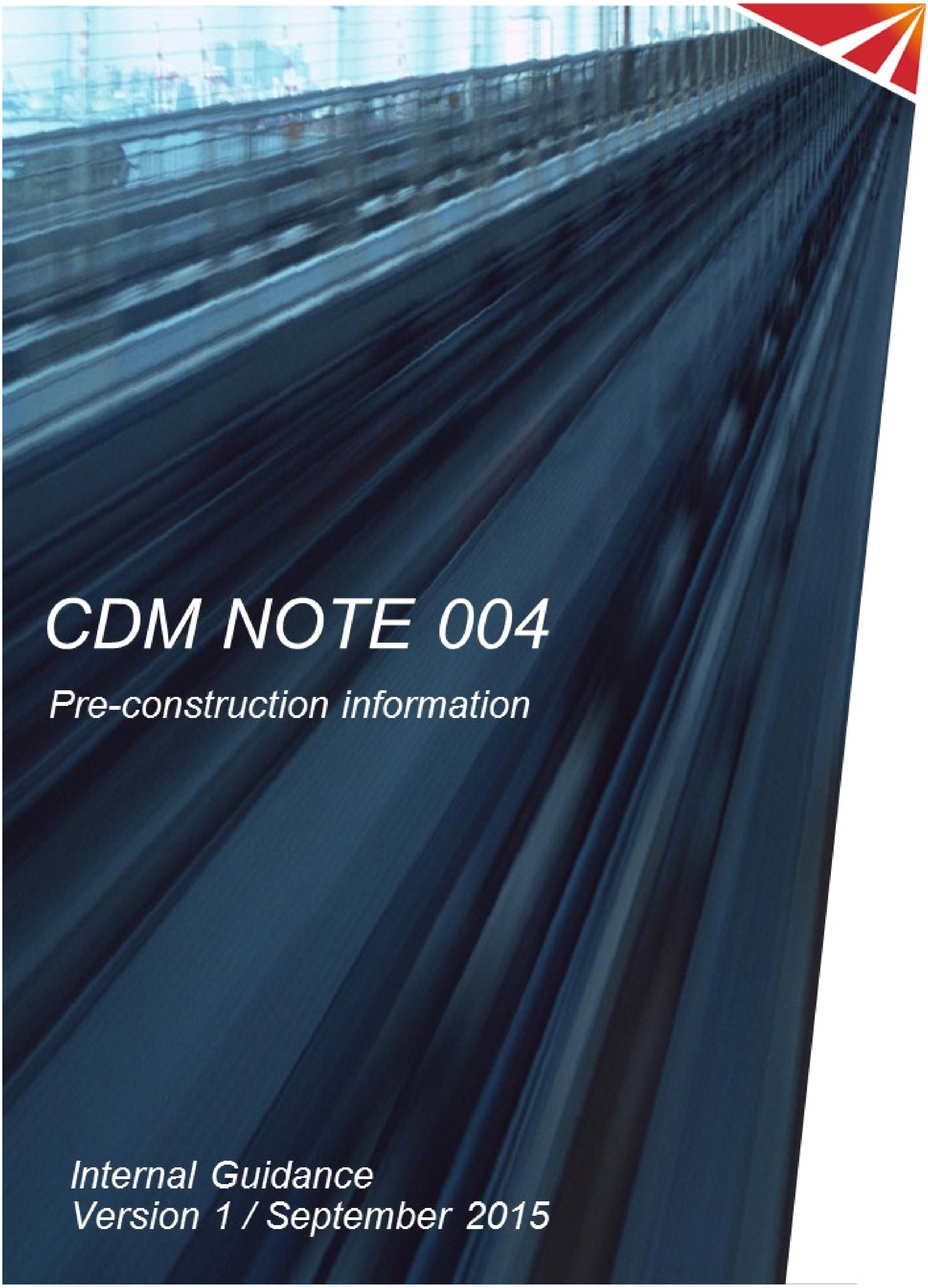
NetworkRail



CDM NOTE 004

Pre-construction information

Internal Guidance
Version 1 / September 2015

CDM Note 004:
Pre-construction Information

Introduction

The CDM Regulations 2015 requires that the Client provides pre-construction information. Network Rail in most cases will be the Client for changes to our infrastructure. The aim of this CDM Note is to provide guidance on;

- What pre-construction information is.
- Where it can be found.
- Suggestions for methods of providing it to others.

This note does not provide details of the wider aspects of the CDM Regulations 2015, as these are covered by construction industry guidance and other internal Network Rail CDM Notes;

- CDM Regulations 2015,
- CITB Principal Designers Guidance
- HSE L153 Guidance on the Construction (Design and Management) Regulations 2015.

This note and other Network Rail internal CDM Notes are available from:

- Safety Central – CDM 2015
- CDM Note 1 – Client Arrangements
- CDM Note 2 – Principal Designer appointment
- CDM Note 3 – CSM REA & CDM
- CDM Note 5 – Maintenance & CDM 2015

CDM Note 004:
Pre-construction Information

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1.0 Brief background and history

The requirement to provide pre-construction information in one form or another has been a requirement of the first iteration of the CDM Regulations. In the CDM Regulations 1994 the requirement was for the Planning Supervisor to prepare a “pre-construction phase plan”, which contained all the required information, to enable a designer or contractor to manage the risks appropriate for their appointment.

In the CDM Regulations 2007, the requirement of the “pre-construction phase plan” was replaced with the requirement for the Client to provide “pre-construction information”. The HSE ACoP L144 broadly required the same information to be provided under the 1994 and 2007 version of the CDM Regulations - but as a continual flow of information rather than in the format of a single document.

What happened generally in the construction and rail industries is that the “pre-construction phase plan”, became rebadged as the “Pre-construction information pack”. Often these tombs of a document contained, or referenced all the historical information relating a site or structure that could be found. Where information was not available then the Client was advised by the CDM co-ordinator to procure the information. Often the Principal Contractor would be contracted to fill the gaps, and to read all the information to find the relevant health and safety information. Some better CDM co-ordinators provided pre-construction information packs that listed all the significant hazards, with then references to the supporting information containing the details, including where there were gaps and omissions.

The intent behind the CDM Regulations 2007 was for relevant pre-construction information to be “provided to right person, at the right time”. This dynamic flow of information never really saw wide-spread construction industry implementation. The exceptions were often on those projects where a centralised document management system was mandated on all project parties, and the project had the funding to resource its administration.

A general construction industry issue with the provision of pre-construction information was often at what point in time the information should be provided. The pre-construction information should be provided to all those that tender for a project, with the intent that they can use this information to price for the risks – both for uncertainly and for the time and resources to eliminate or manage the risks. In some cases there can be commercial or time pressures not to provide the pre-construction information at the tender stage, or for the tenderer not to specifically price for the risk, as it may make their bid look commercially uncompetitive; this is clearly against the letter and spirit of the regulations.

The CDM Regulations 2015 reconfirms the approach that 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.”

2.0 What is pre-construction information?

The CDM Regulations 2015 defines pre-construction information in regulation 2 interpretation; an extract of this definition is provided in figure 1.

> "pre-construction information" means information in the client's possession or which is reasonably obtainable by or on behalf of the client, which is relevant to the construction work and is of an appropriate level of detail and proportionate to the risks involved, including—
>
> (a) information about—
>
> (i) the project;
>
> (ii) planning and management of the project;
>
> (iii) health and safety hazards, including design and construction hazards and how they will be addressed; and
>
> (b) information in any existing health and safety file;

Figure 1 - Regulation 2 Interpretation – extract

3.0 Where does Network Rail keep its pre-construction information?

Network Rail has a challenge in managing its asset information; due to the age, size, complexity of our infrastructure, and the volume of change that we are undertaking.

Figure 2 outlines some of the sources of information that we possess. The list should not be considered definitive. It is important to point out that our sources information not only includes our records and electronic systems; but the knowledge of our staff built up from the day-to-day of working with our infrastructure and introducing enhancements.

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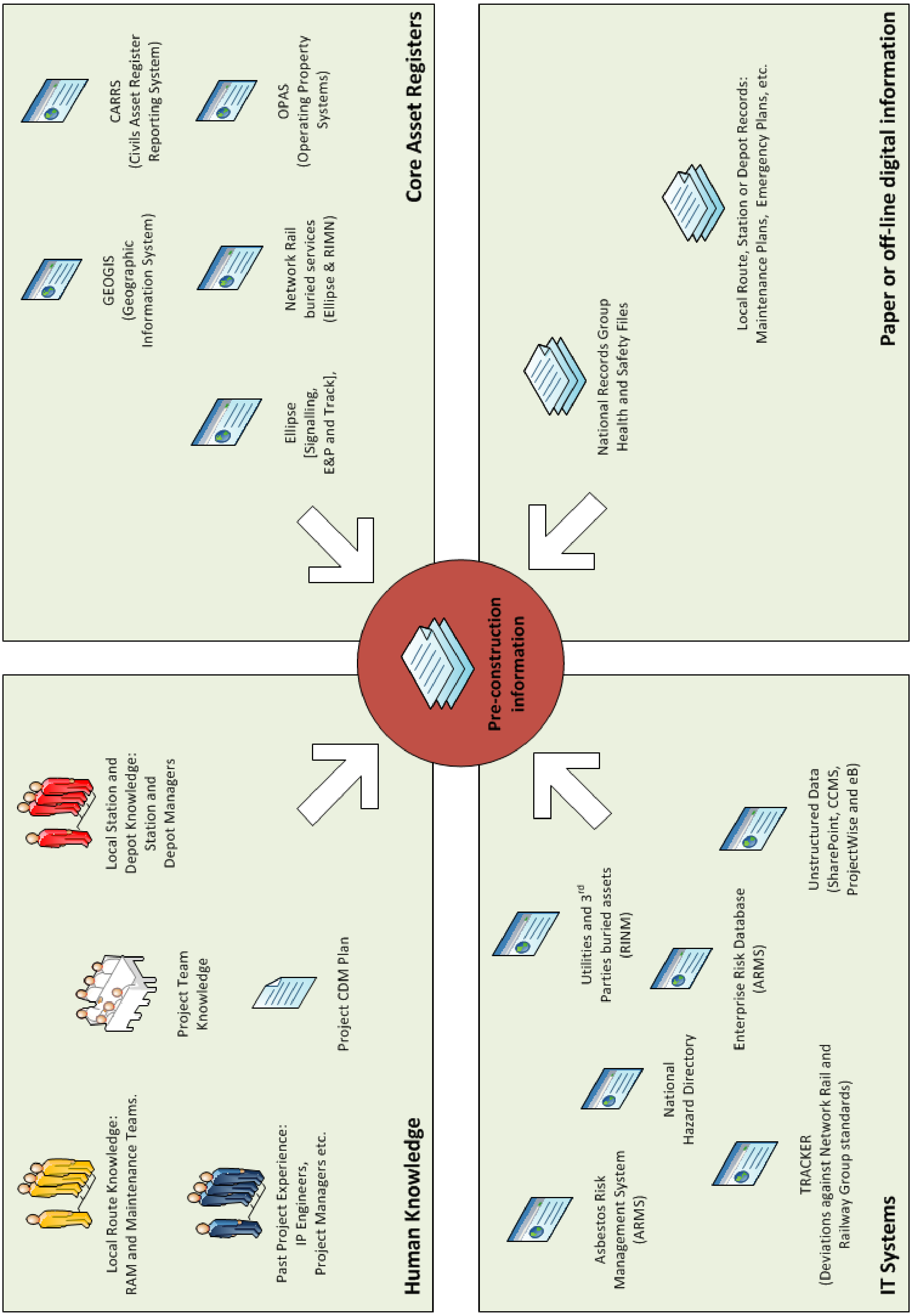

Figure 2: Pre-construction information diagram

4.0 Methods for providing pre-construction information

There are many different options for how Network Rail can provide pre-construction information to the various designers and contractors. Some of the methods are described below, including consideration of their suitability. In reality, more than one method may be used over the project life-cycle, as appropriate to that project. The Client's Representative will need to consider what the best approach of providing this hazard information, and document the approach in project's CDM Plan.

4.1 Pre-construction information pack

Our existing standard (NR/L2/OHS/0047, issue 6) on the application of the CDM Regulations and the previous version (issue 5) both mandate that template F0002 is used to create a "pre-construction information pack" for construction works. This template includes example text and suggestions of the information that is required to be collected together. The template can be modified to suit the business unit's CDM Management Arrangements, but if changed too much will require a variation against the standard to be raised.

The benefits of the pre-construction information pack, is that is provides a "single source of truth" at key project stages in a self-contained format that can be easily distributed as a bundle.

This pre-construction information pack is likely to be produced during the early GRIP stage (1 to 3) by a combination of Network Rail and external designers (where they are appointed). The pre-construction information pack can then be used as part of the tender documents for GRIP 4 and onwards.

The preparation of the pre-construction information pack is labour intensive, and even more so to keep it up to date throughout the project as a live document. Several pre-construction information packs may be required where design is constructed in a phase approach. The costs of resourcing this will be required to be considered and factored into the project budget and programme.

Where there is a diverse range of supply chain organisations, tailored pre-construction information packs may be required to be produced; so as to remove information that is not relevant to the scope of that individual appointment. This is to avoid unrequired information "hiding" the valuable information about the real hazards.

4.2 Pre-construction information register / Hazard Record

Pre-construction information packs have a risk of becoming overlarge, and containing irrelevant information – a result of the author trying to "cover everything" and not leave something out. An alternative approach is to include the hazards that the information explains or identifies into a project register; or preferably the project's Hazard Record. The register can clearly list the hazard, and then contain links or references to the original reports or information, to enable the reader to understand the details. This risk based approach will help to provide only the information relevant and not overload people with information not relevant to their appointment.

The register based approach can also provide control and a clear understand of which version of various documents are considered to the “live” or current versions for the project.

4.3 Self-service information depositories

Section 3 of this CDM note, has outlined some of the systems where the different pre-construction information is stored within Network Rail’s systems. Most of these systems can be accessed by internal or external parties (directly or indirectly). Sometimes we require organisations to pull the relevant information from these systems for themselves. The disadvantage of this approach is the lack of assurance evidence and checking, that the pre-construction has been taken and understood.

This method may be appropriate where:

- We appoint an external Principal Designer with the remit to review and collect the pre-construction information and inform Network Rail of any gaps.
- Where the Client’s Representative can implement sufficient checks that the designers and contractors have accessed and understood the information. This could be through periodic team meetings during the project, as an example.

Where Network Rail is performing the role of Principal Designer or Principal Contractor, then those parts of the organisation will have direct access to the information depositories. Rather than duplicating activities to collect the information and provide it to another part of Network Rail, the Client Representative could check that the other part of Network Rail have suitable arrangements in place department for accessing and briefing this information. This check would form part of the Client Representative assessment of organisational capability of Principal Design or Principal Contractor. For example, that their CDM Management Procedures (as required by our standard NR/L2/OHS/0047) identifies the roles and responsibilities for accessing the information, identifying the hazards and then briefing the people who need to know.

4.4 Pre-construction information briefings

Holding a two-way conversation with someone directly is one of the most effective methods to ensure that another person has received and understood information. A pre-construction information briefing or workshop can be delivered by the Client or Principal Designer. They would prepare a presentation highlighting the hazards from the design and the structure. This gives an opportunity for the other parties (contractors and designers) to ask questions for clarification. By recording attendance and the information provided, Network Rail will have assurance evidence that it has provided the pre-construction information and that is was understood.

Where appropriate the project could commission the Principal Designer undertake these briefings, and provide Network Rail assurance that they have been carried out on a project.

For smaller and low risk projects, a variation of this could be a “site walkover” or “pre-start meeting” where hazards are physically pointed out to the designer or contractor. A set of walkover notes could be used to record the hazards discussed and any additional record information required. This allows for undocumented “local knowledge” to be shared.

4.5 Document Management Systems

There are numerous document management systems on the market, and Network Rail utilise different products for projects and business units. Most document management systems enable a document to be issued to another user of the system, and track that they have opened the document. Some more advanced systems enable workflows to be devised, which enables questions to be raised, or for assurance tracking. The risk, is that the just because a document has been issued, an assumption is made that the receiver has read and understood the issues that it contains.

A document management system can be used as a document store, and “links” to the data provided through the Pre-construction information pack and Pre-construction information register.

Major programmes or complex projects should consider the impacts and need to keep a “local copy” of pre-construction information outside of the corporate information depositories.

5.0 When should we provide preconstruction information?

The CDM Regulations 2015 reconfirms the approach that 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.” This will include to Network Rail’s own in-house design staff from another part of the organisation, and using the “self-service” access to Network Rail’s systems. Projects will have contractual and project process in place for the management and transfer of information between parties. These might be a good place to escalate the request for pre-construction information that you require.

If as a designer or contractor you are not provided with pre-construction information, then you should request it either from Principal Designer or Principal Contractor, or Client’s Representative for your project. Who you will request it from initially will depend on the project arrangements defined in your CDM Plan for the project. If the information is not provided in a reasonable amount of time, then this could be considered a breach of the Network Rail Life Saving Rules:

- Always be sure the required plans and permits are in place, before you start a job or go on or near the line.

It would be appropriate to raise the lack of provision of pre-construction information, using the Network Rail close call system.