  - MECHANICAL/ ELECTRICAL INSTALLATIONS
  - VENTILATION DESIGN
  - CHEMICAL HANDLING & STORAGE
  - CROWD BEHAVIOUR
  - OTHERS AS RELEVANT TO THE PROJECT
    - o Detail
- 5 Does the Designer have a general awareness of health and safety issues together with the requirements of the CDM regulations?
- 6 Has the Designer competence in assessing risk and ensuring such risks are either eliminated or adequately controlled by design?
- 7 For the particular Project, has the Designer made adequate time and resources for the work (taking into consideration any other CDM design work currently in hand)?
- 8 Are there adequate arrangements in place for the interface with the CDM Coordinator, especially for communicating relevant information?
- 9 Are Designers aware of the limitations of their competences and when there is a requirement to draw upon specialist design skills?

Statement of Acceptance/Rejection			
Signed:		Name:	
Title:		Date:	

**CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2007**

**CHECK SHEET FOR COMPETENCY OF PRINCIPAL CONTRACTOR**

The following checklist should be used to support your assessing the competence and resources of the person or persons to be appointed Principal Contractor.

Click on or tick the check box if correct

- 1 Does the Principal Contractor have access to Competent Health & Safety Assistance?
- 2 Does the Principal Contractor have a system for the reporting and investigation of incidents, including those reportable under RIDDOR?
- 3 Does the Principal Contractor have written arrangements for the maintenance and statutory thorough examination/ inspection of work equipment, including vehicles and lifting equipment?
- 4 Does the Principal Contractor have a written system for assessing and recording the risks of his activities, with suitable control measures being identified and implemented?
- 5 Does the Principal Contractor have a written system for assessing and recording the risks associated with the substances and materials he uses, with suitable control measures being identified and implemented?
- 6 Does the Principal Contractor have access to an Occupational Health facility or provider in support of his workforce wellbeing and the prevention of ill health?
- 7 Does the Principal Contractor have in place effective arrangements for dealing with emergencies they may encounter as a part of their work?
- 8 Does the Principal Contractor have effective arrangements in place for consultation with all persons engaged in Construction Work on this Project?
- 9 Does the Principal Contractor have in place a programme of training to ensure his employees and any other person engaged on the Project is competent and kept informed of health and safety requirements, especially the Site Rules as they apply to those persons?
- 10 Does the Principal Contractor have in place a programme of training to ensure his employees and any other person engaged on the Project is competent and kept informed of health and safety requirements, especially the Site Rules as they apply to those persons?
- 11 Can you confirm the Principal Contractor has not been subject to any enforcement action or been issued with Enforcement Notices for health & safety matters during the past three (3) years?
- 12 Can you confirm the Principal Contractor has no enforcement actions or Enforcement Notices pending or deferred?

**Statement of Acceptance/Rejection**

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Signed:		Name:	
Title:		Date:	

**Title**

**Address**

**Construction Project Toolkit**  
**Construction (Design & Management) Regulations 2007**

Project Ref. No:

Volume No.        of



**CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS**

**PRE-CONSTRUCTION INFORMATION**

This form is to be completed by the CDM Coordinator and passed to the Principal Contractor and/ or Contractors tendering (including Building Services) for their development into a Construction Phase Plan.

*See Information Sheet 45 for practical guidance on completion of this form.*

<b>1. Nature of the Project</b>			
Client Service		Project Reference	
Location of the Project			
Nature of the Construction Work			
Anticipated Timescale for completion of the Construction Phase			
<b>2. The existing environment</b>			
<b>3. List of existing drawings attached or available</b>			
<b>4. The Design</b>			
<b>5. Construction Materials</b>			
<b>6. Site Wide Elements</b>			
<b>7. Overlap with Client Service(s) Undertaking</b>			
<b>8. Items for Inclusion in Site Rules</b>			
<b>9. Continuing Liaison Arrangements</b>			
<b>10. Other Relevant Information</b>			
Signed CDM Coordinator		Name	
Office Address		Date	
		Tel	
		Fax	
		Email	

## Information Sheet No. 45

### CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2007

#### Guidance on Pre-Construction Information & Construction Phase Plan

The requirement for Pre-Construction Information and a Construction Phase Plan in construction Projects is addressed in this information sheet.

#### Pre-Construction Information

This is the responsibility of the CDM Coordinator who takes information supplied by the Client Service and the Designer, to which he adds his own knowledge and experience to produce outline information relevant to the Principal Contractor for his development of a Construction Phase Plan. The Approved Code of Practice (ACOP) details the kind of information and issues which need to be addressed.

The Pre-Construction Information is intended to provide the Principal Contractor and Contractors with sufficient information to enable them to assess the risks, determine the scope of the arrangements required to address them and to generally coordinate the health and safety management of the Project.

The Pre-Construction Information therefore, provides the information required to: -

- Judge whether or not the Principal Contractor and any other Contractor is competent to discharge both the Project and their duties under the regulations
- Assess what resources will be required
- Price the tender accordingly, and
- Subsequently develop a Construction Phase Plan based on the information contained in the Pre-Construction Information provided by the CDM Coordinator.

#### Typical Issues to be included in the Pre-Construction Information

##### 1. Nature of the Project

- Identify the Client Service or Lead Client Service where more than one Client Service is involved with the Project
- Confirm the Postal Address of the Project or location if no Post Code is available
- Nature (type) of construction work to be carried out (what is the Project?)
- Proposed timescale for completion of the Construction Work

##### 2. The existing environment

- Surrounding land uses and related restrictions, e.g. premises (schools, shops or factories) adjacent to proposed Construction Site, planning restrictions which might affect health and safety
- Existing services, e.g. underground and overhead lines local transformer stations
- Existing traffic systems and restrictions, e.g. access for fire appliances, times of deliveries, ease of access for deliveries and parking.
- Existing structures, e.g. special health problems from materials in existing structures which are being demolished or refurbished (asbestos), any fragile materials which require special safety precautions or instability problems (post stressed concrete).

- Ground conditions, e.g. contamination, gross instability, possible subsidence, old mine workings or underground obstructions
3. Existing drawings
- Available drawings of structure(s) to be demolished or incorporated as a part of the Project. This may include a Health & Safety File prepared for the structure(s) previously and currently held by a Client Service
4. The design
- Significant hazards or work sequences identified by Designers which cannot be avoided or designed out and, where appropriate, a broad indication of the precautions assumed for dealing with them
  - The principles of the structural design and any precautions that might be needed or sequences of assembly that needs to be followed during construction
  - Detailed reference to specific problems where contractors will be required to explain their proposals for managing these problems
5. Construction materials
- Health hazards arising from construction materials where particular precautions are required either because of their nature or the manner of their intended use. These will have been identified by designers as hazards which cannot be avoided or designed out.
  - Materials should be specified as far as is necessary to ensure reliable performance by the competent contractor who may be assumed to know the precautionary information that suppliers are, by law, required to provide
6. Site-wide elements
- Positioning of site access and egress points (e.g. for deliveries and emergencies)
  - Location of temporary site accommodation and welfare facilities
  - Location of unloading bays, layout and storage areas
  - Traffic / pedestrian routes
7. Overlap with client's undertaking
- Consideration of the health and safety issues which arise when the Project is to be located in premises occupied or partially occupied by the Client Service or other Services / employers
8. Site Rules
- Specific Site Rules which the Client Service or the CDM Co-ordinator may wish to lay down as a result of points 2 to 7 above or for other reasons, e.g. specific permit to work rules, emergency procedures, access arrangements, etc.
9. Continuing liaison
- Procedures for considering the health and safety implications of design elements and the Principal Contractor's and other Contractor's packages
  - Procedures for dealing with unforeseen eventualities during Project execution resulting in substantial design change, which might also affect resources

## Construction Phase Plan

It is the responsibility of the Principal Contractor to take account of the Pre-Construction Information provided by the CDM Co-ordinator and ensure those areas identified are adequately addressed and managed through their Construction Phase Plan. It should establish the detailed arrangements for managing and coordinating health and safety throughout the Construction Phase of the Project.

Thus, the Principal Contractor develops the Pre-Construction Information so that it:-

- Incorporates the approach to be adopted for managing health and safety by everyone involved in the Construction Phase
- Includes the risk assessments prepared by contractors under the Management of Health and Safety at Work Regulations 1999 and other specific legislation
- Incorporates the common arrangements (including emergency procedures and welfare). These may be imposed by the Client Service or developed by the Principal Contractor
- Includes arrangements for fulfilling the Principal Contractor's duties under the Construction (Design & Management) Regulations 2007
- Includes reasonable arrangements for monitoring compliance with health and safety law
- Includes, where appropriate, rules for the management of the work for health and safety
- Can be modified as work proceeds according to the experience and information received from the Contractors and other persons at work on the Construction Site or otherwise engaged in the Project

The Client Service must ensure that the Construction Phase of any project does not start unless a Construction Phase Plan complying with CDM has been prepared in respect of that Project.

The following suggests practical elements of Health and Safety Management which might well be considered and where relevant included in a typical Construction Phase Plan. The list is not exclusive:

1. Overall statement of Policy and intent on Health and Safety for the Project
2. Arrangements for assessing the competence of Contractors
3. Names, addresses and respective roles of the Principal Contractor and other Contractors engaged in the Project
4. Scope and objectives of the whole Construction Phase Plan
5. Assignment of roles and responsibilities for health and safety
6. Arrangements for competent advice on health, safety and fire precautions
7. Special hazards identified and specific health and safety regulations which will apply to them – e.g. asbestos
8. The significant results of risk assessments carried out under the Management of Health and Safety at Work Regulations 1999 and similar legislation requiring specific assessments of risk and identification of control measures

9. Arrangements for the provision of information and training
10. Arrangements for monitoring the effectiveness of the Health and Safety Management arrangements and of compliance with legal obligations including the Site Rules
11. Arrangements for the reporting and investigation of incidents and near miss events
12. Arrangements for the reporting of hazards, their investigation and outcome
13. Arrangements for Fire, First Aid and other Emergency Procedures
14. Identification of operations and personnel requiring health surveillance or similar medical screening
15. General Construction Site Safety Rules
16. Specific Rules which might cover issues such as:-
  - Housekeeping, tidiness and general site order
  - Decommissioning or demolition of existing plant/ structures
  - Safe access and egress including scaffolding, ladders and lighting
  - Fire precautions
  - Storage of combustible materials and flammable liquids and gases
  - Protection from falling materials
  - Work with hazardous substances
  - Work in confined spaces
  - Site radiography
  - Isolation and purging of plant
  - Hydrostatic, pneumatic or gas pressure testing of pipes and vessels
  - Work over or adjacent to hazardous plant, substances or deep water
  - Excavations including underground services, spoil removal, contaminated ground
  - Crane and mechanical lifting operations including overhead power cables and weight limits on under ground services
  - Materials handling - manual and mechanical
  - Steel erection, form work and false work
  - Provision of temporary/ mains services, such as electricity, water, sewerage, etc. and their maintenance
  - Portable plant and equipment
  - Provision and use of Personal Protective Equipment
  - Use of display screen equipment
  - Site transport and traffic rules
  - Disposal of waste
17. Arrangements for communication and liaison between Principal Contractor and Contractors

18. Arrangements for the interface with the Client Service where they continue to operate on or at the site. In particular, arrangements for the supply of site services, the handover of buildings, plant or areas of the site and the issue, where necessary of Permits to Work
19. Arrangements for commissioning, including the interface with Client Services and associated permits to work
20. Arrangements for site access control and the security of the site
21. Planning of the relativity and phasing of Construction Work
22. Welfare arrangements and the provision/ location of facilities, site offices and other accommodation
23. Arrangements for the keeping of statutory records and the identification of material required for inclusion in the Health & Safety File
24. Arrangements for employees or their representatives to discuss and offer advice on health and safety matters connected with the Project

Our Ref:

Your Ref:

Date:

Principal Contractor Name  
Principal Contractor Address

**Regeneration & Resources**  
Corporate Director: Aubrey Fawcett

Municipal Buildings  
Clyde Square  
Greenock  
PA15 1LY  
Tel: 01475 712764  
Fax: 01475 712731  
aubrey.fawcett@inverclyde.gov.uk

Dear Sirs,

**CONSTRUCTION (DESIGN & MANAGEMENT) REGULATIONS 2007  
ACCEPTANCE OF CONSTRUCTION PHASE PLAN**

PROJECT:

In respect of the above Project, I herewith confirm acceptance of the Construction Phase Plan submitted by you. The Construction phase Plan is now sufficiently developed to enable you to commence the Construction phase of the Project as agreed detail the agreed start arrangements

You should continue to develop this Construction phase Plan throughout the Construction phase of this Project, to ensure it remains suitable and sufficient and in compliance with the regulations.

You are also reminded of the ongoing requirement to provide me with relevant information for inclusion in the Project Health & Safety File.

Thank you

Yours faithfully

**Name**  
**Job Title**

CDM Coordinator

Enquiries To:

**THE CONSTRUCTION DESIGN AND (MANAGEMENT)  
REGULATIONS 2007  
PROJECT INFORMATION**

**PROJECT NAME**

--

**THE CLIENT SERVICE is**

--

**THE CDM COORDINATOR IS**

--

Contact Name		Tel:	
-----------------	--	------	--

Contact Name		Tel:	
-----------------	--	------	--

**THE PRINCIPAL CONTRACTOR is**

--

Contact Name		Tel:	
-----------------	--	------	--

Contact Name		Tel:	
-----------------	--	------	--

**THE CONTRACT ADMINISTRATOR is**

--

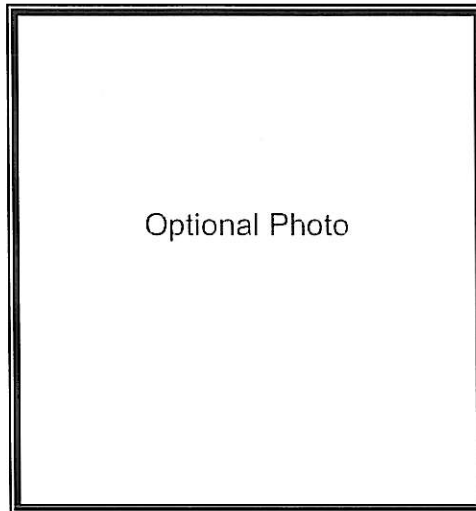
**THE CONSTRUCTION PHASE PLAN for this project is  
located:**

--



**Title**

**Location**



## **Health and Safety File**

**(Incorporating Operational and Maintenance Manual)**

Project Ref. No:

Issue Date:

Volume No.        of

Our Ref:

Your Ref:

Date:

Principal Contractor Name  
Principal Contractor Address

**Regeneration & Resources**  
Corporate Director: Aubrey Fawcett

Municipal Buildings  
Clyde Square  
Greenock  
PA15 1LY  
Tel: 01475 712764  
Fax: 01475 712731  
aubrey.fawcett@inverclyde.gov.uk

Dear Sirs,

**CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2007  
PREPARATION OF HEALTH AND SAFETY FILE**

**REQUEST FOR INFORMATION FOR THE HEALTH & SAFETY FILE**

**PROJECT:**

My records show that the above Project is nearing completion. It is a requirement that the Client Service be provided with a Health and Safety File for this Project and I would be pleased if you will provide the information in accordance with the attached list within the next 14 days.

Please address the return for the attention of insert name.

Thank you for your assistance with this request.

Yours faithfully

**Name**  
**Job Title**

CDM Coordinator

**Enc**

Enquiries To:

Our Ref:

Your Ref:

Date:

Principal Contractor Name  
Principal Contractor Address

**Regeneration & Resources**  
Corporate Director: Aubrey Fawcett

Municipal Buildings  
Clyde Square  
Greenock  
PA15 1LY  
Tel: 01475 712764  
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Dear Sirs,

**CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2007  
PREPARATION OF HEALTH AND SAFETY FILE  
FURTHER REQUEST FOR INFORMATION FOR THE HEALTH & SAFETY FILE**

**PROJECT:**

I refer to the attached correspondence dated                      requesting that your Company provide essential information/data to enable the preparation of a Project Health and Safety File for handover to the Client.

To date no such information has been received by me.

You are reminded that Regulation 22(1)(j) of the Construction (Design and Management) Regulations 2007, places a statutory duty on you as the Principal Contractor on the above Project to ensure the provision of the requested information.

I now ask that the information requested in my earlier correspondence is promptly forwarded within the next 7 days marked for the attention of                      .

Yours faithfully

**Name**  
**Job Title**

CDM Coordinator

**Enc**

Enquiries To:

## Memorandum

**to:**

**from:**

**date:**

**ref:**

**subject:** Construction (Design and Management) Regulations 2007  
Preparation and Handover of Project Health and Safety File

**PROJECT:**

Following recent completion of the above mentioned Project, a Health and Safety File in relation to the above has been prepared as required by the Construction (Design and Management) Regulations 2007.

A requirement exists under the above mentioned Regulations for such a document to be delivered to the client after the completion of the Project and for the document to be kept available for persons who may need information on past upgrading/ renewal.

To enable me to maintain a record that the Health and Safety File for the Project has been delivered to you as the Client Service, may I request you sign and return the attached acknowledgement slip.

Finally, should you require any information in respect of the document, please do not hesitate to contact me.

✂-----

**CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS**

**CLIENT DELIVERY RECEIPT OF HEALTH AND SAFETY FILE**

**PROJECT:**

I ..... certify that as a representative of the Client Service I have taken delivery of the Health and Safety File for the above mentioned Project.

**NAME** .....

**TITLE** .....

**CLIENT SERVICE** .....

**DATE** .....

Return this acknowledgement to (enter CDM Co-ordinator's name and address).

