**Guidance**

Where Thames Water acts as the client under the CDM regulations, you must ensure that the client duties and responsibilities are adhered to. This template provides you with guidance to confirm we are compliant and is available on the SpheraCloud (Safeguard) system as a checklist to record your findings and raise any actions that are required to implement our client duties under the regs. This is a LIVE document and must be subject to regular review throughout the lifecycle of the project records of which should be retained and readily retrievable.

Note: the information provided will be relevant to the scale and complexity of the project:

|  |  |  |  |
| --- | --- | --- | --- |
| **Project Title:** |  | **Project Manager:** |  |
| **Project Reference:** |  | **Principal Designer:** |  |
| **Date:** |  | **Principal Contractor:** |  |
| **Completed by:** |  | **Next planned review:** |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Section** | **Guidelines for assessment** | **Assessment** | | | **Comments/Actions required by whom by when.** |
| **Yes** | **No** | **N/A** |
| **1.** | **Responsibilities under CDM as a client** |  |  |  |  |  |
| ***a*** | Have you received CDM awareness training or a briefing? | *As the Client you have a crucial influence over how Projects / works are run, including the management of health and safety risks. Whatever the project size, the client has contractual control, appoints designers and contractors, and determines the time and other resources for the project; to understand your role and responsibilities.*  *(All replacement, refurbishment or construction work whether notifiable or not; falls under the CDM Process, whether it is carried out by operational teams or contractors and suppliers). Go to HSP 7 / CDM Tool Kit in the Health and Safety section in SharePoint / H&S Hub.* |  |  |  |  |
| ***b*** | Have you attended the CDM client duties training session? |  |  |  |  |
| ***c*** | Have you checked that the project/work team is adequately resourced? |  |  |  |  |
| ***d*** | Have you read the Procedure HSP7 and reviewed the CDM tool kit? |  |  |  |  |
| ***e*** | Do you have a scope of works? |  |  |  |  |
| ***f*** | Has the scope of works been developed into a client / project brief to be handed to the contractor? |  |  |  |  |
| ***g*** | Have you checked there is a H&S file available and has it been made available to the project team? |  |  |  |  |
|  | **Section** | **Guidelines for assessment** | **Assessment** | | | **Comments/Actions required by whom by when.** |
| **Yes** | **No** | **N/A** |
| **2** | **Will the project exceed 30 days and/or 500 person days (notifiable projects)?** |  |  |  |  |  |
| **a** | Have you submitted an F10 through the Thames Water F10 approval system following the F10 guidance (HSI34)? | *After checking that the principal designer and designer, principal contractor has the capability and necessary skills, knowledge, training and experience to fulfil their duties you must appoint them to this role. An individual or team within Thames Water can undertake the designer role but must demonstrate the necessary skills, knowledge and capability. Where gaps are identified support can be provided by others within the team or external parties.*  *(Principal designer or designer Appointment Letter use HSI16, and Principal Contractor Appointment Letter HSI17) you can find the HIS’s in Thames Water CDM High Level Process in HSP 7 in the Health and Safety section in SharePoint / H&S Hub).)* |  |  |  |  |
| **b** | Has a copy of the F10 for this project/ work been made available and displayed at the site location? |  |  |  |  |
| **c** | Have you appointed a Principal Designer for the project and checked their competencies (HSI31)? |  |  |  |  |
| **d** | Has the appointed Principal Designer been assigned their duties under the Thames Water framework agreements if they are an external party? |  |  |  |  |
| **e** | Have you appointed a Principal Contractor for the project and checked their competencies? |  |  |  |  |
| **f** | Has the appointed Principal Contractor been assigned duties under the Thames waters framework agreements? |  |  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Section** | **Guidelines for assessment** | **Assessment** | | | **Comments/Actions required by whom by when.** |
| **Yes** | **No** | **N/A** |
| **3** | **Project/ client brief** |  |  |  |  |  |
| **a** | Has the project been provided with existing site hazard information (HSI14)? | *HSI30 template is to be used to set out general requirements of the project. As the client you have a duty for providing clear instruction to all of those involved, which is essential to the success of the project and keeping everyone involved safe.*  *(Client Project Brief template use HSI30 you can find a link in Thames Water CDM High Level Process in HSP 7 in the Health and Safety section in SharePoint / H&S Hub).* |  |  |  |  |
| **b** | Have you identified any Control Philosophy, Instrumentation and/or Alarms and SCADA? |  |  |  |  |
| **c** | Have you identified what PPM and O&M manuals are relevant to the project? |  |  |  |  |
| **d** | Have you provided the electrical and lifting test certificates for any identified plant or equipment relevant for the project? |  |  |  |  |
| **e** | Have you assessed (Asset/ Essential) Standards and codes of practice for the project? |  |  |  |  |
| **f** | Have you identified and assigned Responsibilities to the duty holders? |  |  |  |  |
| **g** | Have you assessed the requirements for Testing, Commissioning and Training? |  |  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Section** | **Guidelines for assessment** | **Assessment** | | | **Comments/Actions required by whom by when.** |
| **Yes** | **No** | **N/A** |
| **4** | **Project/ work team resources** |  |  |  |  |  |
| **a** | Does your project / work team have the capability and necessary skills, knowledge, training and experience to fulfil their appointed roles / duties? | *Ensure you review the Thames Waters training matrixes / LOAD to ensure your team (if work / projects are being undertaken by Operations).* |  |  |  |  |
| **b** | Have you reviewed and resourced the right personnel to fulfil your duties under CDM; whether your project is notifiable for non-notifiable? |  |  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Section** | **Guidelines for assessment** | **Assessment** | | | **Comments/Actions required by whom by when.** |
| **Yes** | **No** | **N/A** |
| **5** | **Selecting a competent contractor** |  |  |  |  |  |
| **a** | Have you reviewed ‘Engaging with contractors and suppliers’ (HSI22)? | *Ensure you review the Thames Waters framework agreements which identifies for contractors to have the necessary skills, knowledge and capabilities to fulfil their appointed roles / duties.* |  |  |  |  |
| **b** | Have contractors been Achilles assessed and is it in date? |  |  |  |  |
| **c** | Do they have the right level of resources? |  |  |  |  |
| **d** | Are they competent to carry out the type of work activity? |  |  |  |  |
| **e** | Are they clearly able to fulfil their appointed roles / duties; whether your project is notifiable or non- notifiable? |  |  |  |  |
| **f** | Has the contractor been made aware of the following - Thames Water Essential Standards, Visual Standards, LifeSaving Commitments? |  |  |  |  |
| **g** | If they are using sub-contractors, are they capable and have the necessary skills, knowledge, training and experience to fulfil their duties to carry out the work activity? |  |  |  |  |
| **h** | Has the contractor been made aware of H&S Hub and the CDM toolkit? |  |  |  |  |
| **i** | Have all those been identified to work on behalf of Thames Water attended the TW Passport qualification (for all work on our behalf) and the Capital Delivery Induction (for CD projects only)? |  |  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Section** | **Guidelines for assessment** | **Assessment** | | | **Comments/Actions required by whom by when.** |
| **Yes** | **No** | **N/A** |
| **6** | **Pre-construction information/ existing site hazards** |  |  |  |  |  |
| **a** | Have the existing site hazards been identified by the Controller of Premises (COP) and provided to the contractor (HSI14)? | *HSI14 is to be used to identify the existing hazards on site and shall be provided by the Controller of Premises and passed to the project team to further develop the pre-construction information (HSI18) and pass hand over to the Principal Designer/Designer to ensure they use the information to further prepare the information in conjunction with the Risk Register (HSI12) at the very early stages of design. These documents are live documents and must be subject to regular review throughout the lifecycle of the project, records of which should be retained and readily retrievable.*  *(These documents can be found using a link in Thames Water CDM High Level Process in HSP 7 in the Health and Safety* *section in SharePoint / H&S Hub).* |  |  |  |  |
| **b** | Has the pre-construction information been provided to the Principal Designer/ Designer (HSI18)? |  |  |  |  |
| **c** | Has the Principal Designer/ Designer identified and prepared a risk register relevant to the works (HSI12), using the information provided in the HSI14 & 18? |  |  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Section** | **Guidelines for assessment** | **Assessment** | | | **Comments/Actions required by whom by when.** |
| **Yes** | **No** | **N/A** |
| **7** | **The Construction phase H&S plan** |  |  |  |  |  |
| **a** | Has the pre-construction review document been completed with the project team? (Stage Gate Process - 4) | *Where Thames Water acts as the client for construction work notifiable under CDM, you must ensure the construction phase health and safety plan is suitable before work commences on site.*  *The template (HSI19) provides guidance as to the content of a well-managed project construction phase health and safety plan.*  *It must have:*  *• A project description and programme details including any key dates*  *• A brief summary including title, location, what3words address, start/end dates, project description and programme milestones must be included*  *• Management structure and responsibilities to be named*  *The template can be found using a link in Thames Water CDM High Level Process in HSP 7 in the Health and Safety section in SharePoint / H&S Hub* |  |  |  |  |
| **b** | Have you reviewed and agreed the construction phase H&S plan provided meets the requirements of the client/ project brief before work starts on site? |  |  |  |  |
| **c** | Have the RAMs and SSoW been produced after reading the Thames Water Essential/ Visual Standards and lifesaving commitments and incorporated any relevant controls? |  |  |  |  |
| **d** | Have the RAMS been reviewed and approved by a competent person representing the client? |  |  |  |  |
| **e** | Have you engaged with the help of specialists/ technical teams where necessary for high risk/ complex work within the project? |  |  |  |  |
| **f** | Has a TWOSA or TOCOP (whichever is appropriate) been issued to the contractor carrying out the work? |  |  |  |  |
| **g** | Is there evidence that an isolation plan has been produced and is in place with the contractor where necessary? |  |  |  |  |
| **h** | Has a specific site induction been created and provided for all of those visiting or working on site? |  |  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Section** | **Guidelines for assessment** | **Assessment** | | | **Comments/Actions required by whom by when.** |
| **Yes** | **No** | **N/A** |
| **8** | **Key activities to be recorded in the construction phase H&S plan** |  |  |  |  |  |
| **a** | Has a description of the project been produced to identify key activities? | *Where Thames Water acts as the client for construction under CDM, you must ensure the construction phase plan is suitable before work commences on site. This template (HSI 19) provides you with guidance as to the content of a well-managed project phase plan; whether the replacement, refurbishment or construction work is notifiable or not.*  *The information provided will be relevant to the scale and complexity of the project and sets out the schedule of the key activities for the project / work be it replacement, refurbishment or construction work notifiable or not; and sufficient time has been allowed to complete the key activities*  *(Replacement, refurbishment or Construction Phase H&S Plan template link can be found within HSP 7 HSI-19 in the Health and Safety section in SharePoint / H&S Hub).* |  |  |  |  |
| **b** | Has the management structure and responsibilities been identified? |  |  |  |  |
| **c** | Are arrangements in place for controlling significant site risks? |  |  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  | **Guidelines for assessment** | **Assessment** | | | **Comments/Actions required by whom by when.** |
| **Yes** | **No** | **N/A** |
| **9** | **Welfare facilities** |  |  |  |  |  |
| **a** | Are the welfare facilities appropriate / suitable for scale and complexity of the project? | *HSI 20 template provides you with an aide memoire checklist to ensure all welfare facilities have been considered and implemented; the information provided will be relevant to the scale and complexity of the project. (Ensure Control measures are implemented in welfare units, offices and on site activities are covered by guidance for any pandemics or on-going health issues, you can find a link to the HSI 20 in Thames Water CDM High Level Process in HSP 7 in the Health and Safety section in SharePoint / H&S Hub).)* |  |  |  |  |
| **b** | If arrangements have been made for the use of the Ops site welfare facilities, has this been communicated to those working on the project/ work to identify which areas they can use? |  |  |  |  |
| **c** | Are there suitable and sufficient washing facilities, (including showers if required by the nature of the work or for health reasons)? |  |  |  |  |
| **d** | Are suitable arrangements in place to ensure that meals can be prepared and eaten? |  |  |  |  |
| **e** | Are control measures implemented in welfare units, offices for pandemics such as C-19 or on-going health issues? |  |  |  |  |
| **f** | Is the current CLC guidance implemented for construction site activities? |  |  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  | **Guidelines for assessment** | **Assessment** | | | **Comments/Actions required by whom by when.** |
| **Yes** | **No** | **N/A** |
| **10** | **Chemicals and explosive atmospheres** |  |  |  |  |  |
| **a** | Whether temporary or permanent, if there is an increase in chemicals or petrol carbons storage identified, have you followed the guidance in HSP34 regarding COMAH? | *HSP34 and HSP2 can be found on the Thames Water H&S SharePoint pages* |  |  |  |  |
| **b** | If this increase will create a potentially explosive atmosphere area, has the responsible person (DSEAR) been informed as per HSP2? |  |  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  | **Guidelines for assessment** | **Assessment** | | | **Comments/Actions required by whom by when.** |
| **Yes** | **No** | **N/A** |
| **11** | **Project-specific health and safety advice** |  |  |  |  |  |
| **a** | Has the appointed principal contractor appointed / identified a health and safety advisor to the project? |  |  |  |  |  |
| **b** | Does the appointed contractor’s H&S team have the relevant level of training to provide specific health and safety advice for the project? |  |  |  |  |
| **c** | Have contractors / health and safety advisors been trained in the Thames Water incident reporting systems (SpheraCloud)? |  |  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  | **Guidelines for assessment** | **Assessment** | | | **Comments/Actions required by whom by when.** |
| **Yes** | **No** | **N/A** |
| **12** | **Health and safety arrangements** |  |  |  |  |  |
| **a** | Have you programmed weekly / monthly update meeting? | *SHE checklists can be found on the Thames Water H&S SharePoint pages and on SpheraCloud* |  |  |  |  |
| **b** | Have the right people been invited to the meetings, such as the principal designer, designer, project manager, COP/DCOP and principal contractor? |  |  |  |  |
| **c** | Have you and your contractors completed an incident escalation process to be specific to the project and site key contacts and is it available for all to see and follow (for all CD projects, a template has been created and must be used, this can be found on TWEXnet in the BC assure document section)? |  |  |  |  |
| **d** | Have you a program for site inspections, monitoring and client scored inspections in place and recorded on SpheraCloud? |  |  |  |  |
| **e** | Are you using the SHE6 forms to capture the site activities, specifically the SHE 6D - Capital Delivery Field Observation, Construction site practice checklist SHE 6I, Construction site management checklist SHE 6H? |  |  |  |  |
| **f** | Has the project been visited by a Senior manager using the SHE7 form? |  |  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  | **Guidelines for assessment** | **Assessment** | | | **Comments/Actions required by whom by when.** |
| **Yes** | **No** | **N/A** |
| **13** | **Final handover arrangements** |  |  |  |  |  |
| **a** | Is there a handover checklist/ document? |  |  |  |  |  |
| **b** | Has a SHE17 been completed and signed off by COP/ Operations? |  |  |  |  |
| **c** | Have you received all the specific test certificates for the project? |  |  |  |  |
| **d** | Have all training requirements been received/completed, and personnel signed off? |  |  |  |  |
| **e** | Have all asset specifications been inserted into the health and safety file for on-going operating, maintenance & repair, including where changes/ alterations have been made to the site i.e. building removal, service locations above or below ground? |  |  |  |  |
| **f** | For new / refurbished assets, are you completing the SHE17 inspection form, as a phased approach and at identified key milestones of a project? |  |  |  |  |
| **g** | On like for like installations (where the project is not notifiable) has snagging, commissioning and handover checks been completed? |  |  |  |  |
| **h** | Have you been handed a completed H&S file (HSI21) by the Principal Designer? |  |  |  |  |

**Document Control**

|  |  |  |  |
| --- | --- | --- | --- |
| **Distribution: hard/soft copy** | | | |
| Prepared By | Name | Position | Date |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| Distributed to | Name | Position | Date |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| * + - 1. **Version Control: hard/soft copy** | | | |
| * + - 1. Version | * + - 1. date Issued | * + - 1. Summary of change | * + - 1. Produced /Revised by |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**The latest version of this document can be located at** *<insert location here>*