

# Contractor Management and CDM Compliance Procedure

Procedure Reference Number: HAM 09a

<b>Effective Date:</b>	June 2025	<b>Review Date:</b>	June 2028
<b>P&amp;P Review Group Approval Date:</b>	May 2025	<b>Related Policy:</b>	Contractor Management and CDM Compliance HAM 09
<b>Owner:</b>	Asset and Compliance Manager	<b>Department:</b>	Asset Management
<b>Issued To:</b>	<input type="checkbox"/> Board of Management <input type="checkbox"/> All Staff <input type="checkbox"/> ET/LT <input type="checkbox"/> Head Office Managers <input checked="" type="checkbox"/> C&S Managers <input checked="" type="checkbox"/> Department/Other: Asset Management Health and Safety Housing & Customer Experience	<b>Method of Delivery:</b>	<input checked="" type="checkbox"/> Annual Declaration  <input type="checkbox"/> LearnPro Individual Sign Off  <input type="checkbox"/> Board Portal
<b>Stakeholder Consultation</b>	<input type="checkbox"/> All Staff <input type="checkbox"/> Customer Engagement <input type="checkbox"/> Union <input type="checkbox"/> Employee Voices Group <input type="checkbox"/> Head Office Managers <input type="checkbox"/> C&S Managers <input checked="" type="checkbox"/> Department/Other: Asset Management Health and Safety	This procedure will be reviewed every 3 years from the date of implementation or earlier if deemed appropriate. If this procedure is not reviewed within the above timescale, the latest approved procedure will continue to apply.	

## Version Control

Date	Owner	Version	Reason for Change
March 25	Asset and Compliance Manager	1.0	New Procedure

## Summary of Changes

Section	Change

# Contents

1.0 Introduction.....	3
2.0 Overview of Arrangements .....	4
3.0 Roles and Responsibilities .....	5
4.0 Managing Contractors Effectively and Complying with CDM.....	8
4.1 The Definition of Construction Work in Relation to CDM .....	9
4.2 Notifiable Projects to the HSE (Health and Safety Executive) .....	10
4.3 Key Duties and Duty Holders Defined in CDM .....	10
4.4 The Importance of Pre-Construction Information (PCI) .....	16
4.5 Construction Phase Plan (CPP) – Before Work Begins.....	18
4.6 The Health and Safety File.....	22
4.7 Checking the Competency of Contractors.....	23
4.8 RIDDOR, Near Misses and Follow up Actions.....	24
4.9 Statutory Bodies – Audits, Enforcement and Improvement .....	25
4.10 Quality Assurance (QA) .....	25
4.11 Contractor Performance.....	26
4.12 Monitoring Contractors and Reporting via Meetings.....	27
5.0 Related Policies, Procedures & Documentation.....	27
6.0 Training & Monitoring requirements .....	28
6.1 Training .....	28
6.2 Monitoring.....	28
Appendix 1 Form of Appointment as PD and PC.....	29
Appendix 2 Client Checklist .....	32
Appendix 3 Example agenda for routine contractor meetings .....	36
Appendix 4 Example of a basic construction phase plan .....	38
Appendix 5 (Appendix 3 from L153) Managing health and safety in construction.....	40

## 1.0 Introduction

There are numerous risks associated with construction work and other associated works carried out by contractors when designing, repairing, maintaining, inspecting, building or refurbishing properties on the Ark estate.

As an employer, and housing & care provider, there are specific statutory duties applicable to Ark, to ensure the health, safety and welfare, so far as is reasonably practicable, of all employees and all others which could visit our buildings, including customers, members of the public, contractors and sub-contractors. There are also specific duties for Ark to comply with as a client when instructing construction work.

We recognise the risks associated with contractors carrying out construction work in general, and how this can impact on the lives of customers who live in our properties, colleagues, people who work on our behalf, and members of the public who visit our properties in terms of the exposure of health and safety related incidents which could cause harm.

The damage/loss of properties and infrastructure due to incidents associated with work being carried out by contractors and construction work can also pose significant risks to us as an organisation, given the statutory duties imposed upon us. This procedure should be read in conjunction with the Contractor Management and CDM Compliance Policy. This procedure describes our arrangements for ensuring that:

- We have controls in place over the procurement, selection, appointment, mobilisation and management of all contractors, particularly in relation to the health and safety risks to all involved, and the risks of damage, incorrect work or work not meeting the required standards in relation to the buildings we own and manage.
- We comply with our legal duty under the Health and Safety at Work (etc) ACT 1974 (HASAWA) which requires employers to ensure the health, safety, and welfare at work for all employees and “others” which could be customers, contractors, visitors, or members of the public.
- We comply with The Management of Health and Safety at Work Regulations 1999 which places a duty on us to risk assess, in this case, this is to assess the risks associated with any contractor carrying work on any Ark property (owned or managed by Ark HA) across our estate.
- We comply with The Construction (Design and Management) Regulations 2015 (CDM). It is important to understand within the CDM Regulations that Health & Safety is a shared responsibility between Ark and other duty holders. The CDM Regulations place responsibility for managing the Health & Safety of a construction project on three main duty holders, the Client (Ark), the Principal Designer (PD) and the Principal Contractor (PC). Ark will normally be the client for any works with responsibility for principal designer and principal contractors' duties placed on the contractor. Where the contractor opts out of PD role, Ark will appoint a PD for the project. The PD should have the skills, knowledge,

attitude, training and experience to work on complex buildings occupied by people with complex needs. A detailed breakdown of these duties is contained within this procedure and can also be found on the HSE website.

The Contractor Management and CDM Compliance Policy contains all relevant legislation, regulations, standards, and guidance with which we will comply, in relation to Contractor Management and CDM Regulations in particular.

## 2.0 Overview of Arrangements

This Procedure contains the arrangements for effective contractor management and compliance with CDM for **all work** streams relating to asset management and development. Adherence with the Policy and this Procedure will ensure that:

- All contractors are suitably procured and selected with the appropriate competency, qualifications, Risk Assessments & Method Statements (RAMS), accreditations, insurances and infrastructure to efficiently deliver the scale and quality of work required, safely and to the correct standard.
- Contractors are appropriately onboarded to ensure they work to Ark terms, specifications and requirements and all relevant documentation relating to the contractor is received, verified and recorded.
- All health and safety risks are managed effectively in advance of all works involving contractors, and, during construction and building works.
- As a landlord and an employer, Ark provide safe and healthy environments for all users of Ark buildings.
- For common areas where Ark is responsible for any construction work, ensure these comply with CDM and we are clear of our responsibilities in relation to the building.
- Adequate training, instruction, information and awareness for all colleagues who need to be involved in the safe management of contractors and adherence with CDM is provided.
- We will comprehensively review competence and resource prior to making any appointment. Following a successful competence and resource review we will ensure this is maintained by carrying out reviews annually at a minimum or upon expiry of documents such as insurance or qualifications of staff.
- All reasonable steps will be taken to ensure that all construction work will be completed by a competent person whereby the risks associated with that work activity have been sufficiently assessed prior to that activity to ensure the health safety and wellbeing for those staff and anyone encountering that work activity.
- All buildings which have specific elements of their structure purpose built in relation to passive fire protection, are protected from works carried out by contractors so as not to breach the compartmentation, and where required replace necessary penetrations with suitable fire stopping materials to restore passive fire protection. Remedial works to service penetrations and compartments to be fully Certified by accredited contractors using fire rated materials according to current British Standards.

## 3.0 Roles and Responsibilities

All Staff with Associated Responsibilities Related to This Procedure: All Ark employees who play a role in ensuring contractors completing work is carried out safely and to the required standards across Ark in line with the policy and this procedure are required to familiarise themselves with this Procedure and comply with the content to manage contractors effectively and comply with CDM.

Duty Holder: Ark will be the corporate named client duty holder as defined in CDM regulations. The Director of Development and Customer Experience will be responsible for ensuring there is suitable and sufficient resources in place to deliver the arrangements set out within the policy and this procedure in relation to managing contractors appropriately to comply with broader health and safety legislation, and particularly the CDM regulations.

Responsible Person – Asset Management: The Asset and Compliance Manager will have the responsibility to oversee the day-to-day arrangements for contractor management and CDM compliance in relation to the appointment and management of all contractors for compliance and planned works. For Asset Management they will be responsible for:

- Ensuring that all contractors procured and mobilised have performance measures in place e.g. Performance Indicators and Service Level Agreements (KPI's and SLA's) are competent, insured appropriately and will have in place sufficient Risk Assessments and Method Statements (RAMS), Safe Systems of Work (SSOW), Suitable and sufficient Preconstruction Information (PCI) and a suitable and sufficient Construction Phase Plan (CPP).
- Ensuring All duty holders in line with CDM are appointed appropriately at all relevant times.
- Ensuring Contractor performance is managed in line with the contract Performance measures, the construction phase plan, the contractors RAMS and in line with the standards required as set out in the contract specification.
- The day-to-day performance and supervision of the contractor management function within Ark for all works relating to compliance and investment planned works carried out to properties (for example, Gas safety programme, EICR programme, Kitchen replacements, bathroom replacements etc.).
- Ensuring compliance with Ark's duties under CDM 2015 for managing construction activity health & safety and ensuring suitable and sufficient risk management controls are in place e.g., RAMS and a construction phase health and safety plan (CPP) for all work streams relating to repairs and customer safety.

- The implementation of the Contractor Management and CDM Policy/Procedure and related procedures through line management to ensure compliance and reports any issues or gaps to the Director of Development and Business Improvement.
- Working closely with other departments and Managers to ensure safe working practices across Ark in relation to Contractor Management, especially where there is cross over of work being carried out on a particular site or when different departments use the same contractor.
- Preventing, where possible, breaches in compartmentation by having oversight of all intrusive works before they commence, and where required, ensuring all contractors replace necessary penetrations with suitable fire stopping materials to restore passive fire protection.

Responsible Person – Development and refurbishment: The Development Manager will have overall responsibility of arrangements for contractor management and CDM compliance in relation to the appointment and management of all contractors for new build developments and refurbishments. For development and refurbishments, they will be responsible for:

- Ensuring that all contractors procured and mobilised have performance measures in place e.g. Performance Indicators and Service Level Agreements (KPI's and SLA's) are competent, insured appropriately and will have in place sufficient Risk Assessments and Method Statements (RAMS), Safe Systems of Work (SSOW), Suitable and sufficient Preconstruction Information (PCI) and a suitable and sufficient Construction Phase Plan (CPP).
- Ensuring All duty holders in line with CDM are appointed appropriately at all relevant times.
- Ensuring Contractor performance is managed in line with the contract Performance measures, the construction phase plan, the contractors RAMS and in line with the standards required as set out in the contract specification.
- The day-to-day performance and supervision of the contractor management function within Ark for all works relating to development of new properties or refurbishment of existing properties.
- Ensuring compliance with Ark's duties under CDM 2015 for managing construction activity health & safety and ensuring suitable and sufficient risk management controls are in place e.g., RAMS and a construction phase health and safety plan (CPP) for all work streams relating to development and refurbishment projects.
- The implementation of the Contractor Management and CDM Policy/Procedure and related procedures through line management to ensure compliance and reports any issues or gaps to the Director of Development and Business Improvement.

- Working closely with other departments and Managers to ensure safe working practices across Ark in relation to Contractor Management, especially where there is cross over of work being carried out on a particular site or when different departments use the same contractor.
- Preventing, where possible breaches, in compartmentation and where required ensuring all contractors replace necessary penetrations with suitable fire stopping materials to restore passive fire protection.

Asset Officer: The Asset Officer will have the responsibility of day-to-day arrangements for contractor management and CDM compliance in relation to the appointment and management of all contractors for all planned works. For planned works they will be responsible for:

- The day-to-day performance and supervision of the contractor management function within Ark for all planned works and capital investment being carried out to properties (for example kitchens, bathrooms, roofs etc.).
- Ensuring all contractors being procured to carry out planned work are rigorously checked to ensure they have the appropriate competency, qualifications, insurances, infrastructure and accreditations to carry out the work.
- Ensuring compliance with Ark's duties under CDM 2015 for managing construction activity health & safety and ensuring suitable and sufficient risk.
- Ensuring management controls are in place e.g., RAMS and a construction phase health and safety plan (CPP) for all work streams relating to planned works.
- Monitoring the implementation of the Contractor Management Policy and related Procedures through line management to ensure compliance and reports any issues or gaps to the Asset and Compliance Manager.
- Working closely with other departments and Managers to ensure safe working practices across Ark in relation to Contractor Management, especially where there is cross over of work being carried out on a particular site or when different departments use the same contractor.

Asset Compliance and Contracts Officer: The Asset Compliance and Contracts Officer will have the responsibility of day-to-day arrangements for contractor management and CDM compliance in relation to the appointment and management of all contractors for all compliance works. For compliance works they will be responsible for:

- The day-to-day performance and supervision of the contractor management function within Ark for all compliance works (e.g. gas LGSR programme, Electrical EICR programme etc.).

- Ensuring all contractors being procured to carry out compliance work are rigorously checked to ensure they have the appropriate competency, qualifications, insurances, infrastructure and accreditations to carry out the work.
- Ensuring compliance with Ark's duties under CDM 2015 for managing construction activity health & safety and ensuring suitable and sufficient risk management controls are in place e.g., RAMS and a construction phase health and safety plan (CPP) for all work streams relating to compliance works.
- Monitoring the implementation of the Contractor Management Policy and related Procedures through line management to ensure compliance and reports any issues or gaps to the Asset and Compliance Manager.
- Working closely with other departments and Managers to ensure safe working practices across Ark in relation to Contractor Management, especially where there is cross over of work being carried out on a particular site or when different departments use the same contractor.

Contractors and Principal Contractors: Contractors and Principal Contractors are responsible for:

- Working compliantly to their RAMs, the construction phase plan, all relevant legislation and to the expectations of Ark.
- Registering applicable works as required via an F10 form. A project is notifiable if the construction work is expected to last longer than 30 working days **and** have more than 20 workers working at the same time at any point on the project or exceed 500-person day.
- Ensuring there are adequate levels of supervision and management in place for their work force when working on Ark sites to ensure safe working practices are followed.
- Attending meetings as required, supplying performance data to demonstrate how they are working compliantly and informing Ark of any incidents, including near misses.

## 4.0 Managing Contractors Effectively and Complying with CDM

Ark's Contractor Management Policy HAM 09 outlines our approach to managing contractors and compliance with CDM and associated legislation. The policy outlines Ark's aims and objectives in relation to management of contractors and compliance with CDM and should be read in conjunction with this Procedure.

The Client (Ark), Principal contractors, contractors, principal designers, designers, workers and health and safety professionals all have a vital role to play in ensuring health and safety risks are managed effectively in the preparation of, and during construction and building works.



As the client instructing construction work, Ark will manage contractors and health and safety risks in line with CDM to ensure we provide safe and healthy environments for all users of Ark property and assets for all developments.

Ark will protect all customers, colleagues, contractors, visitors and stakeholders from health and safety risks associated with construction activities in all premises owned and managed by Ark.

The CDM Regulations have been in force in the UK construction industry now for over 25 years, but have changed and developed over time, with major updates in 2007 and 2015.

The 2015 (current) version of CDM removed the role of CDM coordinator and introduced a new duty holder, the principal designer. This puts the main responsibility of CDM compliance during the planning stages of the project within the design team.

More emphasis has also been placed on the client compared to the previous version. The client is now in charge of ensuring the notification to the Health & Safety Executive (HSE) for major works, and the appointment of a suitable and competent project team and more robust monitoring.

#### 4.1 The Definition of Construction Work in Relation to CDM

This Procedure relates to the management of contractors for **all work** streams within asset management, development and cleaning work streams where applicable.

The CDM regulations, specifically relate to “construction work”. The CDM regulations 2015 defines construction work as the carrying out of any building, civil engineering or engineering construction work and includes:

- The construction, alteration, conversion, fitting out, commissioning, renovation, repair, upkeep, redecoration or other maintenance (including cleaning which involves the use of water or an abrasive at high pressure, or the use of corrosive or toxic substances), de-commissioning, demolition or dismantling of a structure.
- The preparation for an intended structure, including site clearance, exploration, investigation (but not site survey) and excavation (but not pre-construction archaeological investigations), and the clearance or preparation of the site or structure for use or occupation at its conclusion.
- The assembly on site of prefabricated elements to form a structure or the disassembly on site of the prefabricated elements which, immediately before such disassembly, formed a structure.
- The removal of a structure, or of any product or waste resulting from demolition or dismantling of a structure, or from disassembly of prefabricated elements which immediately before such disassembly formed such a structure.
- The installation, commissioning, maintenance, repair or removal of mechanical, electrical, gas, compressed air, hydraulic, telecommunications, computer or similar services which are normally fixed within or to a structure.

In relation to the application of CDM regulations and the definition of “construction work” being carried out to Ark properties, it is important to determine if the work activity falls within the descriptions listed above, to ensure compliance with CDM regulations.

It is the responsibility of the instructing Ark officer to ensure they are clear if CDM applies. If the work is confirmed as construction work, they will ensure the work complies with all relevant legislation, the policy and this procedure.

## 4.2 Notifiable Projects to the HSE (Health and Safety Executive)

For “notifiable projects” (where planned construction work will last longer than 30 working days and involves more than 20 workers at any one time; or where the work exceeds 500 individual worker days), clients must:

- [notify HSE in writing with details of the project](#) (Hyperlink)
- Ensure a copy of the notification is displayed in the construction site office.

For example, if there is a kitchen or roof replacement programme due to last 6 months this would be notifiable via the F10 form.

### F10 Notification Form

The responsible officer or manager will notify the Health and Safety Executive (HSE) of a [notifiable construction project](#) (Hyperlink) using the online form F10. [Go to form F10](#) (Hyperlink)

The officer or manager submitting the F10 must know the contact details for the client, principal designer and principal contractor.

Once the officer or manager has submitted a notification, HSE will send a unique serial number which can be used to access or edit the notification.

### **It is the client’s duty (Ark) to notify the HSE via the F10**

## 4.3 Key Duties and Duty Holders Defined in CDM

### 4.3.1 Client Duties (Ark)

Ark, as the client, has overall responsibility for the successful management of any construction work, and are supported by the PD and PC in different phases of the work. Depending upon the nature of the construction work or project, the PD and PC may be supported by designers, contractors and workers.

The main client duties for Ark are:

- Making suitable arrangements for managing their project, enabling those carrying it out to manage health and safety risks in a proportionate way. These arrangements include:
- Appointing the [contractors](#) and [designers](#) to the project (including the [principal designer](#) and [principal contractor](#) on projects involving more than one contractor) while making sure they have the skills, knowledge, experience and organisational capability. (See Appendix 1)
- Allowing sufficient time and resources for each stage of the project.
- Making sure that any PD and PC appointed carry out their duties in managing the project.

- Making sure suitable welfare facilities are provided for the duration of the construction work.
- Maintaining and reviewing the management arrangements for the duration of the project.
- Providing pre-construction information to every designer and contractor either bidding for the work or already appointed to the project.
- Ensuring that the PC or contractor (for single contractor projects) prepares a construction phase plan before that phase begins.
- Ensuring that the PD prepares a health and safety file for the project and that it is revised as necessary and made available to anyone who needs it for subsequent work at the site.
- For notifiable projects (where planned construction work will last longer than 30 working days and involves more than 20 workers at any one time; or where the work exceeds 500 individual worker days), clients must:
  - Ensuring a copy of the notification is displayed in the construction site office.

#### **4.3.2 Principal Designer Duties.**

PD and PC are only required for projects with more than one contractor.

The PD must be able to have control over the design and planning stage. The term 'designer' is an organisation or individual that prepares or modifies a design for a construction project, including the design of temporary works, or arranges for or instructs someone else to do so. Ark are required to confirm their appointment in writing (see Appendix 1).

There should be a clear written commitment from the person in position of authority of any design consultancy to reducing risk throughout the design process. Companies must demonstrate a clear commitment to training and continued professional development for staff involved in design work.

For every construction project or contract, Ark will appoint a PD. The PD can be an internal member of staff suitably placed to act as PD or this can be agreed for the PC to be PD. Where it is deemed necessary, a third party can also be appointed as PD. Consideration should be given as to the specific requirements as to where this role is best placed.

The PD will plan, manage, and monitor the co-ordination of the pre-construction phase, including any preparatory work carried out for the project. This includes the following:

- 
- Assisting Ark, as the client, in identifying, obtaining, and collating the pre-construction information.
- Providing pre-construction information to designers, principal contractor and contractors. Ensuring that designers comply with their duties and co-operate with each other.
- Liaising with the principal contractor for the duration of your appointment.
- Preparing the health and safety file.

The requirement to have a PD appointed applies if a project requires more than one contractor regardless of the contractual arrangements for the appointment of other designers on the project. If we appoint other designers, we are responsible for ensuring that they have the relevant skills, knowledge, training and experience to deliver their work.

The PD should also consider in the same way how the structure can be maintained and repaired safely once built. Examples of what designers can do to improve health and safety might include:

- Designing for non-fragile roofing materials instead of fragile ones (falls through fragile materials are a major cause of fatal and serious injuries).
- When designing foundations in contaminated land, specifying a driven pile foundation (which does not bring contaminated material to the surface) instead of bored piles.
- Avoiding concrete blocks weighing more than 20kg (these are difficult to lift and are likely to lead to long-term injury to operatives).
- Applying the principals of prevention as set out in L153 (Appendix 3).

If a firm provides any sort of design service, or designs temporary works, this part of the CDM Regulations will apply to the business.

### **4.3.3 Designer Duties**

A designer is an organisation or individual that prepares or modifies a design for any part of a construction project, including the design of temporary works, or who arranges or instructs someone else to do it. 'Designers' can be architects, consulting engineers, interior designers, temporary work engineers, chartered surveyors, technicians, specifiers, principal contractors and specialist contractors.

A designer's decisions can affect the health and safety of workers and others who will construct, maintain, repair, clean, refurbish and eventually demolish or remove the building or structure, as well as those who will use it as a completed workplace.

The design forms an important part of delivering a project safely and without risks to health. Designers must fulfil the following obligations:

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

- 
- Have the right skills, knowledge, and experience, and be adequately resourced to address the health and safety issues likely to be involved in the design.
- Check that clients are aware of their duties.
- Co-operate with others who have responsibilities, particularly the principal designer. Take into account the general principles of prevention when carrying out design work.
- Provide information about the risks arising from their design.
- Co-ordinate their work with that of others to improve the way in which risks are managed and controlled.

Designers should ensure that when they design for construction work, they consider foreseeable health and safety risks during construction and eventual maintenance and cleaning of the structure in the balance with other design considerations, such as aesthetics and cost. They should apply the hierarchy of risk control. Designers need to identify the hazards inherent in carrying out the construction work and where possible alter the design to avoid them. If the hazards cannot be removed by design changes, the designer should minimise the risks and provide information about the risks that remain.

#### **4.3.4 Principal Contractor Duties**

PC's are appointed to co-ordinate the construction phase of a project where it involves more than one contractor. The PC is appointed to plan, manage, monitor, and co-ordinate health and safety during the construction phase of the project. Ark will only appoint contractors who have a competent health and safety policy and a proven track-record.

Site work must not start until the PC has developed a construction phase plan (CPP) based upon information provided in the pre- construction plan. The plan may need to be developed during the construction phase to take account of changing conditions on site as work progresses or the design changes.

When planning the job, the PC must identify the hazards and assess the risks of the job. To do this properly information, including method statements and risk assessments, will be needed from other contractors who will be working at the site.

The PC must take steps to prevent unauthorised access to the site by using fencing and other controls, whilst providing welfare facilities and making sure they are provided throughout the construction phase.

The PC will provide site inductions to workers, visitors and others informing about risks and rules that are relevant to the site work and their work.

The PC will apply the principals of prevention as set out in L153 (Appendix 3 ).

•

#### **4.3.5 Contractor Duties**

The main duty of a contractor is to plan and manage construction work under their control so that it is carried out in a way that controls risk to health and safety.

They have a range of other duties that depend on whether more than one contractor is involved in the project. If so, their duties entail co-ordinating their activities with others involved in the project team – in particular, complying with directions given to them by the principal designer or principal contractor.

If there is only one contractor for the work, they have responsibilities to prepare aCPP and prevent unauthorised access to the site.

Where contractors are involved in design work, including for temporary works, they will also have duties as designers.

The contractor is required to manage health and safety of work under their control. Those who do the construction work (that is, the contractor's employees and themselves) are most at risk of injury and ill-health. As contractor, they have a key role to play in co-operating with the principal contractor and other contractors, and in planning and managing the work.

Contractors will apply the principals of prevention as set out in L153 (Appendix 3).

#### **4.3.6 Site Construction Worker Duties**

Site workers have an important role and should take an active part in helping to manage health and safety risks. Workers must:

- Only carry out construction work if they have the relevant skills, knowledge, training and experience - or they are provided with the training and supervision that enables them to do it safely and without risk to health.
- Make themselves aware of the health and safety risks involved in work on every site and the way those risks are managed.
- Always follow company/site rules and procedures.
- Cooperate with other duty holders, such as the contractor in control of their work and the principal contractor (who controls the overall project when there is more than one contractor).
- Report any risks they find to whoever controls the work on site, whether the risks affect their own health and safety or anyone else, including other workers and members of the public.

#### **4.4 The Importance of Pre-Construction Information (PCI)**

Ark is required to collate information already in our possession or which is reasonable to obtain through sensible enquiry, including existing health and safety files, suitable and sufficient asbestos survey data, and designer drawings for the specific project. The information must be relevant to the project, have an appropriate level of detail, and be proportionate to the nature of the risks.



Ark will adhere to the main duty in providing pre-construction information. This must be provided as soon as practicable to each designer (including the PD) and contractor (including the PC) who is bidding for work on the project or has already been appointed.

For projects involving more than one contractor, we, as the client, will expect the PD to help bring the pre-construction information together and provide it to the designers and contractors involved.

When external appointments are required an appointment letter will be issued to both the principal designer and principal contractor following a successful competence and review assessment.

Pre-construction information provides the health and safety information needed by the following:

- Designers and contractors who are bidding for work on the project, or who have already been appointed, to enable them to perform their duties.
- Principal designers and principal contractors in planning, managing, monitoring, and coordinating the work of the project.

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.

Pre-construction information must be gathered and added to as the design process progresses to reflect new information about the risks to health or safety and how they should be managed. Preliminary information gathered at the start of the project may not be sufficient where further design and investigation has been carried out.

When pre-construction information is complete it must include proportionate information about the following:

- The project - such as the client brief and key dates of the construction phase;
- 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 co-operation between duty holders and that the work is coordinated;
- The health or safety hazards of the site, including design and construction hazards and how they will be addressed;
- The welfare arrangements (use client's welfare and the welfare provided must be in accordance with Schedule 2 of CDM 2015);
- Any relevant information in an existing health and safety file.

The information should be in a convenient form and be clear, concise, and easily understandable to allow other duty holders involved in the project to carry out their duties.

We must ensure that a construction phase plan for the project is prepared before the construction phase begins. The plan outlines the health and safety arrangements, site rules and specific measures concerning any work involving the particular risks.

For single-contractor projects, the contractor must ensure the plan is prepared. For projects involving more than one contractor, it is the principal contractor's duty to prepare the plan. Section 4.5 below includes further detailed information on the construction phase.

#### 4.5 Construction Phase Plan (CPP) – Before Work Begins

The PC must draw up a plan which describes how health and safety will be managed during the construction phase. Pre-construction information received, and any client requirements established, will help in drawing up the construction phase plan. The plan should be:

- Proportionate to the size and nature of the work, and the risks involved;
- Workable and realistic;
- Sufficiently developed to allow work to start on site;
- Regularly reviewed and added to as new trades start or as and when changes occur on site as the construction phase progresses which involves significant changes to the original document.

The plan must be developed as soon as practical before setting up the construction site and starting the work. Early issues such as mobilisation, welfare, demolition, groundworks and other high-risk activities should be addressed. The nature of construction work means that some contractors may not have been appointed before the work on site starts, so the construction phase plan must be updated with this information when it is known, and before the contractors start work.

The plan should not be cluttered with documents (such as generic risk assessments, records of how decisions were reached or detailed safety method statements) that get in the way of a clear understanding of what is needed to manage the construction phase.

Before work on site can start, Ark as client must ensure that the CPP is sufficiently drawn up. This must be appropriate for the site conditions and regularly reviewed and updated.

An example of a simple CPP can be seen in Appendix 4. Appendix 4 is an excerpt from L153 (Managing Health and safety in construction) which is downloadable from the HSE website, the appendix sets out more information in relation to the construction phase plan.

##### 4.5.1 Works Affecting Passive Fire Protection

Passive fire protection are the components which prevent the spread of fire and smoke through designing a building or parts of a building to withstand fire. Some examples of passive fire protection are Fire doors, compartmentation through selecting the required building materials and fire stopping components around services which pass through a building.

Buildings are usually designed in conjunction with the fire strategy to have passive fire elements to ensure specific areas of a building can be protected and withstand fire, usually for a specific amount of time which depends on a number of factors, for example domestic parts of a building where a stay put policy is in place or escape routes from a building. (See Scottish Government Building Standards Technical Handbook for further information).

It is imperative, to safeguard the compartmentation (passive fire protection) of all Ark buildings, to assess all risks associated with disturbing or removing the passive fire protection to any Ark building during the course of any works taking place. It is the responsibility of the Ark employee instructing any works to consider the risk of disturbing, changing or removing any passive fire protection prior to works being instructed to commence and they will ensure they contact the Asset and Compliance manager to discuss and assess the impact of the intended works.

The Asset and Compliance Officer will review the fire risk assessment, and any information held in relation to the compartmentation of the building. If required, they will seek the guidance of a suitably competent fire professional (e.g. fire engineer, risk assessor, or passive fire protection specialist) to determine the impact of the works and any arrangements that will be required either prior to the construction phase, during the construction phase or at its completion.

#### **4.5.2 Works Affecting Active Fire Protection**

Active fire protection is a general term given to items such as sprinklers, emergency lighting, fire alarms, extinguishers, automatic opening vents and dry risers etc. These are usually maintainable items which will help detect fire or assist in the event of a fire. These items will normally be listed within the fire risk assessment. Any work which could affect the operation of any active fire protection will be considered in the planning phase before work commences. This may include instances whereby an alarm system may need to be taken out of commission due to the construction phase for example, so consideration would need to be given for the temporary fire arrangements to be put into place during this phase. Other examples could be where additional active controls need to be implemented or installed, for example a new gas main distribution being installed internally into a building and a new gas shut off valve needs to be installed and linked to the fire panel (this occurred at Glebe Road St Andrews).

In all instances where any work could affect the active fire protection for a building, the instructing Ark staff member will contact the Asset and Compliance Manager to discuss the work and what arrangements need to be put into place. If required a further risk assessment may need to be carried out or other fire professionals may need to be consulted. No work will be instructed until all arrangements have been reviewed and agreed and it is safe to proceed.

#### **4.5.3 Fire arrangements at the Pre-Construction Phase and Construction Phase**

At the pre-construction phase, suitable and sufficient information will be shared for any works which can disturb the fabric of the building (potential compartmentation breaches) and for any work which could affect the active fire protection measures. The instructing member of staff will consider the implications of the work to be carried out and any changes to the fire arrangements for the building. If the work requires any changes to the fire risk assessment, changes to the active or passive fire protection for the building, or will result in new fire arrangements or strategy, this will be fully outlined and agreed within the construction phased plan, and if required, signed off by a competent person prior to work commencing.

#### **4.5.4 Checklist to follow for works involving building penetrations or alterations**

Appendix 2 sets out general client duties as a checklist in relation to CDM. Specifically, for any construction work being carried out in non-domestic premises e.g. communal spaces of buildings, offices, HMO's, independent living schemes, public buildings etc. (as well as domestic dwellings within a block whereby penetrations could breach the neighbouring dwelling or communal space) the instructing officer will ensure the following:

- Establish if the building has a fire risk assessment in place - If so, the building will most likely contain passive and active fire protection measures which need to be considered in relation to the intended works to be carried out. The risk assessment should be reviewed to identify any information for the protection in place as well as any other associated paperwork for the building which will aid in identifying how the work should be organised, managed and completed.
- Establish if the work involved require penetrations through walls, ceilings floors or partitions - If so then the work will most likely be penetrating purpose built fire resistant components which are designed to prevent fire spread and will need to be considered firstly as to what additional arrangements ay need to be pt into place during the construction phase (in the event of a fire) for example additional fire detection, and also when the construction work is finished which tested fire stopping solutions are to be used to restore the compartmentation to the required fire resistance.
- Establish if the work involved affects any active fire protection measures - For example, having to decommission a fire alarm system temporarily to extend the wiring of the system to a new part of the building, if so what are the interim protection measures, and what will need to be reinstated at the end of the works.
- If either of the active or passive protection measures are going to be affected by the work, the risk assessment will need to be reviewed and subsequently revised for the construction phase, allowing for all of the work activity scope to be considered and allowed for in the interim period of the construction phase, through to completion of the

work. The fire risk assessment will need to be reviewed by a competent person (as stated in the fire policy and procedure).

- If any works are introducing new hazards and risks and do not necessarily affect passive or active fire control measures (for example new charging points fitted internally to allow scooters to be charged in a communal area), then the existing fire risk assessment will also need to be reviewed in these scenarios. This is because the current risk assessment will have only reviewed the building under the current arrangements and will not have considered the additional risk or controls required.
- If in doubt, the Ark member of staff instructing the works, should contact the Health and Safety Manager or the Asset and Compliance Manager to seek confirmation as to whether the risk assessment needs reviewing as part of the intended work.
- All available information will be shared as part of the Preconstruction information relating to the compartmentation, construction of the building and relevant information on the passive and active fire protection components within the building. The instructing officer will ensure the appointed contractor or principal contractor compile a suitable and sufficient construction phase plan, incorporating the considerations for fire risk assessment and how the work will affect passive and active fire protection measures. As required, a principal designer will be appointed, and they will ensure the pre-construction information is in place to adequately assess the fire risks associated with the work. If required other fire professionals will be consulted if there are unknown elements relating to the fire arrangements. Work will not proceed until the construction phase plan has identified the fire risk and all associated fire implications related to passive and active fire measures for the construction phase, interim measures and upon completion of the works.
- When specifying materials to be used for fire stopping, or replacing passive fire components, only tested solutions will be used. Where there are no tested solutions for the application (for example a complex penetration requiring a number of fire materials to be used in conjunction with one another that haven't been furnace tested together) then a suitably competent person (e.g. a fire engineer) will be consulted to obtain an appropriate solution. At no point should Ark staff specify any components as this constitutes "design" work and due to the limited competency of internal staff members this is a high-risk area, therefore specifying fire stopping solutions will only be made by suitably competent contractor and consultants.
- Once the construction phase plan has been agreed and is suitable and sufficiently detailed regarding the intended work the contractor will receive instruction. It is the responsibility of the Ark staff member instructing the work to ensure there is adequate supervision of the contractor carrying out the work, throughout the construction phase to completion. It is that member of staff's responsibilities to measure the performance and adherence to

standards and the construction phase plan throughout the work, and to identify, highlight and escalate any potential issues which could affect passive or active fire protection measures as they arise with the Asset and Compliance Team and Health and Safety Manager. In their absence this should be escalated to the Director of Development and Business Experience.

#### 4.6 The Health and Safety File

The 'health and safety file' is a file appropriate to the characteristics of the project, containing relevant health and safety information to be considered during any subsequent project. The file is **only required for projects involving more than one contractor**.

The file must contain information about the current project that is likely to be needed to ensure health and safety during any subsequent work such as maintenance, cleaning, refurbishment, or demolition.

When preparing the health and safety file, information on the following should be considered for inclusion:

- A brief description of the work carried out.
- Any hazards that have not been eliminated through the design and construction processes, and how they have been addressed (for example, surveys or other information concerning asbestos, contaminated land or buried services).
- Key structural principles (for example, bracing or sources of substantial stored energy including pre- or post-tensioned members) and safe working loads for floors and roofs.
- Hazardous materials used (for example, lead paints and special coatings).
- Information regarding the removal or dismantling of installed plant and equipment (for example, any special arrangements for lifting such equipment).
- Health and safety information about equipment provided for cleaning or maintaining the structure.
- The nature, location and markings of significant services, including underground cables, gas supply equipment and fire-fighting services.
- Information and as-built drawings of the building, its plant and equipment (for example, the means of safe access to and from service voids, and the position of fire doors).

There should be enough detail to allow the likely risks to be identified and addressed by those carrying out the work and be proportionate to those risks. Information must be in a convenient form that is clear, concise and easily understandable.

Ark will make the file available to those who will work on any future design, construction, maintenance or demolition of the structure.

This post-construction information should be recovered in a file format that can easily be kept, maintained, and updated by us and should, where possible, be capable of upload onto Lifespan our asset management system. NOTE: The pre-construction information should not form part of the health and safety file.

It is important that any information that will affect future component replacement lifecycles is captured and updated. This is to ensure accurate lifecycle, budget and business planning can correctly inform our asset management and stock investment plans. Details of how the information for the file should be presented must be agreed with us at an early stage. This will ensure that the information for the file can be gathered in a consistent manner and the file assembled and presented in a way which will make it easy to use.

#### 4.7 Checking the Competency of Contractors

All staff will take steps to satisfy themselves that the people who will carry out work for Ark are suitably competent (they have the correct skills knowledge experience and behaviours) and hold any specialist credentials required to perform the work.

The CDM regulations require that anyone letting or subletting contracts should satisfy themselves that those who are to do the work are competent in relevant health and safety issues; and intend to allocate adequate resources, including time, equipment and properly trained workers to do the job safely and without risks to health and safety of all exposed to the works. For Ark, this will be staff instructing the work.

If Ark are instructing work, or a contractor is subletting work it must be decided in advance what competencies will be needed to do the work safely and without risk to health, and how these can be demonstrated. Responsibilities set out in this Procedure should be considered when deciding on relevant questions to ask when assessing competence and ensure competence is at same level as our requirements. Ark must be notified if any portion of the works is to be sub-contracted or if new members join the project during the construction phase. The main contractor is responsible for managing their own subcontractors and verifying their competence and required certifications.

The pre-construction information agreed should act as a guide to the significant health and safety issues associated with the work activity or project. Specific competencies and accreditations required by specific trades persons, contractors and consultants are mandatorily required to ensure the work is completed safely, correctly and to the required standards.

Carrying out appropriate due diligence for the contractor carrying out the work is not just for the procurement phase. When the contractor is tendering for the work, they will provide a significant amount of documentation to substantiate they are competent and capable of carrying out the work safely and to the required legislation

and standards (such as risk assessments and method statements - RAMS, safe systems of work - SSOW, Qualifications, Accreditations, key performance indicators - KPI's, service level agreements - SLA's etc.)

This documentation should be used, reviewed and updated throughout the life of the contract to ensure the contractor is continuously and measurably working to the required standards and this information is continuously updated to remain up to date (e.g. refreshing contractor qualifications and insurances).

Please refer to the specific compliance policies and associated procedures for each of the following work streams which hold further detail on the specific competencies required for specific work streams:

- Fire Safety Policy and Procedure;
- Gas Safety Policy and Procedure;
- Electrical Safety Policy and Procedure;
- Lift Safety Policy and Procedure;
- Asbestos Management Policy, AMP and Procedure;
- Water Hygiene and Legionella Safety Policy and Procedure.

#### 4.8 RIDDOR, Near Misses and Follow up Actions

Under UK law, organisations are required to log certain incidents, including those that fall under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR):

##### **What Must Be Logged Under RIDDOR**

- Work-related injuries (e.g. fractures, amputations, loss of consciousness)
- Occupational diseases (e.g. carpal tunnel syndrome, hand-arm vibration syndrome)
- Dangerous occurrences (e.g. equipment failures, explosions)
- Over-7-day incapacitation (if a worker is unable to perform duties for more than 7 consecutive days)
- These incidents must be reported to the Health and Safety Executive (HSE) and logged internally, including details of any follow-up actions taken

##### **Near Misses**

- Near misses are not reportable under RIDDOR unless they qualify as a "dangerous occurrence" (a narrowly avoided serious incident).
- However, organisations are strongly encouraged to log near misses internally. Doing so helps identify hazards and prevent future incidents

##### **Follow-Up Actions**



While RIDDOR does not explicitly mandate logging follow-up actions, best practice and internal safety policies often require it. This helps demonstrate due diligence and continuous improvement in health and safety management.

The Director of Development and Customer Experience will liaise internally with the Asset and Compliance Manager on the requirement to report RIDDORs to the Scottish Housing Regulator as a Notifiable Event.

#### 4.9 Statutory Bodies – Audits, Enforcement and Improvement

Ark will work closely with the HSE, fire service, local authorities, and other statutory bodies to obtain their advice and assistance in relation to the management of CDM in our properties. This can include audits and inspections of our properties.

We will respond promptly and positively to any enforcement or improvement action that is taken by a statutory body. Our response will include the following:

- We will review the conclusions of the statutory body and engage with them if we have reason to challenge or seek clarification of their conclusions and/or requirements;
- We will ensure that requirements are addressed within the specified or agreed timescale;
- We will identify if there are similar issues within our other properties. If so, we will take appropriate remedial action;
- Full details will be recorded and reported to the Chief Executive and Director of Development and Customer Experience.

#### 4.10 Quality Assurance (QA)

##### 4.10.1 Management and Supervision of Contractors

Once the contractor's CPP has been reviewed and agreed, this will be used by Ark to ensure the contract is being managed in line with what has been proposed, to determine if the risk controls are in place and sufficient, and that the suitable updates and information in relation to each contract is being passed to the responsible officer or manager.

Where required, the Officer or Manager will follow up any queries or issues identified, with the relevant contractor. Where there are any significant issues identified relating to contractor performance or health and safety concerns, these will be raised with the contractor immediately and documented with a suitable rectification plan to remediate the issues efficiently.

##### 4.10.2 Contractors Internal QA Process

The contractor will ensure there are appropriate levels of supervision, management and carry out their own quality control checks, in line with what has been specified within the contract

specification and the construction phase plan. The contractor will report on their internal checks at the contract review meetings when required.

#### **4.10.3 Ark QA Process**

Quality control inspections will be undertaken by the Officer or Manager responsible for the instructed works as required to ensure the contractor is working to all required legislation, standards and contract terms. These will be a combination of desktop information review, site inspections and review meetings. The scope and scale will be determined by the manager responsible for each work stream.

The officer or Manager will review the construction phase plan and the current level of controls in place and any other note any other findings as part of the inspection. These will be recorded and fed back to the contractor during the contract review meeting.

Any issues identified will be documented at the contract review meeting. Remedial action will be agreed with the contractor with timescales, and this will be monitored through to fruition by the officer or manager. Once each issue has been resolved, this will be documented at the contract review meeting.

#### **4.10.4 Checking Contractor Competency**

The Officer or Manager instructing work, will check that the contractors' staff are trained and competent prior to carrying out any works. The contractor will supply a list of staff, who's competence and qualifications will be checked at the start of the contract, and they will update the list if any new staff are incorporated. This is to ensure that all staff are competent to carry out the works safely. The responsible Officer or Manager will carry out a check of the list annually.

### **4.11 Contractor Performance**

The performance of every contractor should be measured against the performance levels and service levels set out within the procurement and specification documentation specific to that contract. In the absence of this information (not included within the procurement) these will be set by the responsible person as set out within the roles and responsibilities for the specific area.

It is mandatory for any staff member who is instructing works and managing the contractor to hold periodic progress meetings, and it is mandatory to record contractor performance at these meetings and provide evidence to substantiate the contractor is meeting Ark expectations and standards. Minutes of meetings to be saved into the appropriate folder or to the HMS. Refer to Appendix 5 Example agenda for routine contractor meetings.

Performance regarding Contractor Management and CDM compliance will be monitored via the following KPI's:

- Of all contractors which are vetted Ark suppliers how many have a construction phase plan in place.
- Number of F10 notifiable projects notified
- Number of construction sites (new buildings) in the pipeline
- Incidents and near miss

- Records of contractor meetings being held.

#### 4.12 Monitoring Contractors and Reporting via Meetings

The responsible Officer or Manager will hold monthly or quarterly (as appropriate) meetings with all contractors to monitor progress with the current works programme, review contract KPI performance, consider quality control reports and deal with any H&S concerns, issues etc. The meetings will normally follow a standard agenda including the programme, financial and health & safety matters. See appendix 5 for example agenda.

Minutes will be taken at meetings with copies being circulated to all present and a copy being added to the relevant contract file. There will be a specific H&S agenda item for every Ark contractor where they will be asked if there have been any H&S incidents or near misses. The response will be recorded in the minutes of the meeting.

Any significant change identified with the contractor will require the contractor to review, amend and submit a revised construction phase plan for review and sign off by the responsible Ark officer or manager. The officer or manager will confirm if the contractor needs to attend a new prestart meeting and provide updates for necessary insurances, RAMS, qualification details for staff and company accreditations.

The frequency and effectiveness of contractor meetings will be measured and monitored. This is to ensure the roles and responsibilities set out within this procedure have sufficient oversight and assurance that regular and robust contractor meetings are taking place and contractor performance and in particular health and safety performance is being managed and monitored robustly.

### 5.0 Related Policies, Procedures & Documentation

All Links / related processes, forms, documents or flow charts that staff must follow to comply with the policy and procedure are contained within the body of this Procedure and the Appendices attached. Related Policies and Procedures are:

AM09 Contractor Management and CDM Compliance Policy.

HS05 Fire Safety Policy.

HS05 Fire Safety Procedure.

HS19 Your Home, My workplace.

AM01h Electrical Safety Procedure.

AM01k Fire Safety Systems Equipment.

F02 Procurement Policy

F02a Procuring Contracts Procedure

[Ark's Vision, Mission & Values](#)

## 6.0 Training & Monitoring requirements

### 6.1 Training

Staff managing and operating under the CDM regulations will have training appropriate to their needs and to the needs of the organisation as identified. Ark will ensure that relevant employees have an awareness of this policy and receive adequate training to enable them to effectively fulfil their roles and ensure Ark will meet all legal and regulatory obligations relating to the management of its contractors as a provider of housing & care and as an employer.

### 6.2 Monitoring

All responsible managers and persons will hold regular contract management meetings with all contractors to discuss performance and progress for programme delivery. Meeting agendas/content will be dependent on contract duration, workloads given to contractors and contract type.

All contractors will be monitored closely on service level agreements within the contract using contract key performance indicators. Suitable evidence and assurance will be obtained by managers within Ark to demonstrate work has been completed to the required standard and to confirm compliance with Ark's statutory obligations.

## Appendix 1 Form of Appointment as PD and PC

Where there is more than one contractor, or if it is reasonably foreseeable that more than one contractor will be working on a project at any time, the client must appoint in writing:

- (a) a designer with control over the pre-construction phase as principal designer; and
  - (b) a contractor as principal contractor.
1. The appointments must be made as soon as is practicable but, in any event, before the construction phase begins.
  2. If the client fails to appoint a principal designer, the client must fulfil the duties of the principal designer in regulation 11 and 12.
  3. If the client fails to appoint a principal contractor, the client must fulfil the duties of the principal contractor in regulations 12 to 14.

**Principal Contractor Appointment Letter**

Date:

FAO:

**Company Address**

Dear \_\_\_\_\_

Project Address:

CONSTRUCTION (DESIGN & MANAGEMENT) REGULATIONS 2015:

LETTER OF APPOINTMENT – PRINCIPAL CONTRACTOR

As a Client Representative, acting on behalf of \_\_, 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 the Principal Contractor described in 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 us.

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 Signatory Details

**Principal Designer Appointment Letter**

Date:

FAO:

**Company Name and Address**

Dear

Project Address:

CONSTRUCTION (DESIGN & MANAGEMENT) REGULATIONS 2015:

**LETTER OF APPOINTMENT – PRINCIPAL DESIGNER**

As a Client Representative, acting on behalf of \_\_\_\_\_, 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 the Principal Designer described in 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 us.

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 Signatory Details

## Appendix 2 Client Checklist

Requirement	Yes or No or N/A	Detail
Has the Clients brief for the project been prepared and issued to the project team?		Client brief sets out the general requirements and expectations for the project, and it outlines the health and safety expectations that will assist those designing, constructing, or using the structure or building.
Are there suitable arrangements for managing the project, including the allocation of sufficient time and other resources? [Regulation4(1)]		The management arrangements should include requirements for how the project is to be run, taking into account any risks to the public; explain how you will select and appoint designers and contractors to ensure they have the necessary capabilities for the work they are required to do; allocate sufficient time and resources to each stage of the project, from concept through to completion; ensure suitable welfare facilities are in place before works start.
Are there suitable arrangements to ensure that the construction work can be carried out, so far as is reasonably practicable, without risks to the health and safety of any person affected by the project; and are the facilities required by schedule 2 of the Regulations provided in respect of any person carrying out construction work? [Regulation 4(2)]		As Above



Are arrangements in place to ensure that the project management arrangements are maintained and reviewed throughout the project? [Regulation 4(3)]		As Above
Has pre-construction information been provided by the Client as soon as practicable to every designer and contractor appointed, or those being considered for appointment to the project? [Regulation 4(4)]		The client must provide relevant information which they may already have or that can be obtained by sensible enquiries, (e.g., any surveys or the results of other investigations) at the earliest opportunity.

Requirement	Yes or No or N/A	Detail
Prior to the construction phase beginning, has a construction phase plan been drawn up by the contractor, or by the principal contractor; and has the principal designer prepared a health and safety file for the project during the pre-construction phase which complies with the requirement of Regulation 12(5), which is reviewed as appropriate to incorporate any new information, and is kept available for inspection by any person who may need to comply with the relevant legal requirements [Regulation 4(5)]		The principal contractor is required to produce a plan of how they will manage health and safety on site during the construction phase. The client and the principal designer should identify and agree the structure, content and format for the health and safety file at the beginning of the project.
Is the construction phase plan suitable and are welfare facilities suitable prior to the commencement of work on site?		Before the work starts on site the client will need to be satisfied that a construction phase plan is prepared. This can be done by checking with the principal contractor that the plan is relevant and meets the requirements of the job. The plan should be project-specific, take into account the pre-construction information provided, and its contents should be proportionate to the site risks.

Take reasonable steps to ensure that principal designer complies with any other principal designer duties in Regulation 11 and 12 and the principal contractor complies with other principal contractor duties in Regulation 12 to 14		The client will need to take reasonable steps to ensure that the principal contractor is complying with their duties. This may be carried out through face-to-face progress meetings or via written updates
Provide an explanation for anyone to whom the Client disposes of its interest in the Project, when handing over the health and safety file.		As the project nears its end, the client should check any arrangements made for its completion and handover. This could include a phased handover, such as taking partial possession of finished parts of the building and checking that agreed measures are in place to ensure the health and safety of those in the areas that have been handed over.

Requirement	Yes or No or N/A	Detail
Where there is more than one contractor, or it is reasonably foreseeable that more than one contractor will be working on a project at any time, client must appoint a designer with control over the preconstruction phase as principal designer and a contractor as principal contractor as soon as practicable and in any event before construction phase begins. [Regulation 5(1) and (2)].		If more than one contractor will be working on the project then, as the client, you must appoint a principal designer and a principal contractor in writing. If the client does not do this, then they take on these roles and associated legal duties themselves.
Check the principal designer and principal contractor have the capability and necessary skills, knowledge, training, and experience to fulfil their duties?		Ensure that those the client proposes to appoint are able to demonstrate that they can deliver the project for you in a way that secures health and safety. This means that they should have the necessary capabilities and resources, the right blend of skills, knowledge, training, and experience; and understand their roles and responsibilities when carrying out the work.

Where required, ensure an online F10 notification form been submitted to HSE to notify them of commencement of work?		If a project is expected to last longer than thirty working days and has more than 20 workers working on the project at any one time, or exceed 500 person days, make sure that your project is notified to the relevant enforcing authority. The easiest way to notify any project to the HSE is to use the online notification form F10 on the HSE's website.
--	--	---

### Appendix 3 Example agenda for routine contractor meetings

Ark & Insert Contractor Name Contract Meeting

Date – Inert Date – Insert Time

Attendees – Add List of Attendees

	TOPIC	Lead
1.	Introductions & apologies	All
2.	Purpose of the Meeting	Ark
3.	<b>Contract/Programme Progress</b> <ol style="list-style-type: none"> <li>Programme Update from Contractor,</li> <li>Performance against target</li> <li>Access Arrangements,</li> <li>Customer complaints/compliments/issues,</li> <li>Remaining work, timescales and targets</li> </ol>	Contractor
4.	KPI Contract/Programme Performance Metrics	All
5.	Quality Assurance	All
6.	Customer Satisfaction feedback	Ark
7.	<b>Health and Safety Incidents &amp; Near Misses</b> <ol style="list-style-type: none"> <li>Ark Sites</li> <li>Other Clients (for sector awareness)</li> </ol>	Contractor
8.	Review of Risks and Issues and escalations	All
9.	Commercials, invoicing, accounts & payments	All
10.	Areas of Service Improvement Required	All
11.	Contract Variations – quotes / estimates etc	All
12.	Any other business	All
13.	Date of the next meeting – Attendees - Availability	All





# Construction Phase Plan (CDM 2015)

## What you need to know as a busy builder

Under the Construction (Design and Management) Regulations 2015 (CDM 2015) a **construction phase plan** is required for every construction project. This does not need to be complicated.

If you are working for a domestic client, you will be in control of the project if you are the only contractor or the principal contractor.

You will be responsible for:

- preparing a plan;
- organising the work; and
- working together with others to ensure health and safety.

You could be a builder, plumber or other tradesman, doing small-scale routine work such as:

- installing a kitchen or bathroom;
- structural alterations, eg chimney breast removal;
- roofing work, including dormer windows;
- extension or loft conversion.

A **simple plan** before the work starts is usually enough to show that you have thought about health and safety.

If the job will last longer than 500 person days or 30 working days (with more than 20 people working at the same time) it will need to be notified to HSE and it is likely to be too complex for this simple plan format.

The list of essential points below will help you to **plan** and **organise** the job, and **work together** with others involved to make sure that the work is carried out without risks to health and safety. It will also help you to comply with CDM 2015. You can use the blank template on page 2 to record your plan.

### Plan

Make a note of the key dates, eg:

- when you'll start and finish;
- when services will be connected/disconnected;
- build stages, such as groundwork or fitout.

You will need to find out information from the client about the property, eg:

- where the services and isolation points are;
- access restriction to the property;
- if there is any asbestos present.

### Working together

It may be useful to record the details of anybody else working on the job, including specialist companies and labourers.

Explain how you will communicate with others (eg via a daily update), provide information about the job, coordinate your work with theirs and keep them updated of any changes, eg:

- to site rules;
- to health and safety information;
- what you will do if the plan or materials change or if there are any delays;
- who will be making the key decisions about how the work is to be done.

### Organise

- Identify the main dangers on site and how you will control them, eg:
  - the need for scaffolding if working at height;
  - how structures and excavations will be supported to prevent collapse;
  - how you will prevent exposure to asbestos and building dust;

- how you will keep the site safe and secure for your client, their family and members of the public.
- Make sure that there are toilet, washing and rest facilities.
- Name the person responsible for ensuring the job runs safely.
- Explain how supervision will be provided.

If you are unsure about how you can make your site safer, see [www.hse.gov.uk/construction](http://www.hse.gov.uk/construction) for more information and to download other Busy Builder sheets. See [www.citb.co.uk](http://www.citb.co.uk) for a free smartphone app *CDM wizard*.

## Appendix 4 continued

PLAN	Your name/company		
	Name and address of client		
	Contact details of architect or principal designer		
	What is the job?		
	Is there anything the client has made you aware of?		
	Key dates: Start	Finish	Other
	Where are your toilet, washing and rest facilities?		
WORKING TOGETHER	Who else is on site – and their contact details?		
	Who will be the principal contractor?		
	How will you keep everyone on site updated during the job?		
ORGANISE	<b>What are the main dangers on site, eg:</b>	<b>Hazard is present</b>	<b>What controls do you have?</b>
	<b>Falls from height</b> <ul style="list-style-type: none"> <li>Make sure ladders are in good condition, at the correct angle and secured</li> <li>Prevent people and materials falling from roofs, gable ends, working platforms and other open edges using guardrails, midrails and toeboards</li> </ul>		
	<b>Collapse of excavations</b> <ul style="list-style-type: none"> <li>Shore excavations; either cover or barrier excavations to stop people and plant falling in</li> </ul>		
	<b>Collapse of structures</b> <ul style="list-style-type: none"> <li>Support structures (such as walls, beams, chimney breasts and roofs) with props; ensure props are installed by a competent person</li> </ul>		
	<b>Exposure to building dusts</b> <ul style="list-style-type: none"> <li>Prevent dust by using wet cutting and vacuum extraction on tools; use a vacuum cleaner rather than sweeping; use a suitable, well-fitting mask</li> </ul>		
	<b>Exposure to asbestos</b> <ul style="list-style-type: none"> <li>If you suspect that asbestos might be present, don't start work until a demolition/refurbishment survey has been carried out</li> <li>Make sure everyone on the site is aware of the results</li> </ul>		
	<b>Activities or workers requiring supervision</b> <ul style="list-style-type: none"> <li>Who will be supervising?</li> </ul>		
	<b>Electricity</b> <ul style="list-style-type: none"> <li>Turn electricity supply and other services off before drilling into walls</li> <li>Do not use excavators or power tools near suspected buried services</li> </ul>		
	<b>Risks to members of the public, the client and others</b> <ul style="list-style-type: none"> <li>Keep the site secure to prevent unauthorised access; net scaffolds, use rubbish chutes</li> </ul>		
	<b>Other dangers on site</b>		

This guidance is issued by the Health and Safety Executive. Following the guidance is not compulsory, unless specifically stated, and you are free to take other action. But if you do follow the guidance you will normally be doing enough to comply with the law. Health and safety inspectors seek to secure compliance with the law and may refer to this guidance.

© Crown copyright If you wish to reuse this information visit [www.hse.gov.uk/copyright.htm](http://www.hse.gov.uk/copyright.htm) for details.



## Appendix 3 The construction phase plan

1 This Appendix gives guidance on the requirements for the construction phase plan and the actions on each dutyholder. Appendix 5 shows how the construction phase plan relates to and influences other types of information during a construction project involving more than one contractor.

### What is a construction phase plan?

2 A construction phase plan is a document that must record the:

- (a) health and safety arrangements for the construction phase;
- (b) site rules; and
- (c) where relevant, specific measures concerning work that falls within one or more of the categories listed in Schedule 3.

3 The 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 as simple as possible.

4 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 still proportionate to the scale and complexity of the project and the risks involved.**

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 reached or detailed safety method statements.

5 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 including:
  - (i) the health and safety aims for the project;
  - (ii) the site rules;
  - (iii) arrangements to ensure cooperation between project team members and coordination of their work, eg regular site meetings;
  - (iv) arrangements for involving workers;
  - (v) site induction;
  - (vi) welfare facilities; and
  - (vii) fire and emergency procedures;



- (c) the control of any of the specific site risks listed in Schedule 3 where they are relevant to the work involved.

## **What must dutyholders do?**

### ***The client***

6 The client must ensure a construction phase plan is drawn up **before** the construction phase begins. For projects involving more than one contractor, the principal contractor is responsible for drawing up the plan or for making arrangements for it to be drawn up (see paragraphs 11–14 of this Appendix). For single contractor projects, it is the contractor who is responsible for ensuring that the plan is drawn up (see paragraphs 15–17 of this Appendix).

7 The client must ensure that the principal contractor (or, where relevant, the contractor) is provided with all the available relevant information they need to draw up the plan, eg the pre-construction information (see Appendix 2).

8 The client must also ensure that:

- (a) when it is drawn up, the plan adequately addresses the arrangements for managing the risks; and
- (b) the principal contractor (or contractor) regularly reviews and revises the plan to ensure it takes account of any changes that occur as construction progresses and continues to be fit for purpose.

### ***The designer***

9 The designer has no specific duty in relation to the construction phase plan. However, the designer must take all reasonable steps to provide with the design sufficient information about aspects of the design to help contractors (including principal contractors) to comply with their duties. This should include information about the significant risks designers have been unable to eliminate through the design process and the steps designers have taken to reduce or control those risks. They must continue to cooperate with contractors and principal contractors as the construction phase progresses to ensure that they are kept up to date with any design changes.

### ***The principal designer***

10 The principal designer must help the principal contractor to prepare the construction phase plan by providing any relevant information they hold. This includes:

- (a) the pre-construction information given to them by the client and which they have an important role in pulling together and providing (see Appendix 2); and
- (b) any information given to them by designers about the risks that have not been eliminated through the design process and the steps taken to reduce or control those risks.

Before the start of the construction phase, the principal designer should regularly check that the principal contractor has the information needed to prepare the plan. They must continue to liaise with the principal contractor as the construction phase progresses to share any information relevant to the planning and management of the construction phase.

### ***The principal contractor***

11 For projects involving more than one contractor, the principal contractor must take the lead in preparing, reviewing, updating and revising the construction phase