

Detailed Guidance and Templates in Support of H&S policy Document 3.20

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Client Guidance

Introduction

The CDM Regulations were substantially revised and reissued (6th April 2015, referred to in every day context as CDM 2015). The 2015 changes are substantial, with significant impact on duty holder roles, thresholds for appointments, requirements for Construction Phase Plans and Project Notification. This Guidance provides a framework for CDM 2015 duty holder compliance. The Corporate Health and Safety Policy provides further information.

Effective management of health and safety risk in any Construction Project requires an informed and adequately resourced Project Team. To ensure effective cooperation and coordination at all stages of the Project, CDM duty holders should familiarise themselves with the roles and responsibilities of other CDM duty holders.

About the CDM Client

CDM Client duties are given at Table 1 below.

The CDM Client has a major influence over the way a project is procured and managed. The CDM Client has contractual control, appoints designers and contractors, and determines the money (often in conjunction with the in-house customer or wider Council), time and other resources available for the Project.

Particularly for larger, more complex projects, the CDM Client should consider:

- a) who makes up the project team as well as determining the resources available;
- b) the arrangements for managing and co-ordinating the work of the Project Team;
- c) the level of cooperation required between members of the Project Team;
- d) the adequacy of information available at the planning or pre-construction phase; and
- e) the style and tone of communications used throughout the project.

Whilst CDM 2015 extends duties to domestic Clients, this is not expected to impact on South Tyneside Council. South Tyneside Homes Tenants are not “Clients” for the purposes of CDM. Where South Tyneside Council undertakes Project work on private domestic dwellings (e.g. adaptations or extensions for supported or independent living) we will normally retain responsibility for all relevant General and CDM Client duties.

Table 1: CDM Client Responsibilities	
CDM 2015 requirements: ALL PROJECTS	Notes and guidance
General Duties	The “General Duties” given in the Corporate Health and Safety policy apply
Management Arrangements	
The CDM Client must make, maintain and review suitable arrangements for the Project	This includes the allocation of sufficient time, competent people, including specialist and administrative support staff. Other resources typically include Project Management Systems, Databases, Contractor Procurement and Evaluation and associated systematic monitoring and review (including post-Project evaluation) systems and systems for the effective communication of key Project information between Project Duty Holders. Forms are available as <i>suggested</i> pro-forma for recording your compliance monitoring and reviewing processes.
Protecting the health and safety of persons affected by the Project	Routinely achieved by the appointment and performance monitoring of competent contractors, designers, Principal Contractors and Principal Designers and the application of the principles of prevention by those duty holders. CDM Clients should also ensure that the Project safeguards others, e.g. Tenants, Members of the Public and others in buildings which remain occupied during the construction work.
Providing pre-construction information	The Client has the main duty for providing pre-construction information. This must be provided as soon as practicable to each designer (including the principal designer) and contractor (including the principal contractor) who is bidding for work on the project or has already been appointed. See also Guidance to Pre-Construction Information.
Ensure a construction phase plan is drawn up	The Client is not required to scrutinise or approve a Construction Phase Plan, but he must be reasonably satisfied that an appropriate and proportionate Plan is in place before the construction work starts. For routine and repetitive work it will be sufficient to ensure that overarching systems, resources, site-rules and systems for managing foreseeable risk are in place at the beginning of the Contract; thereafter the Client should undertake periodic review in conjunction with the Contractor or Principal Contractor. Review

	should include a consideration of an agreed representative sample of the Contractor's own records of Site Inspection, incident data and any Audit findings.
Ensure adequate welfare is provided and maintained	Again, the Client must be assured that appropriate welfare arrangements will be in place and maintained for the duration of the Project. This can be confirmed via acceptance of contract terms and specific priced elements. For longer Projects the Client can be assured via the Contractor's records as discussed immediately above. The Client need not necessarily visit the Site, but if he does he should make specific enquiry to confirm agreed welfare arrangements are in place. HSE Guidance Document CIS 59 describes the acceptable levels of welfare for both fixed and transient construction sites. Additional Welfare arrangements will apply for some specialist works – e.g. asbestos removal.
Revise and manage the Health and Safety File	Clients must keep the Health and Safety File for the Structure secure and ensure it is made available to those who may need to refer to it. The File may be maintained and communicated electronically. It can also be maintained as part of a 'Building Manual', provided key health and safety information does not become obscured. Where South Tyneside Council disposes of interest in any property the CDM Client must ensure the File is passed to the new owner. (Not applicable to Housing Stock) See also Guidance to Health and Safety Files.
Additional Client Duties for CDM Projects with more than 1 contractor	
Appoint a Principal Designer , and Appoint a Principal Contractor	CDM 2015 has a new 'trigger' for additional appointments. ALL Projects which involve, or are likely to involve more than one contractor working on the construction phase of the Project at any time (concurrent or non-concurrent) requires the written appointment of a Principal Designer and a Principal Contractor.
Additional Client Duties for Notifiable CDM Projects	The CDM Client is responsible for notifying (to the Health and Safety Executive) any Project which will (or will foreseeably) have a construction phase (i) lasting longer than 30 working days and have more than 20 workers working simultaneously at any point; or (ii) exceed 500 person days. Weekends, holidays etc. do not count unless it is intended that they be worked.

	Projects which could later exceed the above thresholds should be notified retrospectively. South Tyneside Council Notifiable Projects must be notified as soon as practicable before the construction phase begins. This means at the earliest possible opportunity – usually at the detailed design stages or earlier.
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Principal Designer/Designer Guidance

About the Principal Designer/Designer

Principal Designer duties are given at Table 2 below.

The Principal Designer is appointed by the CDM Client for all Projects involving (or foreseeably likely to involve) more than one contractor. The Principal Designer must be a Designer, but need not be designing for the Project. In any event, the Principal Designer must ensure that any other designers follow the principles of prevention and provide adequate information on or with their designs. He will, in addition to other duties described here, ensure that he and other designers engaged for the Project comply with the requirements of the Designer Guidance.

Table 2: Principal Designer Duties	
CDM 2015 requirements	Notes and guidance
Ensure other Designers and others engaged in the Project at the pre-construction phase, comply with their duties and cooperate with the CDM Client, the Principal Designer and each other.	As well as coordinating the efforts of the Design Team in effectively considering the elimination or reduction of risks arising from the design and providing comprehensible information on or with their designs, the Principal Designer has an overarching responsibility to coordinate similar input from other specialists and external appointments involved at the pre-construction stages. He has responsibility to ensure effective communication and cooperation across the whole Project Team.
The Health and Safety File at pre-construction stages.	At the pre-construction phase, the Principal Designer must ensure that a suitable Health and Safety File is prepared or, where the File already exists, it is readily accessible and has appropriate functionality to contain the information likely to become available during the Project. He must also ensure that the File is reviewed and updated as relevant information becomes available from Designers. (See also Guidance on Health and Safety Files).
Assist the CDM Client with the preparation and communication of pre-construction information to other Project appointments (including those being considered for appointment).	The Principal Designer is often best-placed to support the CDM Client in determining the relevance and accuracy of information to be provided, who needs what, when it will be needed, and determining any gaps in the existing pre-construction information (e.g. additional survey information, structural investigation, etc.) In any event the Principal Designer MUST ensure that other Project Designers under his control or influence have prompt access to relevant information in a convenient form.
Plan, manage and monitor the pre-construction phase, coordinating health and safety matters	Ensuring, so far as is reasonably practicable, that the Project may be carried out without risks to health and safety. In other words, there must be a safe method to realise the design. The Principal Designer will also consider the health and safety of those who will use or occupy the structure, and those who will maintain and clean it and (eventually) demolish it. The Principal Designer will have a lead role in determining the work sequencing, and will consider the aspects of the construction which can safely take place in succession or simultaneously in determining reasonable timescales to enable the construction to be built safely.
Design continuing into the Construction Phase	The Principal Designer shall ensure adequate and continuing liaison with the Principal Contractor where design work continues into the construction phase of the Project
Assisting the Principal Contractor	Assisting the Principal Contractor with preparation of the Construction Phase Plan. Timely collation and communication of relevant pre-construction information

Table 2: Principal Designer Duties	
CDM 2015 requirements	Notes and guidance
	provided by the CDM Client and from the Project Designers – prepare the Project Information Pack = collated Pre-Construction Information (PCI).
The Health and Safety File: Liaison at the Construction Phase	The Principal Designer shall ensure adequate and continuing liaison with the Principal Contractor to enable appropriate information to be gathered as it becomes available for inclusion in the Health and Safety File. (See also Guidance on Health and Safety Files.)
General Designer Duties	
Design out reasonably foreseeable risk	At concept and Project design stages, the Designer must consider the health and safety of those who will install, build, repair, clean, maintain, work within, use, modify, or eventually demolish a structure.
Assess remaining risk	Provide adequate, comprehensible information, in good time, about any remaining significant risks associated with the design to others involved with the Project.
Cooperate and co-ordinate with other duty holders.	Co-ordinate their work and cooperate with others involved with the Project to improve the way in which risk is managed and controlled.
Ensure they provide information.	Ensure appropriate information is included in the health and safety file.

Principle Contractor/Contractor Guidance

About the Principal Contractor/ Contractors

Principal Contractor duties are given at Table below.

Contractor duties are given at Table 3 Below.

All Contractors manage the work at the construction phase of a project so that it is carried out in a way that secures the health and safety of construction workers and others who may be affected. The Principal Contractor has a coordinating role in that respect.

The Principal Contractor is appointed by the CDM Client for all Projects involving (or foreseeably likely to involve) more than one contractor. As might be expected, there is significant commonality between the duties of the Principal and any other Contractor and those duty holders should refer to both Tables 1 and 2 overleaf.

Overlapping Projects

Most projects are likely to have only one Principal Contractor for the entire project. However, there may be occasions where two or more projects are taking place on the same site at the same time, but are run independently of one another. Whatever the circumstances, it is essential that there is clarity over who is in control during the

construction phase in any part of the site at any given time. The Contractor in overall control will ideally be a Principal Contractor, who will ensure adequate cooperation and coordination particularly regarding any shared interfaces between the activities of each project (e.g. shared traffic routes, interruption to power supplies, emergency arrangements, etc.).

Table 3: Principal Contractor/Contractor Duties

Part	CDM 2015 Requirements	Notes and Guidance
1	General requirements	The CDM Principal Contractor must also comply with the duties placed on any Contractor. These duties are given at Table 4, Parts 3-8 below
2	Draw up a Construction Phase Plan	Before the Construction Phase begins, the Principal Contractor must ensure that a Construction Phase Plan is drawn up. The Construction Phase Plan should be focussed and proportionate to the complexity of the Project. Further information about Construction Phase Plans is given in A Guide to Construction Phase Plans.
3	Plan, manage and monitor the work at the Construction Phase	Manage the work to ensure, so far as is reasonably practicable, it is carried out without risk to health or safety of workers, the general public and any others who may be affected, considering in particular: • The design, technical and organisation aspects of Project elements which will take place simultaneously or in close succession. • The time required to complete work or significant work stages. • Application of the Principles of Prevention (elimination and reduction of risk, etc.) by all contractors. • Cooperation and coordination between contractors.
4	Review the Construction Phase Plan	Throughout the project the principal contractor must ensure that the construction phase plan is appropriately reviewed and updated from time to time so that it continues to be sufficient to ensure that construction work is carried out, so far as is reasonably practicable, without risks to health or safety.
5	The Health and Safety File	Provide the Principal Designer (or the Client, where the Principal Designer's appointment has terminated) with relevant information for the Health and Safety File as it becomes available.
6	Liaise with the Principal Designer	Liaise on matters affecting the Health and Safety File and on any continuing or emerging design issues arising during the construction phase (including any previously unforeseen issue arising.)
7	Cooperation and consultation with the workforce	The Principal Contractor must make and maintain arrangements which enable workers engaged in construction work to cooperate effectively in developing, promoting and checking the effectiveness of measures to ensure the health, safety and welfare of the workers. He will also consult with those workers (or their representatives) in good time on matters connected with the project which may affect their health, safety or welfare.

Table 4: Contractor Duties

Part	CDM 2015 requirements	Notes and Guidance
1	Plan, manage and monitor the work at the Construction Phase	Manage his work (including work carried out under his control) to ensure, so far as is reasonably practicable, work is carried out without risk to health or safety of workers, the general public and any others who may be affected
2	Comply with directions of the Principal Contractor	Where there is more than one contractor working on the Project, there will be a Principal Contractor. All contractors must comply with reasonable direction and instruction given by the Principal Contractor.
3	Comply with the CPP	Particularly those parts relevant to that Contractor's work.
4	Make competent appointments	A contractor must not employ or appoint a person to work on a construction site unless that person has, or is in the process of obtaining, the necessary skills, knowledge, training and experience to carry out the tasks allocated in a manner that secures the health and safety of any person working on the construction site.
5	Provide Suitable Site Induction	Induction for workers should be relevant to the work to be done as well as covering Site Rules. Induction for visitors (i.e. accompanied visitors) should be proportionate.
6	Provide and maintain adequate welfare throughout construction.	HSE Guidance Document CIS 59 describes the accepted levels of welfare for fixed and transient construction sites. Additional Welfare arrangements will apply for some specialist works – e.g. asbestos removal.
7	Prevent unauthorised access	So far as is reasonably practicable. See HSE Guide HSG151 “protecting the public- your next move.” Ensure adequate segregation where members of the public and vulnerable groups may otherwise have direct access to hazardous conditions.
8	Provide information on procedures to be followed in the event of serious or imminent danger	Provide workers with information on the procedures to be followed in foreseeable emergency situations. This will usually incorporate action to be taken in the event of fire and may extend to other foreseeable emergency such as accidental release of hazardous substance, asbestos-related incident, entrapment or suspension of a worker at height.
9	Provide information to workers about foreseeable risks.	(a) Arising from the work to be carried out and (as applicable) (b) Risks arising from any adjacent or overlapping activities (arising from others occupying or using the site and from other contractors working on site). Information at (a) should focus on the risks particular to design, construction methods and environment on the Project and NOT the everyday and routine safe systems of work as applied by skilled and competent workforce.
10	Where there is only one Contractor on the Project	That Contractor will have responsibility for the actions described Table 3, Parts 2-7

A Guide to Pre-Construction Information

About Pre-Construction Information (PCI)

Where appointed, the Principal Designer is expected to support the Client with this provision. Other Designers may provide advice on additional survey or other enabling works required to properly inform the Project Design.

Previous pre-construction information effort often focussed on the collation and provision of the “Project Information Pack” – a specific package of information given to the (prospective) ‘main’ or Principal Contractor to enable him to price and plan the Construction Phase of the Project. CDM “Pre-construction information” requirements always extended well beyond that very specific information exchange. The CDM Client has a significant duty to provide pre-construction information.

Regulation 4(4) “A client must provide pre-construction information as soon as practicable to every designer and contractor appointed, or being considered for appointment, to the project.”

Pre-construction information includes information which is already in the Client’s possession (such as any existing health and safety file, asbestos survey, structural drawing etc.) or information which is reasonably obtainable through further sensible enquiry.

The CDM Client is responsible for ensuring that relevant information is made available to all Project Designers and Contractors appointed (or being considered for appointment) at the pre-construction phase.

Information must include any relevant risk information (whether anticipated or already determined) arising from elements of the Project design already in progress.

Information should be **relevant, proportionate and comprehensible**, with appropriate level of detail applicable to the Project health and safety risk. The provision of pre-construction information may not be a once and for all activity – additional information may need to be communicated later on, as the design develops.

Pre-Construction Information passed to Designers is usually tailored and often specific to design discipline requirements. Table 1 overleaf discusses a proportionate approach for providing pre-construction information to Contractors (including Principal Contractors). This approach will enable CDM compliance whilst avoiding bureaucracy and unnecessary duplication of paperwork.

Pre-construction information often includes ‘local’ information provided by other Council Services (e.g. Asset Management). The Pre-Construction Information must be proportionate and focussed on Project-specific risks, following the principle:

The right information, to the right people, at the right time.

South Tyneside Council pro-forma **Project Checklist** should form the basis for communication of Project-specific risk information on all but the smallest of construction projects. For larger Projects, an additional narrative (template) approach may be applied.

Pre-construction information also provides a basis for the preparation of the construction phase plan. Some material may also be relevant to the preparation of the health and safety file.

CDM 2015 requirements: When Pre-Construction Information is complete it must include proportionate information about:		Table 5 Council application to:		
		Small scale, repetitive work	Medium complexity Projects	Larger, Complex Projects
(a)	the project, such as the client brief and key dates of the construction phase.	These arrangements can be described in more generic terms within (e.g.) Contract requirements, associated resources and specifications, in conjunction with the overarching management arrangements as applied by the Client and Contractor's (e.g. Asset Management, Highways, etc.) H&S Management arrangements and service level agreements, etc.	Along with the Project Brief, Project Checklist , will be used as the basis for pre-construction information and to highlight those areas where the Contractor is (or will be) required to provide a specific response (e.g.) by confirming acceptance of specific methods and design assumptions, providing a method statement response, etc.	For larger Projects (e.g. those meeting Notification Criteria) or those with significant complexity (major build or refurbishment extending over protracted timescale and involving multiple contractors): The Client may apply a "template" approach to the preparation of the Pre-Construction Information (PCI) and provide what the construction industry often refers to as a 'Project Information Pack.'
(b)	the planning and management of the project such as the resources and time being allocated to each stage of the project and the arrangements to ensure there is cooperation between duty holders and that the work is coordinated .	Job/Project Specifics contained within individual Works Orders or similar records. Contract general performance timescales apply. Contract Performance monitoring and review meetings held regularly.	The Project Checklist may be used by the Contractor to record his responses, outline methods etc. and therefore form the basis of the Construction Phase Plan.	The Council's Project Checklist remains as the preferred method for communication of Project specific risk issues. The PCI template should reference other key documents (preferably by hyperlink) in accordance with CDM 2015 Guidance: i.e. following the (a) – (d) layout given at the left-

CDM 2015 requirements: When Pre-Construction Information is complete it must include proportionate information about:		Table 5 Council application to:		
		Small scale, repetitive work	Medium complexity Projects	Larger, Complex Projects
				hand column of this Table.
(c)(i)	the health and safety hazards specific to the site, structure and existing environment and those arising from the design.	Via published Site Rules for: (a) Non-domestic Properties (b) Housing Stock repair etc. (c) Roads Operations Streetworks. Above Site Rules and additional requirements delivered to internal workforce via routine supervision, information, instruction and training. (e.g. inductions, toolbox talks, asbestos awareness and Council-specific asbestos management arrangements). Any extraordinary hazards to be annotated separately.	As for small scale, repetitive work, with the additional use of Project Checklist as a method of communicating unusual and significant hazards arising from the design, existing structure or environment.	As per medium complexity Projects (use of Project Checklist) with occasional additional narrative within a (cross-referenced) pre-construction information (Information Pack) template ONLY IF REQUIRED.
(c)(ii)	Application to external Contractors	Additional diligence is required when competent external contractors are appointed as there will be a lesser familiarity with South Tyneside Council rules etc. Pre-start meetings and on-site induction by those commissioning the contractor is imperative.	As previous column. The Project Brief should include contact details of key personnel and Project timescales. Programmed progress meetings and additional site meetings at key milestones. Managed via Principal Contractor where more than one Contractor involved. Appropriate induction of all direct contractor appointments.	As previous column
(d)	any relevant information in an	Routinely Not Applicable. Unlikely that any specific or	Project Checklist will (a) reference (or reproduce)	As per medium complexity Projects (use of Project Checklist) with

CDM 2015 requirements: When Pre-Construction Information is complete it must include proportionate information about:		Table 5 Council application to:		
		Small scale, repetitive work	Medium complexity Projects	Larger, Complex Projects
	existing health and safety file .	cumulative task/Project will impact on H&S File for the Structure. Impact monitored via regular review of works history for the structure/ building.	appropriate information from the existing File, and (b) Stipulate what information (and when it is expected to become available) for update to the Client's File.	occasional additional narrative within a (cross-referenced) pre-construction information (Information Pack) template ONLY IF REQUIRED.

A Guide to the Construction Phase Plan

The Construction Phase Plan (CPP)

The Construction Phase Plan must record the arrangements for managing the significant health and safety risks associated with the construction phase of a project. It is the basis for communicating these arrangements to all those involved in the construction phase so it should be easy to understand and be as simple as possible. In considering what information is included, the emphasis is that it:

- a) is relevant to the project:
- b) has sufficient detail to clearly set out the arrangements, site rules and special measures needed to manage the construction phase ; but
- c) is proportionate to the scale and complexity of the project and the risks involved.

A proportionate approach will mirror and apply the South Tyneside Council recommended approach to pre-construction information as given within A Guide to Pre-Construction Information. For simple, everyday works and repairs conducted in-house (or under direct in-house supervision) there is usually no requirement to produce a separate document – the elements of the CPP can be demonstrated by referring to existing arrangements and other documentation.

A Construction Phase Plan is a document that must record the:

- a) health and safety arrangements for the construction phase;
- b) site rules;
- c) specific measures concerning work methods, sequencing etc. developed to deal with Project-specific significant risks highlighted in the Client's Pre-Construction Information
- d) where relevant, specific measures concerning work that falls within one or more of the categories listed below.

Note too that whilst there is no absolute requirement to create hard-copies of the CPP, or have the CPP available on-site, it is often prudent to do so – particularly for medium and larger complexity Projects.

The plan should not include documents that get in the way of a clear understanding of what is needed to manage the construction phase, such as generic risk assessments, records of how decisions were made, training records, etc.

Table 6		
Small scale, repetitive work	Medium complexity Projects	Larger, Complex Projects
The proportionate approach described in A Guide to Pre- Construction Information generally applies. Management arrangements can be referenced to existing Service Level Agreements, Contract Terms etc. It is unlikely that any specific risk will be identified from any “design” and highly unlikely that any of the specified risk issues given at Appendix 1 will apply.	Some of the elements of the listed template approach in the right-hand column may apply. However wherever practicable every attempt should be made to limit the construction phase plan to a single document. This will usually be an expanded version of the Project Checklist with attachments as required to cover specific issues (fire or other emergency procedure, key Project personnel contact details, etc.	A more traditional template may be adopted for larger Projects, providing comprehensive information to Clients or a larger construction workforce. Typical CPP template for larger, complex Projects will follow the format given within CDM 2015 and the following list of topics should be considered when drawing up the plan: a) a description of the project such as key dates and details of key members of the project team; b) the management of the work includes: • the health and safety aims for the project; • the site rules; • arrangements to ensure cooperation between project team members and coordination of their work e.g. regular site meetings; • arrangements for involving workers; • site induction; • welfare facilities; and • fire and emergency procedures; c) reference and response to any specific risks arising from the design, site or environment as identified in the pre-construction information d) the control of any of the specific site risks listed in Schedule 3 of the Regulations (Appendix 1 of this document) where they are relevant to the work involved.
There will normally be NO REQUIREMENT for any separate document referenced as a Construction Phase Plan.	A Construction Phase Plan will be required.	
Additional scrutiny may be required where this level of work is to be undertaken by an external contractor.	Additional scrutiny may be required where this level of work is to be undertaken by an external contractor	

Specific Risks

Listed below are the aspects of “work involving particular risks” as given in Schedule 3 of the CDM 2015 Regulations. Where the Project involves one (or more) of these particular areas of risk they must be specifically detailed within the Contractor’s (or Principal Contractor’s) Construction Phase Plan (CPP).

Work involving particular risks

1. Work which puts workers at risk of burial under earth falls, engulfment in swampland or falling from a height, where the risk is particularly aggravated by the nature of the work or processes used or by the environment at the place of work or site.
2. Work which puts workers at risk from chemical or biological substances constituting a particular danger to the safety or health of workers or involving a legal requirement for health monitoring.
3. Work with ionizing radiation requiring the designation of controlled or supervised areas under regulation 16 of the Ionising Radiations Regulations 1999.
4. Work near high voltage power lines
5. Work exposing workers to the risk of drowning
6. Work on wells, underground earthworks and tunnels
7. Work carried out by divers having a system of air supply
8. Work carried out by workers in caissons with a compressed air atmosphere
9. Work involving the use of explosives
10. Work involving the assembly or dismantling of heavy prefabricated component.

A Guide to the CDM Health and Safety File

Introduction

CDM requires that a Health and Safety File is created and maintained for every significant structure within the Council's Property Portfolio. Whilst CDM requires that the File contain a number of key elements, it is not prescriptive on the methods used to record, maintain or communicate that information.

The Health and Safety File may be combined with a Building or Structure Manual, provided important health and safety information does not become obscured.

Duty Holder Requirements

The CDM Client has responsibility for developing the required format of Health and Safety Files, ensuring it is readily available to all who may need to refer to it, and for periodic review of the information within it for relevance and accuracy.

On a Project-by-Project basis, the Principal Designer and other Designers also have responsibility to ensure appropriate information is identified and included in the existing File (or create one in accordance with the Client's requirements where the File does not already exist).

In a South Tyneside Council context, Asset Management will have a duty to maintain Health and Safety Files. The following approach is recommended:

Council Service	Health and Safety File maintenance via:
Asset Management	Maintain Health and Safety File for every significant structure ⁽¹⁾ operated by South Tyneside Council and all associated supported Trusts, Schools, Management Committees and Partner Organisations.

(1) "Structure" is as defined in the [CDM 2015 Regulations](#)

Health and Safety File Requirements

The Health and Safety File informs those involved in any future construction work and those maintaining, refurbishing or cleaning the structure about residual key health and safety risk, and any arrangements or procedures to be followed. The File may be combined with a Buildings Manual but must not become obscured within it.

There should be enough detail to allow the likely risks to be identified and addressed by those carrying out the work. The file should not include things that will be of no help when planning future construction work such as pre-construction information, the construction phase plan, contractual documents, safety method statements etc. Information must be in a convenient form, clear, concise and easily understandable.

The Health and Safety File will include the 8 elements given below:

Table 7		
Item	Description	Guidance
1	When the File was last updated (with a brief description of the Project carried out at that time)	Files may also be updated following a routine review. Item 1. Should record that review, along with the record of the last Project which altered the File.
2	Any hazards that have not been eliminated through the design and construction processes, and how they have been addressed.	e.g. inclusion of , or appropriate cross-reference to, asbestos management plans, contaminated land surveys, structural surveys.
3	Key structural principles for the structure	e.g. bracing, sources of substantial stored energy, including pre- or post-tensioned members and safe working loads for floors and roofs.
4	Hazardous materials used (or otherwise identified)	e.g. special coatings which may be hazardous to health if mechanically removed. Reference to the age of the building will give some indication of the likelihood of historic use of lead paints, horsehair, etc.
5	Information regarding the removal or dismantling of installed plant and equipment	e.g. any special arrangements for lifting such equipment. Reference to information already contained within Operating and Maintenance Manuals may be appropriate.
6	Information about equipment provided for cleaning or maintaining the structure	Access arrangements, permission or permit requirements, records of test, inspection, etc.
7	The nature, location and markings of significant services	Including underground cables; gas supply equipment; fire-fighting services etc. – referencing appropriate drawings and schematics.
8	Key information about the building, its plant and equipment	e.g. identification and the means of safe access to and from service voids, confined spaces, roofs etc.

Reviewing the Health and Safety File

The CDM Client should review Files periodically to:

- Ensure the information remains valid and relevant
- Confirm the File has been updated to reflect recent Project issues
- Evaluate the scope of cumulative minor works on fixed systems – this may warrant a refresh of as-built drawings and schematics for key services

Frequency of review will be dependent on the complexity of the structure and the frequency and scope of all construction-related work.

Construction Phase Health and Safety Plan

Company Name	
Description of Project	Details
1. Project description and program details including any key dates	
2. Details of the project team	
a. Client	
b. Principal designer	
c. Designer(s)	
d. Principal contractor	
e. Contractor(s)	
3. Extent and location of existing records and plans which are relevant to health and safety on site, including information on existing structures when appropriate	
Management of the work	Details
1. Management and responsibilities	
2. Health and safety goals for the project and arrangements for monitoring and review of health and safety performance.	
3. Health and safety arrangements for the construction phase to include welfare provision.	
4. Site rules	
5. Arrangements for:	
a. Cooperation between the project team on site and coordination of their work.	
b. Consultation with the workforce.	
c. The exchange of design information between duty holders.	
d. Handling design changes during the project.	

e. The selection and control of contractors.	
f. The exchange of health and safety information between contractors.	
g. Site security	
h. Site induction	
i. On-site training	
j. Welfare facilities	
k. The reporting and investigation of accidents and incidents including near misses	
l. The production and approval of risk assessments and written systems of work.	
m. Fire and emergency procedures	
Arrangements for controlling significant risk	Details
1. Safety risks including:	
a. Delivery and removal of materials (including waste) and work equipment taking account of any risks to the public (for example during access and egress to and from site)	
b. Dealing with services – water, electricity, gas and including overhead services.	
c. Accommodating adjacent land use.	
d. Stability of structures, whilst carrying out construction works including temporary structures and unstable existing structures.	
e. Preventing falls.	
f. Work with or near fragile materials.	

g. Work involving the assembly or dismantling of heavy prefabricated components	
h. Work near high voltage cables	
i. Work on excavations and work where there are poor ground conditions.	
j. Work in confined spaces.	
k. Working on or near water.	
l. Diving works.	
m. Work in a caisson with a compressed air system.	
n. Work involving explosives.	
o. Traffic routes and segregation of pedestrians.	
p. Storage of materials and work equipment.	
q. Work which puts workers at risk from chemical or biological hazards.	
r. Work with ionising radiations requiring designation of controlled or supervised areas.	
2. Health risks including:	
a. The removal of asbestos.	
b. Dealing with contaminated land.	
c. Manual handling.	
d. Use of hazardous substances.	
e. Noise or vibration.	

f. Exposure to UV radiation.							
The Health and Safety File							
1. Layout and format							
2. Arrangements for collecting and gathering information							
3. Storage information							
Significant design and construction hazards							
1. Significant design assumptions and suggested works methods sequences or other control measures.							
2. Arrangements for co-ordination of ongoing design work and handling design changes							
3. Information on significant risk identified during design work							
4. Materials requiring particular precautions							
Additional notes							
Name		Position		Signature		Date	

Template for Appointment Letter Principal Contractor

Date.....

(e.g. Name of Designated Principal Contractor)

(Title of Designated Principal Contractor)

South Tyneside Council / Homes

Address

Address

Address

Tyne & Wear

Postcode.

Dear **(Title of Designated Principal Contractor)**

Re: <PROJECT NAME>

**CONSTRUCTION (DESIGN & MANAGEMENT) REGULATIONS 2015
LETTER OF APPOINTMENT – PRINCIPAL CONTRACTOR**

As a Client Representative, acting on behalf of **(South Tyneside Council / South Tyneside Homes)**, in accordance with Regulation 5 of the Construction (Design and Management) Regulations 2015, I hereby appoint you to perform the role of Principal Contractor in relation to the aforementioned project with immediate effect.

Under this appointment you will be required to fulfil the requirements of Regulations 12-15 and Parts 4 & 5 inclusive of the Construction (Design and Management) Regulations 2015. Your appointment will remain for the duration of the project or until otherwise notified of any change by ourselves.

We would be obliged if you would acknowledge your acceptance of this appointment in writing and return it to ourselves at your earliest convenience.

Should you have any queries or concerns with regards to the above, then please do not hesitate to contact us.

Yours sincerely

Client Name

Client Role/Title

South Tyneside Council / Homes

Address 1

Address 2

Address 3

Tyne & Wear

Postcode

Tel: 0191)

Fax: (0191)

Mob:

Enc.

Template for Appointment Letter Principal Designer

Date.....

(e.g. Name of Designated Principal Designer)

(Title of Designated Principal Designer)

South Tyneside Council / Homes

Address

Address

Address

Tyne & Wear

Postcode.

Dear **(Title of Designated Principal Designer)**

Re: <PROJECT NAME>

CONSTRUCTION (DESIGN & MANAGEMENT) REGULATIONS 2015

LETTER OF APPOINTMENT – PRINCIPAL DESIGNER

As a Client Representative, acting on behalf of **(South Tyneside Council / South Tyneside Homes)**, in accordance with Regulation 5 of the Construction (Design and Management) Regulations 2015, I hereby appoint you to perform the role of Principal Designer in relation to the aforementioned project with immediate effect.

Under this appointment you will be required to fulfil the requirements of Regulations 11-12 inclusive of the Construction (Design and Management) Regulations 2015. Your appointment will remain for the duration of the project or until otherwise notified of any change by ourselves.

We would be obliged if you would acknowledge your acceptance of this appointment in writing and return it to ourselves at your earliest convenience.

Should you have any queries or concerns with regards to the above, then please do not hesitate to contact us.

Yours sincerely

Client Name

Client Role/Title

South Tyneside Council / Homes

Address 1

Address 2

Address 3

Tyne & Wear

Postcode

Tel: 0191)

Fax: (0191)

Mob:

Enc.

CDM Project Completion Checklist

Project reference:	
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Project Description			
Contract Administrator		Date first issue:	

Parameter	Y	N	Comment
Were appointments made in good time?			
Was Project Notification submitted in good time?			<i>(where applicable)</i>
Were adequate checks made to ensure competency, resources & management arrangements of all appointees?			
Were risks associated with environmental restrictions, existing on site and adjacent risks and client overlap issues adequately identified and communicated?			
Was the above information presented in good time and in comprehensible form?			
Were Client (& in-house client) Project/Site specific rules and goals identified and communicated?			
Was the existing Health & Safety File(s) for the structure(s) made available to all parties in good time?			
Is there a record confirming suitability and acceptance of the initial Construction Phase Plan?			
Were adequate time and resources available to all those with CDM duty holder roles?			
Has the Health & Safety File been completed?			

In-house Client (where applicable) (Asset Management, Regeneration, etc.)

Was there adequate and continuing dialogue with the in-house client and all other duty holders throughout the Project cycle?			
Was the Project handover adequate?			
Are there any continuing issues with snagging or commissioning?			

Designers

Was adequate regard given to the hierarchy of risk controls?			
Was adequate information about residual risk included in the design?			
Was there adequate and continuing co-operation with the Principal Designer and other Designers?			
Was Health & Safety File information prepared and delivered in good time and to an adequate standard?			

The Principal Designer (PD): (as applicable)

Parameter	Y	N	Comment
Did the PD operate effectively as a member of the Project Team throughout the Project cycle?			
Was co-operation between Designers both encouraged and effective?			
Was there adequate involvement in initial & any evolving design issues?			
Was the pre-construction Information prepared and delivered in good time and was it to an adequate standard?			
Was Health & Safety File information prepared and delivered in good time and to an adequate standard?			

The Contractor or Principal Contractor (PC)

Any problems identified with sub-contractor appointments?			
Were adequate welfare facilities provided and maintained throughout the Project?			
Was liaison (inc. evolving design issues) with the Project Team effective during the Construction Phase?			
Construction Phase Plan developed to adequate standard?			
Were construction zones adequately segregated to prevent unauthorised access?			
Was the site and designated storage areas maintained in a safe and tidy state?			
Was co-operation between contractors and other building users adequately maintained?			
Were Client stipulated & other site rules (e.g. traffic management, storage, segregation and timing of activities, etc.) complied with?			
Was there effective participation in Project 360 ⁰ evaluation process?			
Were there any significant accidents/incidents during the Project?			
What can we learn from this Project and apply to others?			

CDM in Events Guidance

Introduction

1. The Construction Design and Management Regulations were substantially revised and reissued (6th April 2015, referred to in every day context as CDM 2015). The 2015 changes are substantial, with significant impact on duty holder roles, thresholds for appointments, requirements for Construction Phase Plans and Project Notification. This Guidance provides advice on compliance with CDM 2015 in events The Corporate Health and Safety Policy **3.20** provides further information.

Health and Safety Executive Brief

2. The Health and Safety Executive have stated through their Joint Advisory Committee for Entertainment (JACE) see HSE letter at link: <http://www.hse.gov.uk/entertainment/theatre-tv/cdm-update-letter-161214.pdf> that CDM 2015 will like CDM 2007, apply to construction activities in the entertainment sectors.

A Construction activity is defined by section 2.1 of the CDM Regulations 2015 as ‘***the carrying out of any building, civil engineering or engineering construction work***’ and include

Construction Activities in Event

From the definition above and policy document 3.20 the likely activities that are construed as construction are as follows:

- a. Construction of the stage, the stage canopy, a grandstand, or a tower;
- b. The erection and dismantling of marquees;
- c. Erection of security fencing and barge barriers
- d. Erection of scaffold.
- e. Temporary electrical installation to include: a power source for the live acts on stage, a power supply to the concessions and catering facility in the Marquee, lighting rig beam;
- f. Emergency lighting independent of the main supply.

The identified activities a – d above are considered by the HSE to be Temporary Demountable Structures. The HSE have a dedicated a web page to the management of health and safety in events at <http://www.hse.gov.uk/event-safety/temporary-demountable-structures.htm>

Effects of CDM on Events

The HSE have confirmed through the Joint Advisory Committee for Entertainment communication ‘***that the industry will wish to be a position where it can demonstrate compliance with CDM. In practical terms, duty-holders who currently have effective arrangements in place to manage risks arising from construction activities will need to do little more to comply with the CDM 2015 Regulations***’

Achieving Compliance

Effective management of health and safety risk in any construction project requires an informed and adequately resourced Project Team, to ensure effective cooperation and coordination at all stages of the Project.

The current arrangements in place to manage events already have a suitable management structure in place to manage the construction activities and to cover the duties identified in the CDM Regulations. The table below details the current duty holders in events management, that should adopt the duties under CDM 2015 for the construction phase of the event.

Table 8

Current Management Structure	CDM Duties	Guidance Document
Cultural Services Business Manager	Client	See “A Guide for the Client”
Events Team	Principal Designer	See “A Guide for the Principal Designer”
TDS Designer	Designer	See “A Guide for the Principal Designer”
TDS Contractor	Principal Contractor	See “A Guide for the Principal Contractor”
TDS Sub-contractor	Contractor	See “A Guide for the Principal Contractor”

The current process of recording the planning of any event is to produce an event plan. The event plan covers the following:

Table 9

Site Details	Staff Information/ Good Practice
Personnel	First Aid
Roles & Responsibilities	Catering
CDM Regulations	Parking
Communications	Provision for people with special needs
Infrastructure • Site setup and strip-out arrangement • Backstage facilities and fencing • Toilets • Power provision • Handover of infrastructure • Removal / strip out of equipment • Contractor induction guidelines	Emergency Management arrangements • Emergency Situations • Emergency response arrangements • Bomb Threat & Search Procedure • Fire Hazards • Weather conditions
Audience Profile	Cleansing
Artist Profile	Lost Children
Crowd Management	Illegal Trading
Noise Management	Event Cancellation

The event plan is a comprehensive guidance document for running the event, and for CDM 2015 purposes the content covers all the area expected in a pre-construction information pack, therefore it must be given to the Principal Contractor (TDS), in sufficient time for them to formulate a Construction Phase Plan.

The CDM Regulations 2015 recognise three distinct phases to any construction project (see policy document 3.20) as identified in the table below.

In event planning those phase have an equivalent also detailed in the table below.

Table 10

Construction Phases	Equivalent Event Phases
Pre-Construction Phase	Planning
Construction Phase	Building and dismantling of the TDS
Practical Completion	Use of the TDS

Once a construction phase plan has been received and agreed by all the event project team, it should be included in the main event plan.

As a guide to construction activities in events the HSE have provided a practical guide, see table below:

Table 12

Duty Holder	Planning/ Pre-construction	Construction Phase/Building TDS	Practical Completion/Use of TDS
Client	Consider what the structure will be used for, what it needs to be able to do, who will use it and how? Prepare a clear specification for the structure's required use. This should include the technical details required to enable a design to be undertaken by your appointed TDS contractor(s) / designer (s). TDS contractors / designers hired to design, supply, build, manage and take down a structure for you, should be competent and adequately resourced. Provide TDS contractors / designers with relevant site information and/or allow them site access to carry out their own site assessments. Make sure there is sufficient time and resources available to build and dismantle the structure safely.		Any change in the proposed use of the structure or site conditions which may affect the structure's suitability should trigger a design check for the new conditions. An example of this may be the requirement to add additional banners to a structure such as a PA tower. The Client is responsible for ensuring this is done.
Principal	Where a structure is to carry		

Designer	advertising / scrim, include this requirement in any design concept, specification and structural assessment. Novel or unusual structures may require additional testing by a TDS designer to demonstrate the integrity of the design. Plan and work with your contractors to develop safe systems of working and make sure all significant risks on the site are properly controlled, e.g. use of cranes and lift trucks. Plan to minimise confusion and conflict, particularly between those contractors carrying out concurrent or consecutive activities on the same structure. Consider the extent of control that you and your contractors have over the work activity and workplace during each phase of the build, use and deconstruction cycle of a structure. Clients and TDS contractors should agree the extent of their control at the planning stage, so that		
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	responsibility for structural safety is understood and maintained throughout the event		
Designer (TDS)	Your TDS contractor should ensure that the proposed structure has a design prepared by a competent person, which takes account of the use and conditions in which it is to be installed.	Arrange for the structure to be checked to make sure that it has been built according to the design.	
Principal (TDS) Contractor	Whoever builds the structure should undertake an assessment of the likely construction hazards and risks. To help with an assessment and to find out more about construction hazards and risks see	The assessments done under Planning (above) should serve as a guide on how to build and dismantle the structure safely. Use competent staff and have a suitable onsite operational management system in place to supervise and monitor safety compliance. A programme of works, including key safety checkpoints, can be helpful to communicate critical erection / dismantling stages to site personnel. Build the structure to the agreed design in accordance with a safe system of work.	Have arrangements in place to inspect the structure for deterioration during the time it is installed in line with a documented management plan and, if needed, arrange for remedial works. Have arrangements in place to ensure that any measures required to keep the structure safe during use are implemented. For example, if the structure is susceptible to the weather, monitor and measure the local weather conditions. In adverse weather conditions, know what to do with the structure to protect its stability, e.g. when to open wind relief panels and when to evacuate.

Project Notification Checklist

Client:			
Principal Designer (Projects involving more than one contractor)			
Contact/Project Manager:			
Principal Contractor (Projects involving more than one contractor)			
Project Description	Project Start Date	Project Duration	Anticipated Number of Personnel on Site at Any One Time
Client:	Tick to Confirm	Comments	
Has the Principal Designer been appointed in writing (Projects involving more than one contractor)?			
Has the Principal Contractor been appointed in writing (Projects involving more than one contractor)?			
Has all relevant Pre-Construction Information been provided to the Principal Contractor?			
Is the project Notifiable (F10). This is necessary where work is scheduled to last longer than 30 days and have more than 20 workers working simultaneously at any point in the project or will exceed 500 person days			
Principal Designer	Tick to Confirm	Comments	
Has the Client been made aware of their duties as outlined in the CDM 2015 Regulations?			

Are arrangements in place for the production of a Health & Safety File (Projects involving more than one contractor)		
Has the Asbestos Management Plan been consulted and the need for a Refurbishment/Demolition Survey been considered?		
Contractor:	Tick to Confirm	Comments
Has the contractors suitability been assessed through the Councils Procurement Process?		
Has the contractors Employers Compulsory Liability Insurance & Public Liability Insurance Certificates been checked?		
Has the Principal Contractor/Contractor provided a Construction Phase Plan where the following should be considered?		
Construction Phase Plan Considerations:	Tick To Confirm	Comments
Have working times and arrangements been agreed with the buildings manager?		
Have contact names and numbers been provided?		
Have suitable welfare arrangements been provided?		
Have first aid arrangements been provided, including the provision of a first aider?		
Have arrangements for fire safety been discussed with the contractor?		
Have arrangements for demarcation of site/working area been agreed with the Buildings Manager?		
Has a sequence of works been provided by the Contractor?		
Has a list of plant and equipment been provided by the Contractor?		

Has a drawing/map or sketch of the site been provided?		
Risk Control Systems <i>(Please check the following)</i>	Tick to Confirm	Comments
Is a hot works permit to be used?		
Is a confined spaces permit to be used?		
Is a lifting plan required?		
Is a working at height plan required?		
Is lock-out/tag-out required?		
Have suitable and sufficient Risk Assessments and Method Statements been provided?		
Project Manager Sign Off	Sign Off date	

