

Pre-commencement Meeting process

A guide

Version 1.0 – Final draft

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1 Introduction

The current PCM process and forms have been in place for over a decade. Recent events on the national forest estate (NFE) suggest that the process and resulting forms need reviewing. This review is currently being managed by a PCM working group, comprising members from the three countries.

We, in Safety, Health and Environment (SHE), have written this guide primarily for front line contract managers and supervisors across all functions and activities (HM, FM, Civil, Rec, Env, Planning and Estates). To create guidance that can cover all contract operations and contract arrangements is proving complex, so there will be an ongoing requirement for more guidance and support. However, everyone in the target group must read and adhere to this guidance. A priority is high-risk operations, and for ease, these are operations that involve wheels, tracks, chainsaws and compounds that can damage the environment.

Currently, there is a limited amount of guidance on operational contract management (e.g. [OGB3c](#) Sections 18 & 25). However, there is a significant amount of guidance on contract procedures, administration and procurement. In order to remedy this, guidance will be created for the following core areas:

- the PCM Process; and
- operational contract management.

This guide will focus on the PCM process and is aimed at providing you, the target audience, with the following:

- a broad understanding of safety culture – Section 1.2;
- an outline of the PCM process (gateways) – Section 2;
- low-risk multi-site PCM process (non-site based PCM) – Section 3;
- contract still 'live' - repeat PCMs – Section 4;
- emergency works – Section 5;
- operations requiring more discussion and interim guidance – Section 6;
- an explanation of the PCM Forms and their use; and
- appendices and supporting documentation – Sections 8, 9 and 10.

The PCM process leads into operational contract management. The latter guidance is still under development and will be launched separately.

1.1 Context

This guidance refreshes and modernises the current PCM process. It will be supported with how to manage the process, how to work through the Gateways, the boundaries that you can work within, our responsibilities as a Landowner or

Client or Contract Manager and our expectations of FWMs and Principle Contractors.

The guidance is also intended to support the contract manager and supervisor in re-engaging with contract FWMs on safety (both health and environment). It is in line with the Health and Safety Summit, where safety culture was discussed and from which the Forest Industry Safety Accord (FISA) emerged.

A successful outcome of this guidance would be where the contract manager and front line supervisor feel fully supported in making decisions based on sound reasoning throughout the PCM process that either:

- **prohibits** the start of an operation; or
- **approves** the start of an operation.

It will always be one or the other, there will be no half way house.

An example (harvesting related)

FD Planning teams present coupes to Operational teams who then prepare these coupes for sale via the Open Market or LTCs, or both. The Work Plan process (or equivalent) will include information relevant to the PCM on:

- safety and environmental constraints; and
- operational constraints, such as timing, logistics and harvesting method etc.

The Ops team pulls this information together and presents it within the:

- Contract Mapper outputs, such as location, hazards and constraints and operations maps;
- catalogue entries; and
- contract conditions – site specific.

This all forms part of the pre-PCM process. It is the information that the Ops team gives the customer or contractor so they can reply to this information with method statements, risk assessments and competencies (contractor certification). The PCM is generally the environment that 'signs off' this process, and post PCM, the site is technically live.

So what is wrong? Arguably there is nothing wrong with the process, but the following is a non-exhaustive list of issues that front line staff encounter at the PCM stage:

- contractor certification is not available;
- contractors not identified;
- RAs lacking substance and often not site-specific;
- secondary activities, such as haulage not understood; and
- operational methods not identified.

The irony of the above is that this is all supported with the main contract detail and theoretically we should just manage the contract. For whatever reason, we have lost our way on this, and a culture of being helpful and not obstructive has developed. This has gone on for so long that it has become a part of our culture. To undo that culture, we need to relaunch the PCM. This must also involve our contractors and customers.

Also, the PCM is something that occurs at the 'coal face'. It is sometimes hard to say '**NO**' when everything is set to go. Any doubts and concerns are normally covered up with "I will get that for you as soon as I can", or "when the contractor arrives on site, they will clarify with you". We have to start saying '**NO**' and one way of reducing that negative scenario is to think of the PCM as a 3-stage process that in effect contains Gateways to the next stage.

1.2 Safety culture

We do not intend to get too deeply into the culture of safety as a subject, but it is worth describing how safety culture can be changed.

When thinking about safety culture we must be aware that – "You get exactly the safety standards you are prepared to accept – no more and no less." Thus any change in safety culture needs to come from genuine management commitment. This is commitment from senior managers, middle managers and frontline site managers and supervisors. The commitment must be to take time to go out and observe work and listen to the experience of the people doing the work. **At the same time, being prepared to challenge unsafe behaviour and also to be challenged.**

This guide must be physically supported by all tiers of management. It may be that a harvesting and marketing officer would want to attend a PCM, or a district forester or area civil engineer would want to take the lead on a PCM.

2 The PCM process (Gateways)

The PCM process spans three core areas:

1. PCM Standing Sales;
2. PCM Roadside Sales; and
3. PCM Service Contracts.

Note: New building erection and renewables projects are routinely managed within a CDM framework. There may be the requirement for several PCMs to be held for specific stages of the project. To include this aspect within this guidance would add a layer of complexity to the routine forestry PCM process. However, for all other routine (non-CDM) estates service contracts, this guidance will be adopted.

The PCM Gateways are illustrated in Section 8. In the following sections the process is broken down into the three 'Gateways'.

2.1 Gateway 1: FWM / Contractor Certification

The current PCM form lists almost every operator certification module on record. We will now request this information from the customer or contractor after a sale or contract has been awarded. The certification process will also cover new requirements, such as proof of first aid training and will leave room for other certification required for the contract, for example specialist machinery and competencies.

This will be done electronically and should be supported with additional information, such as named contractors, sub-contractors, hauliers and when they hope to start. Section 9 contains the standard forms for this process. The minimum turnaround time for this Gateway Process is two weeks. A contract can start within that period if there is a smart turnaround by the FWM and the FD are content that the relevant FD checks have been made and recorded, for example final protected species checks.

An example

Euroforest buy on an open market sale and notify the FD of their intention to start on 'x' date. The FD generates the 'certification' form and request that it is returned within two weeks.

The Customer or FWM returns the information and we acknowledge receipt via the Contract Manager, but more importantly, we acknowledge that the information is complete and they can progress to the next Gateway. If it is not complete, for example they do not supply harvester operator information; we say '**NO**', tell them why, and what they must do and put the ball back in their court.

This process is simplistic and there needs to be some degree of latitude on behalf of the contract manager. On harvesting, it may be that some of the work activity, such as haulage and work around utilities, is separated by time. For example, at the time that harvesting work starts it is not known who the haulier is. In these circumstances the Timber Purchaser (FWM) can progress through Gateway 1 but **Must** inform the FC about all the contractors who will work on the site and all relevant certificates of competence **Before** they start work on the site. No Access Codes for haulage will be generated until this information has been received.

An example

If you decide that not knowing the haulier at the felling stage is not an issue, then record that on the form. But remember, by doing this, no haulier can start on the site without prior notification from the FWM. This is a sub-division of the Gateway. One simple way of managing this scenario is that no Access Codes for haulage will be generated until this information has been received.

The summary at this point is that only certificated and competent contractors can work on the NFE. If we are not aware of who they are, and what certificates they will hold, then they **Cannot** start work. **There are exceptions!**

2.2 Gateway 2: Safety and Environmental Constraints

Gateway 2 can progress in tandem with Gateway 1. However, we need to recognise that this is the 'meat' of the process and is fundamental to ensuring that the FWM role is carried out in full. Thus, it may take time to complete and may extend beyond the initial two-week period bearing in mind complex sites and significant constraints. Again, if the risk assessment and method statement are **Not** agreed, they **Cannot** progress through this Gateway.

This Gateway must also take account of the constraints, designations and features that have been generated as a part of the FD Work Plan (or equivalent) process. It is our job to ensure that the FWM or Principal Contractor has all the information available to them to make informed decisions or proposals on how to manage and mitigate the risks or constraints for that operation.

Section 9 contains the forms for this process. It is designed to be used separately but must have the same **Contract Information** at the top for continuity and reference.

One area to stress at this stage is that a low-value contract or low-value sale, or both, does not necessarily mean low risk. This is not about level of business; it is about managing constraints and risks to people.

2.3 Maps

Without a doubt, a map is the most useful and transferrable document open to us and our customers or contractors. All hazards and constraints must be identified via that process and any detail beyond the map replicated in the contract site-specific conditions or schedules.

The map should be the singular most important element of the PCM process. Every piece of information on that map has to be answered to by the FWM and, or, acknowledged (the latter being regarded as acceptance on their part).

Contract Mapper will be the tool that is used to support all Sales and Service contracts generated on the NFE. See Section 2.3.2 for 'other' map guidance.

2.3.2 'Other' map options and Contract Mapper updates

The corporate use of Sales and Service Contract Mapper is embedded in the organisation. However, there is sometimes a need to use supplementary maps in addition to the standard Contract Mapper suite. 'Other' maps are routinely used before and during contract delivery, especially in support of sensitive and highly constrained sites. They are appropriate in these cases, but should not be used to replace the standard Contract Mapper ones. Only use them if you need to show great detail, or to show very specific features or constraints on a site. In Section 10 you will see an example of these maps. It is likely that these maps can be more effectively produced within Forester desktop rather than in Contract Mapper.

Contract Mapper is to remain on desktop through the Forester 4.2 (spring 2014) release but will be redeveloped for web-based Forester and released in 2014. Movement to the web will address the need for more flexible mapping approaches, thereby enabling the production of 'other' maps more easily within Web Contract Mapper, such as splitting the Constraints and Hazards map if required. The redevelopment will also address management of local and other data, providing an opportunity to improve it, and so improve Contract Mapper outputs.

The data used by Contract Mapper to create its maps must be kept up-to-date if outputs are to remain current and reliable – this applies equally to CM on the web. There needs to be a time-bound structure to ensure the updating process of this information. As part of the Work Plan/Ops/OSA processes, out-of-date data must be identified and updated well in advance of creating CM maps.

Update of the utilities datasets (power lines and pipelines) is managed by Mapping and Geodata (M&G) within IFOS. The Utilities working group has been set up to organise the rationalisation and update of data i.e. how utilities data are recorded and in which layers.

The Map Update Clearing House (MUCH) is an M&G process which uses the spatial data recorded by CM users, this data can be used to update datasets in Forest Districts and elsewhere. Currently utility data maintenance is the primary focus of MUCH. Where M&G are unable to verify the presence of utility features they will ask the original editor of the CM data for verification. This process provides a fail-safe through on-site verification of data.

Utility data is extracted monthly and district files updated quarterly. Other datasets may follow this pattern, new road features are already routed via FCE.

In addition to MUCH, M&G is increasingly looking to other sources for utility updates, these include – direct advice from FD, FCE field data capture, data recorded by Estates in the Agreements system, updates from utility companies. M&G is also exploring automation of the update process which should result in FDs getting updated utility data more frequently.

2.3.3 Hazards and constraints and the role of the Contract Manager and the FWM

As Landowner, the FC will provide the FWM with a suite of maps clearly detailing the hazards and constraints. We now require the FWM to provide us with their solutions to the hazards and constraints.

The core documents that will answer this are risk assessments, maps and method statements. The method statement should focus on working methods to manage the main hazards on the site – not all sites will need a method statement. The key point here is that **all documents need to be site-specific**. We will not specify the format that the FWM uses to provide us with this, but it needs to be in enough detail to show that the certificated operators are competent to deliver the operation safely and with due regard to the environment. If the FWM is unable to do this, then it is reasonable to assume that neither will their contractors and sub-contractors.

The role of the contract manager in this part of the process is paramount. Any concerns that the FWM raises need to be addressed and clearly discussed and documented. The balance between necessary detail and detail the sake of it needs to be managed using your professional judgement. Again, at this stage you may not know some detail. An example being that an electricity switch-off may be required on the site at some point. The FWM documentation should note this, but the actual timing may not be known. This would become an outstanding action and would be noted on file. It should not hold them back from progressing through Gateway 2, if work can start safely in stages and within a defined period (for example weeks and months).

This outstanding action would be resumed at Gateway 3, and the action could be as simple as no work will take place in the amber or red zone until an agreed method of work has been discussed and approved.

2.4 Gateway 3 – the Pre-Commencement Form and meeting (site based)

The previous two gateways dealt with information exchange on contractor certification and mitigating hazards and constraints. That information was required so that the FC can gauge competency of the FWM and their contractors to deliver the operation. Via that process you will also have gathered information such as signage, welfare, fuel and urea locations. If you have reached this stage, it means that both parties are at a point where the operation can go live. Only then should the process move to the pre-commencement meeting.

Section 9.4 shows you the form for the PCM meeting.

2.5 Who Attends?

Contract Details and Contract Names (Who Attends)

Every contract we generate, both sales and service, requires a contract number and a file. A completed PCM form will become a component of a file, so only basic contract details are required. One new aspect is the field for Work Plan Number (Scotland) and Ops 1 or Operational Site Assessment Number (England). This is just so that an easy cross-reference can be made to the relevant coupe planning file.

Who Attends (FC): The presumption at this stage is that the Contract Manager must attend the PCM. This responsibility can only be delegated to the Contract or Works Supervisor as a staff development opportunity and for sick and leave cover. It is not essential that both the contract manager and contract supervisor attend the meeting, but it is advisable.

Who Attends (External): The FWM, who can be defined as the main or principal contractor, or the timber customer must attend. With a timber customer, their main contractor must attend. Where haulage is involved, it is advisable that the main haulier attends. It is advisable that the main contractor's employees or sub-contractors attend. This would be very relevant on complex and sensitive sites.

Who Attends (Stakeholders): Given the number and frequency of PCMs, it is unreasonable to expect all stakeholders to attend every PCM. However, the planning process must have involved our stakeholders to ensure that their requirements have been reflected in the relevant documentation.

Some examples**A standing sale site involving a major powerline switch-off.**

An overhead powerline crosses the worksite and requires the Red and Amber zone to be identified and marked on the ground. It will take 6 weeks before the stoppage is required. A discussion takes place between the CM and FWM on identifying a physical barrier on the site that machines cannot go beyond. So the Network Operator may not have attended the original PCM, but the Network Operator will be required to undertake a separate PCM with the CM and FWM at the time of the stoppage.

A sensitive operation involving tree removal from a scheduled ancient monument.

Again the relevant bodies, for example Historic Scotland, Environment Agency, SNH, Natural England will have been involved in the planning process. So there is no need for them to attend.

The main point is if the Contract Manager feels that their attendance will add value, or the stakeholders themselves want to attend, then invite them.

Note: The PCM meeting is the opportunity for the Contract Manager to challenge the FWM on how they will manage the constraints. If it is a site-based meeting, those present should view and check the site. We must get away from the 'around the bonnet of the van' or 'tick-box' meeting approach.

Note: There will be occasions where two separate operations will take place on the one worksite. For example, roads repair on a harvesting site. In this instance there may be two FWMs involved and we recommend that you hold a joint PCM to allow for communication and co-ordination.

2.5.2 Pre-PCM Outstanding Actions

As mentioned under Sections 2.1 and 2.2, there may be some outstanding actions to take account of at the PCM. There should not be many if the previous Gateways have been correctly worked through and adhered to. If there are outstanding actions, record them in this section and if you can resolve them at the PCM, then record this. If not, and they do not hamper the initial operation or create higher risk, you can exercise some latitude as the contract manager, but you must record this along with an action. It may be that site supervision can deal with this action as the operation unfolds. Nothing fundamental or safety-critical should appear in this section.

2.5.3 PCM Notes and Actions

This section is about testing both ourselves and the FWM and their representatives, and in the case of service contracts, our contractors, that the process to date has covered everything. It is based on core themes and the expectation is that each area (most are applicable) is understood by all parties. It means clarifying the roles and responsibilities of each person. Who is doing what and when, and when further support is required.

Continuing the previous example

On a standing sale there is an outstanding action on the timing of the power line switch-off on the site. Again the detail may still not be known, so it would be reasonable to expect that the action of no work in the amber or red zone will take place until a site meeting has taken place still stands.

2.5.4 Signing-off the PCM Form

We will stop using carbonned forms when we publish this guide. The forms are electronic, and they can be printed and used at the meeting and signed there and then and placed on file with a scanned copy sent to the FWM. Alternatively, notes can be taken on the form and entered back in the office and emailed to the FWM. They will be asked to acknowledge the content by return email (replacing the signature) and this will also be placed on file.

2.6 Guidance on the PCM Forms

All through Section 2 we have referred to the forms in Section 9. These new forms are quite different in style and we have developed them to be user friendly and straightforward to work with (navigate through, print and email).

Here we give you some extra guidance for using them and you will find some more tips in Section 9.1.

2.6.1 Gateway 1: FWM / Contractor Certification

The certification content of the form is drawn from the existing PCM forms. It is not exhaustive in content and contains sections where the user can introduce 'other' certification criteria, **BUT** only if specified within the contract. The form is suitable for all operational needs – see Section 9.3.

The form should be generated by the Contract Manager or Supervisor and the relevant sections 'checked' to clarify what is considered necessary for the operation. This should be then emailed to the Purchaser or FWM, or the Principal Contractor depending on whether it is a sales or service contract. The

FWM or Principal Contractor can amend this information to reflect their plans or the operators, machinery and equipment at their disposal.

A **Highlighted Field** is where we need the information back from the FWM or Principal Contractor. A field with **Red Text** is where both parties can make additional or relevant comments.

The key thing is that if you do not receive details of the names and certificates of the contractors or operators who will work on the site or contract, you **CANNOT** start the site or hold the PCM.

2.6.2 Gateway 2: Safety and Environmental Constraints

The constraints content of the form is drawn from the existing PCM forms. It is not exhaustive in content and contains sections where the user can introduce 'other' constraints criteria, **BUT** only if specified within the contract. This also links with Gateway 1, as Certification and Competencies are used to mitigate constraints and are often associated with the method of work (skills required to deliver the operation). Here we treat it separately, and it flags much of the detail here and will probably be discussed during the Gateway 1 procedure. The form is suitable for all operational needs – see Section 9.4.

The form can be supplied to the FWM or Principal Contractor as an *aide memoire*, but it is the duty of the Contract Manager to fill it out. To help this process, the FWM or Principal contractor needs to understand what it is required of them. We will hold seminars to help with this, but the following list is what we are looking for (prompted by the form).

- FWM or Principal Contractor supplied map-based returns demonstrating risk and hazard management.
- Supporting risk and hazard management documents.
- FWM or Principal Contractor to provide method of work maps and, or, documents.
- FWM or Principal Contractor to provide risk assessments (generic and site-specific).
- Procedural documentation, such as lone working and emergency procedures.

It is an evidence-based process where we are looking to acknowledge receipt of this information, but more importantly, agree the content and judge if it is fit for purpose. If you as the Contract Manager have any doubts concerning whether the constraints or risks are not being adequately managed, then **do not allow progression through Gateway 2**.

Gateway 2 will probably involve a significant amount of joint discussion, especially on complex sites or operations. The end point is the form and the associated documentation. However, what is important is how we get to that

point and that needs to be a joint process with no one working in isolation. This way there should be no surprises at Gateway 3 (the PCM meeting).

2.6.3 Gateway 3 – the Pre-Commencement Form and meeting (site based)

The form – see Section 9.5 – has several purposes.

- It records that the main players associated with the contract have attended the meeting and are signing up to the supporting documentation.
- It acts as a first stage resumption to any outstanding information or actions that need to be addressed but have not stopped progression through the Gateways.
- It acts as a supervision benchmark for checking that the contractor is doing what they said they would do, with the people they said would do it, and to the standard required.
- It allows summary discussions against the key headings to take place and for any points of clarity to be requested or recorded.
- It is the document that permits a contract to progress to a 'live' status.

Note: On a very high risk site, such as ground preparation on a windfarm or a steep ground winch site, if personnel change on the site, a PCM must be held before they start.

Note: The reference to Status (Current or Closed) means the following:

- **Current:** Something 'new' raised at the meeting that requires further downstream action or agreement. This allows you to record and resume a new topic.
- **Closed:** Something 'new' raised at the meeting that can be agreed there and then and recorded.

The Gateway 3 PCM Meeting form is the end of the process and should be filed (along with Gateway 1 and 2 forms) on the contract file. Section 9.1 also includes a 'check list' form that performs two functions:

1. In time of annual and sick leave, it allows for another manager or supervisor to quickly check where the PCM process is on any given contract.
2. It acts as a final check at the end of the PCM process to check that all the key documents have been received.

We have created the three forms as separate ones, as they serve different purposes at different times. **Please make sure you save all forms under the same relevant contract name or number so they can easily be retrieved.**

Finally, Section 9 also includes a small user guide on how to work with the forms (functionality) which we recommend you read it before you start work on a form.

You may, when you are new to the forms, find a printed copy useful as a reference beside you when working.

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3 Low-risk multi-site PCM process (site or non-site based PCMs)

The previous sections largely relate to high-risk operations. However, we have a wide range of contracts which can be classed as relatively low-risk operations. Risk needs to be the primary factor in deciding whether you need a site-based PCM.

An example

You have a top-up spraying contract that may involve multiple sites over many forest blocks. It is unrealistic and burdensome to suggest that a PCM be held for every site where the health and safety and environment risk to third parties and operators is low. In this case it is reasonable to expect that we will create contract maps and gather the certification and competencies via that process. It is reasonable to expect our contractors to provide us with risk assessments to cover the operation. However, it is unreasonable to expect that a PCM will be held for every site.

The contract manager needs to consider the following.

- What is the duration of the contract? If the contract could run over a long time, for example six months, then things can change. Some of that change may take the risk from low to moderate. Arguably the contract supervisor can pick up on day-to-day changes, but we recommend that a **Break Point** in the contract is agreed where the balance of works can be reassessed for risk; this will necessitate another PCM.
- Do any of the individual sites contain an element of risk greater than the whole contract? The contract manager needs to identify this in advance and it could be that the site with the greatest risk is the one where you hold the PCM.

This allows the contract manager to decide on one of the following options:

- hold a site-by-site PCM process;
- undertake a PCM on one identified site within a range of very similar sites; or
- hold one site-based PCM, and then an office based PCM for subsequent sites in same contract.

All are legitimate options, but the key point is that the contract manager must:

- decide on the most appropriate option and document their rationale and decision on the PCM form; and
- ensure that the process has been applied for gathering the certification information, agreement on risk assessments or methods of work and that outstanding actions are recorded or break points agreed as part of the contract.

4 Contract still 'Live' – repeat PCMs

When a contract is still technically 'live' you may need a repeat PCM.

Some examples

- Where a contract has extended beyond its original supply period or duration.
- Where a contract has been suspended due to an unforeseen event, such as the presence on site of a Schedule 1 bird.
- Where there has been a significant contract breach on site.
- Where there is a trend of minor issues.
- Where there has been significant change to the original contract.
- Where there has been significant change of equipment or personnel on site.
- Where we have raised a formal addendum to the contract.

All the above require the contract manager to make a professional judgement by taking into account risk and contract compliance history. The choices are:

- make a file note justifying why a contract does not require a repeat PCM; or
- hold a repeat PCM.

The key point is that you must review any contract that has gone beyond its original supply period or duration and, or, has been subject to significant change and you must decide if you need a repeat PCM.

5 Emergency works

Emergency works are a reality of the working environment. By their very nature they carry a higher risk. Two significant areas of concern are clearing windblow and emergency works on the road network. Any guidance that we currently hold, such as in [OGB 40](#) *Managing Construction* only touches on emergency works, but does not exempt it from the overall process.

[OGB 17](#) – *Planning for the Unexpected* provides guidance on how we can streamline the process by anticipating emergencies that may arise. Following on from this, procurement can be managed through existing framework and MTC contracts, or supported and approved by line managers if it is outside those contract environments.

The contract manager must engage in the PCM process before they react. The first question they must ask themselves is, **“Is this a genuine emergency?”** If **‘No’**, then you **must** go through the PCM process in full. If **‘Yes’**, you can use a fast-track process, and the contract manager will need to exercise more latitude during this time.

The minimum requirements of a PCM process for genuine emergency works are:

- we must know who is going to deliver the works;
- we must know when and how they will do it;
- we must provide the contractor with a map; and
- if there are any significant hazards that attract high risk, such as overhead electric power lines, underground electric cables or gas pipelines, then there must be an exchange of risk information between the contract manager and FWM – the PCM process can be shortened, **but there must be an on-site PCM.**

6 Roadside sales – interim guidance

One operation that will require extra management input is roadside sales. Country feedback is that beyond those sales that are delivered in contracts (where we manage the haulage), no PCM process takes place.

An example being a roadside sale of logs bought on the open market. Beyond the exchange or download of contract maps, there is little or no contact with the customer or FWM and their haulier before despatch starts. Even then, the exchanges are limited to locations and stock. Wales have sought to address some of these issues by providing an annual road 'atlas' for FC blocks that will be worked on their estate each year.

Haulage is a high-risk activity as reflected by recent accidents and near-miss incidents. A PCM is required, but similar to Section 3 (non-site based), the FC Contract Manager should go through the following process:

- assess the risk;
- assess the haulage route hazards; and
- assess the size and duration of the contract.

Some examples

A four mile haulage route on a steep incline with 's' bends, with two power line crossing points and a cycle route, and also passing through an active harvesting site. This **Would Require an On-site PCM**.

Access just off the county road, no hazards, informal public access. This would **Not Require a Site-based PCM**.

Both examples will require discussion and documentation to be held on file, but only for items such as agreement on risk assessments and named hauliers. At this stage, we will not be looking for certification of hauliers, as this will require further support.

This process can be undertaken before the sale. The requirement can be posted in the open market catalogue and LTC sheets, by flagging if a site-based or non-site-based PCM is required. Access codes for the site can be used to manage the process.

There are flaws in the above, but this approach would start the process of mitigating risk. The logistics in dealing with it will be an issue (there may be multi-roadside products from one site), but over time systems and procedures can be refined

Based on staff, contractor and customer feedback, and the work of the FISA Haulage Working Group it is likely that this section will grow over time and require regular updates to this guidance.

7 Summary

This guidance should not be viewed as new work - **it is not new!** It is likely to create more work initially, especially for applying, recording and monitoring sanctions. However, standards should improve, thus reducing the need for record keeping.

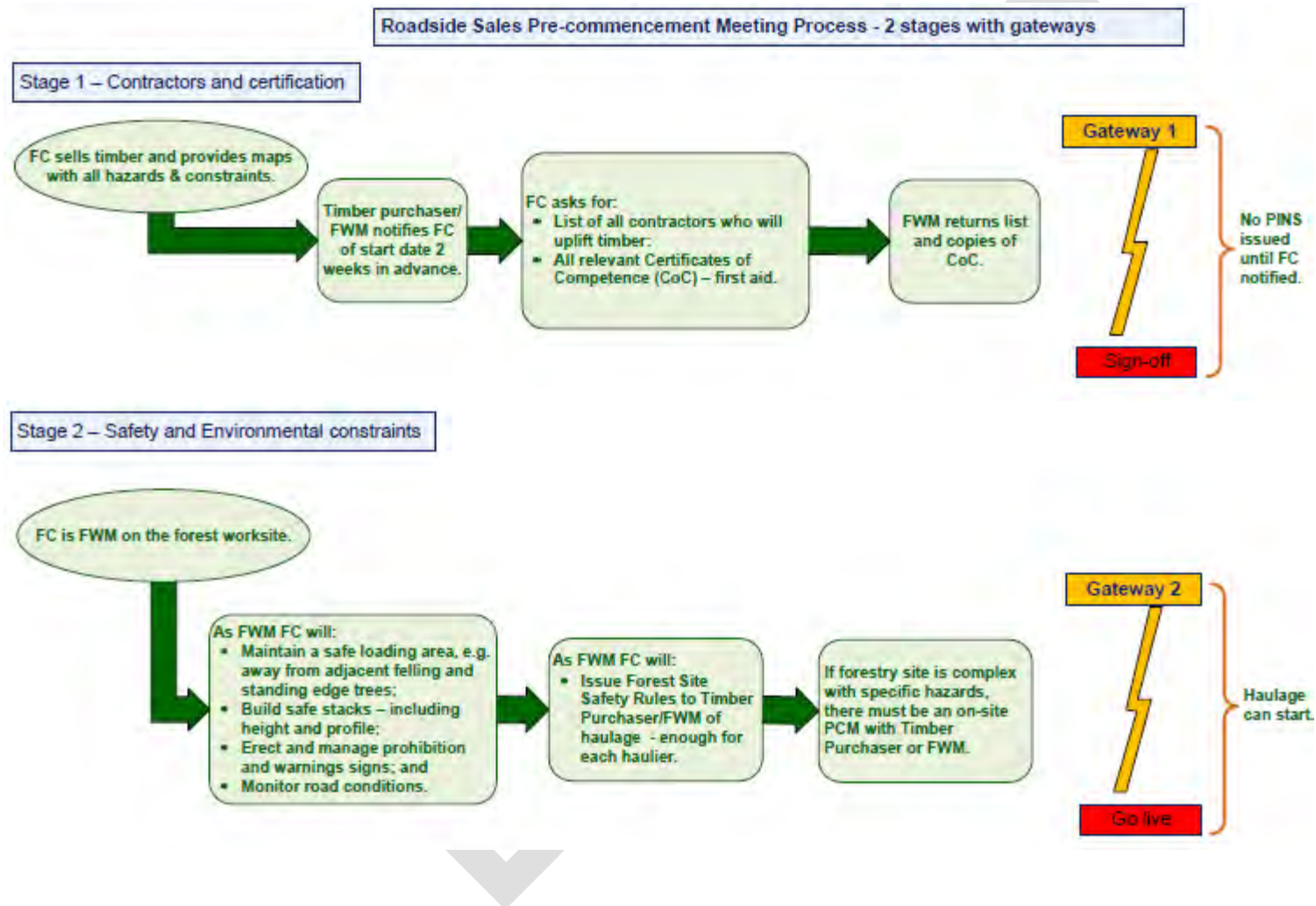
Again this PCM Process Guide is not stand-alone, and we will launch it to our staff, the trade, contractors and stakeholders in parallel with contract management guidance (under development).

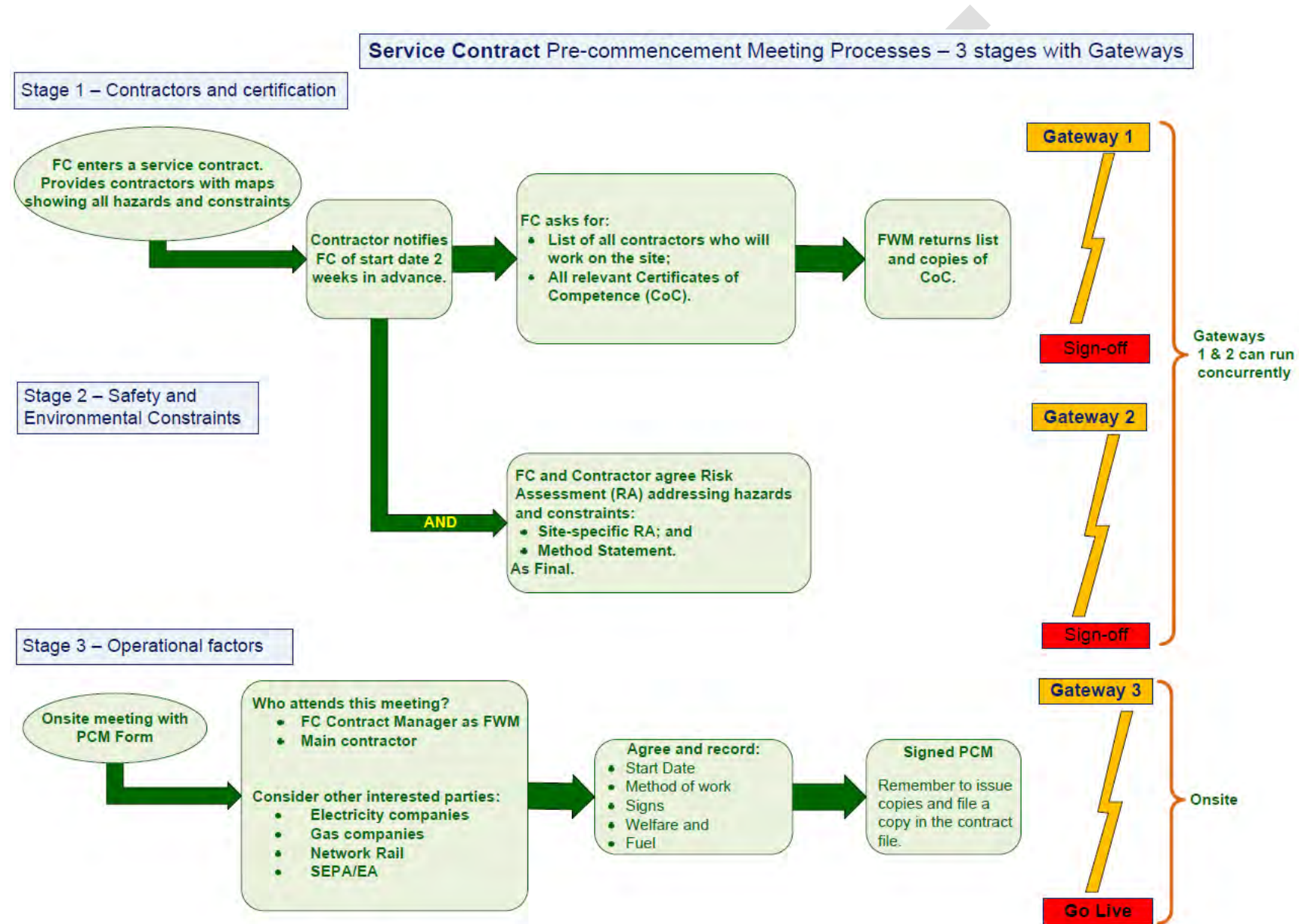
You can find more guidance and support through your country SH&E representative – see Table 1.

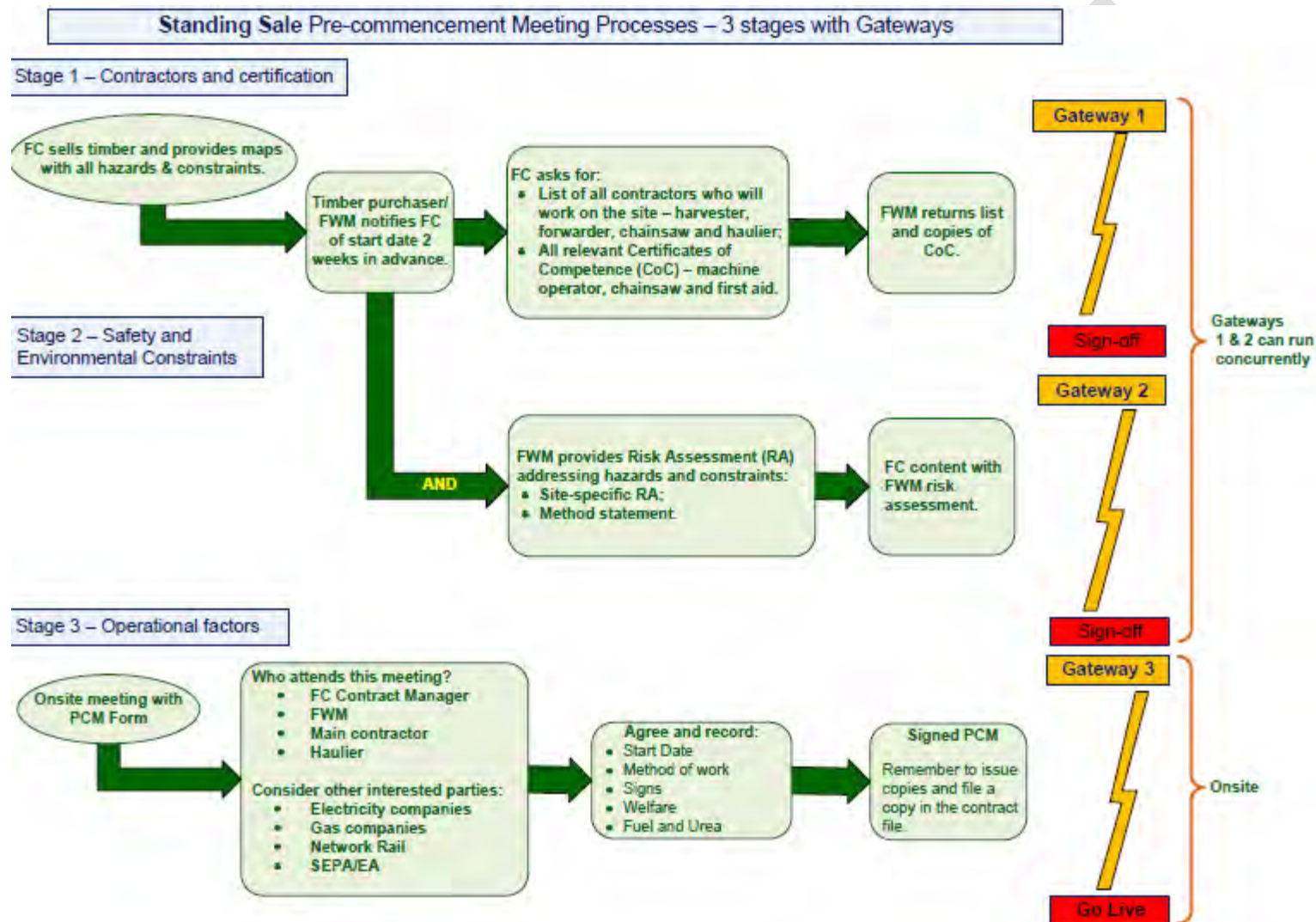
Table 1 Safety, Health and Environment contacts

Emily Ramsay GB	Jason Liggins Scotland (Silvan House)	Neil Gresswell England	Gordon Adam Wales	Colin McEvoy (Research)
Office 0131 314 6435 Mobile 07771 805378	Office 0131 314 6531 Mobile 07917 642100	Office 0175 147 0712 Mobile 07768 338977	Office 0160 688 4945 Mobile 07710 748411	Office 0131 445 6937 Mobile 07756 155413 or via email

8 Appendix 1: Illustration of the PCM process









Not done one for Roadside sales yet.

9 Appendix 2 – PCM Forms

9.1 User notes for working with the PCM Forms

1. Open Adobe Reader, you will need version 8.0 or later.
2. **Browse** to the folder where you keep the blank form for the relevant Gateway for example:
PCM Form - Gateway 1 for all contracts – Version 1.0 – Mar 2013 book marked.pdf
3. **Open** the **Form** and select the way you wish to view it from the **View Option** on your menu bar.
4. We suggest you open the **Bookmark Navigation Panel** on the left of your screen. This will help you go to the sections you want to complete without scrolling or paging through the form.
5. All the fields should be highlighted for you and you can use either the  key or your mouse to select the fields you want to go to.
6. Some fields, have down arrows beside them which when you click will give you options such as **Yes/No**  while Date Fields give you a calendar to select a date from.
7. Some of the free text fields are not limited to the amount of text you can enter and you can scroll through it on screen, but please be aware that when you print the form, **only the text** that is visible when you saved it will show in the print.
8. Please remember to save the form as you go and when you have finished. Use a file name relevant to the contract number so you can find it later and edit or add some more information to it.
9. To send your form by email to the Principal Contractor or FWM, we suggest you create a new email in the usual way in Outlook and attach the relevant form to the email. Make sure you provide a covering message in your email that states the importance of your attachment and the timescales involved in returning it.

9.2 PCM Checklist



PCM Gateway Checklist

[Print Form](#)

Contract Number	<input type="text"/>	Contract Manager	<input type="text"/>
Contract Type	<input type="text"/>	Contract Location and Cost Centre	<input type="text"/>
Date checklist created	<input type="text"/>	Date checklist last reviewed	<input type="text"/>

Gateway 1 Please select Yes or No to each question or item

Contractors/Sub-contractors named?	<input type="text"/>
Competency/technical/machinery certificates received?	<input type="text"/>
Safety certificates received?	<input type="text"/>
Machinery/equipment specified?	<input type="text"/>
Other item? - specify	<input type="text"/>

Gateway 2 Please select Yes or No to each question or item

Safety documents received?	<input type="text"/>
Welfare documents received?	<input type="text"/>
Method of work detail received?	<input type="text"/>
Environment/archaeology information received?	<input type="text"/>
Recreation information exchanged?	<input type="text"/>
Other item? - specify	<input type="text"/>

Gateway 3 Please select Yes or No to each question or item

PCM Meeting held?	<input type="text"/>
Outstanding Gateway information and actions completed?	<input type="text"/>
Is the site live?	<input type="text"/>
Other item? - specify	<input type="text"/>

Comments

9.3 Gateway 1 Form

PCM Certification Form - All contracts - Gateway 1

[Print Form](#)

1. Contract Information

Contract Number	Contract Manager		
Contact Phone	Contract Location and Cost Centre		
Contract Type	Date Form Created	Date Form returned	
Principal Contractor/FWM		Contact Phone	
Expected Start Date	Contract Signed?		
Completed form sent to Principal Contractor/FWM and receipt acknowledged?		Completed Form filed?	

2. Certification and Competencies

2.1 Chainsaws

Name contractors or sub-contractors who will work on site requiring chainsaw certification	Insert units held by contractor or sub-contractor and enclose certificates	Next refresher or update due?

Chainsaw certification requirements - site specific			
Revised NPTC Units	Equivalent NPTC Units	Operation (Contract Manager to specify)	Check those required
CS30.1*	CS10, CS20 or CS30	Maintain the chainsaw	<input type="checkbox"/>
CS30.2		*Maintain and operate the chainsaw	
CS31	CS11	Fell small trees (up to 380mm dia)	<input type="checkbox"/>
CS32	CS12	Fell medium trees (380mm to 760mm dia)	<input type="checkbox"/>
CS33	CS13	Fell large trees (760mm + dia)	<input type="checkbox"/>
CS34	CS14*	Clear individual windblown trees *(CS14 leaning and hung-up trees only)	<input type="checkbox"/>
CS35	CS15	Clear multiple windblown trees	<input type="checkbox"/>
CS30.1* CS30.2	CS16 or CS36	Cross-cut and stack produce	<input type="checkbox"/>
Other (specify)			<input type="checkbox"/>

Chainsaw operators' certificates enclosed?	<input type="checkbox"/>	If you answer 'No' please record the reason and action required.
--	--------------------------	--

Additional or relevant Contract Manager, Principal Contractor or FWM comments:	
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2.2 HM/FM/Civil Forest Machines

Name contractors or sub-contractors who will work on site requiring harvesting machine certification	Insert units held by contractor or sub-contractor and enclose certificates

HM/FM Machine operator certification - site specific

Base machine	Note Units	Check those required	Note Units (Contract Manager to specify)	Check those required	Provisional licence?
Tracked	1.1 - Rigid	<input type="checkbox"/>	1.2 - Slewled	<input type="checkbox"/>	<input type="text"/>
Wheeled	1.3 - Rigid	<input type="checkbox"/>	1.4 - 4 or 6 Articulated	<input type="checkbox"/>	<input type="text"/>
	1.5 - 8 Articulated	<input type="checkbox"/>			
Operational category	Note Units	Check those required	Note Units	Check those required	Provisional licence?
Harvesting & processing	2.1 - Grapple felling	<input type="checkbox"/>	2.2 - Grapple processing	<input type="checkbox"/>	<input type="text"/>
	2.3 - Bed processing	<input type="checkbox"/>			<input type="text"/>
Forwarder/handling	3.1 - Loader: Cab	<input type="checkbox"/>	3.2 - Loader: Bunk	<input type="checkbox"/>	<input type="text"/>
	3.3 - Loader: Other	<input type="checkbox"/>	3.4 - Agri-based: Cab	<input type="checkbox"/>	<input type="text"/>
	3.5 - Agri-based: Bunk	<input type="checkbox"/>	3.6 - Agri-based: Other	<input type="checkbox"/>	
	3.7 - Misc: Front end	<input type="checkbox"/>	3.8 - Misc: Other	<input type="checkbox"/>	
Skidding	4.1 - Line	<input type="checkbox"/>	4.2 - Clambunk	<input type="checkbox"/>	<input type="text"/>
	4.2 - Grapple	<input type="checkbox"/>			<input type="text"/>
Cablecraning	5.1 - Static skyline	<input type="checkbox"/>	5.1C - Static skyline chokerperson	<input type="checkbox"/>	<input type="text"/>
	5.2 - Highlead	<input type="checkbox"/>	5.2C - Highlead chokerperson	<input type="checkbox"/>	<input type="text"/>
	5.3 - Multi-function cablecrane	<input type="checkbox"/>	5.3C - Multi-function cablecrane chokerperson	<input type="checkbox"/>	<input type="text"/>
Establishment	6.1 - Ripping tine	<input type="checkbox"/>	6.2 - Mech creation and maint of drainage ditches	<input type="checkbox"/>	<input type="text"/>
	6.3 - Excavator mounding	<input type="checkbox"/>	6.4 - Ploughing (single & double)	<input type="checkbox"/>	
	6.5 - Moulder (continuous)	<input type="checkbox"/>	6.6 - Patch scarification	<input type="checkbox"/>	
	6.7 - Disc scarification	<input type="checkbox"/>	6.8 - Disc scarification (powered)	<input type="checkbox"/>	
	6.9 - Planting (non-mechanical placement)	<input type="checkbox"/>	6.10 - Mechanical flail or mulcher	<input type="checkbox"/>	
	6.11 - Chemical	<input type="checkbox"/>	6.12 - Stump protection	<input type="checkbox"/>	
Civil	Specify <input type="text"/>	<input type="checkbox"/>	Specify <input type="text"/>	<input type="checkbox"/>	<input type="text"/>
	Specify <input type="text"/>	<input type="checkbox"/>	Specify <input type="text"/>	<input type="checkbox"/>	<input type="text"/>
Other	Note type (e.g. Mulcher/chipper)	Comments (e.g. manufacturer's training)			
<input type="text"/>	Units from contract schedule <input type="text"/>	<input type="text"/>			
<input type="text"/>	Units from contract schedule <input type="text"/>	<input type="text"/>			

HM/FM Machine operators certificates enclosed?	<input type="checkbox"/>	If you answer 'No' please record the reason and action required.	
Additional or relevant Contract Manager, Principal Contractor or FWM comments:			

2.3 Construction Industry Certification

Name contractors or sub-contractors who will work on site requiring construction machinery certification	Insert units held by contractor or sub-contractor and enclose certificates

Construction Industry Machine Operator Certification - site specific (Contract Manager to specify)		Check as required
CITB/CSCS/CPCS - state units as in Contract Schedule	<input type="checkbox"/>	<input type="checkbox"/>
Construction Industry Tax Scheme?	<input type="checkbox"/>	<input type="checkbox"/>
Employers Liability Insurance (normally £5m)?	<input type="checkbox"/>	<input type="checkbox"/>
Public Liability Insurance (normally £5m, but may be 2m)?	<input type="checkbox"/>	<input type="checkbox"/>
Quarry appointments if required/ Blast Design /Shotfiring certification as necessary?	<input type="checkbox"/>	<input type="checkbox"/>

Construction Machine operators certificates enclosed?	<input type="checkbox"/>	If you answer 'No' please record the reason and action required.	
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Additional or relevant Contract Manager, Principal Contractor or FWM comments:	
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2.4 FM/ Recreation/ Environment/ Other Operation Certification

Name contractors or sub-contractors who will work on site requiring construction machinery certification	Insert units held by contractor or sub-contractor and enclose certificates

Operation	FM/ Recreation/ Environment/ Other Operator Certification - site specific (Contract Manager to specify)	Certificates attached?
Pesticides	State units as in Contract Schedule <input type="text"/>	<input type="text"/>
FM Operations	State units as in Contract Schedule <input type="text"/>	<input type="text"/>
Environment Ops	State units as in Contract Schedule <input type="text"/>	<input type="text"/>
Recreation Ops	State units as in Contract Schedule <input type="text"/>	<input type="text"/>
Arboriculture Ops	State units as in Contract Schedule <input type="text"/>	<input type="text"/>
Haulage	State units as in Contract Schedule <input type="text"/>	<input type="text"/>
Electricity	State units as in Contract Schedule <input type="text"/>	<input type="text"/>
Other <input type="text"/>	State units as in Contract Schedule <input type="text"/>	<input type="text"/>
Other <input type="text"/>	State units as in Contract Schedule <input type="text"/>	<input type="text"/>
Other <input type="text"/>	State units as in Contract Schedule <input type="text"/>	<input type="text"/>

If you answer 'No' please record the reason and action required.

Additional or relevant Contract Manager, Principal Contractor or FWM comments:

2.5 Safety Certification

Safety	Yes/No
All personnel trained in First Aid?	<input type="text"/>
Name all those who have been trained to 1 day EFAW standard:	<input type="text"/>
Name all those who have been trained to 3 day EFAW standard:	<input type="text"/>
First Aid certificates received for all operators? <input type="text"/>	If you answer 'No' please record the reason and action required. <input type="text"/>

3.0 Principal Contractor's or FWM's comments

Please use this section to make any additional comments that you feel are relevant to the certification and competencies required for this operation:

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9.4 Gateway 2 Form

PCM Certification Form - All contracts - Gateway 2

[Print Form](#)

Contract Information

Contract Number	<input type="text"/>	Contract Manager	<input type="text"/>
Contact Phone	<input type="text"/>	Contract Location and Cost Centre	<input type="text"/>

4. Health, Safety and Environment

Name of Site Safety Co-ordinator	<input type="text"/>	Contact Phone	<input type="text"/>
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4.1 Safety

Safety	Yes/No
Are lone working procedures supplied?	<input type="text"/>
Are emergency procedures supplied?	<input type="text"/>
Are risk assessments supplied?	<input type="text"/>
Are site-specific risk assessments supplied?	<input type="text"/>
Are site safety rules supplied?	<input type="text"/>
COSHH Assessments available?	<input type="text"/>
Safety helmet records available?	<input type="text"/>
AFAG checks available?	<input type="text"/>
Is a system for managing wayleaves supplied?	<input type="text"/>
Are site hazard management plans supplied?	<input type="text"/>
Are the location details for signs supplied?	<input type="text"/>
Other (specify) <input type="text"/>	<input type="text"/>

Are safety procedures agreed between the Contract Manager and the FWM or Principal Contractor?	<input type="text"/>
--	----------------------

If you answer 'No' please record the reason and action required.

Additional or relevant Contract Manager, Principal Contractor or FWM comments:

4.2 Welfare

Welfare		Yes/No
Will caravans be used on site?		<input type="text"/>
Has permission for a caravan been given?		<input type="text"/>
Will toilets be used on site and have the arrangements been discussed?		<input type="text"/>
Are car parking arrangements agreed?		<input type="text"/>
Has rubbish disposal been discussed?		<input type="text"/>
Other (specify)	<input type="text"/>	<input type="text"/>

Are welfare arrangements agreed between the Contract Manager and the FWM or Principal Contractor?	<input type="text"/>	If you answer 'No' please record the reason and action required.	<input type="text"/>
---	----------------------	--	----------------------

Additional or relevant Contract Manager, Principal Contractor or FWM comments:	<input type="text"/>
--	----------------------

4.3 Method of work

Method of work		Yes/No
Has the FWM or Principal Contractor supplied the method of work and a map?		<input type="text"/>
Has the FWM or Principal Contractor supplied the order of work?		<input type="text"/>
Are the working hours agreed?		<input type="text"/>
Other (specify)	<input type="text"/>	<input type="text"/>
Other (specify)	<input type="text"/>	<input type="text"/>

Is the method of work agreed between the Contract Manager and the FWM or Principal Contractor?	<input type="text"/>	If you answer 'No' please record the reason and action required.	<input type="text"/>
--	----------------------	--	----------------------

Additional or relevant Contract Manager, Principal Contractor or FWM comments:	<input type="text"/>
--	----------------------

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4.4 Environment and Archaeology

Environment and Archaeology	Yes/No
Are environment and archaeology constraints management plans supplied (map)?	<input type="text"/>
Have environment and archaeology constraints management plans been discussed?	<input type="text"/>
Are there European Protected Species on site?	<input type="text"/>
Have European Protected Species constraints been discussed?	<input type="text"/>
Has Site Designation been discussed, for example PAWs, SAC or SSSI?	<input type="text"/>
Have Site Designation constraints been discussed?	<input type="text"/>
Have the locations for fuel, oil, chemicals, water and urea been agreed?	<input type="text"/>
Have No-Go areas been agreed?	<input type="text"/>
Is bio-degradable oil being used?	<input type="text"/>
Is pollution control equipment available and has it been discussed?	<input type="text"/>
Other (specify) <input type="text"/>	<input type="text"/>

Are environmental procedures agreed between the Contract Manager and the FWM or Principal Contractor?

If you answer 'No' please record the reason and action required.

Additional or relevant Contract Manager, Principal Contractor or FWM comments:

4.5 Recreation

Recreation	Yes/No
Have the recreation constraints management plans been supplied (map)?	<input type="text"/>
Have the recreation constraints management plans been discussed?	<input type="text"/>
Are diversions in place?	<input type="text"/>
Have 3rd party access arrangements been agreed?	<input type="text"/>
Other (specify) <input type="text"/>	<input type="text"/>
Other (specify) <input type="text"/>	<input type="text"/>
Other (specify) <input type="text"/>	<input type="text"/>

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Are recreation procedures agreed between the Contract Manager and the FWM or Principal Contractor?		If you answer 'No' please record the reason and action required.
--	--	--

Additional or relevant Contract Manager, Principal Contractor or FWM comments:	
---	--

5. Outstanding Information or Actions

In this section, please record any outstanding information or actions that have not stopped progression to the next Gateway, or the operation from going Live, but that do require resumption or action at a later date or during the contract.

Outstanding information or Actions	Resumption or Action	Completed?

9.5 Gateway 3 Form



PCM Certification Form - All contracts - Gateway 3

[Print Form](#)

6. Record of Pre-commencement Meeting

6.1 Contract Information

Contract Number	<input type="text"/>	Contract Manager	<input type="text"/>
Contact Phone	<input type="text"/>	Contract Location and Cost Centre	<input type="text"/>
Work plan or Ops 1 Number	<input type="text"/>	PCM Meeting location	<input type="text"/>
Proposed start date	<input type="text"/>	Proposed completion date	<input type="text"/>
Time of meeting	<input type="text"/>	Date of meeting	<input type="text"/>

6.2 Those attending the meeting

Contact type and title	Details - Names	Contact phone numbers
Purchaser or Main or Principal Contractor	<input type="text"/>	<input type="text"/>
Forestry Works Manager	<input type="text"/>	<input type="text"/>
Contractors and Sub-contractors	<input type="text"/>	<input type="text"/>
Contract Manager	<input type="text"/>	<input type="text"/>
Contract Supervisor	<input type="text"/>	<input type="text"/>
Stakeholder representative, for example Electricity Network Provider, SEPA, Environment Agency, SNH etc	<input type="text"/>	<input type="text"/>
Other (specify) <input type="text"/>	<input type="text"/>	<input type="text"/>

7. Outstanding Gateway Information or Actions

Detail other information	Action or resumption required	Status

8. Gateway 3 – PCM Notes and Actions

Topic	Actions	Status
Health and safety		
Environment		
Welfare such as caravans		
Legislation such as CRow		
Method of work		
Other (specify)		

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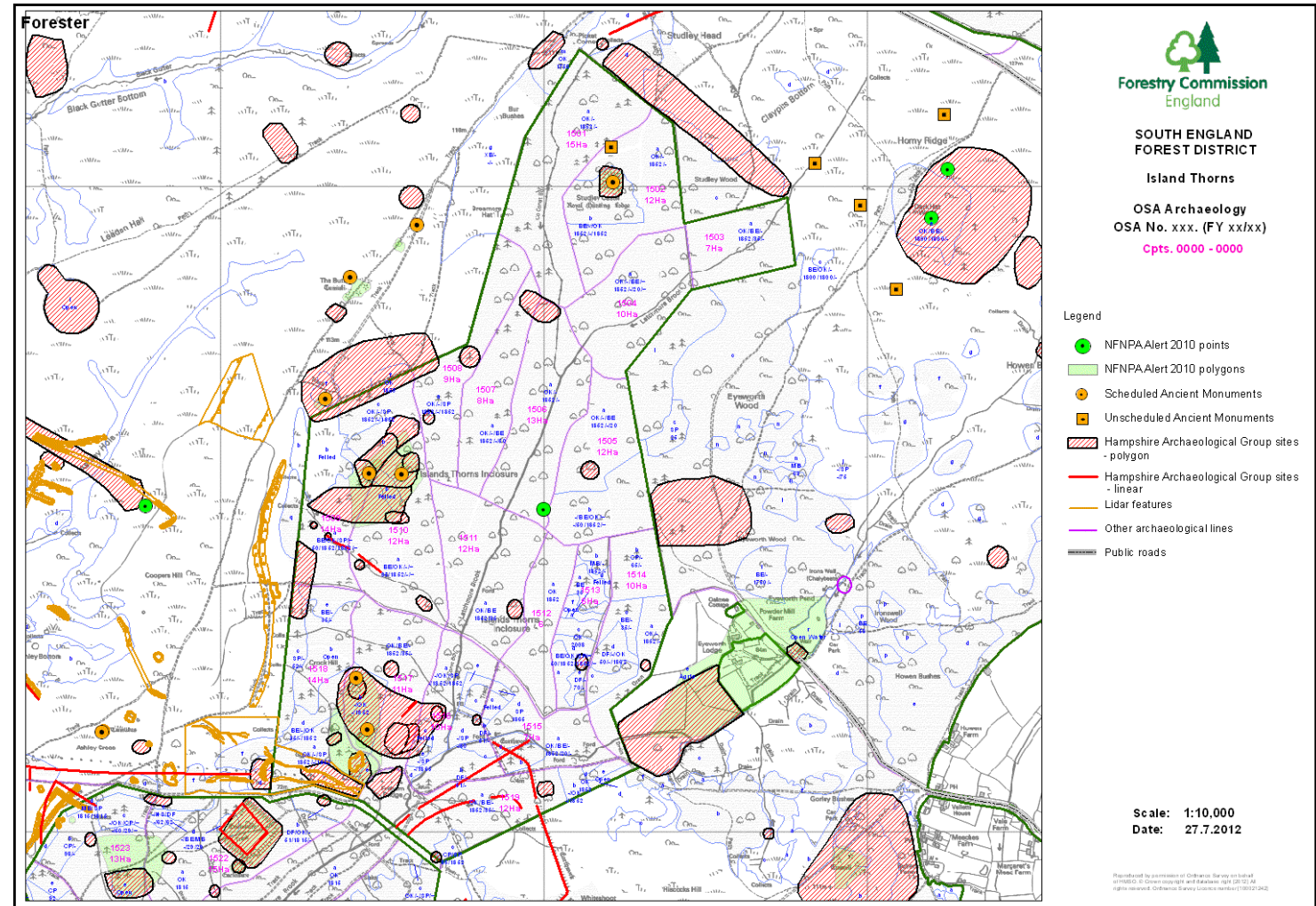
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Has Gateway 3 been passed?	<input type="checkbox"/>	If you answer 'No' please record the reason and the action required. Then enter the resumption date in the box below	<input type="text"/>
Resumption Date		<input type="text"/>	
Signed for Forestry Commission	<input type="text"/>	Date signed	<input type="text"/>
Signed for Purchaser/Main or Principal Contractor	<input type="text"/>	Date signed	<input type="text"/>

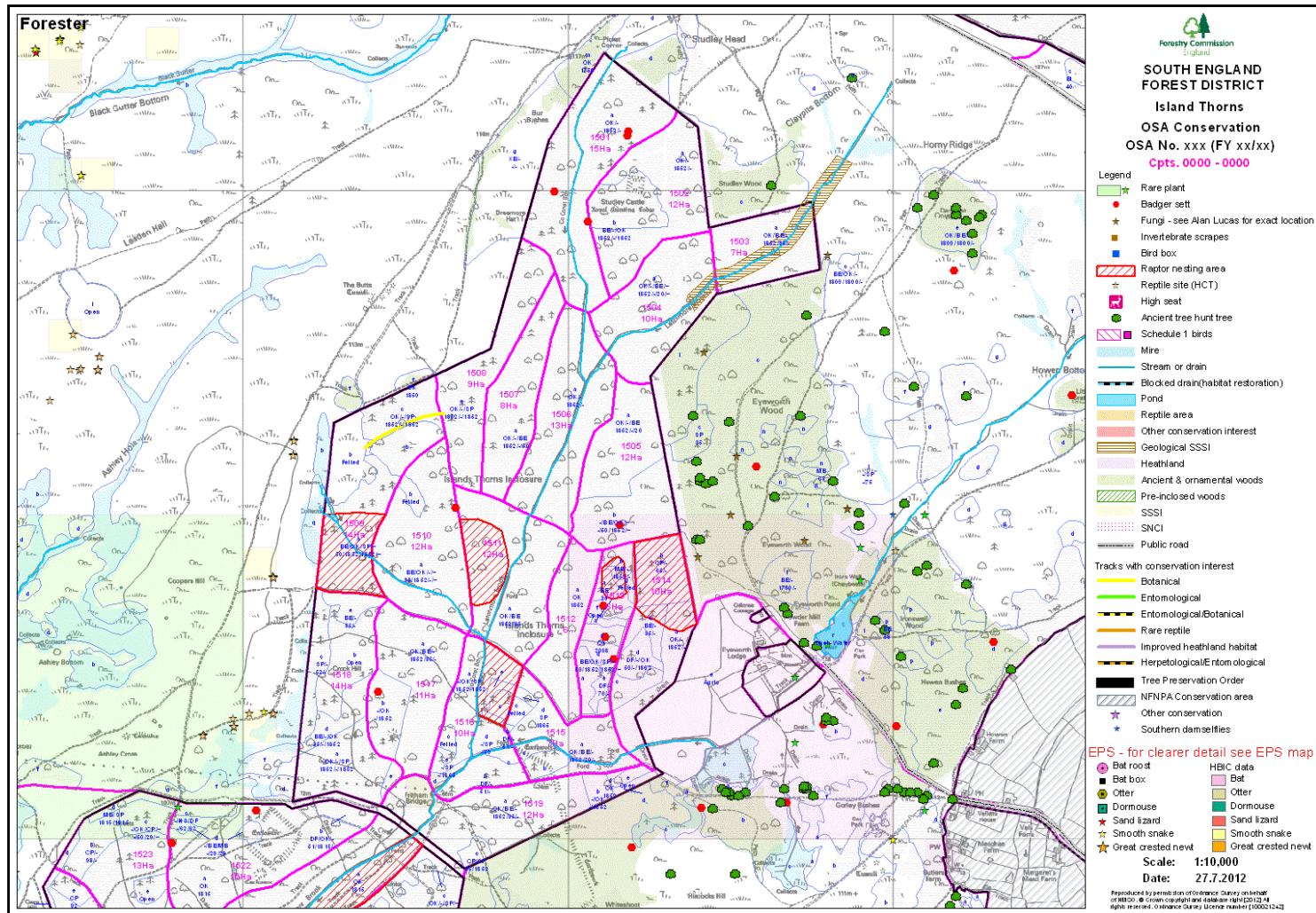
Please enter your name if signing electronically - or sign if a printed copy

10 Appendix 2 – Example 'other' map output

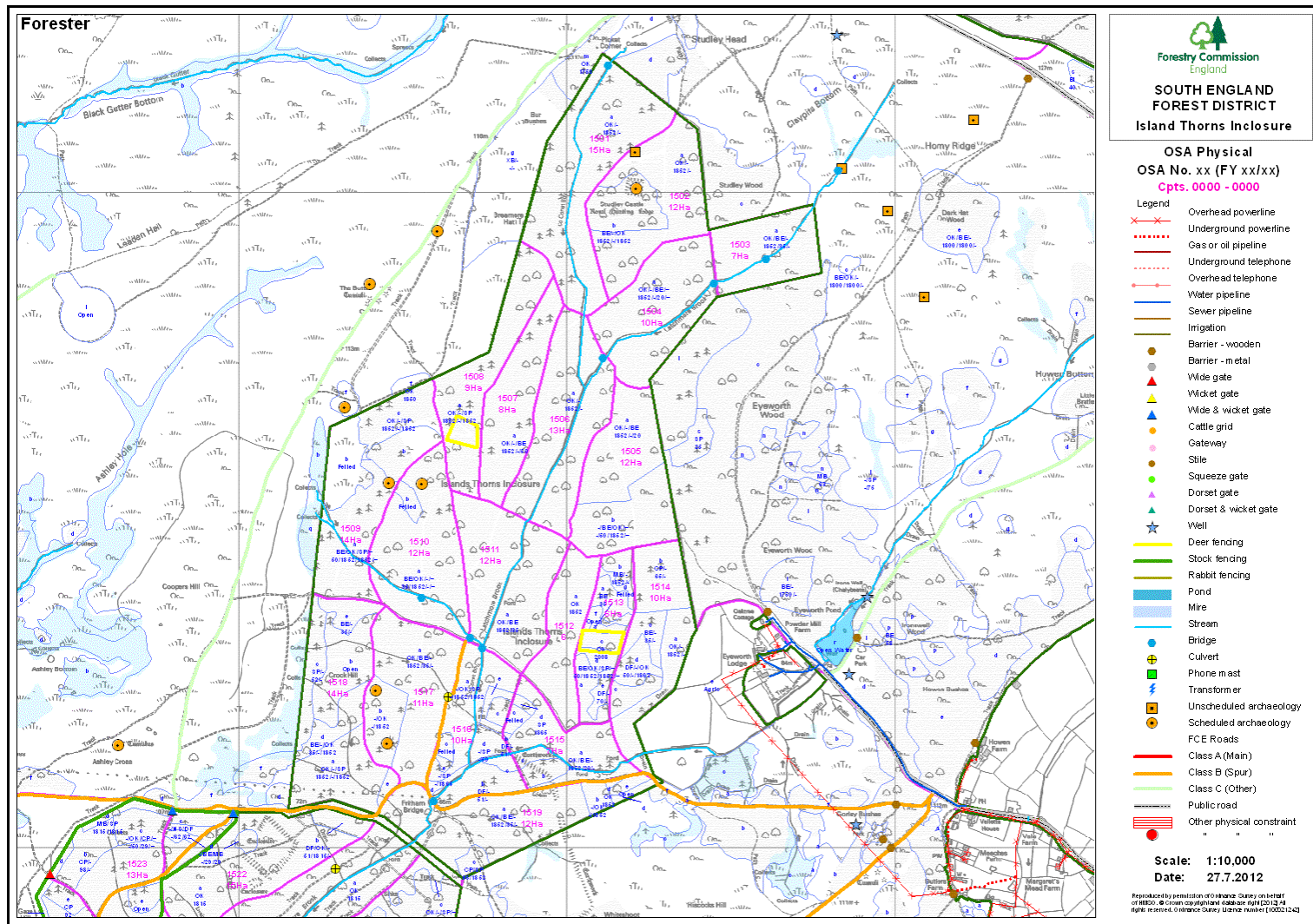
10.1 Archaeology



10.2 Conservation



10.3 Physical



10.4 Recreation

