

# The Construction (Design and Management) Regulations 2007

## Industry Guidance for Principal Contractors

CDM  
2007

CDM07/5



# The Construction (Design and Management) Regulations 2007

## Industry Guidance for Principal Contractors



CDM  
2007



CONSTRUCTION CONFEDERATION



Published by  
ConstructionSkills,  
Bircham Newton, King's Lynn,  
Norfolk PE31 6RH

First published 2007

© **Construction Industry Training Board 2007**

The Construction Industry Training Board  
otherwise known as CITB-ConstructionSkills and ConstructionSkills is  
a registered charity (Charity Number: 264289)

ISBN-978-1-85751-237-3

ConstructionSkills has made every effort to ensure that the information contained within this publication is accurate. Its content should be used as guidance material and not as a replacement for current regulations or existing standards.

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system or transmitted in any form or by any means, electronic, mechanical, photocopying, recording or otherwise, without the prior permission in writing from ConstructionSkills.

# Contents

## Introduction

- How to use this publication
- Who is this guidance for?
- Definition of terms

## Section 1

### The principal contractor

- 1.1 Who is the principal contractor?
- 1.2 What principal contractors must do
- 1.3 Client involvement
- 1.4 Principal contractor competence
- 1.5 Planning and managing
- 1.6 Contractors (including client appointed)
- 1.7 Client appointed contractor (nominated)
- 1.8 Information required by contractors
- 1.9 Co-operation and co-ordination
- 1.10 Health and safety plan
- 1.11 Competence of people appointed by principal contractor
- 1.12 Welfare facilities
- 1.13 Control of access
- 1.14 Site rules
- 1.15 Passing on information
- 1.16 Design changes
- 1.17 Health and safety file
- 1.18 Induction and training
- 1.19 Workforce involvement
- 1.20 Legal notice

# INTRODUCTION

## How to use this publication

This publication is intended to give guidance to principal contractors on how to comply with the Construction (Design and Management) Regulations 2007 (CDM 2007).

It should be read in conjunction with CDM 2007 and the Approved Code of Practice (ACoP) published by the Health & Safety Commission (HSC).

The guide gives information about who can fulfil the role of principal contractor, what they must do, what they must expect from other duty holders, and clarifies what principal contractors are not expected to do.

## Who is this guidance for?

This publication is mainly aimed at organisations that fulfil the role of principal contractor under CDM 2007.

It also serves to inform main and managing contractors about good practice, even if their work does not fall within the scope of CDM-notifiable projects and no formal appointments need to be made.

Other CDM duty holders may also find this publication useful in clarifying what they may expect from principal contractors. As the Regulations encourage co-operation between all of the duty holders it is important to understand the roles of all parties.

## Definition of terms

### ACoP

An Approved Code of Practice provides guidance on how to comply with specific regulations. It has been approved by the Health & Safety Commission and is seen as the accepted standard. It is not mandatory to follow the ACoP but it can be used as evidence in a court of law and failure to adopt the advice in the ACoP will be regarded as having failed to comply with the law.

### business

A trade, business or other undertaking (whether for profit or not).

### CDM co-ordinator

The person appointed to advise and assist the client on how to comply with the CDM Regulations during the project, and to ensure that suitable arrangements are made and implemented for the co-ordination of health and safety measures during planning and preparation for the construction phase. Only appointed on notifiable contracts.

### client

A person who in the course or furtherance of a business seeks or accepts the services of another which may be used in the carrying out of a project for him; or carries out a project themselves.

### construction site

Any place where construction work is being carried out or to which the workers have access  
construction phase

The period of time starting when construction work in any project starts and ending when construction work in that project is completed.

### construction phase plan

A document recording the health and safety arrangements, site rules and any special measures for the construction work

### construction work

The carrying out of any building, civil engineering or engineering construction work.

**contractor**

Any person (including a client, principal contractor or other person referred to in these Regulations) who, in the course or furtherance of a business, carries out or manages construction work.

**demolition or dismantling**

The deliberate pulling down, destruction or taking apart of a structure, or a substantial part of a structure. It includes dismantling for re-erection or re-use. Demolition work normally needs meticulous planning and management to ensure that lives are not put at risk. Demolition does not include operations such as making openings for doors, windows, services or removing non-structural elements such as cladding, roof tiles or scaffolding. Such operations may, however, form part of demolition or dismantling work when carried out alongside other activities.

**designer**

Any person (including a client, contractor or other person referred to in CDM 2007) who in the course or furtherance of a business either prepares or modifies a design; or arranges for or instructs someone under their control to do so. The design relates to a structure; or a product, a mechanical or electrical system intended for a particular structure. A person is deemed to prepare a design where a design is prepared by a person under their control.

**domestic clients**

People who have work done on their own home, or the home of a family member that does not relate to their trade, or business. They have no duties under CDM 2007

**duty holder**

Someone who has duties under CDM 2007 including: client, co-ordinator, designer, principal contractor, contractor, worker.

**guidance**

This HSE-approved guidance describes ways of complying with the regulations but you do not have to follow it exactly. Guidance does not have the special legal status associated with the ACoP. However, following the industry-approved guidance will help you to comply with the CDM Regulations.

**health and safety file**

Information which people, including clients, designers, co-ordinators, contractors and others involved in carrying out construction or cleaning work on the structure in the future are likely to need, but could not be expected to know.

**notifiable**

For the purposes of the CDM Regulations, a project is notifiable if the construction phase is likely to involve more than 30 working days; or 500 person days, of construction work for a client.

**notification**

The most up-to-date information notified to HSE. A legible copy must be displayed where it can be read by people working on the site.

**project**

A project includes all the preparation, design, planning, construction work and the clearance or preparation of the site or structure for use or occupation at its conclusion required to achieve the end result desired by the client. Many projects involve several structures. Where there are substantial breaks between phases it may be each phase can be treated as a separate project, but projects should not be artificially split to avoid notification and the duties that follow go with it.

**principal contractor**

The duty holder who is required to ensure effective management of health and safety throughout the construction phase of the project. Their main duty is to properly plan, manage and co-ordinate work during the construction phase in order to ensure that hazards are identified and risks are properly controlled.

**Regulations**

A statutory device made under a general provision that is contained in an act of parliament. Regulations are approved by parliament and are generally absolute legal standards.

# Section

# 1

## THE PRINCIPAL CONTRACTOR

### 1.1 Who is the principal contractor?

- 1.1.1 The principal contractor is the key duty holder, who is required to ensure effective management of health and safety throughout the construction phase of the project.
- 1.1.2 The main duty of the principal contractor is to properly plan, manage and co-ordinate work during the construction phase in order to ensure that hazards are identified and risks are properly controlled.
- 1.1.3 The principal contractor has a duty to liaise with all of the other CDM duty holders, in particular:
- consulting with the workforce – directly or via their (sub)contractors
  - co-operating with designers and co-ordinators – particularly if any changes occur to design
  - ensuring the clients are aware of their duties.
- 1.1.4 However, whilst the principal contractor is under a duty to co-operate and have systems which allow and facilitate co-operation, the duty and responsibility for managing health and safety in the construction phase lies clearly with the principal contractor.
- 1.1.5 Principal contractors must be competent to carry out the work they are engaged to do in a safe manner and ensure they give proper consideration to the potential effects of their activities on everyone who may be affected by them.
- 1.1.6 Principal contractors are required to demonstrate to the client that they have sufficient resources, including properly trained and experienced staff, to carry out the project.
- 1.1.7 It is essential that principal contractors are fully aware of the duties of other duty holders so that they know the level of information they may reasonably expect. Principal contractors must recognise that time is a resource and that they must be allowed to have reasonable time to plan activities with proper regard to health and safety.
- 1.1.8 Good principal contractors will place health and safety at the front of their agendas and will review the health and safety implications of all decisions. This is of particular importance if changes arise during the project.
- 1.1.9 Should changes occur, the principal contractors must allow the CDM co-ordinator to carry out their duties but must at all times retain responsibility for managing their activities and those of their contractors and sub-contractors. The principal contractor must be in control of the site for clear commercial responsibility as well as for health and safety reasons.



## 1.2 What principal contractors must do

The duties of principal contractors under Regulations 4 to 7, 22, and 24 to 44 are given in Figure 1. References are included in the figure to 1.3 to 1.20, which provide greater detail and clarification of the points listed.

### What principal contractors must do

Under Regulations 4 to 7, 22, and 24 to 44

#### PRINCIPAL CONTRACTORS MUST:

satisfy themselves that clients are aware of their duties, that for notifiable projects a co-ordinator has been appointed and HSE has been notified before they start work	See 1.3
ensure that they are competent to address the health and safety issues likely to be involved in the management of the construction phase	See 1.4
ensure that the construction phase is properly planned, managed and monitored, with adequately resourced, competent site management appropriate to the risk and activity	See 1.5
ensure that every contractor who will work on the project is informed of the minimum time they will be allowed for planning and preparation before they begin work on site	See 1.6 and 1.7
ensure that all contractors are provided with the information about the project that they need to enable them to carry out their work safely and without risks to health. Requests from contractors for information should be met promptly	See 1.8
ensure safe working and co-ordination and co-operation between contractors	See 1.9
ensure that a suitably developed construction phase health and safety plan ('the plan') is prepared before construction work begins and is developed in discussion with, and communicated to, contractors affected by it. The plan should be implemented and kept up to date as the project progresses and reviewed prior to any significant changes	See 1.10
satisfy themselves that the designers and contractors they engage are competent and adequately resourced (see Annex A)	See 1.11
ensure suitable welfare facilities are provided from the start of the construction phase, including sanitary conveniences, washing facilities, drinking water, changing rooms and secure storage, facilities for rest such as suitable arrangements to ensure meals can be prepared and eaten and a means of boiling water	See 1.12
take reasonable steps to prevent unauthorised access to the site	See 1.13
prepare and enforce any necessary site rules	See 1.14
provide (copies of or access to) relevant parts of the plan and other information to contractors, including self-employed persons, in sufficient time for them to plan their work	See 1.15
liaise with the CDM co-ordinator on design carried out during the construction phase, including design by specialist contractors and any implications this may have on the plan. Communication with parties under the control of the principal contractor must be directed via the principal contractor	See 1.16
promptly provide the CDM co-ordinator with any information relevant to the health and safety file (see Annex C)	See 1.17

ensure that all the workers have been provided with suitable health and safety induction; information and training	See 1.18
ensure that the workforce is effectively consulted about health and safety matters;	See 1.19
display the completed project notification.	See 1.20

Figure 1 The principal contractor's duties

## 1.3 Client involvement

- 1.3.1 The designer and CDM co-ordinators also have a duty to satisfy themselves that clients are aware of their duties.
- 1.3.2 The principal contractor needs to be aware of the client's duties, in particular the duty the client has to take reasonable steps to ensure that the arrangements made (by principal contractors and others) allow construction work to be carried out, so far as is reasonably practicable, without risk to the health and safety of any person. This does not mean that the client has any responsibility to manage health and safety in the construction phase – that rests with the principal contractor.
- 1.3.3 The client does have a responsibility to ensure that arrangements are in place; therefore the principal contractor will need the client and the other duty holders to agree management arrangements and the level of information the client requires to fulfil their duties. This must be done prior to commencing work. The client is not required to manage these arrangements but needs to be satisfied that arrangements are in place and are working.

## 1.4 Principal contractor competence

- 1.4.1 Principal contractors must be confident that they are competent, both as a company and as individuals involved in the project.
- 1.4.2 Guidance is given in Annex A.
- 1.4.3 Whilst it is preferable to have some form of third-party assessment, the least that the principal contractor should do is to use the criteria in order to carry out a self-assessment.
- 1.4.4 Clients need to satisfy themselves that principal contractors are competent for the work they will be carrying out, so it is good practice for principal contractors to retain the evidence in writing to avoid duplicating work in the future when bidding or carrying out work which is similar in nature.
- 1.4.5 Principal contractors will likewise need to satisfy themselves of the competency of any party they engage to carry out work for them, including contractors and anyone carrying out design on their behalf.
- 1.4.6 It is essential that principal contractors fully understand the form of contract being used for the project and that the contractual arrangements are such that all parties can efficiently carry out their duties under CDM 2007. A review should take place prior to starting work, and prior to contractors starting their work for all key operations, in order to ensure that everyone fully understands how to carry out their duty as part of a fully co-operating team.

## 1.5 Planning and managing

- 1.5.1 Principal contractors need to ensure that the construction phase is properly planned, managed and monitored. They also need to ensure that they have the right quantity and quality of competent management and supervision available.

- 1.5.2 Planning should commence as early as possible and be an ongoing process throughout the duration of the project. Principal contractors should involve everyone they need to ensure that work is carried out efficiently and with full consideration of health and safety issues. In particular, the workforce carrying out the tasks must be actively involved in planning their operation. Consultation on methods should be a clear two-way process, giving an opportunity for both parties to contribute to decision making.
- 1.5.3 Consultation can be formal, recorded processes – or for simple issues an interactive toolbox talk or two-way discussion.

## 1.6 Contractors (including client appointed)

- 1.6.1 It is important that contractors who will be working on the project (often as sub-contractors to the principal contractor) are involved in planning how they will carry out their work safely and with due regard to health as early as is practicable.
- 1.6.2 They need to consider not only their own direct activities, but also how their activities can affect other trades working around them. As an example, welders may have their task well controlled with proper PPE and fire hazard control. However, if others from a different trade are working adjacent to them, they may be affected by fumes created by the welders and controls need to be put in place to rectify the situation.
- 1.6.3 The principal contractor must recognise that time is a resource and must inform contractors of the amount of time they will be allowed for planning and preparation before they begin work on site.
- 1.6.4 Having a properly managed period before starting work on site will also ensure that all parties are fully aware of what they should be doing and thereby assist in the smooth running of the project. It also allows contractors to use their specialist expertise and can lead to innovative ideas which often result in cost- or time- saving solutions.

## 1.7 Client appointed contractor (nominated)

- 1.7.1 On some projects contractors may be appointed directly by the client, often as nominated sub-contractors to the principal contractor. In these cases, the principal contractors must still satisfy themselves that the nominated sub-contractors have the correct competences and resources to carry out their scope of works safely and with due regard to health. Should the principal contractors have concerns over such competence and resources, they should liaise with the nominated sub-contractors on how to provide such competence and resources. If satisfactory arrangements cannot be made, the principal contractor should refuse the nomination.
- 1.7.2 The client may also appoint contractors to work directly for them as 'employer's persons'. In these cases, the principal contractor must recognise the need to co-ordinate their activities within the overall project. The principal contractor will also have the right to set down reasonable rules which the appointed contractors should meet. It is advisable to discuss with the client, prior to appointing the contractors, how the client will manage their performance and ensure that the principal contractor can carry out all of their duties.

## 1.8 Information required by contractors

- 1.8.1 It is the duty of principal contractors to provide contractors with all of the available relevant information they need to enable them to carry out their work safely and without risk to health.
- 1.8.2 Information should be provided as early as possible and updated if additional information becomes available.
- 1.8.3 Contractors should either be given copies of the pre-tender health and safety information pack (or the relevant parts), or be given access to any relevant information.

- 1.8.4 Principal contractors should add any other available information, such as plans for shared welfare facilities, or shared construction items such as the use of scaffold. Copies of the programme, clearly showing time allotted for activities and other adjacent activities where co-ordination is required should be included.
- 1.8.5 Health and safety matters should be clearly addressed at any pre-contract meeting so that all parties fully understand what their duties are. A further pre-start meeting should take place prior to beginning work to update plans and to ensure that contractors have carried out their duties such as:
- risk assessments and method statements
  - communicating with the workforce, including familiarisation with their method statement
  - providing competent management and supervisors
  - providing competent workers.

## 1.9 Co-operation and co-ordination

- 1.9.1 The principal contractor has a duty to ensure safe working and co-ordination and co-operation between contractors.
- 1.9.2 This is an essential process to ensure that all contractors working on the project are aware, on an ongoing basis, of what is expected of them, when it will be done and how. It also serves to clarify what risks may arise from the activities of others working nearby. Where there are shared facilities (for example use of scaffold) then this can be agreed so that no unexpected risks are created.
- 1.9.3 Planning for co-ordination and co-operation is usually addressed by holding regular co-ordination meetings throughout the project and when any key activity, such as a new phase or activity, commences.
- 1.9.4 Major decisions should be recorded via minutes or a file note and made available to everyone who needs to know of such decisions.
- 1.9.5 Consideration should be given to those invited to attend. As an example, whilst it is essential that CDM co-ordinators are present at meetings relating to design, it may be good practice to involve them in other meetings or let them have relevant minutes so they can keep abreast of developments with the project and fulfil their duties. It must be clearly understood that the principal contractor must manage the project and the CDM co-ordinators must only deal with parties contracted to the principal contractor via them. It is not necessary for all parties to attend every meeting and attendance should be selective.
- 1.9.6 Principal contractors need to recognise that from time to time they may need help from a party or parties outside of the regular project team if there is a need for specific expertise.

## 1.10 Health and safety plan

- 1.10.1 The principal contractors must ensure that a health and safety plan is developed to a suitable stage by their team before construction work begins.
- 1.10.2 The plan must be workable, real and regularly reviewed; it must be sufficiently developed to allow work to commence and properly address early issues such as mobilisation, welfare, demolition and ground works. It is, however, recognised that some trades that begin work later in the construction process may not have identified their contractors at the outset of the project and the health and safety plan must be expanded using their specific knowledge prior to commencing that activity.

- 1.10.3 Input from the client, designers and the CDM co-ordinator needs to be taken into account. It is the duty of the client's team to provide pre-tender health and safety information, identifying hazards and risks of which they are aware after taking all reasonable steps (for example contaminated ground, asbestos and services). This pre-tender information also gives the client's team an opportunity to set out any specific rules they may have (for example parking rules or access to occupied premises). Principal contractors should ensure that information they may reasonably require is clearly identified and allowance made for any requirements within the tender sum. The information should be taken into account when compiling the health and safety plan.
- 1.10.4 The health and safety plan should not be compiled at the start of the project and then simply filed away. It should be considered a live document, reviewed as new activities commence, changes are incorporated or programme changes alter the interfacing of activities.
- 1.10.5 Many principal contractors create their health and safety plan within a framework of integrated management incorporating health, safety, environment and quality management. The plan will therefore consist of plans for each activity, taking full account of how best to manage health and safety with due regard to the environment and to the quality defined by the client. This approach provides one definitive plan, rather than separate plans which may duplicate or even contradict each other.
- 1.10.6 The plan should include an audit process to confirm that it is working properly and to provide feedback for future projects.
- 1.10.7 See Annex E for details on the construction phase health and safety plan.

## 1.11 Competence of people appointed by principal contractor

- 1.11.1 As noted in 1.4 above, principal contractors must ensure that anyone they engage is competent and adequately resourced.
- 1.11.2 Annex A gives a framework on how to assess competence. The degree of work involved should reflect the level of risk in activities and not be an over- bureaucratic process.

## 1.12 Welfare facilities

- 1.12.1 CDM 2007 requires that the principal contractor provides suitable welfare facilities from the start of the project.
- 1.12.2 Details of what is required are available in Schedule 2 of the Regulations. Currently it is necessary to provide:
- toilet facilities clean, ventilated and properly lit (male and female)
  - washbasins with hot and cold or warm running water (large enough to wash forearms properly), soap and towels or other drying facilities
  - facilities to change into different clothes, to dry wet clothing and store clothing (male and female as appropriate)
  - clean drinking water and a supply of cups or a water fountain
  - a clean, warm place where workers can sit, make hot drinks and prepare and heat food. It should be equipped with seating with backs.
- 1.12.3 First aid arrangements should be in place, according to current legislation, and first aid boxes provided at suitable locations.
- 1.12.4 The location of first aid boxes and trained first aiders should be clearly displayed at strategic places (for example the canteen) and form part of the induction information.

- 1.12.5 When planning the layout of facilities consider issues such as:
- setting up near the site entrance to avoid the need for visitors, delivery vehicles, and so on, to cross the site to get to the offices and welfare facilities
  - vehicle routes to segregate vehicles and pedestrians where practicable
  - access on to and from the site for vehicles and pedestrians.
- 1.12.6 Thought should also be given to safety items such as a supply of posters, a hazards board, which is regularly updated, and an information board containing information such as first aid and facilities, the accident book location and how to get to the nearest hospital. The health and safety law poster must be displayed in a location to which the entire workforce has access.

## 1.13 Control of access

- 1.13.1 The principal contractor is responsible for the safety of the site and is therefore responsible for taking reasonable steps to prevent unauthorised access to the site and putting people at risk. Unauthorised persons could also cause damage or interfere with the workplace in such a way that they create risks to themselves and to workers.
- 1.13.2 Special consideration should be given where there is a likelihood that children may attempt to access the site. Principal contractors on sites located near to schools, play areas and high density residential areas need to be particularly aware of risks to children.
- 1.13.3 Sites may be fully hoarded, be fenced or (in the case of refurbishments) have access points, such as windows made secure.
- 1.13.4 A practical view needs to be taken when considering sites such as road works. If it is not practical to effectively secure the whole site, then areas where risks exist, such as excavations, compounds and fuel points, should be secured.
- 1.13.5 High risk areas such as high-voltage rooms, lift motor rooms, cranes, hoists, and so on, must be 'properly controlled'. It may be advisable to have 'permit to enter' and 'permit to work' systems for the safety sensitive areas.

## 1.14 Site rules

- 1.14.1 Principal contractors must prepare and then subsequently enforce site rules. Any rule must be reasonable and wherever possible agreed with others on site. Site rules can only be enforced if properly communicated and it is suggested that they are posted in a convenient location (such as the canteen/rest room), included in starter packs for new contractors and explained at site inductions.
- 1.14.2 As an example, site rules may include:
- access points
  - incident reporting
  - rules on smoking
  - rules on radios, iPods and so on
  - rules on parking
  - consultation methods
  - drugs and alcohol policy.

## 1.15 Passing on information

- 1.15.1 Principal contractors must provide copies of the relevant parts of the health and safety plan and site rules to anyone who needs it (including client, designers and visitors). It should be given in sufficient time for others to be able to brief their staff and to ensure that the information can be integrated within their own health and safety plans.
- 1.15.2 Providing CDM co-ordinators with copies of changes to the plan as it is updated is a good way of keeping them in touch and allowing them to fulfil their duties.

## 1.16 Design changes

- 1.16.1 The principal contractor is in charge of the site during the construction phase. There is, however, a likelihood that in many sites, designs will develop after initial construction work has commenced as specialists are identified and input to the design. There is also the possibility that client-led changes result in amendments to the design. In these circumstances, the CDM co-ordinator needs to be satisfied that the design development meets the requirements of the duties of designer and CDM co-ordinator. It must, however, be clearly understood that the principal contractors are responsible for managing site activities and control of all parties contracted to them.
- 1.16.2 The principal contractor may opt to set up a meeting, involving the CDM co-ordinator, once it is apparent that ongoing design will take place. The main contact between co-ordinator and any sub-contractors employed via the principal contractor (including designers in design-build forms of contract) must be via the principal contractor who is responsible for the construction phase.
- 1.16.3 Where the designers are employed by the client, CDM co-ordinators may deal directly but recognise their duty to co-operate with all parties. In particular, they should involve the principal contractor in order to minimise the possible impact of the changes which may have possible commercial as well as health and safety implications. There needs to be proper planning and adequate time allowed to consider any changes required to risk assessments and method statements. It may not only be the trade or area of the site where changes are taking place that may be affected by change and thought needs to be given to adjacent trades and work areas, as well as the impact on access requirements.
- 1.16.4 If temporary works are required, the CDM co-ordinator has a duty to see that they have been managed in order to ensure the safety of people who may be affected (including members of the public where applicable). The method of working chosen and the design of the temporary works remains the responsibility of the principal contractor and any of his sub-contractors who may be involved. The CDM co-ordinator does not have to check design calculations, but needs to be satisfied that robust systems, managed by competent people, are properly in place.

## 1.17 Health and safety file

- 1.17.1 Whilst it is the CDM co-ordinator's duty to compile the health and safety file, there is a duty on the principal contractor to provide promptly any information which is reasonably required.
- 1.17.2 It is good practice to agree the format and draft layout of the health and safety file as early as possible and, if possible, before starting work. Much of the information required will need to be provided by contractors, sub-contractors or suppliers and it is easier to get that information whilst they are on site rather than chasing for information at the end of the project when the sub-contractors and suppliers may have left the site and prove difficult to contact or motivate.
- 1.17.3 Thought should be given to the structure of the file for instances such as practical completion of part of the work during the overall contract. In this case, consideration needs to be given to compiling sections of the health and safety file to give to the client should they commission further work, such as shop fitting. There may also be instances where a project has one initial client but there may be several people requiring a file for their section. A developer carrying out roadworks which form part of the development but are eventually adopted by a local authority is

an example of this; a stand-alone section of the file needs to be prepared to be eventually handed on to the local authority that adopts the road.

- 1.17.4 In a similar way, developers of multi-unit retail parks needs to consider that retail units are likely to be handed over for fit-out before the whole contract is completed and hence each unit will need a separate file ready for its practical completion.
- 1.17.5 Items which could be reasonably expected to be required in a health and safety file are shown in Annex C.

## 1.18 Induction and training

- 1.18.1 It is the principal contractor's responsibility to ensure that all workers are provided with suitable health and safety induction, information and training.
- 1.18.2 The principal contractors will have a duty to provide suitable health and safety training for their own directly employed workers but not necessarily have to provide such training for contractors or sub-contractors they employ on the contract. However, they will need to include consideration of such training when assessing the competence of companies and the people working for them.
- 1.18.3 The principal contractor not only has a duty to ensure that everyone on site has a project-specific induction, but also has to be satisfied with the content of contractors' induction material if additional contractor-specific inductions are given.
- 1.18.4 The best option is that inductions are given by a senior member of the principal contractor's project team; this demonstrates commitment and allows the inductions to be a two-way process, giving feedback to a senior member of staff who is in a position to act on it.
- 1.18.5 There is a need for input from contractors and sub-contractors when their workforce is being inducted to ensure that they are fully aware of the safe system of work for their scope of activity, equipment to be used and so on.
- 1.18.6 Inductions should consider the potential impact of an activity upon other trades and on members of the public when carrying out their own activities.
- 1.18.7 A schedule of items to be covered in induction is given in Annex G.

## 1.19 Workforce involvement

- 1.19.1 The principal contractor has a duty, in common with all other CDM duty holders, to co-operate. The form of such liaising needs to be clearly identified and agreed upon prior to the start of the project. Notes of any agreement or meeting content should be kept.
- 1.19.2 In particular, there is a duty for the principal contractor to involve the workforce. The principal contractors shall make and maintain arrangements which will enable them and those workers engaged in the construction work to co-operate effectively in promoting and developing measures to ensure the health, safety and welfare of the workforce.
- 1.19.3 Consulting with the workforce can be effective in a number of ways, depending on a number of factors including:
- whether there is a union presence on site
  - the size of the site and the size of the workforce
  - the tasks to be undertaken, and the risks associated with such tasks
  - the turnover of the workforce so as to keep continuity of consultation and ensure representation from all of the trades and contractors.



- 1.19.4 Whilst there may be formal committee structures in place on large projects, this type of structure may not be appropriate for sites with few people working on them. Regular informal meetings in a tea break can often work well and help to get a positive contribution.
- 1.19.5 Other pro-active methods can include a 'working well together walkabout' where representatives of all of the trades working on site regularly conduct a "walkabout", recording issues which may be of concern and actively seeking to agree improvements which are practical and cost-effective. It is essential that where agreement on actions has been reached this agreement is clearly made public and the agreed actions are taken and are seen to be taken. This method addresses the major problem of trade turnover and worker turnover during the life of a project.
- 1.19.6 Employers should consult their workers when drawing up method statements in order to ensure that they agree to work to that method, fully understand the method and the health and safety issues arising. In particular, they need to agree and be aware of the correct plant and equipment to use and any PPE which may be required for the tasks to be carried out. The principal contractor needs to be fully satisfied that this process is in place and that any method statement takes account of adjacent and interfacing activities. Should the workers have reservations or wish to provide input for better or safer methods then they need to inform management or supervisors.
- 1.19.7 An agreed system needs to be put in place to give everyone the opportunity to notify management in the event of serious and imminent danger to persons at work. In particular, workers need to be made aware of their right to stop work and move to a place of safety. The induction must include a section that makes workers aware of how to contact managers in the case of emergencies and letting them know their rights.
- 1.19.8 The induction is also the best way to inform workers about how to input ideas or concerns outside of any formal process or committee that may have been put in place.
- 1.19.9 Toolbox talks, well presented, are another means of creating a dialogue but must be delivered as a two-way process, inviting comment and ideas.

## 1.20 Legal notice

- 1.20.1 It is the duty of the principal contractor to ensure that a properly completed project notification poster is displayed in a prominent place (for example the canteen) or places for a large project. The poster may be purchased from commercial suppliers such as Construction Industry Press or by laminating a copy of the F10 form.