****Additional guidance can be found by hovering over an “information” icon.

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| **CDM Duty Holders** |
| **Client(s):****Information**  | Network Rail Infrastructure Limited | **Accountable contact:****Information** | Project Manager |
| **Designer(s):****Information** |  | **Accountable contact:****Information** | . |
| **Contractor(s):****Information** |  | **Accountable contact:****Information** |  |
| **Principal Designer:****Information** |  | **Accountable contact:****Information** |  |
| **Principal Contractor:****Information** |  | **Accountable contact:****Information** |  |

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| **Signature Page** **Information** |
| **Role** | **Name** | **Signature** | **Date** |
| **Project Manager:****Information** |  |  |  |
| **Sponsor:** |  |  |  |
| **Asset Manager:** |  |  |  |
| **Designated Project Engineer:** |  |  |  |
| **Client Accountable Contact:****Information** | See Project Manager above |  |  |
| **Designer Accountable Contact:****Information** |  |  |  |
| **Contractor Accountable Contact:****Information** |  |  |  |
| **Principal Designer Accountable Contact:****Information** |  |  |  |
| **Principal Contractor Accountable Contact:****Information** |  |  |  |

| **No.** | **Question** | **Answer** | **How is this evidenced?** | **Link to Evidence** |
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| **Client** |
| 1**Information** | Can the project demonstrate that everyone involved in the project has the required skills, knowledge and experience and/or organisation capability when discharging the following duties? |  |
| 1a | Client | Yes | Individual competence / knowledge is assured by their robust recruitment process, and ongoing training and development. Organisational competence is outlined in the company’s Health and Safety Management System. | [Add links to documents] |
| 1b | Designer | Yes | If a Designer is required a contract is issued and such a contract would only be awarded to a RISQS accredited company. If no such contract is awarded Network Rail assumes the role. | [Add links to documents] |
| 1c | Contractor | Yes | NRT only awards contracts to licensed principal contractors and their competence is assured by the licensing process. | [Add links to documents] |
| 1d | Principal Designer**Information** | Yes | If a Principal Designer is required a contract is issued to a RISQS accredited contractor. If no such contract is awarded Network Rail assumes the role. | [Add links to documents] |
| 1e | Principal Contractor**Information** | Yes | NRT only awards contracts to licensed principal contractors and their competence is assured by the licensing process. | [Add links to documents] |
| 2**Information** | Have those undertaking CDM duties on behalf of Network Rail received the Network Rail CDM briefing or training? | Yes | Training and briefing records. | [Add links to documents] |
| 3**Information** | If there is more than one Client, has a lead Client been identified, and are there arrangements in place, and documented to demonstrate these arrangements?  | Not Applicable |  | [Add links to documents] |
| 4**Information** | Has the Client made suitable arrangements for managing the project, including the ongoing review? | Yes | The Project Manager and DPE are aware and are responsible for its implementation through review meetings. | [Add links to documents] |
| 5**Information** | How has sufficient time and resources been planned for all stages of the project? | Provide evidence | The integrated programme provides such assurance. | [Add links to documents] |
| 6**Information** | If a Principal Contractor and Principal Designer are not required, what assurance processes are in place to demonstrate that any Designer or Contractor complies with their legal duties? | Detail the assurance processes and provide evidence | NRT would only award a contract to an organisation that are in the RISQS Scheme which exists purely to provide that assurance. | [Add links to documents] |
| 7**Information** | If a Principal Designer is required has one been appointed in writing by the Client? | Choose an item. | If a Principal Designer is required a contract is issued. If no such contract is awarded Network Rail assumes the role. | [Add links to documents] |
| 8**Information** | If a Principal Contractor is required has one been appointed in writing by the Client? | Choose an item. | This will be achieved via contract award. | [Add links to documents] |
| 9**Information** | What assurance processes are in place to demonstrate that the Principal Designer and Principal Contractor comply with their legal duties? | Choose an item. | Ongoing monitoring, KPI’s etc. | [Add links to documents] |
| 10**Information** | Has a Form 10 (F10) been submitted?**Information** | Choose an item. |  | [Add links to documents] |
| 11**Information** | What arrangements are in place to identify, eliminate, reduce and record significant construction H&S risks? | Choose an item. | Principal Designer’s risk log starts the process and they and the Principal Contractor then maintain it. | [Add links to documents] |
| 12**Information** | Has pre-construction information been completed and provided to the [Principal] Designer and [Principal] Contractor?  | Choose an item. |  | [Add links to documents] |
| 13**Information** | Has a request for previous H&S Files (QF705) been requested through National Records Group and provided as part of pre-construction information? | Choose an item. |  | [Add links to documents] |
| 14**Information** | Has the QF703 and Deliverable Document Matrix (DDM) been agreed by the Client and signed off by National Records Group (NRG)? | Choose an item. |  | [Add links to documents] |
| 15**Information** | On completion (or part completion on long-term projects) does the information provided in the H&S File align with the QF703 and DDM and a QF702 issued by NRG? | Choose an item. |  | [Add links to documents] |
| 16**Information** | Has the [Principal] Contractor submitted a Construction Phase Plan to the Client for acceptance prior to commencement of the works? | Choose an item. |  | [Add links to documents] |
| 17**Information** | How does the Client make sure workers are provided with suitable welfare facilities? | Detail how this is undertaken | NRT ensures that no site works commence until such facilities are available and then checks on them through the monitoring regime. | [Add links to documents] |
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| **Designer** **Information** |
| D1**Information** | Has the Client been made aware of their duties? | Yes | Individual competence / knowledge is assured by their robust recruitment process, and ongoing training and development. Organisational competence is outlined in the company’s Health and Safety Management System. | [Add links to documents] |
| D2**Information** | How are the principles of prevention and any pre-construction information considered when preparing or modifying designs? | Choose an item. |  | [Add links to documents] |
| D3**Information** | If the risks cannot be eliminated how does the Designer:* take steps to reduce or control the risks during the subsequent design process;
* provide information about risks; and
* include information in the H&S file?
 | Choose an item. |  | [Add links to documents] |
| D4**Information** | Has sufficient information about the design, construction or maintenance of the structure been provided with the design to assist the Client, other Designers and contractors? | Choose an item. |  | [Add links to documents] |
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| **Principal Designer** **Information** |
| PD1**Information** | How do you demonstrate the arrangements have been planned, managed and monitored during the pre-construction phase?  | Choose an item. |  | [Add links to documents] |
| PD2**Information** | How are the principles of prevention considered when design, technical and organisational aspects are being decided to plan various items or stages of work which are to take place simultaneously or in succession and when estimating the time to complete the work or stages of work? | Choose an item. |  | [Add links to documents] |
| PD3**Information** | How do you make sure that foreseeable risks have been identified, eliminated or controlled? | Choose an item. |  | [Add links to documents] |
| PD4**Information** | How do you make sure all designers comply with their duties? | Choose an item. |  | [Add links to documents] |
| PD5**Information** | How do you make sure everyone working in relation to pre-construction phase cooperates with each other? | Choose an item. |  | [Add links to documents] |
| PD6**Information** | How do you assist the Client in the provision of Pre-Construction Information, and provided it to every Designer and Contractor? | Choose an item. |  | [Add links to documents] |
| PD7**Information** | How do you:* liaise with the Principal Contractor;
* share with the Principal Contractor information relevant to the planning, managing and monitoring of the construction phase; and
* coordinate H&S matters during the construction phase?
 | Choose an item. |  | [Add links to documents] |
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| **Contractor** **Information** |
| C1**Information** | Has the Client been made aware of their duties? | Yes | Individual competence / knowledge is assured by their robust recruitment process, and ongoing training and development. Organisational competence is outlined in the company’s Health and Safety Management System. | [Add links to documents] |
| C2**Information** | What arrangements are in place to demonstrate that you have planned, managed and monitored construction work carried out by your organisation or by workers under their control?  | Choose an item. |  | [Add links to documents] |
| C3**Information** | Where there is only one contractor working on the project how do you consider the general principles of prevention when:1. design, technical and organisational aspects are being decided in order to plan various items or stages of work which are to take place simultaneously or in succession; and
2. when estimating the period of time to complete the work or stages of work?
 | Choose an item. |  | [Add links to documents] |
| C4**Information** | Where there is only one contractor working on the project has a Construction Phase Plan been produced and accepted by the Client? | Choose an item. |  | [Add links to documents] |
| C5**Information** | How is the Construction Phase Plan reviewed, updated and revised? Where is this documented | Choose an item. |  | [Add links to documents] |
| C6**Information** | How do you employ or appoint persons to work with the necessary skills, knowledge, training and experience for the task? | Choose an item. |  | [Add links to documents] |
| C7**Information** | How do you provide each worker with appropriate supervision?  | Choose an item. |  | [Add links to documents] |
| C8**Information** | How do you provide each worker with appropriate instructions and information? Does the information include:* suitable site induction;
* procedures to follow in the event of serious and imminent danger to H&S;
* information on H&S risks; and
* other information necessary to enable the worker to comply with statutory provisions?
 | Choose an item. |  |  |
| C9**Information** | Have you taken reasonable steps to prevent access by unauthorised persons? | Choose an item. |  | [Add links to documents] |
| C10**Information** | Have you made sure that welfare facilities are provided and maintained? | Choose an item. |  | [Add links to documents] |
| C11**Information** | Where more than one project is undertaking work in the same area at the same time (including within possessions / worksites) what arrangements are in place to clarify who is on control during the construction phase? How do you and other [Principal] Contractors where applicable:* cooperate with each other;
* coordinate your work; and
* taking account of shared interfaces between the activities of each project (e.g. shared traffic routes, Road Rail Access Points)?
 | Choose an item. |  |  |
| C12**Information** | Where there is more than contractor working on the project how does the Contractor comply with directions given by the Principal Designer or Principal Contractor and the parts of the Construction Phase Plan that are relevant to their work?  | Choose an item. |  | [Add links to documents] |
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| **Principal Contractor** **Information** |
| PC1**Information** | Has a Construction Phase Plan been produced and accepted by the Client? | Choose an item. |  | [Add links to documents] |
| PC2**Information** | Has the Principal Designer assisted you (the Principal Contractor) in preparing the Construction Phase Plan by providing information such as Pre-Construction Information and any information from Designers? | Choose an item. |  | [Add links to documents] |
| PC3**Information** | How is the Construction Phase Plan reviewed, updated and revised? | Choose an item. |  | [Add links to documents] |
| PC4**Information** | How is information for inclusion in the H&S File provided to the Principal Designer? Where is this documented? | Choose an item. |  | [Add links to documents] |
| PC5**Information** | What arrangements do you have in place to demonstrate that the construction phase has been planned, managed and monitored? | Choose an item. |  | [Add links to documents] |
| PC6**Information** | How do you consider the principles of prevention when design, technical and organisational aspects are being decided to plan various items or stages of work which are to take place simultaneously or in succession and when estimating the time to complete the work or stages of work? | Choose an item. |  | [Add links to documents] |
| PC7**Information** | How do you:* organise cooperation between contractors;
* coordinate implementation of H&S legal requirements by every contractor;
* ensure employers (and self-employed persons) apply the principles of prevention and follow the Construction Phase Plan;
* ensure a site induction is provided;
* take steps to prevent unauthorised access;
* provide and maintain welfare facilities; and
* consult and engage with workers?
 | Choose an item. |  | [Add links to documents] |
| PC8**Information** | Where more than one project is undertaking work in the same area at the same time (including within possessions / worksites) what arrangements are in place to clarify who is on control during the construction phase? How do you and other [Principal] Contractors where applicable:* cooperate with each other;
* coordinate your work; and
* taking account of shared interfaces between the activities of each project (e.g. shared traffic routes, Road Rail Access Points)?
 | Choose an item. |  | [Add links to documents] |