

## Construction (Design and Management)

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# PLACE HEALTH AND SAFETY MANUAL

## 1. Introduction

- 1.1 The Construction (Design and Management) Regulations 1994 were first introduced in 1995, with the aim of improving safety in the construction industry. They set out duties for all parties involved and introduced the role of the Planning Supervisor. The Regulations were updated in 2007 and have now been updated again with the introduction of the Construction (Design and Management) Regulations 2015, known as CDM2015.
- 1.2 The new regulations introduce the role of Principal Designer and remove the role of CDM Co-ordinator.
- 1.3 This Code of Practice sets out to advise how Highways Alliance staff should discharge their obligations under the CDM Regulations. It should be read in conjunction with the following:
  - the CDM Process Map in the Highways Alliance Management System (part of the LCC internal quality system).
  - the Health and Safety Executives (HSE) guidance document entitled 'Managing Health and Safety in Construction'.
  - the Regulations themselves.

## 2. Application of the Regulations and Notification

### 2.1 Application

The CDM2015 Regulations apply to all construction work carried out by the Authority. For the legal definition of construction works please refer to Regulation 2; it includes site clearance, site investigation, renovation and repairs, but excludes site surveys, archaeological investigations, and grass cutting.

If there is more than one contractor, the following appointments must be made by the Authority when it is acting as Client under the regulations:

- appointment of a Principal Designer
- appointment of a Principal Contractor.

### 2.2 Notification

When the Authority is the Client, it must notify the HSE if construction works:

- last longer than 30 working days and have more than 20 workers working simultaneously at any point in the project; or
- exceed 500 person days.

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Notification is undertaken using the HSE's Form F10, which must be completed and sent to the HSE electronically ([www.hse.gov.uk/forms/notification/index.htm](http://www.hse.gov.uk/forms/notification/index.htm)).

Notification should occur as soon as possible before the construction phase begins.

### 3. Roles

The key roles under CDM2015 are known as duty-holders and are described below. Whenever a CDM role falls to TSP, the Area Highways Office or Lincs Lab to discharge, the duty-holder would be Lincolnshire County Council. However, an appropriate individual within the organisation should be named as the representative tasked with undertaking the duties demanded by the role.

#### 3.1 **The CLIENT** is an organisation or individual for whom a construction project is carried out.

For projects designed for the Authority, the Client would normally be Lincolnshire County Council itself.

In the case of certain projects, the Authority may be in partnership with other organisations. It would then be necessary to agree at the start of the project which organisation would be the Client for CDM purposes and for the other organisations to supply relevant information.

If the works are being designed for an external organisation (such as highway works designed for a developer under a Section 278 agreement), that organisation would be the Client.

A Table providing guidance on which part of LCC should take on the client role is contained in Appendix A; this should be clarified by naming the client representative in the project brief.

#### 3.2 **The DESIGNER** is an organisation or individual who prepares or modifies a design or arranges for someone else to do so.

Guidance regarding discharging the Designer's duties within the Authority is provided in Appendix B.

#### 3.3 **The PRINCIPAL DESIGNER** is the designer with control over the preconstruction phase of a project.

With regard to fulfilling Principal Designer duties on Lincolnshire County Council projects, two alternative guidance documents have been produced depending on the nature of the project:

- Principal Designer duties for routine highway schemes undertaken under the Alliance Works Contract in which the scheme is designed inhouse, largely by one person (usually the Lead Design Engineer for

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TSP designed projects). In this case, the Principal Designer Representative and the (main) Designer would be the same person – refer to Appendix C for guidance.

- Principal Designer duties for schemes in which there are external Designers – refer to Appendix D for guidance.

**3.4 The PRINCIPAL CONTRACTOR** is an organisation or person that co-ordinates the work of the construction phase of a project. Guidance on undertaking the role of Principal Contractor for works carried out by Lincs Laboratory is provided in Appendix E.

**3.5 CONTRACTORS** are those who do the actual construction work and can be either an individual or a company. Guidance on undertaking the role of Contractor for works carried out by Lincs Laboratory is provided in Appendix F.

**3.6 WORKERS** are the people who work for or under the control of Contractors a construction site. With regard to the Highways Alliance, Workers could be employed by any of the following:

- Lincs Lab
- the Alliance Works Term Contractor and their sub-contractors
- the Principal Contractor and their sub-contractors (for tendered and framework schemes)
- the Traffic Signals Contractor.

## 4. Pre-Construction Information and Mandatory Documentation

### 4.1 Pre-Construction Information

The Client's Representative has the main duty for producing the preconstruction information.

Templates for pre-construction information are contained in the CDM Process Map and are as follows:

- A 'Hazard Awareness Form' for low value Alliance Term Maintenance Contract projects.
- A Pre-Construction Information template for Small or Intermediate Works.
- A Pre-Construction Information template for Major or Complex Works.

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### 4.2 Construction Phase Plan

The Principal Contractor has the main responsibility for producing the Construction Phase Plan, based on information supplied by the Principal Designer. If there is only one Contractor, this Contractor must produce a Construction Phase Plan.

The Client has a duty to ensure that a suitable Construction Phase Plan is prepared before the construction phase starts; a template is available on the CDM Process Map for reviewing the Construction Phase Plan.

### 4.3 Health and Safety File

The Principal Designer is responsible for preparing a Health and Safety File during the pre-construction phase and for ensuring that it is subsequently updated as work progresses, using information supplied by the Principal Contractor.

The CDM regulations state that it is only required for projects involving more than one contractor. *However, it has been decided that Health and Safety Files are required for all Lincolnshire County Council projects.*

In the case of routine uncomplicated schemes, the initial Health and Safety File could be limited to the construction drawings and the updated Health and Safety File limited to the as-built drawings.

If the Principal Designer's appointment ends, the Health and Safety File is completed by the Principal Contractor.

Guidance for the contents of Health and Safety Files is provided on the CDM Process Map.

A template for Health and Safety File is also contained in the CDM Process Map.

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### Appendix A

#### 1. Projects promoted from within LCC and designed and supervised by TSP

For the purposes of CDM 2015, Lincolnshire County Council is the Client for all construction projects carried out on its behalf. Therefore, the Authority has all the Client responsibilities identified in the Regulations. However, each of the responsibilities may be carried out by different parts of the Authority. The following table outlines the split of these responsibilities between the promoting group and TSP, if TSP are designing and supervising the scheme.

Duty	Responsible Party when Highways Asset Management is promoting the scheme	Responsible Party when other LCC Parties (or the Floor Risk Manager) promote the scheme
Ensure you are aware of your own responsibilities.	TSP and Highways Asset Management.	TSP and other LCC Group.
Check the Principal Designer has the capability, necessary skills, knowledge, training and experience to fulfil their duties.	Highways Asset Management (with advice from TSP).	Other LCC Group.
Appoint the Principal Designer in writing.	Highways Asset Management.	Other LCC Group.
Check the Principal Contractor has the capability, necessary skills, knowledge, training and experience to fulfil their duties.	TSP for tendered schemes. Highways Asset Management for Term Contract schemes.	Other LCC Group if they procure the works, otherwise TSP.
Appoint a Principal Contractor in writing.	TSP for tendered schemes. Highways Asset Management for Term Contract schemes.	Other LCC Group if they procure the works, otherwise TSP.
Check the project team is adequately resourced.	TSP.	Other LCC Group.

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### CLIENT DUTIES FOR HIGHWAYS ALLIANCE PROJECTS (Cont.)

Issue a client brief for the project.	Highways Asset Management.	Other LCC Group.
Provide information about the existing site / structure to the Principal Designer.	Highways Asset Management.	Other LCC Group.
Provide pre-construction information to the Principal Contractor.	TSP.	TSP.
Obtain project-specific health & safety advice as required.	TSP.	TSP.
Ensure suitable arrangements are in place to manage health & safety throughout the project.	TSP.	TSP.
Ensure a schedule of key activities for the project is produced.	TSP.	TSP.
Ensure sufficient time is allowed to complete the key activities.	Highways Asset Management (advised by TSP).	Other LCC Group (Advised by TSP)
Ensure sufficient financial resources are allocated (ie the scheme budget).	Highways Asset Management (advised by TSP).	Other LCC Group (Advised by TSP)
If notifiable, submit an online F10 notification form to the HSE as soon as practicable before construction work commences.	TSP.	TSP.
Ensure an adequately developed Construction Phase Plan is in place before construction work commences.	TSP.	TSP.
Ensure suitable welfare facilities are provided before work starts on site.	TSP.	TSP.
Agree the required format and content of the Health and Safety File.	TSP.	Other LCC Group (with advice from TSP)

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### CLIENT DUTIES FOR HIGHWAYS ALLIANCE PROJECTS (Cont.)

#### 2. Projects promoted from within LCC and designed and supervised in Highways Asset Management (Term Contract schemes only)

For the purposes of CDM 2015, Lincolnshire County Council is the Client where it has construction projects carried out. Therefore Lincolnshire County Council has all the Client responsibilities identified in the Regulations. However, each of the responsibilities may be carried out by different parts of the Council. The following table outlines the responsibilities when the Highways Asset Management team are designing and supervising the scheme.

Duty	Responsible Party
Ensure you are aware of your own responsibilities.	All involved.
Check the Principal Designer has the capability, necessary skills, knowledge, training and experience to fulfil their duties.	Highways Asset Management.
Appoint the Principal Designer in writing.	Highways Asset Management.
Check the Principal Contractor has the capability, necessary skills, knowledge, training and experience to fulfil their duties.	Infrastructure Commissioner for Term Contract as a whole, Highways Asset Management for individual projects.
Appoint the Principal Contractor in writing.	Infrastructure Commissioner (for Term Contract as a whole).
Check the project team is adequately resourced.	Highways Asset Management.
Issue a client brief for the project.	Highways Asset Management.
Provide information about the existing site / structure to the Principal Designer.	Highways Asset Management.
Provide pre-construction information to the Principal Contractor.	Highways Asset Management.
Obtain project-specific health & safety advice as required.	Highways Asset Management.

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### CLIENT DUTIES FOR HIGHWAYS ALLIANCE PROJECTS (Cont.)

Ensure suitable arrangements are in place to manage health & safety throughout the project.	Highways Asset Management.
Ensure a schedule of key activities for the project is produced.	Highways Asset Management.
Ensure sufficient time is allowed to complete the key activities.	Highways Asset Management.
Ensure sufficient financial resources are allocated (ie the scheme budget).	Highways Asset Management.
If notifiable, submit an online F10 notification form to the HSE as soon as practicable before construction work commences.	Infrastructure Commissioner for Term Contract as a whole, Highways Asset Management for individual projects.
Ensure an adequately developed Construction Phase Plan is in place before construction work commences.	Highways Asset Management.
Ensure suitable welfare facilities are provided before work starts on site.	Highways Asset Management.
Agree the required format and content of the Health and Safety File.	Highways Asset Management.

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### CLIENT DUTIES FOR HIGHWAYS ALLIANCE PROJECTS (Cont.)

#### **3. Projects promoted from outside LCC and designed and supervised OR checked and inspected by LCC**

For all works promoted from outside LCC (including Section 278 and Section 38 works for developers), the promoter will be considered to be the Client unless clear instruction is given otherwise.

The Client will be expected to provide LCC with the following information:

- a copy of the HSE notification
- details of the Principal Designer
- details of the Principal Contractor
- confirmation that a Construction Phase Plan is in place before the construction phase begins
- electronic copies of the Health and Safety File / As-Built Drawings.

Where LCC is a Designer, the Client will be informed by LCC of their duties before any design work is commenced.

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### Appendix B DESIGNER DUTIES FOR HIGHWAYS ALLIANCE PROJECTS

<b>Definition</b>
An organisation or individual who prepares or modifies a design or arranges for someone else to do so. The definition of design is very broad and includes specifications and bills of quantity; the definition of designers is similarly broad and includes – for example - quantity surveyors and temporary work engineers.
<b>Who would be considered to be a Designer for Lincolnshire Highways Alliance projects?</b>
In the case of Highways Alliance projects, Designers would include: <ul style="list-style-type: none"><li>• LCC Division staff engaged in preparing Works Orders for the Term Maintenance Contractor.</li><li>• Lincs Lab staff designing pavements, including site investigation.</li><li>• Contractor's staff designing temporary works such as formwork or traffic management layouts.</li><li>• TSP staff producing drawings or tender documents.</li></ul>

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Duty	Suggested actions to discharge the duty on behalf of the Authority
<p>Make client aware of their duties before undertaking design work (Reg. 9.1).</p>	<p>Ensure that the person acting as representative of the client is aware of their duties or has appointed a CDM Advisor For details of who would be acting as the Client Representative for Highways Alliance projects, refer to the CDM Process Map on the Highways Alliance Management System (part of the LCC internal quality system).</p>
<p>When preparing or modifying designs, take into account any pre-construction information (Reg.9.2).</p>	<p>Examine the project brief. Review any information on 'Imp' and 'Confirm' relating to the site. Make C2 enquiries in accordance with the NRSWA procedure. Review any other site information such as maps etc.</p>
<p>Take into account the general principles of prevention and any pre-construction information to eliminate, so far as reasonably practicable, foreseeable risks to the health and safety of anyone affected by the project. If the risks cannot be eliminated, they must be reduced or controlled so far as reasonably practicable (Reg. 9.2 and 9.3).</p>	<p>Complete the Design Risk Assessment spreadsheet on the Project Management Form (part of the LCC internal quality system). Consider the risks in the Red / Amber / Green list in the CDM Process Map (under 'Design Considerations'), compiled from information supplied by the HSE and Highways England.</p>
<p>Co-operate with other duty-holders (Reg. 8.4).</p>	<p>Attend design progress meetings, early contractor involvement meetings and project review meetings.</p>

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<b>Duty (Cont.)</b>	<b>Suggested actions to discharge the duty on behalf of the Authority (Cont.)</b>
<p>Provide design information to other duty-holders, including information about risks to the Principal Designer (Reg. 9.3).</p>	<p>Supply the Design Risk Assessments and any other health and safety information to the Principal Designer.</p> <p>If there is no requirement for a Principal Designer, compile and review the Pre-Construction Information document using one of the templates on the CDM Process Map:-</p> <ul style="list-style-type: none"><li>• the 'Hazard Awareness Form' for low value Alliance Term Maintenance Contract projects.</li><li>• the Pre-Construction Information template for Small or Intermediate Works.</li><li>• the Pre-Construction Information document for Major or Complex Works.</li></ul> <p>These should include details of any hazards identified in the design that cannot be eliminated (obtained from the Design Risk Assessments).</p> <p>The Pre-Construction Information document should be formally supplied to the Contractor.</p> <p>Information about risks should also be highlighted on construction drawings.</p> <p>In the case of projects with no requirement for a Principal Designer, when Lincs Lab undertakes both the Designer and Contractor roles their Pre-Construction Information and Construction Phase Plan documents shall be combined.</p>

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### DESIGNER DUTIES FOR HIGHWAYS ALLIANCE PROJECTS (CONT.)

Duty (Cont.)	Suggested actions to discharge the duty on behalf of the Authority (Cont.)
Ensure design information is included in the Health and Safety File (Appendix 4).	Supply design information to the Principal Designer <i>(if there is no Principal Designer, see below).</i>
Produce a Health and Safety File if there is no Principal Designer or Principal Contractor appointed (Lincolnshire County Council requirement).	Produce an outline Health and Safety File before work commences and supply it to the Contractor; a Guidance Document and template are available on the CDM Process Map.  Develop the Health and Safety File during construction (with a level of detail proportionate to the risks). This will involve obtaining information from the Contractor (including as-built information) in order to update the network management database.

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### Appendix C

#### PRINCIPAL DESIGNER / DESIGNER DUTIES FOR HIGHWAYS ALLIANCE PROJECTS DESIGNED IN-HOUSE BY LCC (ONE PERSON UNDERTAKING PRINCIPAL DESIGNER DUTIES AND DESIGNER DUTIES)

Definition
<p>The <b>PRINCIPAL DESIGNER</b> (only required in projects involving more than one contractor) is the designer (an organisation or individual) with control over the pre-construction phase of a project.</p>
<p><b>Who would be considered to be a Principal Designer for Alliance projects designed internally by LCC?</b></p>
<p>For all schemes designed by TSP or by the Area Highway Offices or by Lincs Lab, Lincolnshire County Council shall be named as Principal Designer.</p> <p>The Principal Designer Representative and Designer would normally be the same person. For schemes designed in TSP, this would usually be the Lead Design Engineer.</p> <p>When Lincs Lab receives Orders through 'Confirm', an appropriately trained member of their staff would be appointed to undertake Principal Designer duties on behalf of the Authority.</p> <p><b>For all projects, there must be a formal record of the name of the Principal Designer (ie Lincolnshire County Council) and of the individual acting as Principal Designer Representative.</b></p> <ul style="list-style-type: none"><li>• For TSP projects, the Project Management Form (part of the LCC internal quality system) would normally be used for this purpose.</li><li>• For Lincs Lab projects, written confirmation shall be provided using a form within the Highways Alliance Management System (part of the LCC internal quality system) or by email.</li></ul>

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### PRINCIPAL DESIGNER / DESIGNER DUTIES FOR HIGHWAYS ALLIANCE PROJECTS DESIGNED IN-HOUSE BY LCC (CONT.)

Duty	Suggested actions to discharge the duty on behalf of the Authority
Make the Client aware of their duties before undertaking design work (Reg. 9.1).	<p>Ensure that the person acting as representative of the client is aware of their duties or has appointed a CDM Advisor.</p> <p>For details of who would be acting as the Client Representative for Highways Alliance projects, refer to the CDM Process Map on the Highways Alliance Management System.</p>
When preparing or modifying designs, take into account any pre-construction information (Reg. 9.2).	<p>Examine the project brief.</p> <p>Review any information on Imp and Confirm relating to the site. Make 'C2' enquiries in accordance with the NRSWA procedure.</p> <p>Review any other site information, such as maps etc.</p>
Take into account the general principles of prevention and any pre-construction information to eliminate, so far as reasonably practicable, foreseeable risks to the health and safety of anyone affected by the project. If the risks cannot be eliminated, they must be reduced or controlled so far as reasonably practicable (Reg. 9.2 and 9.3).	<p>Complete the Design Risk Assessment spreadsheet on the Project Management Form.</p> <p>Consider the risks in the Red / Amber / Green list in the CDM Process Map (under 'Design Considerations'), compiled from information supplied by the HSE and Highways England.</p>

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### PRINCIPAL DESIGNER / DESIGNER DUTIES FOR HIGHWAYS ALLIANCE PROJECTS DESIGNED IN-HOUSE BY LCC (CONT.)

Duty (Cont.)	Suggested actions to discharge the duty on behalf of the Authority
Co-operate with other duty-holders (Reg. 8.4).	Initiate design progress meetings, early contractor involvement meetings and project review meetings
Plan, manage and monitor the preconstruction phase and coordinate matters relating to health and safety in the preconstruction phase (Reg.11.1).	Review existing pre-construction information, including any network management records.
Assist the Client by providing the preconstruction information (Reg.11.5).	<p>Provide advice to the Client's Representative about any perceived gaps in the pre-construction information eg topographical surveys or geotechnical investigations may be required.</p> <p>Compile and review the Pre-Construction Information document by using one of the templates on the CDM Process Map:-</p> <ul style="list-style-type: none"> <li>• the 'Hazard Awareness Form' for low value Alliance Term Maintenance Contract projects.</li> <li>• the Pre-Construction Information template for Small or Intermediate Works.</li> <li>• the Pre-Construction Information template for Major or Complex Works.</li> </ul> <p>These should include details of any hazards that cannot be eliminated (obtained from the Design Risk Assessments).</p>

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**PRINCIPAL DESIGNER / DESIGNER DUTIES FOR HIGHWAYS ALLIANCE PROJECTS DESIGNED IN-HOUSE BY LCC (CONT.)**

<b>Duty (Cont.)</b>	<b>Suggested actions to discharge the duty on behalf of the Authority</b>
<p>Ensure that everyone involved in the preconstruction phase co-operates with each other (Reg.5).</p>	<p>Arrange an early contractor involvement meeting and project review meetings.</p>
<p>Liaise with the Principal Contractor (Reg.11.7).</p>	<p>Ensure that all design information required for buildability purposes is provided and discuss how the project can be built safely during an early contractor involvement meeting                      Supply Pre-Construction Information to the Principal Contractor by suitable means, including:</p> <ul style="list-style-type: none"> <li>• In 'Confirm'</li> <li>• In the Pre-construction Information document</li> <li>• By highlighting hazards on the construction drawings.</li> </ul> <p>Arrange pre-start and progress meetings during the construction period.</p> <p><i>Note: When Lincs Lab undertakes both the Principal Designer and Principal Contractor roles, their Pre-Construction Information and Construction Phase Plan documents shall be combined.</i></p>

**PRINCIPAL DESIGNER / DESIGNER DUTIES FOR HIGHWAYS ALLIANCE PROJECTS DESIGNED IN-HOUSE BY LCC (CONT.)**

## PLACE HEALTH AND SAFETY MANUAL

Duty (Cont.)	Suggested actions to discharge the duty on behalf of the Authority
Ensure that other Designers comply with their duties (Reg.11.4).	Request and review Design Risk Assessments produced by temporary work designers and designers of contractor designed elements. This is in order to ensure that they are dealing with design risks in an appropriate manner.
Prepare and develop the Health and Safety File (Appendix 4).	<p>Produce an outline Health and Safety File before work commences and supply it to the Principal Contractor (a template is available in the CDM Process Map).</p> <p>Develop the Health and Safety File during construction (with a level of detail proportionate to the risks). This will involve obtaining information from the Principal Contractor (including as-built information) in order to update the LCC network management data-base.</p>

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### Appendix D

#### PRINCIPAL DESIGNER DUTIES FOR HIGHWAYS ALLIANCE PROJECTS WITH EXTERNAL DESIGNERS

Definition
The <b>PRINCIPAL DESIGNER</b> (only required in projects involving more than one contractor) is the designer (an organisation or individual) with control over the pre-construction phase of a project.
Who would be considered to be a Principal Designer for Alliance projects with external Designers?
<p>For schemes designed by an external organisation (including WSP), that organisation would normally be named as the Principal Designer. In the case of multi-disciplinary schemes with both LCC and external designers, the organisation acting as Principal Designer needs to be agreed at the start of the project.</p> <p>In all cases, there must be a formal record of the appointment of the Principal Designer. It would also be beneficial to name the individual acting as Principal Designer Representative.</p>

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### PRINCIPAL DESIGNER DUTIES FOR HIGHWAYS ALLIANCE PROJECTS WITH EXTERNAL DESIGNERS (CONT.)

<b>The following duties need to be addressed in addition to those for the Designer</b>	
<b>Duty</b>	<b>Suggested actions to discharge the duty on behalf of the Authority</b>
<p>Plan, manage and monitor the preconstruction phase and co-ordinate matters relating to health and safety in the preconstruction phase (Reg.11.1).</p>	<p>Review existing pre-construction information, including any network management records.</p> <p>Communicate health and safety issues arising from the project brief to the designers.</p> <p>Supply existing reports and network constraints etc. to the designers and – if necessary - seek further information from the Client.</p>
<p>Assist the Client by providing the preconstruction information (Reg.11.5).</p>	<p>Provide advice to the client on filling any gaps in the pre-construction information, eg regarding commissioning reports that may be necessary.</p> <p>Compile and review the Pre-Construction Information document using the templates on the CDM Process Map:-</p> <ul style="list-style-type: none"> <li>• the Pre-Construction Information template for Small or Intermediate Works.</li> <li>• the Pre-Construction Information template for Major or Complex Works.</li> </ul> <p>These should include details of any hazards that cannot be eliminated (obtained from the Design Risk Assessments)</p>

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### PRINCIPAL DESIGNER DUTIES FOR HIGHWAYS ALLIANCE PROJECTS WITH EXTERNAL DESIGNERS (CONT.)

Duty (Cont.)	Suggested actions to discharge the duty on behalf of the Authority
Ensure that everyone involved in the preconstruction phase co-operates with each other (Reg. 5).	Organise regular design progress meetings. Ensure that robust communication systems are in place. Arrange project review meetings.
Liaise with the Principal Contractor (Reg.11.7).	Ensure regular communication and meetings from the Early Contractor Involvement stage onwards.
Ensure that other Designers comply with their duties (Reg.11.4).	Internal designers should each be requested to input into a Design Risk Assessment spreadsheet for the overall project.  Request and review Design Risk Assessments produced by temporary work designers and designers of contractor designed elements. This is in order to ensure that they are dealing with design risks appropriately.

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### PRINCIPAL DESIGNER DUTIES FOR HIGHWAYS ALLIANCE PROJECTS WITH EXTERNAL DESIGNERS (CONT.)

Duty (Cont.)	Suggested actions to discharge the duty on behalf of the Authority
Prepare and develop the Health and Safety File (Appendix 4).	<p>Produce an outline Health and Safety File before work commences and supply to the Principal Contractor (a template is available in the CDM Process Map).</p> <p>Develop the Health and Safety File during construction (with a level of detail proportionate to the risks). This will involve obtaining information from the Principal Contractor (including as-built information) in order to update the LCC network management data-base.</p> <p>In certain circumstances, the asset is going to be maintained by an organisation other than LCC, eg a road may be transferred to Highways England or a pumping station may be transferred to Anglian Water. In such situations, the other organisation needs to be consulted about any bespoke requirements regarding the format and contents of the Health and Safety File and subsequently provided with the document.</p>

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### Appendix E PRINCIPAL CONTRACTOR DUTIES FOR HIGHWAYS ALLIANCE PROJECTS

<b>Definition</b>	
<b>The PRINCIPAL CONTRACTOR</b> (only required in projects involving more than one contractor) is an organisation or person that co-ordinates the work of the construction phase of a project involving more than one contractor, so as to secure health and safety.	
<b>Who would be considered to be a Principal Contractor for Lincolnshire Highways Alliance projects?</b>	
<p>The successful contractor for tendered and framework procured works should be formally appointed Principal Contractor by a representative of the Client (Lincolnshire County Council).</p> <p>The Highways Alliance Works Contractor has been appointed Principal Contractor for projects commissioned under the Lincolnshire Highways Alliance.</p> <p>Lincs Lab or the Highways Alliance Traffic Signals Contractor could be appointed Principal Contractor if they need to undertake site work on a project where no other organisation has been appointed Principal Contractor. Their appointment would need to be confirmed in writing by a representative of Lincolnshire County Council (or by a representative of the Client when another organisation is the Client).</p>	
<b>The following guidance is provided for Lincs Lab to discharge their duties as Principal Contractor</b>	
<b>Duty</b>	<b>Suggested actions to discharge the duty on behalf of the Authority</b>
Plan, manage, monitor and co-ordinate the construction phase (Reg.13.1).	Include project management procedures, safety precautions, method statements / risk assessments etc. in the Construction Phase Plan.

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### PRINCIPAL CONTRACTOR DUTIES FOR HIGHWAYS ALLIANCE PROJECTS (CONT.)

Duty (Cont.)	Suggested actions to discharge the duty on behalf of the Authority
Take into account the principles of prevention (Reg. 13.3).	Produce construction phase risk assessments and method statements.
Produce a Construction Phase Plan (Appendix 4).	Overarching document to be compiled by Lincs Lab.  <i>Note: When Lincs Lab undertakes both the Principal Designer and Principal Contractor roles, their Pre-Construction Information and Construction Phase Plan documents shall be combined.</i>
Organising co-operation between contractors and coordinating their work (Reg. 13.3).	Arrange regular meetings and communications during the construction phase.
Provide suitable site inductions (Reg. 13.4).	Set-out the induction procedure in the Construction Phase Plan.
Prevent unauthorised access to the site (Reg. 13.4).	Security to be considered on scheme specific basis and outlined in the Construction Phase Plan.

## PLACE HEALTH AND SAFETY MANUAL

### PRINCIPAL CONTRACTOR DUTIES FOR HIGHWAYS ALLIANCE PROJECTS (CONT.)

Duty (Cont.)	Suggested actions to discharge the duty on behalf of the Authority
Liaise with the Principal Designer for the duration of the Principal Designer's appointment (Reg. 13.5).	Arrange regular meetings and communications with the Principal Designer's Representative.
Provide suitable welfare Facilities (Reg. 13.4).	Welfare to be considered on scheme specific basis and outlined in the Construction Phase Plan.
Consult and engage with workers (Reg. 14).	To be in accordance with LCC procedures.

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### Appendix F CONTRACTOR DUTIES FOR HIGHWAYS ALLIANCE PROJECTS

<b>Definition</b>	
<b>CONTRACTORS</b> are those who do the actual construction work and could be either an individual or a company.	
<b>Who would be considered to be a Contractor for Lincolnshire Highways Alliance projects?</b>	
Lincs Lab or the traffic signals contractor could be a contractor on Alliance projects with another company acting as Principal Contractor (this would normally be the term maintenance contractor). Alternatively, either of them could be a contractor on an Alliance project with no other contractor involved. In the latter case, there would be no duty to appoint a Principal Contractor, meaning that additional additional CDM duties would be placed on Lincs Lab or the traffic signals contractor, as outlined below.	
<b>The following guidance is provided for Lincs Lab to discharge their duties as Contractor</b>	
<b>Duty</b>	<b>Suggested actions to discharge the duty on behalf of the Authority</b>
Plan, manage, monitor and co-ordinate work carried out by the contractor or by workers under their control. (Reg.15.1).	Include project management procedures, safety precautions, method statements / risk assessments etc. in the Construction Phase Plan.

## PLACE HEALTH AND SAFETY MANUAL

### CONTRACTOR DUTIES FOR HIGHWAYS ALLIANCE PROJECTS (CONT.)

Duty (Cont.)	Suggested actions to discharge the duty on behalf of the Authority
Take into account the principles of prevention if only one contractor is working on the project (Reg. 15.4).	Produce risk assessments and method statements.
Comply with direction from the Principal Designer or Principal Contractor (Reg. 15.3).	Attend regular meetings and communications with representatives of the Principal Designer and Principal Contractor.
Produce the Construction Phase Plan if only one contractor is working on the project (Reg. 15.5).	Overarching document to be compiled by Lincs Lab.  <i>Note: When Lincs Lab undertakes both the Designer and Contractor roles, the Pre-Construction Information and Construction Phase Plan documents shall be combined.</i>
Provide workers under their control with appropriate supervision, instruction and information. (Reg. 13.4).	Induction procedures are to be set-out in the Construction Phase Plan (if there is no Principal Contractor).
Ensure that welfare facilities are provided for workers under their control (Reg 15.11 and Appendix 2).	Welfare requirements are to be considered on a scheme specific basis and stated in the Construction Phase Plan.