Construction (Design and Management) Code of Practice

Reviews and Revisions

Date	Reason	Reviewer	Next review date	Approved by
26/06/2017	New Document	Stuart Hewes	25/06/2018	Emrys Pritchard
19/12/2017	Inclusion of Construction Phase Plan Information	Stuart Hewes	19/12/2018	Emrys Pritchard
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Contents

Construction (Design & Management) Regulations 2015

1. Introduction

The Construction (Design and Management) (CDM) Regulations 2015 (the Regulations) replaced the 2007 Regulations from 6 April 2015, introducing some significant changes.

They are the main set of regulations for managing the health and safety of construction projects.

They focus attention on avoiding harm to any person during the construction phase and on ensuring the delivery of a building that is safe to use and maintain.

They aim to achieve this by ensuring that:

- Risks are managed or adequately controlled;
- The right people or organisations are appointed at the right time;
- Everyone has the information, instruction and training needed to carry out their jobs safely;
- The various parties involved cooperate , communicate and coordinate their work;
- Workers are consulted and involved in developing effective health and safety measures.

The Regulations have introduced the new role of Principal Designer and removed the role of CDM Coordinator. However the CDM Role can still be utilised, but not in this sole capacity. An amalgamation of both CDM Coordinator and Architect can fulfil the Principle Designer role by appointment. They apply to every construction project, although the notification requirements to the Health & Safety Executive (HSE) have changed: this is now required only where a construction project requires more than 30 working days with 20 workers on site or exceeds 500 person days.

It is essential to recognise that the CDM regulations are criminal law enacted by parliament and should not be confused with a civil law contract. A contract cannot obviate criminal law responsibilities and this must be made clear to all parties.

2. Scope

All construction work undertaken for or on behalf of Northumbria University is subject to these Regulations.

This guidance summarises the duties of various parties appointed under the regulations and outlines the actions required to how the University will comply with the legislation. (Note that the University's Financial Regulations govern the procedures and permissions under which construction work may be procured).

For all practical purposes, Facilities and Estates should be the primary point of contact for Faculties/Services wishing to carry out construction work.

This document should be read and understood by members of Facilities and Estates (Facilities and Projects), and all parties who undertake construction work for or on behalf of the University

3. Our Aims

Northumbria University is committed to the aims of the Construction (Design and Management) Regulations 2015 and ensuring better integration, management and coordination of health and safety during the pre-construction phase and into construction projects.

Facilities and Estates are committed to providing safe and healthy environments for all users of the buildings and places we manage, and to the wellbeing of our stakeholders, students, employees, visitors and public.

To encourage liaison and communication between parties, ensure thorough planning and management of projects from conception to completion, and managing the risks by applying the general principles of prevention.

4. Definitions

- The term **'CDM'** refers to the Construction (Design and Management) Regulations,
- The term **'Design'** refers to drawings, design details, specification and bills of quantities (including specification of articles or substances) relating to a structure, and calculations prepared for the purpose of a design.
- The term **'Client'** refers to an organisation or individual for whom a construction project is carried out and must not be confused with the employer. The 'Client' also means a person who in the course or furtherance of a business – seeks or accepts the services of another which may be used in the carrying out of a project for him; or carries out a project himself.
- **'Health and Safety File'** is defined as a file appropriate to the characteristics of the project, containing relevant health and safety information to be taken into account during any subsequent project. The file is only required for projects involving more than one contractor.
- **'Pre-construction'** the inception, design and planning stage before construction or building work starts.
- **'Pre-construction information'** is defined as relevant and appropriately detailed information about the project that is already in the client's possession or which is reasonably obtainable by or on behalf of the client.
- **'Notifiable Project'** is a project which is notifiable if the construction work on a construction site is scheduled to last longer than 30 working days and have more than 20 workers working simultaneously at any point in the project; or exceeds 500 person days.

- **'Project'** the term used to describe any construction, building, alteration, extension, conversion, infrastructure repair or maintenance work, whether fixed or transient.

- **'Contractor'** is defined as an individual, a sole trader, a self-employed worker, subcontractor or a business who carries out , manages or controls construction work in connection with a business, and anyone who directly engages construction workers or manages construction.

5. Application

The CDM Regulations apply to all construction projects, including:

- New building construction;
- New services installations (all services, including IT and AV installations, not just electrical and mechanical services);
- Alterations, extensions, conversions, maintenance, or renovations of a building or any of its services (including redecoration);
- Site clearance;
- Demolition.

All projects are subject to the regulations, therefore, the Head of Campus Planning and Development or Capital Works Manager must be made aware of all projects to ensure no work is completed outside of the regulations. Any Faculty or Service managing its own small projects or carrying out its own repairs or alterations will be subject to the regulations and should be aware of the onerous legal requirements to engage competent persons and to provide adequate time and financial resources for the work.

Those managing projects will hold and maintain a list of authorised contractors who have been assessed as competent to carry out "construction works", this will be controlled and reviewed annually.

A Contractors' Health and Safety Induction Booklet has been produced to assist the University in making contractors aware of the hazards present on site, safety arrangements and our emergency procedures. The information contained within the booklet has been produced to provide contractors with key information that will help them protect their own and others health and safety when working at the University and can be accessed via the following link:

http://www.northumbria.ac.uk/static/5007/estpdf/conhsind.pdf

In the case of larger projects, where a construction project involves more than **30 working days** with **20 workers** on site or **exceeds 500 person days,** then there is an

additional requirement to notify the HSE. The Director of Facilities and Estates will decide whether notification is needed and ensure that it is made.

6. Duty Holders under the Regulations

The following groups (which contain almost everyone involved in construction work) have duties under these regulations in relation to all construction projects. In this context a "project" includes, or is intended to include, construction work and includes all planning, design, management or other work involved in a project until the construction phase ends:

- **Client** (all projects): any person for whom a project is carried out;
- **Principle Designer**: a designer appointed in writing by the client on projects involving more than one contractor;
- **Designer**: someone who, as part of their work, prepares or modifies designs relating to any structure, or to any product or mechanical or electrical system intended for a particular structure; or someone who arranges for, or instructs others, to do this;
- **Principle Contractor:** the principal contractor is a person or an organisation that coordinates work on the construction phase of any project involving more than one contractor. Their role is to plan, manage, and coordinate activities to ensure health and safety while construction work takes place;
- **Contractor:** those individuals or businesses involved in construction, alteration, maintenance, or demolition work (e.g. building, civil engineering, mechanical, electrical, demolition and maintenance companies, as well as partnerships and the self-employed);
- **Workers**: all those who carry out work during construction, alteration, maintenance, or demolition (e.g. bricklayers, scaffolders, plumbers, electricians, and painters).

A more detailed summary of the roles and duties of each position is set out at Appendix 1.

7. The Client's Duties

CDM 2015 seeks to embed the client at the head of the project team and thus take the lead in ensuring construction work is managed properly and risk is minimised. So the purpose of strengthening the role and responsibilities of the client in CDM 2015 is to **embed the client role** in the project, **ensure clarity** about their duties, **ownership** and **accountability** for the manner in which the project is managed.

When fulfilling the role of Client, the University also has duties and responsibilities under other health and safety legislation including though not exhaustive of:

- Health and Safety at Work Act 1974
- Workplace (Health, Safety and Welfare) Regulations 1992
- Management of Health and Safety at Work Regulations 1999
- Control of Asbestos Regulations 2012

The University Services when involved in construction work will:

- Ensure the core requirements of the CDM regulations and other relevant legislation are met, by providing appropriate support to all parties to ensure the highest standards of health and safety are achieved. Equal commitment is expected from all parties, consultants and contractors involved in every University construction project.

Clients have great influence over the way construction projects are run. Their decisions will affect:

- The resources and time available for a project;
- The composition and competence of project teams;
- The arrangements for managing and coordinating the project;
- The quality of information available to all involved;
- The effectiveness of cooperation and communication between all involved.

Depending on the size and nature of a project, either the University or individual Faculties/Services may hold duties as a client (e.g. Faculties/Services are the client where the work involves routine maintenance or internal redecoration), but Faculties and Services are reminded that they must seek the approval of the Director of Facilities and Estates or the nominated Deputy for all new building works and all building works that alter the fabric of a building or its services and any intrusive works to the fabric of the building. This will ensure that the works will be designed and carried out by competent persons to the standards set by the appropriate regulations and codes of practice.

In the case of projects under the control of Facilities and Estates, the Director of Facilities and Estates or the nominated Deputy will assign a Lead Project Officer to the works who will then discharge the University's duties as the client.

Faculties and Services are reminded that the Administration of Estates Act 1925 Estates Regulations http://www.legislation.gov.uk/ukpga/Geo5/15-16/23/contents require them to seek the approval of the Director of Facilities and Estates for all new building works and any building works that alter the fabric of a building or its services. This will ensure that the Director is satisfied that the works will be designed and carried out by competent persons to the standards set by appropriate policies, regulations and codes of practice.

The client is not expected to take an active role in managing the work, but must make arrangements for managing the project such as;

- Assembling the project team, ensuring their roles, functions and responsibilities are clear.
- Ensuring sufficient resources and time are allocated to the project;
- Ensuring mechanisms appropriate to the nature of the work are in place for the project team to communicate and co-operate with the principle designer and principle contractor/contractor;
- Provide as soon as is practicable, as much pre-construction information as they have in their possession to every contractor and designer (i.e. relevant, reasonably obtainable information relating to the project, its planning and management, its potential hazards, any existing health and safety file for the site and any relevant University safety policies);
- Appoint (in writing) at the earliest opportunity to help prepare and plan the project, a principal designer and a principal contractor for projects where there is more than one contractor (including sub-contractors), or where it is reasonably foreseeable that there will be more than one contractor (or subcontractor) working on the project at any one time (if a client does not appoint a Principal Designer or Principal Contractor then that client will automatically assume the responsibilities and the liabilities of a Principal Designer or Principal Contractor);
- Ensuring those appointed have the right skills, knowledge and experience for the job, depending on the complexity of the project;
- Ensuring that the contractor or principal contractor prepares a construction phase plan before work begins;
- Ensuring that the principal designer prepares a health and safety file;
- Take reasonable steps to ensure that designers and contractors comply with the remainder of their duties to ensure the management arrangements are working during the pre-construction and construction phases. Clients need to take ownership of these arrangements, and the preparation of a **'client brief'** can help to set out these arrangements; ensuring suitable welfare facilities are provided, e.g. agreeing that the University welfare facilities are made available;
- Check completion and handover arrangements.

8. The Principal Designer's Duties

Where more than one contractor is involved with a project then the client must appoint (in writing) a principal designer, who must have:

- Technical knowledge relevant to the project;

- The skills, knowledge, and experience to understand, manage and coordinate the work of the preconstruction phase, as well as any design work carried out during the construction phase;

- The organisational capability to carry out this role (where a company has been appointed as the principal designer) in a manner that secures the health and safety of any person affected by the project.

The principal designer will:

- Plan, manage, monitor and coordinate health and safety during the project's preconstruction phase;

- Provide information needed by designers, contractors and others to eliminate or control foreseeable risks during the construction phase;

- Coordinate with and between designer to ensure they carry out their duties; prepare (or update if already exists), a health and safety file containing the information needed to enable future cleaning, maintenance, and alterations to be carried out safely;

- Undertake a consistent approach to gather information for the health and safety file as construction progresses;

- On project completion, hand over the health and safety file to the client.

9. The Designer's Duties

The term designer is widely encompassing and includes anyone who carries out design work, or arranges for or who instructs others to do so; or anyone who selects products for construction. The term "designer" relates to the function performed, rather than the profession or job title. As well as those traditionally regarded as designers (e.g. architects, structural engineers, civil engineers, temporary work engineers, and chartered surveyors), designers are also those who prepare drawings and specifications (e.g. building services engineers, quantity surveyors, and some departmental personnel). Designers must:

- Understand and be aware of significant risks that workers and users can be exposed to, and how these can arise from their design decisions;

- Ensure they are competent and adequately resourced for the job they are undertaking;

- Plan, manage and monitor the preconstruction phase and coordinate matters relating to health and safety during the preconstruction phase;

- So far as reasonably practicable, take into account the general principles of prevention and design out, reduce and control hazards that may give rise to foreseeable risks and reduce risks from any remaining hazards during

construction and during maintenance and use of the finished project; e.g. by ensuring their design avoids risks to those:

- Carrying out construction work, or those liable to be affected by it;
- Who will clean the windows, ceilings, or roofs of the building;
- Who will maintain the permanent fixtures and fittings of the building;
- Who will work in/use the building.

- Provide any relevant information that will assist clients, other designers, and contractors to comply with their duties under the Regulations; (only extends to health and safety aspects of the design – checking that the requirements of regulation 11 have been addressed);

- Coordinate and modify design work, planning and other preparation for construction where relevant to health and safety;

- Provide information about the risks arising from their design/s;

- Check that clients are aware of their duties;

- Cooperate with those who have other responsibilities, in particular the principle designer;

- Coordinate their work with that of others in order to improve the way in which risks are managed and controlled.

It is important to note that under the regulations, the default position is for the client (Northumbria University) to act as Principle Designer if an external appointment isn't made.

Reasonable steps must be taken to ensure the appointee has the skill, knowledge, experience and the organisational capability necessary to fulfil the role.

CV's, references of previous project and proof of competence and experience must be obtained for any new consultants. (CDM Competency Assessment).

A flowchart describing the process taken by Planning and Development when determining how to deal with the principle designer role in included in Appendix 3.

10. The Principal Contractor's Duties

Note: Where the client appoints no principle designer they will automatically assume the role as principal designer unless by written agreement with the client, the principal contractor can assume and perform the duties of the principle designer providing they have adequate arrangements and are competent.

Good management of health and safety is crucial to the successful delivery of a project.

The principal contractor's duties include:

- Liaising with the client and the principal designer throughout the construction phase and share relevant project information during the pre-construction phase;
- Planning, managing and monitoring the construction phase;
- Drawing up and implementing the construction phase plan;
- Ensuring the construction phase plan continues to be sufficient so construction work remains so far as reasonable practicable without risk;
- Drawing up and implementing site rules;
- Providing suitable site induction and ensuring that workers are suitably trained;
- Ensuring the site is suitably secured against unauthorised entry;
- Ensuring co-operation and coordination between all those working on the site so as to prevent danger;
- Ensuring there are suitable arrangements for effective consultation with the workforce;
- Ensuring the right health and safety information is provided to the right people at the right time;
- Ensuring there are adequate welfare facilities for the site;
- Ensuring the application of PART 4 of CDM15 Regulations are adhered throughout the works;
- Provide right management and supervision reflective to the level of risk associated with the work;
- Ensuring the appointment of competent contractors capable to carry out their works.

11. The Contractors' Duties

Contractors may be appointed by the principal contractor or by the client. They must:

- Not carry out work unless satisfied that the client is aware of their duties under the regulations;
- Be competent and employ competent people to carry out the work;

- Plan, manage, and monitor the construction work under their control to ensure that it is carried out without risks to health and safety;
- Cooperate with other contractors and the principal contractor so as to coordinate their work activities;
- Provide appropriate supervision, suitable information, training and site induction for their workers;
- Where they are the sole contractor on the project: prepare a construction phase plan and conduct a sufficient induction to ensure the site is suitably secured against unauthorised entry and welfare facilities are provided

12. Workers' Duties

For the purposes of the Regulations, workers are those carrying out work for, or under the control of, a contractor or principal contractor. Workers must:

- Check their own competence (ensure workers have the necessary skills knowledge, experience and training consummate to their role and work safely and healthily so no one will be harmed by that work);
- Cooperate with others and coordinate their work to ensure the health and safety of all those who may be affected by the work;
- Report obvious health and safety risks to their supervisors/managers;
- Ensure that work under their control is carried out in compliance with the regulations.

13. Worker Involvement

The Regulations recognise the contribution that can be made by the workforce towards improving health and safety in construction. Those in control of construction work must:

- Assess the level of workers' skills, knowledge and competence, arranging for training if necessary;
- Ensure adequate supervision;
- Provide workers with information that allows them to carry out their work in safety;
- Provide workers with a site-specific induction;
- Make workers aware that they should stop work in situations they view as being unsafe and in the case of serious or imminent danger and make a report to a nominated person;

- Consult workers over matters affecting their health and safety;
- Make arrangements to communicate health and safety information to workers who have little or no understanding of written or spoken English;
- Encourage workers to contribute to health and safety and be involved in health and safety decisions.

While these provisions apply to workers involved in the construction process, Faculties and Services are reminded of the existing requirement in University policy to consult trade union safety representatives (where appointed) in the Faculty / Service on any matters that might affect their health and safety.

14. Provision of Information

The regulations require all clients to provide pre-construction information to every designer and contractor appointed (or considered for appointment) and to the Projects Team. This will help to develop the construction phase plan.

Appendices **2** and **4** indicates the information to be compiled.

It is good practice to consider providing this information for non-notifiable projects too and this is strongly recommended. Note that this is not intended to encourage unnecessary paperwork: the level of detail in the plan should be proportionate to the risks involved in the project.

15. Health and Safety File

The principal designer must prepare a health and safety file for projects involving more than one contractor. The file is intended to ensure that any future work on the finished project (including cleaning, maintenance, alterations, extensions, conversions, refurbishments and demolition) can be carried out safely. The Director of Facilities and Estates or the nominated Deputy will hold copies of health and safety files and is responsible for updating them after any additional work or surveys and for providing operating manuals for departmental use.

Note: The health and safety file will be readily available by request to Facilities and Estates to anyone who may need it for as long as it is relevant.

16. Project Safety Review

Where circumstances deem it necessary, the Director of Facilities and Estates or the nominated Deputy will ensure that a project safety review is carried out in consultation with the Assistant Director – Health and Safety within six months of completion of any major project. However, Client reviews, by agreed arrangement may be held throughout the duration of each project. This process supports transparency and allows management to identify any problems early on allowing

rectification. More frequent Client Consultation meetings also present an opportunity to resolve issues as they arise.

The project review team will include representatives of University Facilities and Estates, the Assistant Director - Health and Safety, the principal designer and the principal contractor and will consider:

- Whether adequate pre-construction information was provided;
- Compliance with relevant standards;
- Incident, accident, ill health and data for the project;
- Any action taken, or required to be taken, to address shortcomings;
- Lessons learnt, development that is critical to the continuous improvement and success of the University.

The representative of the Facilities and Estates Senior Management Team will chair the project health and safety review and make a record of the proceedings.

17. Construction Phase Health and Safety Plan

Under the 2015 Construction (Design and Management) Regulations, a Construction Phase Health and Safety Plan is required for every construction project.

Those appointed in control of the project will be responsible for:

- Preparing a plan;
- Organising the work; and
- Working together with others to ensure health and safety.

Smaller projects require a simple plan, sufficient enough to show health and safety has been thought about, that it describes how health and safety is managed and risk is mitigated before the works start.

In combination with the pre-construction information which provides information for the development and preparation of the construction phase plan, Appendix 5 provides a list (though not exhaustive) of essential points to help plan and organise the works to make sure it is carried out without risks to health and safety whilst also complying with the 2015 Construction (Design and Management) Regulations.

Each of the following topics should be considered at a level of detail proportionate to the risks involved and where it is relevant to the work proposed.

18. Further Information and Guidance

The Health and Safety Executive has published comprehensive guidance on the Regulations: "Managing Health and Safety in Construction" (L153).
More information is available in the construction section of HSE's web site:

http://www.hse.gov.uk/construction/cdm/2015/index.htm

The Construction Industry Training Board has published best practice industry guidance to support the understanding and awareness to the Regulations. Information is available at:

http://www.citb.co.uk/health-safety-and-other-topics/health-safety/construction-design-and-management-regulations/cdm-guidance-documents/

Appendix 1 –CDM 2015 Duty Holders and Role Summary

CDM Duty-Holders	Summary of Role/Main Duties
Clients are organisations or individuals for whom a construction project is carried out. The client ensures that the construction project is set up so that it is carried out from start to finish in a way that adequately controls the risks to the health and safety of those who may be affected.	Make suitable arrangements for managing a project. This includes making sure: • Other duty holders are appointed; • Sufficient time and resources are allocated. • Relevant information is prepared and provided to other duty holders; • The principal designer and principal contractor carry out their duties; • Welfare facilities are provided.
Designers are those, who as part of a business, prepare or modify designs for a building, product or system relating to construction work.	When preparing or modifying designs, to eliminate, reduce or control foreseeable risks that may arise during construction and the maintenance and use of a building once it is built. Provide information to other members of the project team to help them fulfil their duties.
Principal Designers are designers appointed by the client in projects involving more than one contractor. They can be an organisation or an individual with sufficient knowledge, experience and ability to carry out the role. The principal designer manages health and safety in the pre-construction phase of a project. The role extends to the construction phase through the principal designer's duties to liaise with the principal contractor and ongoing design work.	Plan, manage, monitor and coordinate health and safety in the pre-construction phase of a project. This includes identifying, eliminating or controlling foreseeable risks and ensuring designers carry out their duties. Prepare and provide relevant information to other duty-holders. Provide relevant information to the principal contractor to help them plan, manage, monitor and coordinate health and safety in the construction phase. **Note:** The principle designer role to further assist with the integration of health and safety in the project can be combined with other activities such as project management.
Principal Contractors are contractors appointed by the client to coordinate the construction phase of a project where it involves more than one contractor. The principal contractor manages the construction phase of a project. This involves liaising with the client and principal designer throughout the project, including during the pre-construction phase.	Plan, manage, monitor and coordinate health and safety in the construction phase of a project. This includes: • Liaising with the client and principal designer; • Preparing the construction phase plan; • Organising cooperation between contractors and coordinating their work. • Suitable site inductions are provided; • Reasonable steps are taken to prevent unauthorised access; • Workers are consulted and engaged in securing their health and safety; • Welfare facilities are provided.
Contractors are those who do the actual construction work and can be either an individual or a company.	Plan, manage and monitor construction work under their control so that it is carried out without risks to health and safety. For projects involving more than one contractor, coordinate their activities with others in the project team – in particular, comply with directions given to them by the principal designer or principal contractor. For single-contractor projects, prepare a construction phase plan.
Workers are the people who work for or under the control of contractors on a construction site.	They must: • Be consulted about matters which affect their health, safety and welfare; • Take care of their own health and safety and others who may be affected by their actions; • Report anything they see which is likely to endanger either their own or others' health and safety; • Cooperate with their employer, fellow workers, contractors and other duty-holders.

- Organisations or individuals can carry out the role of more than one duty holder, provided they have the skills, knowledge, experience and capability to carry out those roles in a way that secures health and safety.
- Principle designers are **not** direct replacement for CDM Co-ordinators. The range of duties they carry out is different.

Appendix 2 - Pre-construction Information (list not exhaustive)

Pre-construction information provides information for those bidding for or planning work, and for the development of the construction phase plan. It also provides the basis for the preparation of the construction phase plan.

Each of the following topics should be considered at a level of detail proportionate to the risks involved and where it is relevant to the work proposed.

1. Description of Project and Programme Details, Including:

(a) Key dates (include the planned start and finish dates of the construction phase) and client brief.

(b) The planning and management of the project, such as resources and the time allocated to each project stage and the arrangements to ensure cooperation between duty holders.

(c) The minimum time to be allowed between appointment of the principal contractor and instruction to commence work on site.

(d) Details of client, designers, principle designer and other consultants.

(e) Extent and location of existing records and plans.

Refer to Appendix 4 – Pre Construction Guidance

2. The University's' Requirements

(a) Arrangements for:

- Planning for and managing the construction work, including any health and safety goals for the project.
- Communication and liaison between the client and other parties.
- Security of the site.
- Welfare provision.

(b) Requirements relating to the health and safety of University staff, students, visitors or those involved in the project, (though not exhaustive) and with reference to the Contractor/Gate Keeper Induction.

- Site rules/arrangements for contractors on site.
- Site fencing or hoarding requirements.
- Site transport arrangements/vehicle movement restrictions.
- Permit-to-work systems or other arrangements relating to the control of contractors.
- Fire precautions.
- Emergency procedures and means of escape.
- Areas designated as out of bounds or for authorised access only.
- Areas designated as confined spaces.
- Smoking and parking restrictions.

- Temporary works.

3. Existing On-Site Risks, Including;

(a) Safety Hazards

- Access/temporary access restrictions, e.g. narrow roadways, lack of parking, turning or storage space.
- Restrictions on deliveries, or waste collection or storage.
- Adjacent land uses that may affect (or be affected by) the work.
- Storage of hazardous materials.
- Location of existing services, particularly concealed ones (water, electricity, gas, etc.).
- Ground conditions, underground structures, or water courses that might affect the safe use of plant (e.g. cranes) or the safety of groundwork.
- Information about existing structures – stability, presence of fragile or hazardous materials, anchorage points for fall arrest systems (particularly where demolition is involved).
- Previous structural modifications, including weakening or strengthening of the structure (particularly where demolition is involved).
- Any fire damage, ground shrinkage, movement, or poor maintenance that might have adversely affected the structure.
- Any difficulties relating to the use of plant and equipment in or on the premises, such as floor loading or height restrictions
- Any relevant health and safety information contained in earlier design, construction, or"as-built" drawings.

(b) Health Hazards, Including:

- Asbestos, including results of surveys (particularly where demolition is involved).
- Existing storage of hazardous materials.
- Contaminated land, including results of surveys.
- Health risks arising from the client's activities.

4. Significant Design and Construction Hazards;

(a) Significant design assumptions and suggested work methods, work sequences, or other control measures.

(b) Arrangements for coordination of ongoing design work and handling design changes.

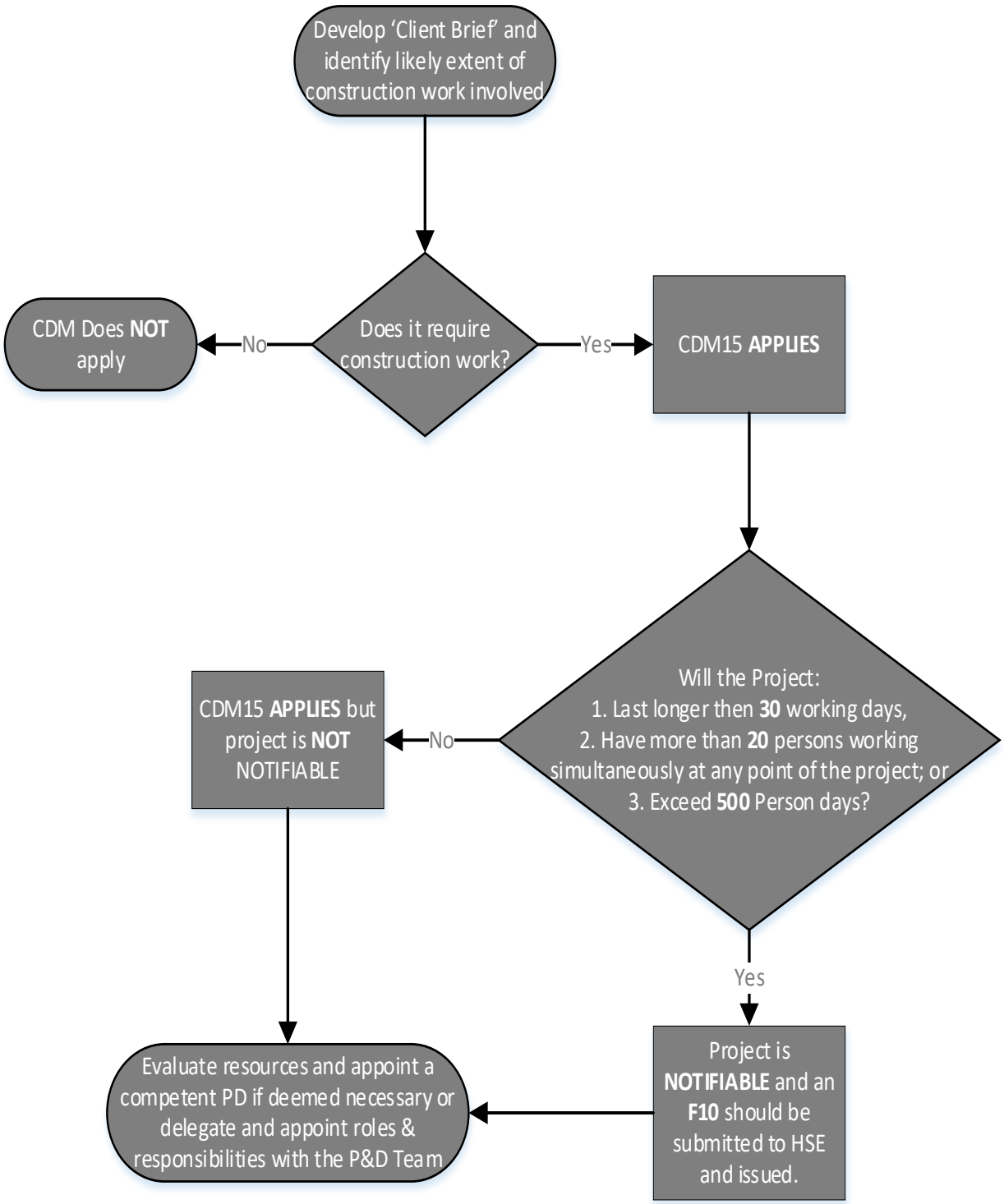
(c) Information on significant risks identified during design.

(d) Materials requiring particular precautions.

5. The Health and Safety File

Description of its format and any conditions relating to its content.

Appendix 3 - Planning and Development Team Project Evaluation Chart



Appendix 4 - Pre-construction Guidance

The 2015 Construction (Design and Management) Regulations require that construction clients provide pre-construction information as soon as is practicable to every designer and contractor appointed, or being considered for appointment, to the project. Where there is more than one contractor, the principal designer should provide advice and help compile the pre-construction information and provide it to the designers and contractors.

The regulations define pre-construction information as 'information in the client's possession' or which is reasonably obtainable by or on behalf of the client, which is relevant to the construction work and is of an appropriate level of detail and proportionate to the risks involved, including information about:

The project.

Planning and management of the project.

Health and safety hazards, including design and construction hazards and how they will be addressed.

Information in any existing 'health and safety file'.

Pre-construction information should be provided in a convenient form and should be clear, concise and easily understandable. It should be prepared early in the project so that it can be provided to designers and contractors as part of the tendering or procurement process. This enables those preparing bids to assess the resources they will need to allocate to perform their duties under the regulations.

Designers must then take account of the pre-construction information when preparing or modifying designs.

Pre-construction information may be added to as the project progresses and should be provided as appropriate to designers and contractors throughout the project before work starts on any particular element.

The amount of detail included in pre-construction information should be sufficient to ensure that significant risks can be anticipated, focusing on those risks that could not reasonably be anticipated.

The Approved Code of Practice L153 provides additional guidance and suggests the type of information that may be required at the pre-construction phase.

Below is a list of preconstruction information requirements (though not exhaustive and to be as per project specific requirements):

- Brief description of the work carried out and 'Client Brief'.
- Technical due diligence site investigation to assess a projects suitability and risks involved before proceeding with that project.

- Attain existing/historical health, safety and environmental information.
- Previous Construction Phase/Health and Safety File information.
- Historic use report and any previous risks.
- Previous design, construction, existing building survey and/or alteration information, e.g. as build information/drawings.
- Conducting a legal search with review of deeds of ownership and for any disputes.
- Easement/Right of Way study with review of any impact to the project by works within the vicinity of the site.
- Statutory restrictions; e.g. water, utilities, rail, civil aviation, local authority, preservation orders, environmental (noise; section 60), etc.
- Mechanical & electrical services information and drawings.
- Desk Study Survey – preliminary site investigation to gather background information, e.g. planning application/consent, to understand the site characteristics which provide early proactive identification to effectively manage any potential risks that helps to avoid the requirement to undertake unnecessary expensive or intrusive investigations.
- Existing site service inspections; e.g. hydrants, risers, telecommunications, gas & electrical infrastructure, drainage and water supply and disconnections with assessment of interconnection, test and commissioning of any proposed constructed services/utilities.
- Planning and managing the construction work.
- Temporary Works:
  a. Conduct Consultant CDM15 Competence Assessment/Questionnaire,
  b. Signed appointment of temporary Works Coordinator,
  c. Determine ALL project enabling, pre-commencement and construction temporary works aspects so far as reasonable practicable e.g. hoarding, crane, excavation/groundworks, scaffold, demolition etc.
  d. Set up Temporary Works Register.
- Surveys (not exhaustive and as necessary):
  a. Structural and/or Building Condition Survey, (generally carried out by chartered surveyors, provides a detailed evaluation of a buildings condition and involves an extensive inspection to help understand the condition of a property, recording risks and potential expenditure that may be required, enabling them develop the appropriate remedial or maintenance plans),
  b. Ground Survey e.g. services, including underground structures.
  c. Topographical Survey.

d. Contamination Survey, including Waste Acceptance Criteria (WAC) test (if required).
e. Asbestos - Note: NO access or activities to commence unless signed correct 'Certificate of Reoccupation' is issued.
f. Deleterious Material Survey (materials that are commonly considered to be either harmful to human health or to be the cause of long-term failure in buildings, e.g. lead, cadmium, silica, coal tar).
g. Boundary Survey.
h. Ecology Survey, An ecological survey is often required for BREEAM and Code for Sustainable Homes (land use and ecology credits) assessments. Ecological surveys identify the habitats and/or species that exist within an area at the time of the survey. Most development proposals will have the potential to impact on the local biodiversity of the development site either through the direct loss of habitats, the reduction in the value of the habitat or the ability of the habitat to support the species that depend on them.
i. Unexploded Ordnance Survey.
j. Demolition Survey.
k. Underground structures.
l. Acoustic Environment & Noise Study.
m. Archaeology Study.
n. Social and Economic Impact Study.
o. Traffic/Population Management Survey to determine if any existing restrictions are in place and/or should be imposed to protect the public.
p. Conservation Survey.
q. Air Quality Test.
r. Site water supply purification, residual chlorination and legionella testing. (may require disinfection/chlorination).
s. Local climate.
t. Photographic.
u. Heritage report.

- Third Party, Stage 4 Buildings Fire Risk Assessment as per HSG168 and Ed9, (purpose is to support clause to company insurance risk).

- Develop 'scopes of service' for all critical risk activities, e.g. lifting, excavation, groundworks, working at height (scaffold), demolition, plant & equipment, confined spaces etc.

- Security arrangements.

- Site plans, including welfare arrangements, traffic/logistic management plan, first aid and fire precaution arrangements, fire & emergency action plan/procedure and hazardous materials storage (Project Manager to compile).

- Waste Management Plan, (no longer a requirement, however can remain to be utilised as best practice to mitigate risk).

- Conduct Environmental Impact Assessment.

- Party Wall

- Review permit-to-work systems.
- Authorisation requirements.
- Client's activities, anticipate project involvement, determine objectives, Significant design and construction hazards

    a. Assumptions and working methods.
    b. Arrangements for co-ordination of ongoing design work.
    c. Significant risks identified during design.
    d. Materials requiring particular precautions.

- A description of the format of the Health and Safety File and any conditions relating to its content.
- Monitoring/auditing the progression of the development of the Health and Safety File to ensure compliance throughout pre-construction prior to acceptance at construction phase (collaboration with appointed principle designer required).