

Construction Management Policy and Guidance

EST006 Estates Policies

February 2025

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1. Introduction
   1. The Construction (Design and Management) Regulations 2015 (CDM 2015) came into force on the 6 April 2015, replacing CDM 2007. CDM 2015 requires all parties involved to give sufficient time and thought to planning construction projects so that health is protected, and safety enhanced during planning, construction, subsequent repair and maintenance, and eventual demolition.
   2. These regulations place legal obligations on duty holders involved in construction projects and include clients (MHA), designers, principal designers, principal contractors, contractors, and workers.
   3. Several of the MHA properties may be actively involved with construction, demolition, or refurbishment projects. Where such projects take place, the Company becomes the ‘Client’ under the terms of CDM 2015. MHA will comply with all requirements of CDM 2015 including appointment of the Principal Designer, Principal Contractor and other Contractors and designers.
2. Scope and Purpose
   1. A number of the MHA properties may be actively involved with construction, demolition, or refurbishment projects. Where such projects take place, MHA becomes the ‘Client’ under the terms of CDM 2015 (see Duties of Client below). MHA will comply with all requirements of CDM 2015 including appointment of the Designer or Principal Designer, Principal Contractor, and other Contractors where necessary.
   2. MHA will ensure the implementation of all legal duties placed upon these roles, ensure that those involved are suitably competent and are working to and complying with the CDM 2015 regulations and the guidance contained within L153 (HSE Guidance on Regulations).
   3. The roles of Principal Designer, Principal Contractor and Contractor are not normally undertaken by MHA on projects and therefore will generally be fulfilled by external organisations working as competent specialists.
   4. The degree of input by the company to comply with the CDM Regulations will be proportionate to the complexity and difficulty of the project, and the degree of risk identified.
3. Construction Scope of Works CDM
   1. All “construction” work is covered and includes works such as:
   * Building (including landscaping, etc.)
   * Alteration
   * Conversion
   * Fitting out
   * Commissioning and decommissioning
   * Renovations
   * Repairs
   * Upkeep
   * Redecoration
   * Maintenance
   * Cleaning
   * Demolition and dismantling of structures
   1. This list is not exhaustive. Further clarification and definitions can be found in Regulation 2 of the CDM Regulations or by taking advice from MHA’s Estates Department.
   2. The following are some examples of jobs not classed as “construction work”:
   * General maintenance of fixed plant, except where this is done as part of other construction work, or it involves substantial dismantling or alteration of fixed plant which is large enough to be a structure in its own right.
   * Tree planting and general horticultural work.
   * Positioning and removal of lightweight movable partitions, such as those used to divide open plan offices or to create exhibition stands and displays.
   * Surveying
   1. This list is not exhaustive. Further clarification and definitions can be found in Regulation 2 of the CDM Regulations or by taking advice from MHA’s Estates Department.
4. Notification
   1. CDM 2015 applies to all construction work projects. There are two types of projects which fall under the scope of the CDM 2015 Regulations, notifiable and non-notifiable.
   2. Projects are notifiable where:
   * All “construction” work (the construction phase) is going to last more than 30 working days and have more than 20 workers working simultaneously at any point on a project: or
   * Exceed 500 person days.
   1. Where a construction project must be notified, the client must submit a notice in writing to the relevant enforcing authority (HSE).
   2. Note: all days on which construction work is likely to take place (including weekends and bank holidays) count towards the period of construction work.
   3. If a construction project is not notifiable at first, but there are subsequent changes to its scope so that it fits the criteria for notification, the client must notify the work to the relevant enforcing authority as soon as possible.
5. All Construction Projects
   1. CDM 2015 applies to all construction projects, whether notifiable or not. Where there will be more than one contractor involved on a project, MHA must appoint a Principal Designer (PD) and a Principal Contractor (PC). Both parties must have the skills, knowledge, and experience and, if they are an organisation, the organisational capability, necessary to fulfil the role they are appointed to undertake, in a manner that secures the health and safety of any person affected by the project. The Principal Designer must be able to act as MHA’s key project advisor in matters of construction health and safety.
   2. Early appointment of the Principal Designer is crucial and should be made as early as possible in the design process, if practicable at the concept stage. The duration of the Principal Designer’s appointment should consider any design work which may continue into the construction phase or any issues which may arise during construction involving the need to modify the design.
   3. Where a Principal Designer’s appointment finishes before the end of the project, MHA must ensure that the Principal Contractor is fully briefed on matters arising from designs relevant to any subsequent construction work. MHA must also make sure that the PD passes the Health and Safety File to the PC so that it can be revised or added to during the remainder of the project.
   4. MHA will ensure that:
6. A CDM Advisor is appointed as early as possible to fulfil the duties identified in MHA’s CDM Schedule of Duties (Appendix B of this document).
7. A CDM Advisor is appointed as early as possible using the Schedule of Services for the CDM Client Advisor under CDM 2015 (Appendix C of this document).
8. A competent Principal Contractor is appointed until the end of the construction phase design work, other than initial design works, is not started until the Principal Designer is appointed.
9. The construction phase does not start unless there is a suitable health and safety plan of work in place.
10. Satisfactory welfare facilities are in place from the start of the works.
11. The Health and Safety File is retained after the construction phase has finished.
12. Where relevant, the project is notified to HSE as early as possible, and the notification updated if the details change. This can be done ‘online’ and can be done by MHA’s CDM advisor on their behalf.
13. There is good co-ordination and co-operation of the health and safety aspects of design work involved in the project between all parties involved.
14. Pre-construction information is passed to the relevant appointed persons.
15. There is good communication between all parties.
16. The general principles of risk prevention are applied where risks are identified.
17. Sufficient time and resources are allowed for planning and welfare facilities to be properly organised for the project.
18. Other duties may apply depending on the project and roles undertaken by MHA.
19. Principal Designer
    1. MHA will appoint an external competent Principal Designer to assist with the project who satisfies all or most of the following requirements:
    * A knowledge and experience of the type of work planned
    * A knowledge and understanding of risks, how to control them and of relevant standards
    * An understanding of the need to combat risks at source including those affecting the efficient on-going running and maintenance of the project
    * Has adequate resources available
    * Has evidence of training in that work and records to demonstrate individual and group competency
    1. MHA will use its own internal Contractors Health and Safety Questionnaire (Appendix D of this guidance document) and Marking Sheet (Appendix E of this document) to help set standards of competence for appointments and to assess the competence level of potential Principal Designers, Principal Contractors, Designers or Contractors who may be appointed by MHA.
20. Project Information
    1. Following reasonable enquiries about the land being developed or buildings due to be refurbished, MHA will provide all necessary information on health and safety to the Principal Designer and Principal Contractor. This will include, for example, information about land contamination, the presence of asbestos or information about adjoining sites / buildings.
21. Principal Contractor
    1. MHA will appoint a competent Principal Contractor for the Project Construction phase who, prior to or during tendering, has demonstrated that they have the following:
22. A knowledge and experience of the type of work planned
23. A knowledge and understanding of risks, how to control them and of relevant standards
24. A safety policy and organisational arrangements for safely managing the work on site
25. The availability of competent health and safety advice to the management team as required and defined under the Management of Health and Safety at Work Regulations 1999
26. Adequate site safety arrangements including supervision and management resources available
27. Evidence of training and records to demonstrate individual and group competencies
28. Satisfactory completion of Methodist Homes Association” CDM – Contractor H&S Questionnaire (Appendix D).
    1. It is the legal responsibility of the Principal Contractor to manage the Construction Phase of a project on which more than one contractor will be employed
    2. The Principal Contractor is responsible for appointing contractors required to provide specialist works on the construction phase of the project. It is the legal responsibility of the Principal Contractor to manage safely any contractors appointed and to obtain written evidence that they will be always working in a safe manner.
    3. Prior to starting work contractors must provide written evidence of proposed safe working methods for the Principal Contractor.
29. Designer (or Principal Designer)
    1. Where it is necessary to arrange for a Designer (or Principal Designer) to prepare a design for “construction” work, MHA will ensure that they have the necessary skills, knowledge and experience and are adequately resourced to carry out their health and safety responsibilities.
    2. Where more than one contractor is allocated to the project a “Principal Designer” will be appointed.
30. Health and Safety
    1. MHA will ensure, so far as is reasonably practicable, that a suitable construction phase plan has been prepared by the principal contractor before construction work commences. Throughout the project the Principal Contractor must ensure that the construction phase plan is appropriately reviewed, updated, and revised as necessary to ensure that work is carried out, so far as is reasonably practicable, without risk to health and safety.
    2. The Principal Designer (or where there is no Principal Designer, the Principal Contractor) will ensure that the Health and Safety File is provided for MHA at the end of any project. The file will be made available to future contractors planning to carry out repair and maintenance work at the property.
    3. The Health and Safety File will be kept for the life of the building. If the building is sold, the Health and Safety File (or a copy) must be forwarded to the new occupier.
31. Duties of the Client
    1. As the client for construction, demolition and refurbishment projects, MHA will ensure that the following duties are adhered to, so far as is reasonably practicable:
32. Make sure suitable arrangements are established, maintained, and reviewed for managing a project, including allocation of sufficient time and other resources. Arrangements are suitable if they ensure that:
33. The construction work can be carried out, so far as reasonably practicable, without risks to the health or safety of any person affected by the project; and:
34. The welfare facilities required by schedule 2 are provided in respect of any person carrying out construction work.
35. Ensure designers and contractors appointed have the skills, knowledge, and experience necessary to fulfil the role that they are appointed to undertake.
36. Provide pre-construction information including details of site hazards to every designer or contractor appointed or being considered for appointment.
37. Before the construction phase begins, a construction phase plan is drawn up by the contractor if there is only one contractor, or by the principal contractor.
38. Ensure the principal designer prepares a health and safety file for the project (health & safety file only required for projects involving more than one contractor)/
    1. Where there is more than one contractor working on a project, appoint in writing, and ensure these parties execute their duties:
    * A designer with control over the pre-construction phase as principal designer
    * A contactor as principal contractor.
    1. Note: where the client does not appoint either of the above, the client will fulfil these duties
39. Pre-Contract Meetings
    1. Pre-contract meetings are used on larger projects to enable all relevant parties to meet and discuss key aspects of the proposed project and to plan for future foreseeable issues which may require significant decisions or controls. It is important that where works will affect the Home or Scheme, Managers are involved at the earliest possible stage on construction projects and are sent copies of any relevant paperwork so they can contribute to the project where necessary and comment on safety issues which will affect their colleague and residents.
40. Roles and Responsibilities

| Role | Responsibilities |
| --- | --- |
| **All MHA Colleagues** | * To abide by the content of this policy and to ensure they are aware of any relevant changes that impact on their roles. |
| **Principal Contractor** | * To manage the Construction Phase of a project on which more than one contractor will be employed. |
| **Home and Scheme Managers** | * Home and Scheme Managers and colleagues must report any safety concerns relating to work being undertaken on their premises to the Head of Estates so that issues can be dealt with promptly. |
| **Senior Managers** | * Senior managers are accountable for ensuring adequate systems are established for managing construction, refurbishment, or demolition projects safely. |
| **Head of Estates** | * The Head of Estates in co-operation with their team, will ensure compliance with this policy and CDM 2015 by applying the MHA CDM guidance and current risk assessment procedures. Relevant MHA colleagues will receive adequate instruction and training to ensure they are able to competently fulfil their responsibilities as detailed in this policy. * Whether or not a member of MHA personnel is involved in the project alongside the Principal Designer, will depend on the type and size of the project and whether adequate resources are available. Such arrangements will require approval from the Head of Estates. |

1. Training and Monitoring
   1. Compliance is assessed through direct observation, monitoring, and supervision of our colleagues.
   2. Whilst there is no explicit legal requirement to monitor safety standards on a construction project MHA will ensure that all contractors undertaking works on our behalf, whether on a large Notifiable project or a small non-notifiable project, are working legally, safely and with due care and attention.
   3. MHA will undertake close monitoring and ensure strong communication between relevant parties on all construction projects. Monitoring activities and frequency will be agreed before the construction work commences.
2. Communication and Dissemination
   1. This policy is disseminated and implemented within all MHA services through MHA’s channels of communication.
   2. Each colleague’s line manager must ensure that all teams are aware of their roles, responsibilities.
   3. This policy will be available to the people we support and their representatives in alternate formats, as required.
   4. Any review of this policy will include consultation with our colleagues, review of support planning, incident reports, quality audits and feedback from other agencies.
   5. Queries and issues relating to this policy should be referred to the Standards and Policy Team [policies@mha.org.uk](mailto:policies@mha.org.uk)
3. Resources
   1. MHA policy documents, procedures and guidance
   * Health & Safety Questionnaire for Contractors, Principal Designers and Designers
   1. External Resources
   * Construction (Design and Management) Regulations 2015 (CDM 2015)
   * Schedule of Services for CDM Client Advisor under CDM 2015
   * CDM Schedule of Duties
   * Health & Safety Questionnaire for Contractors, Principal Designers and Designers
   * CDM Competence Assessment – Marking Sheet (MHA use only)
   * General Responsibilities under CDM 2015
4. Appendices
   * Appendix 1 - CDM Schedule of Duties
   * Appendix 2 - Schedule of Services for CDM Client Advisor under CDM 2015
   * Appendix 3 - Health & Safety Questionnaire for Contractors, Principal Designers and Designers
   * Appendix 4 - CDM Competence Assessment – Marking Sheet (MHA use only)
   * Appendix 5 - General Responsibilities under CDM 2015

Appendix 1- CDM Schedule of Duties

| **Reg No.** | **What the Regulation says:** | **Duty** |
| --- | --- | --- |
| 4(1) | A client must make suitable arrangements for managing a project, including the allocation of sufficient time and other resources. | **MHA** |
| 4(2) | Arrangements are suitable if they ensure that—  (a) the construction work can be carried out, so far as is reasonably practicable, without risks to the health or safety of any person affected by the project; and  (b) the facilities required by Schedule 2 are provided in respect of any person carrying out construction work. | CDM Advisor |
| 4(3) | A client must ensure that these arrangements are maintained and reviewed throughout the project. | **MHA** |
| 4(4) | A client must provide pre-construction information as soon as is practicable to every designer and contractor appointed, or being considered for appointment, to the project. | **MHA must provide information about the project. CDM Advisor to assist in identification and preparation of information.** Where a Principal Designer has been appointed, MHA can give this information to the PD and ask him/her to provide it to all other parties to the project. Where no PD has been appointed, then MHA must do this. |
| 4(5) | A client must ensure that—  (a) before the construction phase begins, a construction phase plan is drawn up by the contractor if there is only one contractor, or by the principal contractor; and  (b) the principal designer prepares a health and safety file for the project, which:  (i) complies with the requirements of regulation 12(5).  (ii) is revised from time to time as appropriate to incorporate any relevant new information; and  (iii) is kept available for inspection by any person who may need it to comply with the relevant legal requirements. | (a) CDM Advisor to check the contents/ suitability of the Construction Phase Plan on MHA’s behalf.  (b)(i) It is the responsibility of the Principal Designer to prepare the Health & Safety File.  (b)(ii) & (iii) **It is the responsibility of MHA to maintain, update and keep available the Health & Safety File** |
| 4(6) | A client must take reasonable steps to ensure that:  (a) the principal designer complies with any other principal designer duties in regulations 11 and 12; and  (b) the principal contractor complies with any other principal contractor duties in regulations 12 to 14. | **MHA** |
| 4(7) | If a client disposes of the client’s interest in the structure, the client complies with the duty in paragraph (5)(b)(iii) by providing the health and safety file to the person who acquires the client’s interest in the structure and ensuring that that person is aware of the nature and purpose of the file. | **MHA** |
| 4(8) | Where there is more than one client in relation to a project:  (a) one or more of the clients may agree in writing to be treated for the purposes of these Regulations as the only client or clients; and  (b) except for the duties specified in sub-paragraph (c) only the client or clients agreed in paragraph (a) are subject to the duties owed by a client under these Regulations.  (c) the duties in the following provisions are owed by all clients— (i) regulation 8(4); and  (ii) paragraph (4) and regulation 8(6) to the extent that those duties relate to information in the possession of the client. | **MHA** |
| 5(1) | 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. | **MHA** |
| 5(2) | The appointments must be made as soon as is practicable, and in any event, before the construction phase begins. | **MHA** |
| 5(3) | If the client fails to appoint a principal designer, the client must fulfil the duties of the principal designer in regulations 11 and 12. | **MHA** |
| 5(4) | If the client fails to appoint a principal contractor, the client must fulfil the duties of the principal contractor in regulations 12 to 14. | **MHA** |
| 6(2) | Where a project is notifiable, the client must give notice in writing to the Executive as soon as is practicable before the construction phase begins. | CDM Advisor |
| 6(4) | Where a project includes construction work of a description for which the Office of Rail Regulation is the enforcing authority by virtue of regulation 3 of the Health and Safety (Enforcing Authority for Railways and Other Guided Transport Systems) Regulations 2006, the client must give notice to the Office of Rail Regulation instead of the Executive. | CDM Advisor |
| 8(1) | A designer (including a principal designer) or contractor (including a principal contractor) appointed to work on a project must have the skills, knowledge, and experience and, if they are an organisation, the organisational capability, necessary to fulfil the role that they are appointed to undertake, in a manner that secures the health and safety of any person affected by the project. | Note |
| 8(2) | A designer or contractor must not accept an appointment to a project unless they fulfil the conditions in paragraph 8(1). | **MHA must determine that anyone fulfilling this role, including MHA colleague, has the appropriate skills, knowledge, and experience** |
| 8(3) | A person who is responsible for appointing a designer or contractor to carry out work on a project must take reasonable steps to satisfy themselves that the designer or contractor fulfils the conditions in paragraph 8(1). | **MHA**/CDM Advisor |
| 8(4) | A person with a duty or function under these Regulations must cooperate with any other person working on or in relation to a project, at the same or an adjoining construction site, to the extent necessary to enable any person with a duty or function to fulfil that duty or function. | **This duty applies to all parties to a project including MHA** |
| 8(6) | Any person who is required by these Regulations to provide information or instruction must ensure the information or instruction is comprehensible and provided as soon as is practicable. | **This duty applies to all parties to a project including MHA** |

Appendix 2 - Schedule of Services for CDM Client Advisor under CDM 2015

The Client Advisor shall assist the client (MHA) with discharging their duties under the Construction (Design and Management) Regulations 2015. These services are to:

* + Meet and discuss with the client his duties under CDM 2015.
  + Aid with the identification and appointment of Principal Designer and Principal Contractor
  + Confirm with the client and other duty holders the arrangements for managing the project (including the allocation of sufficient time and other resources) including project communication, roles, and responsibilities.
  + Aid the client in the identification and preparation of the pre-construction information required by regulation 4 (4); for forwarding to the Principal Designer
  + Advise on the methods to be adopted to check the competence and adequacy of resources of proposed Principal Designer, Designers, and the proposals Principal Contractor as appropriate for the project.
  + Monitor and review the Principal Designer’s procedures for working with designers; to identify, eliminate or control, so far as is reasonably practicable, foreseeable risks to the health and safety of any person carrying out or liable to be affected by construction work, maintaining, or cleaning a structure or using a structure designed as a workplace.
  + Liaise with the client with regards to the proposed mobilisation period and prepared for submission the F10 notification of the project to the Health & Safety Executive (HSE) as required by the CDM Regulations 2015.
  + Check the Principal Designer complies with their duties under CDM Regulation 11 and 12.
  + Submit notification of the project to the HSE on behalf of the client.
  + Liaise with the Principal Contract and advise the Client when the Construction Phase Plan has been suitably developed by the Principal Contractor to enable the client to allow the construction phase of the project to commence on site.
  + Check the Principal Contractor complies with the duties in regulations 12 to 14 and advise the client of this check
  + Review the provision of welfare arrangements with respect to compliance with Schedule 2 of the CDM Regulations.
  + Monitor the on-going development of the Health & Safety file development by either the Principal Designer or the Principal Contractor during the project in accordance with Regulation 12.
  + Monitor the delivery of the Health & Safety File to the client in conformity with Regulation 12(10)
  + Undertake site inspections to review that the Principal Contractor complies with regulations 12 to 14 including compliance with Schedule 2 of the CDM Regulations.

Appendix 3 - Health & Safety Questionnaire for Contractors, Principal Designers and Designers

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **1.0** | **COMPANY** | | | |
| 1.1 | Company Name | |  | |
| 1.2 | Correspondence Address | |  | |
| 1.3 | Telephone No | |  | |
| 1.4 | E-mail | |  | |
| 1.5 | Parent Company (if any) | |  | |
| 1.6 | Company Type – Public Ltd/ Private Ltd/ Partnership/Other | |  | |
| 1.7 | Company Registration No | |  | |
| 1.8 | Number of Colleagues | |  | |
| Management | |  |  |
| Professional | |  |  |
| Administrative | |  |  |
| Total | |  |  |
| 1.9 | Key Personnel | | Please provide details of the key people who are responsible for the implementation and monitoring of CDM related duties | |
| Name  Position  Qualifications | |  | |
| Name  Position  Qualifications | |  | |
| Name  Position  Qualifications | |  | |
| **STAGE 1** | | | | | |
| **2.0** | | **HEALTH & SAFETY** | | | |
| **2.1** | | **Policy** | Please supply a copy of your Health & Safety Policy | | |
| **2.2** | | **Arrangements** | If not included in your Policy, please provide details of the arrangements for the management of health and safety within your organisation, including how these are communicated to the workforce | | |
|  | | | |
| **2.3** | | **Advice** | Please provide details of who (internal or external) provides the organisation with competent health and safety advice | | |
| **Name**  **Position**  **Qualifications** |  | | |
| **2.4** | | **Training and Information** | Please provide details of how you provide training to ensure that your colleagues have the skills and knowledge to discharge their duties under the CDM Regulations | | |
|  | | | |
| **2.5** | | **Individual Qualifications and Experience** | | | |
| **a.** | | Percentage of colleague who have passed a construction health & safety assessment (CITB screen test or similar) |  | | |
| **b.** | | **For contractors only** Details of colleague possessing professional qualifications – RICS, MCIOB etc |  | | |
| **c.** | | **For contractors only** Details of site workers possessing S/NVQ Certificates |  | | |
| **b.** | | **For designers and principal designers only**  Details of colleague possessing professional qualifications – RIBA, CIAT etc |  | | |
| **c.** | | **For designers and principal designers only**  Provide details of specific H&S qualifications e.g., ICE Construction Health & Safety Register, NEBOSH, Registered member of APS, etc. |  | | |
| **2.6** | | **Monitoring, Audit & Review** | | | |
|  | | Provide details and evidence of your monitoring, audit, and review arrangements for your H&S procedures |  | | |
| **2.7** | | **Workforce Involvement** | | | |
|  | | Provide details and evidence of the means of consulting your workforce on H&S matters |  | | |
| **2.8** | | **Accident Reporting** | | | |
|  | | Provide details of any enforcement action taken over the past 5 years. |  | | |
|  | | Provide the records for the most recent two accidents/incidents |  | | |
|  | | Provide statistics of incidence rates and reportable cases over the past three years |  | | |
| **2.9** | | **Sub-contracting/ consulting procedures (if applicable)** | | | |
|  | | Provide details of how you assess, appoint, and monitor sub-contractors to ensure that they are competent. |  | | |
| **2.10** | | **Hazard Elimination and Risk Control** | | | |
|  | | **For Designers only** Describe and provide evidence of how you co-operate and co-ordinate design work within the design team and other designers/contractors to ensure that hazards are eliminated, and risks controlled. |  | | |
| **2.11** | | **Risk Assessment** | | | |
|  | | **For Contractors only** Please describe and provide evidence of the procedures which you have in place for carrying out risk assessments and implementing safe methods of working |  | | |
| **2.12** | | **Co-operating and co-ordinating with others** | | | |
|  | | **For Contractors only**  Illustrate how co-operation and co-ordination with other contractors is achieved in practice and provide evidence of risk assessments and procedures |  | | |
| **2.13** | | **Welfare Provision** | | | |
|  | | **For Contractors only**  Indicate how you will ensure that appropriate welfare facilities will be provided before work on site commences. |  | | |
| **2.14** | | **Principal Designer’s duties** | | | |
|  | | **For Principal Designers only**  Provide examples to demonstrate how you encourage co-operation, co-ordination, and communication between designers |  | | |
| **STAGE 2** | | | | | |
| **1.0** | | **WORK EXPERIENCE** | | | |
|  | | Provide details of relevant experience in the field of care homes and housing for older people. |  | | |

Appendix 4 - CDM Competence Assessment – Marking Sheet (For MHA use only)

|  |  |  |  |
| --- | --- | --- | --- |
| **Stage 1** | | | |
|  |  | **Mark** | **Comments** |
| **1** | **H&S Policy** |  |  |
| **2** | **Arrangements** |  |  |
| **3** | **Advice** |  |  |
| **4** | **Training and Information** |  |  |
| **5a** | **Individual Qualifications and Experience** |  |  |
| **5b** |  |  |  |
| **5c** |  |  |  |
| **6** | **Monitoring, Audit & Review** |  |  |
| **7** | **Workforce Involvement** |  |  |
| **8** | **Accident Reporting** |  |  |
| **9** | **Sub-contracting/ consulting procedures (if applicable)** |  |  |
| **10** | **Hazard Elimination and Risk Control** |  |  |
| **11** | **Risk Assessment** |  |  |
| **12** | **Co-operating and co-ordinating with others** |  |  |
| **13** | **Welfare Provision** |  |  |
| **14** | **Principal Designer’s duties** |  |  |
| **Stage 2** | | | |
| **1** | **Work Experience** |  |  |
|  |  |  |  |
|  | **Total** |  |  |

**MARKING**

**Excellent – 5**

**Good – 4**

**Average – 3**

**Poor – 2**

**Very poor – 0**

**Threshold for competence = 75% = 64 points out of a potential 85**

**A mark of 0 (very poor) in any category will disqualify.**

Appendix 5 - General Responsibilities under CDM 2015

**Client Responsibilities**

As the client for construction, demolition and refurbishment projects, MHA will ensure that the following duties are adhered to, so far as is reasonably practicable:

1. Make sure suitable arrangements are established, maintained, and reviewed for managing a project, including allocation of sufficient time and other resources. Arrangements are suitable if:
2. if the construction work can be carried out, so far as reasonably practicable, without risks to the health or safety of any person affected by the project.
3. the welfare facilities required by Schedule 2 are provided in respect of any person carrying out construction work.
4. Ensure designers and contractors appointed have appropriate skills, knowledge, and experience.
5. Provide pre-construction information including details of site hazards to every designer or contractor appointed or being considered for appointment.
6. Before the construction phase begins, a construction phase plan is drawn up by the contractor if there is only one contractor, or by the principal contractor.
7. Ensure the principal designer prepares a health and safety file for the project (health & safety file required for projects involving more than one contractor).
8. Where there is more than one contractor working on a project, appoint in writing:
   * A designer with control over the pre-construction phase as principal designer.
   * A contactor as principal contractor.

Note: Where the client does not appoint either of the above, the client will fulfil these duties).

**Designer Responsibilities**

1. Designers are those who prepare or modify designs for a building, product or system relating to construction work.
2. For construction projects, designers will: -
   * Inform the client of their CDM responsibilities before construction work commences
   * Design out or minimise risks associated with their designs so far as is reasonably practicable
   * Provide information regarding residual risks to the principal designer and ensure appropriate information is included in the health and safety file.

**Principal Designer’s Responsibilities (applicable to projects involving more than one contractor)**

Principal Designers can be an organisation or an individual with sufficient knowledge, experience, and ability to carry out the role.

For construction projects, principal designers will:

* + Plan, manage and monitor the pre-construction phase with regard to health and safety.
  + Take account of any construction phase plan and existing health and safety file.
  + Identify risks that are likely to arise while carrying out construction work or use of the premises following construction work.
  + Ensure the design team, design out or minimise risks associated with designs, so far as is reasonably practicable.

**Principal Contractor’s Responsibilities (applicable to projects involving more than one contractor)**

Principal Contractors are contractors appointed by the client to coordinate the construction phase of a project.

For construction projects, principal contractors will:

* + Plan, manage and monitor the construction phase of the project to ensure that work is undertaken safely.
  + Liaise with the client and principal designer.
  + Prepare a construction phase plan.
  + Organise cooperation between contractors and coordinating their work.
  + Ensure suitable site inductions are provided.
  + Take reasonable measures to prevent unauthorised access onto site.
  + Consult and engage with workers regarding health and safety.
  + Provide welfare facilities.

**Contractor’s Responsibilities**

Contractors are those that do the actual construction work and can be either an individual or company.

For construction projects, contractors will:

* + Provide each worker under their control with adequate supervision, instruction, and training so that they can undertake work safely.
  + Plan, manage and monitor construction carried out under their control.
  + For projects involving more than one contractor comply with directions given to them by the principal designer and principal contractor.
  + For single contractor projects prepare a construction phase plan.
  + Undertake relevant risk assessment and method statements.

**Worker’s Responsibilities**

Workers are the people who work for or are under the control of a contractor on a construction site. For construction projects, workers will:

* + Take care of their own health and safety and others who may be affected by their actions.
  + Report anything, they see which is likely to endanger their own or others health and safety.
  + Cooperate with others and coordinate work to ensure the health and safety of construction workers and others who may be affected by their work.

1. Version Control

| Version | Version Date | Revision Description / Summary of Changes | Author and Review Panel | Next Review Date |
| --- | --- | --- | --- | --- |
| 2 | February 2022 | No change – review date extended by 1 year.  Policy moves from H&S ownership to Estates. | Standards and Policy Manager  Current Version (Head of H&S) | February 2023  Review postponed until: February 2024 |
| 3 | April 2024 | No change – review date extended. | Standards and Policy Manager | November 2024 |
| 4 | December 2024 | No change – review date extended.  Branding compliance. | Standards and Policy Manager | April 2025 |
| 5 | February 2025 | Review date extended from April 2025 to June 2025 as agreed by the Chief Operating Officer. | Standards and Policy Manager | June 2025 |