

Health and Safety Guidance Construction Design and Management Regulations 2015

Unless well managed construction sites are some of the most dangerous workplaces in the UK. The Construction, Design and Management Regulations 2015 have been written to improve health and safety on construction sites and apply to every construction site, including for temporary works. This means the Regulations apply to show builds and demolition, theatre set changes and get out and all other temporary builds regardless of scale, duration or location.

This is a long document, do not be put off by this, not everything will be immediately relevant to you. The first section, pages 3-10, provides a summary of the legislation, please read this section in full. The appendices provide information that is important but may not be directly relevant to you depending on your role during a construction project.

The Construction phase plan is available as an online form. The link is given in appendix 3 and on the H&S pages of the intranet.

The sections detailing each role have been written as standalone documents and can be downloaded individually from the H&S intranet to be passed on to people fulfilling these roles. As a result there is some repetition between these documents.

This document is based on information from the CITB series of industry guidance and information from the HSE.

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Introduction

1. The Construction, Design and Management Regulations (CDM2015) set out the framework for the management of health and safety for all construction projects. CDM 2015 applies to both domestic and commercial construction, this H&S Standard is for commercial projects only and summarises the requirements of the Regulations and the standards to be met. These standards reflect the legal requirements of CDM2015, failure to implement these standards will result in the University not meeting its legal obligations. CDM2015 is based on risk assessment and the health and safety arrangements should always be proportional to the risk.
2. CDM 2015 includes the planning process and the subsequent use of the building or structure which means that when complying with the requirements of the Regulations consideration must be given to how health and safety will be managed during construction, use and demolition i.e. a show build, the period when the show is open and how structures will be dismantled and disposed of.
3. The CDM Regulations have been in place for several years, in the past they did not include temporary structures or most work involving IT or telecommunications. The new Regulations, which came into force on the 6th April 2015, do now include these activities. This means that much of the work carried out in preparation for shows and exhibitions and some other student work, structural IT and telecommunications projects will now have to be managed in accordance with the requirements of CDM2015.
4. The established process of planning and risk assessment in the University is similar to that required by CDM 2015 and meets most of the requirements for managing health and safety found in CDM 2015. The regulations require the identification of specific roles; the Client, Principal Designer and Principal Contractor, and for the development of a construction phase plan and some other planning paperwork; all other arrangements required by the regulations should already be in place.
5. The key role in the management of construction work is the client. The client is responsible for ensuring the construction project is managed safely and competent people are appointed to assist with the delivery of the project. The client can be an individual or organisation; for UAL the client may be the University, a College or department, group of staff or students or an individual which may be a member of staff or a student.
6. CDM recognises two phases in a construction project, the pre-construction phase, managed by the principal designer, and the construction phase, managed by the principal contractor. Read on and all will be revealed.

Definitions

Construction

7. CDM 2015 defines construction very broadly, as a general rule of thumb if a project includes any structural work the installation of plant or services including electrical, IT or telecommunications, maintenance or demolition it will come under the regulations. This applies to permanent structures and temporary builds.
8. CDM 2015 categorises construction into five areas; maintenance, preparation, assembly, removal and installation.

A structure

9. The definition of a structure is equally broad, CDM 2015 defines a structure as:
 - a) *Any building, timber, masonry, metal or reinforced concrete structure, railway line or siding, tramway line, dock, harbour, inland navigation, tunnel, shaft, bridge, viaduct, waterworks, reservoir, pipe or pipeline, cable, aqueduct, sewer, sewage works, gasholder, road, airfield, sea defence works, river works, drainage works, earthworks, lagoon, dam, wall, caisson, mast tower, pylon, underground tank, earth retaining wall structure or structure designed to preserve or alter any natural feature, fixed plant;*
 - b) *Any structure similar to anything specified in paragraph (a);*
 - c) *Any formwork, false work, scaffold or other structure designed or used to provide support or means of access during construction.*
10. This means that any preparation work, building, removal or demolition, including work for temporary structures such as walls for shows, catwalks, platforms and stages should be considered construction. This will also include work involving telecommunications and IT i.e. the fit out, removal and continued maintenance of machinery and systems.

A design

11. A design includes everything prepared for the purpose of constructing, modifying or using a building or structure, including temporary structures, a product or system (such as an electrical or mechanical system) and is likely to include drawings, sketches, calculations of quantities and structural calculations, specifications and design details.

Notifiable Projects

12. Large and complex projects have to be notified to a relevant authority, for the University this is almost certainly going to be the Health and Safety Executive¹(HSE). If a project is notifiable the processes for managing it are the same as for a smaller project the only difference is that the details have to be registered with the relevant authority using form F10 which is available to complete online via the [HSE website](#). An up-to-date copy of the notice must be displayed in the construction site office so all those working on the project can see it, the notice must be easily understandable. The client or contractor/PC can do this. The information required when making a notification is given in [appendix 2](#).
13. A project will be notifiable if:
 - a) The project is scheduled to take longer than **30 days** and there will be more than **20 people** working on it at any one time; or
 - b) The project is going to exceed **500 person days**.

¹ The other notifiable authorities are the Office of Rail Regulation and the Office of Nuclear Regulation. If you think either of these authorities are likely to be relevant to your project you must contact your local H&S Adviser before proceeding.

14. Every day that work is likely to take place contributes to the period of construction work. This includes bank holidays and weekends and includes work carried out by staff, students, student helpers and other volunteers.
15. If a project is not notifiable when it starts but exceeds the limits given above it must be notified as soon as it becomes clear the limits will be exceeded.
16. For a notifiable project the construction phase cannot start until the relevant authority has been notified. Notification should be made as soon as reasonably practicable. Any modifications or updates to the notification should be sent to the HSE making it clear they refer to an earlier notification and do not refer to a new project.

Competency

17. Competency is more than having the training to carry out a task; the HSE define competency as the **combination of training, skills, experience and knowledge that a person has and their ability to apply them to perform a task safely**. Other factors, such as attitude and physical ability can also affect someone's competence. Being competent is not the same as simply being able to do a job.

Duty Holders

18. The Regulations identify particular duty holder roles that need to be assigned when managing a project. The roles have specific responsibilities and an individual can take on more than one role but, however the roles are allocated, there needs to be very clear documentation to identify who is taking on which role and how they are competent to do so.
19. For any project using more than one contractor there must be a principal designer (PD) and a principal contractor (PC). If a project only uses a single contractor the duties and responsibilities of the PC and PD will be undertaken by an identified designer and the single contractor. For the purposes of this document the term PD and PC are used for projects with a single contractor and projects with more than one contractor.
20. There can be more than one PC or PD throughout a project but only one at a time, there should never be more than one PC or PD appointed at any one time. A summary of duties is given below; detail of each role is given in appendices 5-10

CDM2015 duty holders	Summary of role and main duties
<p>Client An organisation or individual for whom a construction project is being carried out</p>	<p>Make suitable arrangements for managing a project, including making sure that:</p> <ul style="list-style-type: none"> • Other duty holders are appointed. • Sufficient time and resources are allocated. <p>Clients must also make sure that:</p> <ul style="list-style-type: none"> • Relevant information is prepared and provided to other duty holders. • The PD and PC carry out their duties. • Welfare facilities are provided.
<p>PD PDs are appointed by the client when a project is going to involve more than one contractor.</p>	<p>Plan, manage, monitor and co-ordinate health and safety in the pre-construction phase of a project. This includes;</p>

<p>The PD can be an organisation or an individual.</p> <p>The PD must have sufficient training, skills experience and knowledge to carry out their role effectively</p> <p>The client must make sure the PD is competent to carry out the role.</p>	<ul style="list-style-type: none"> Identifying, eliminating or controlling foreseeable risks for both the construction phase and the maintenance and demolition of a structure. Ensuring other designers carry out their duties. <p>Prepare and provide relevant information to other duty holders.</p> <p>Provide relevant information to the PC to help them plan, manage, monitor and coordinate health and safety in the construction phase.</p>
<p>PC</p> <p>PCs are appointed by the client when a project is going to involve more than one contractor.</p> <p>The PC coordinates the construction phase of a project.</p> <p>The PC must have sufficient training, skills experience and knowledge to carry out their role effectively</p> <p>PCs are also involved in the planning stage.</p>	<p>Plan, manage, monitor and coordinate health and safety in the construction phase of a project including:</p> <ul style="list-style-type: none"> Liaising with the PD and client. Preparing the construction phase plan. Organising cooperation between contractors and coordinating their work. <p>Ensure that:</p> <ul style="list-style-type: none"> Suitable site inductions are provided. Reasonable adjustments are taken to prevent unauthorised access. Workers are consulted and engaged in securing their health and safety. Adequate welfare facilities are provided.
<p>Designer</p> <p>Those who prepare or modify designs for a building or project, or prepare or modify designs to systems relating to construction work.</p>	<p>When preparing or modifying designs, eliminate, reduce or control foreseeable risks that may arise during construction, maintenance and use of a structure once it is built.</p> <p>Provide information to other members of the project team to help them fulfil their duties.</p>
<p>Contractor</p> <p>These are the people who do the actual construction work. They can be an individual, company, student, member of UAL staff, volunteer or student helper.</p> <p>Anyone who directly engages construction workers or manages construction work, including companies who use their own workforce to do construction work on their own premises.</p>	<p>Plan, manage and monitor construction work under their control to ensure it is carried out without risks to health and safety.</p> <p>If there is more than one contractor each contractor must coordinate their activities with others in the project team and comply with directions given to them by the PD and PC.</p> <p>If there is only one contractor they are required to prepare the construction phase plan.</p>
<p>Worker</p> <p>The requirements for this role apply to everybody involved in the project including all the people who work for, or under, the control of contractors on a construction site.</p> <p>Workers might include external contractors, UAL staff, students, volunteers or student helpers, Self employed or agency workers.</p>	<p>Workers must:</p> <ul style="list-style-type: none"> Be consulted about matters that affect their health, safety and welfare. Take care of their own health and safety and the safety of others who might be affected by their actions. Report anything likely to endanger their own safety or the health and safety of other people. Cooperate with their employer, fellow workers, contractors and all other duty holders.

Assessing Competency

What is competency?

21. Competency is described by the HSE as **the combination of training, skills, experience and knowledge that a person has and their ability to apply them to perform a task safely**. Other factors, such as attitude and physical ability can also affect someone's competence. Being competent is not the same as simply being able to do a job or completing a training course.
22. To deliver a project safely everyone involved needs to be competent to carry out their particular role or to be supervised closely by someone who is.
23. CDM 2015 requires every member of the project team from the principal designer and contractor through to each worker to be competent to carry out their particular activities or to be supervised appropriately. The Client must make sure the people they appoint are competent and they in turn must also make sure those they appoint are competent. The degree of competence required will depend on the actual work being carried out; consequently the amount of effort needed to assess competence should be determined by the level of risk and the complexity of the job.
24. Anyone responsible for putting people to work on a construction site must ensure they have obtained or are in the process of obtaining, the necessary skills, knowledge, training or experience to carry out the job or task in hand.

Competency of contractors, including designers.

25. As described above there are many elements that make up competence, simply having the expected qualifications is not usually enough, although may still be a requirement. Below are some ways in which a contractor, either as an individual or a company/group, can be asked to prove their competence to carry out the task required of them.
 - Recent H&S performance – asking questions about number and type of recent accidents, any occurrences of work related illness.
 - Is there a written health and safety policy? (only required for companies with five or more employees)
 - Has the contractor done similar work, requiring similar skills and, if important, to a similar scale? Can the contractor provide risk assessments from a previous job? For complex or high risk jobs it is reasonable to ask for references.
 - What qualifications do they and their workers have? Some professions have nationally accredited qualifications that people must have to undertake work; for example, scaffold design, build and inspections, chain saw operators, electricians and gas safety work.
 - For contractors with employees - how do they arrange their work? how will work be supervised? what checks are made on equipment and materials? etc.
 - If subcontractors are going to be used, how will their competency be checked and their work and materials be supervised to ensure consistency?
 - If required ask for proof of Employers Liability insurance.
 - Always ask for, and keep, proof of Public Liability Insurance.

How can workers prove competency?

26. There are several ways in which worker competency can be verified, below are some suggestions. Workers should only be asked to prove their skills, knowledge, experience etc. for the work they will be required to undertake on the project.

- Details of training, both in-house and national training schemes if relevant for example the University ladder training course or the PASMA certificate for use of tower platforms.
- Providing a portfolio of work for other, similar jobs.
- Providing references
- Showing time served elsewhere
- Taking an on-site assessment.

Appendix 1: Information required for notification to the relevant authority.

The following information is required if a project is notifiable to the HSE or other authority. All this information is gather on the construction phase plan form available on the H&S pages of the intranet.

- The date the notification was sent.
- The address of the construction site or precise description of its location if there is no address.
- The name of the local authority where the construction site is located, see below for this information for UAL sites.
- A brief description of the project and the construction work it entails.
- The following contact details of the client, the PC and the PD: name, address, telephone number and (if available) email address.
- The date planned for the start of the construction phase.
- The time allocated by the client under regulation 4(1) for the construction work.
- The planned duration of the construction phase.
- The estimated maximum number of people at work on the construction site.
- The planned number of contractors on the construction site.
- The name and address of any contractor already appointed.
- The name and address of any designer already appointed.
- A declaration signed by or on behalf of the client that the client is aware of the client duties under these Regulations.

UAL campus	London Borough
Camberwell - Wilsons Road	Southwark
Camberwell – Peckham Road	Southwark
Central Saint Martins – Archway	Islington
Central St Martins – Kings Cross	Camden
Chelsea	Westminster
LCC	Southwark
LCF – JPS	Westminster
LCF – Lime Grove	Hammersmith and Fulham
LCF – Mare Street	Hackney
LCF – Curtain Road	Hackney
LCF - Golden Lane	Islington
Wimbledon	Merton
High Holborn	Camden
Richbel Place	Camden

Appendix 2: Pre-construction information

27. Pre-construction information details the findings of the project risk assessments with some additional information. This information is provided by the client with the assistance of the PD who will collate the information to pass to on to the designers and contractors working on the project.
28. If the project is going to be tendered to identify designers and/or contractors the pre-construction information should be part of the tender process. If there isn't going to be a tender process, which is likely to be the case for small projects and student work, the pre-construction information will be needed to allow the designers and contractors to fulfil their roles and is fundamental to the preparation of the construction phase plan and the health and safety file.

What should be covered by the pre-construction plan?

29. Pre-construction information documents the risk assessment phase of the project and must include information about the project that is already in the client's possession or which is reasonably obtainable by or on behalf of the client. The information must be:
 - Relevant to the particular project.
 - Have an appropriate level of detail.
 - Be proportionate to the level of risk involved.
30. The PD has a duty to help the client develop the pre-construction information.
31. The gathering of this information should start as soon as possible after the project has been thought of, even if the details of the finished project have not been agreed. The information gathered at this stage is likely to help decide exactly how the project takes shape. Information gathered at the start may not remain relevant or be sufficient as the design process progresses; pre-construction information should be added to throughout the design process to make sure all the health and safety issues are identified, assessed and managed.

When complete the pre-construction plan must include the following:

- Details about the project including the client brief and any key dates in the construction phase.
 - How the project is to be planned and managed identifying the PD and PC. If these roles are being taken on by the client this should be made clear in the pre-construction information.
 - The resources and time allocated to each stage.
 - The arrangements in place to ensure cooperation between duty holders and how the work is to be coordinated.
 - All the health and safety hazards of the site including any design and construction hazards and how they are to be addressed. For example, the presence of asbestos, working at height, electrical work etc.
 - Any relevant information in an existing health and safety file. For UAL sites health and safety files are kept by the Estates department.
32. Pre-construction information should be available to all duty holders to allow them to carry out their duties. The information should be kept in a convenient format; paper based or electronic is fine as long as it is easily available. The information should be concise and easily understandable.

Pre-construction client checklist

	Yes	No
Are you clear about your responsibilities as the client for this project?		
Does the project require a PD or PC?		
Have formal appointments for PD and/or PC been made in writing?		
Have checks been made to ensure that the PD or designer has the capability and necessary skills, knowledge, training and experience to fulfil their duties?		
Have checks been made to ensure that the PC or contractor has the capability and necessary skills, knowledge, training and experience to fulfil their duties?		
Have the resources required to complete the project been identified and are the resources provided?		
Has a project or client brief been issued to the project team?		
Has the project team been issued with all the necessary pre-construction information?		
Do you have access to project-specific health and safety advice?		
Are suitable arrangements in place to manage health and safety throughout the project including any dismantling or disassembly?		
Has a schedule for the key activities been agreed and produced?		
Is there sufficient time to complete all of the key activities?		
Does the project need to be notified to the HSE?		
If necessary, has the project been notified to the HSE using the F10 notification form available on the HSE website?		
Has the contractor/PC produced the construction phase plan?		
Have you checked that the construction phase plan has been adequately developed before work starts?		
Are you satisfied that suitable welfare facilities have been provided before work starts onsite?		
Is a health and safety file going to be needed?		
If required has the format and content of the health and safety file been agreed?		

Appendix 3: Construction phase plan

33. The construction phase plan documents how health and safety will be managed during the construction phase of the project. The plan should only contain information directly related to managing the construction phase and should be:
- Relevant to the project – no generic risk assessments or standardised industry guidance.
 - Have sufficient detail to clearly set out the arrangements, site rules and special measures needed to manage the construction phase.
 - Proportionate to the scale and complexity of the projects and the risks involved.
34. The following topics should be considered when drawing up the plan
- A description of the project including key dates and details of the principal members of the project team.
 - The management of the work including:
 - Health and safety aims of the project.
 - The site rules.
 - Arrangement for cooperation and coordination between project team members such as frequency of meetings, decision making trees, communication arrangements.
 - Arrangements for involving workers in decisions.
 - Site induction.
 - Welfare facilities.
 - Emergency procedures including first aid and fire.
 - Control of any of the specific site risks relevant to the work involved i.e. management of asbestos, confined spaces, working at height.

[Construction phase plan form](#)

Appendix 4: Health and safety file

35. The health and safety file is only required for projects involving more than one contractor. The file provides all the information likely to be needed to ensure health and safety during any subsequent work such as maintenance, cleaning, refurbishment or demolition

The health and safety file must contain:

- A brief description of the work being carried out.
 - Any hazards that have not been eliminated through the design and construction processes. The information must include how the remaining hazards (residual risks) have been addressed and will be managed safely.
 - Key structural principals (e.g. bracing, sources of substantial stored energy – including pre and post tension members) and the safe working loads of floors and roofs.
 - Hazardous materials used, for example; adhesives and special coatings.
 - Information regarding the removal or dismantling of installed plant and equipment (e.g. any special arrangements for lifting such equipment).
 - Health and safety information about equipment provided for cleaning or maintaining the structure, for example information about LEV systems.
 - The nature, location and markings of significant services including underground cables, gas supply equipment and fire-fighting services.
 - Information and as-built drawings of the building, the plant and equipment; for example, means of safe access to and from service voids, details of local exhaust ventilation systems, the position of fire doors, compartmentation, safe havens etc.
36. There should be sufficient detail to allow the likely risks to be identified and addressed by those carrying out the work and be proportionate to those risks. Information must be in a convenient form that is clear, concise and easily identifiable.

Appendix 5: Client's duties

37. In summary the client has the following duties
- To make suitable arrangements for managing a project, including making sure that:
 - Other duty holders are appointed.
 - Sufficient time and resources are allocated.
 - Relevant information is prepared and provided to other duty holders.
 - The PD and PC carry out their duties.

Welfare facilities are provided.

38. A commercial client is an organisation or an individual for whom a construction project is carried out in connection with a business whether the business operates for profit or not. In some instances the University itself is the client, more often it will be a smaller group within UAL.
39. The client has overall responsibility for the successful management of the project and is supported by the contractor/PC and designer/PD in different phases of the project.
40. There are three phases in a project, developing the brief, the pre-construction phase and the construction phase. The client is responsible for ensuring all of these stages are well managed and the project team has the necessary information, skills and understanding to deliver the project safely, that they are competent.

The client brief

41. The client brief explains the scope and requirements of a project before, during and after construction, including how the building or structure is going to be used in its lifetime. A well prepared brief is essential to the success of a project setting out key requirements as well as the aims and aspirations of the project. The client brief should be concise and clear and include the following information:
- The main function and operational requirements of the finished building or structure.
 - Expectations of how the project will progress and be managed, including the management of health and safety.
 - The motivation for the project.
 - The design direction.
 - Identify a single point of contact for any client queries or discussions during the project.
 - Set a realistic timeframe and budget.
42. The client brief is unlikely to be a detailed plan but it should include as much information as necessary for potential contractors to make an informed decision about their involvement.

Pre-construction phase

43. The pre-construction phase is the period during which design or preparatory work is carried out. The client must ensure construction work is planned, resourced and managed to protect the health, safety and welfare of those directly involved and any others who may be affected by the project. More information about the preconstruction phase can be found in [appendix 2](#)
44. Arrangements should be appropriate to the nature of the work and proportionate to the level of risk.
45. Management arrangements should include:
- Requirements for how the project is to be run, identifying any specific requirements **or risks and including any risks to the public.**
 - Explain the selection and appointment process for designers and contractors including how competence will be assessed.

- Details of how time and resources have been allocated to each stage of the project including planning and finishing activities.
46. For complex or high risk projects management arrangements should also include:
- How the design team should consider health and safety risks for the lifetime of the project; the construction phase, continuing maintenance and use of the finished building or structure.
 - The arrangements for procuring the design and construction team, including how competence will be established, ensuring all members of the project team have the necessary skills and experience.
 - How performance will be monitored to ensure the smooth running of the project and continued good management of health and safety.
 - The format of the [health and safety file](#). The safety file may be a separate document or incorporated into the building manual.

What does the client have to do in the pre-construction phase?

Select the project team and formally appoint duty holders.

47. A project team consists of the Client, Designer/PD and the Contractor/PC. If more than one contractor or designer is engaged in the project there will need to be a PC and/or PD. For the purposes of this document PD and PC refer to the designer and contractor who takes on these roles when there is only one contractor.
48. The client can take on the role of either designer or contractor. If they do not formally appoint, in writing, to these positions it is assumed that the client is taking on these roles.
49. One of the main duties when appointing the project team is to ensure that those who are being considered for these roles can deliver the project in a way that secures H&S and demonstrate how this was verified. The University has a QHSE framework that all contractors engaged by Estates must complete before being given access to work on-site.
50. The competency of all other contractors, that is, those not engaged by estates, must be verified by the client during the pre-construction phase and the PC in the construction phase as described in the UAL Management of Contractors H&S Standard. Before being issued with identification and being allowed on site by the Facilities Team the client/PC will be asked for assurance that all the method statements, risk assessments etc. are in place and the contractors are competent. For any work that affects the fabric of the building, emergency arrangements or access arrangements the FM will expect to receive copies of method statements etc. in good time, before work is due to commence. Any contractor found to be doing work without the FM's knowledge will be stopped and may be removed from site. Without completing this successfully contractors arriving on-site will not be issued with an authorisation or permit to work and will not be allowed onsite.

Provide information to help with design and construction planning

51. The client must provide relevant information to the PD who is responsible for collating and distributing pre-construction information. The information the client must provide is that which is either already available or can be obtained by 'sensible enquiries', for example; the asbestos survey, water management plans, building plans showing services, fire compartmentation, means of escape and details of the health and safety management arrangements relevant to the project.
52. It is important this information is made available as soon as possible to help other members of the project team such as the designers and contractors to understand the risks involved in the

project. Pre-construction information may also have an impact on the design, the way in which the construction phase is managed and the future use of the building/structure.

53. At this stage it is also important to agree with the PD the information that needs to go into the health and safety file at the end of the project. The health and safety file contains all the information required after the construction phase to safely use and maintain the completed building/structure. Depending on the size of the project and complexity of the finished building/structure the health and safety file can be a stand-alone document or incorporated into the building management file, a stand-alone file is the best way to ensure the information is readily available when needed.
54. Unless the project is short-lived, for example, a show build, it is important to involve the University's FM contractor Bouygues and make sure the PD and PC involve them in the design, planning and management of the construction works. It is also important that UAL Estates and Bouygues are involved in decisions about the continued management of any buildings or structures.

Notify the project to the enforcing authorities if required.

55. Large, lengthy or complex projects may have to be notified to the relevant enforcing authority, this is almost certainly going to be the Health and Safety Executive (HSE).²
56. If the project is expected to last longer than 30 working days and have more than 20 workers on the project at any one time, or exceed 500 person days it must be notified. Workers are the people who carry out the construction work and include staff, contractors, students and volunteers. The easiest way to notify the enforcing authority is to use the online notification form F10 available on the HSE's website.

Ensure the agreed management arrangements are working.

57. The client is required to ensure the arrangements for managing health and safety during the pre-construction phase are working and take action if they aren't. Generally there are two reasons why health and safety arrangements don't work; firstly they are not being applied and people are not complying with the standards agreed. The second reason is that, in practice, the H&S arrangements aren't practical and need to be reviewed and amended, consulting workers about health and safety can be an effective way to avoid this.

Client duties in the construction phase

Ensure the construction phase plan is in place

58. The PC is required to produce a plan of how they will manage health and safety on site during the construction phase. The client must be satisfied that a construction phase plan is prepared, is relevant and will meet the requirements of the job, including adequately managing health and safety for all those who will be affected by the work i.e. all workers and any visitors or other users of the site who.
59. The plan should be project specific and the contents should be proportionate to the risks.

² The other notifiable authorities are the Office of Rail Regulation and the Office of Nuclear Regulation. If you think either of these authorities are likely to be relevant to your project you must contact your local H&S Adviser before proceeding.

Ensure welfare facilities are in place

60. Welfare facilities include lavatories, a place to eat and take rest and providing drinking water and if necessary a place to change into and out of work clothing. For a construction project on a UAL site sharing existing welfare facilities is usually the easiest option. If workers are going to be working in very cold conditions there should also be the facilities to prepare hot drinks and food.
61. If existing facilities are not going to be shared the client must make sure the provision is adequate from the start of the construction phase either by visiting the site or asking the PC for confirmation of the facilities provided.

Ensure management arrangements are working

62. Although the PC is responsible for the implementation of the construction phase plan the client retains responsibility for ensuring the arrangements agreed for managing health and safety are working successfully and is required to take reasonable steps to verify this. Reasonable steps might include face to face meetings with the PC or a written update at regular intervals. The way in which this is done should have been agreed in the pre-construction phase and detailed in the construction phase plan.

Co-operate with the PC.

63. During the construction phase the responsibility for the site is handed over to the PC and becomes their responsibility to manage. Other users of the site and any contractors the client has named or nominated, for example Bouygues or the Facilities Teams, must comply with the PC's requirements.

Client duties for completion and handover

64. Arrangements for completion and handover should also have been agreed in the pre-construction phase and written into the construction phase plan. Towards the end of the project these arrangements should be checked and amended if necessary. Arrangements should always include the format and content of the health and safety file.
65. During the planning stage the client, designer and contractor will have agreed what arrangements will be needed to ensure the structure is safe to maintain and use. Ensuring these arrangements are in place is an important part of the handover process. If the site is being given back to the client in phases these checks should be carried out at the handover of each phase.

The health and safety file.

66. For any project involving more than one contractor a health and safety file must be prepared. The content and structure of the health and safety file should be agreed during the pre-construction phase.
67. It is the PD's responsibility to complete the H&S file which should contain all the information needed to ensure the health and safety of anyone carrying out any construction, demolition, cleaning or maintenance work on the building or structure. If the PD's role finishes before the end of the project the responsibility for completion and handover of the file shifts to the PC.
68. Before it is handed over the contents should have been reviewed and updated to reflect any last minute changes or additions. There are other documents such as the site asbestos register or legionella risk assessment and management plan that may need updating.
69. Some information in the health and safety file may need to be handed over to the people who will manage or use an area. For example it is a requirement of the Control of Substances Hazardous to Health Regulations that LEV systems are handed over to the users of the system along with

the manuals and log books. The handover should include a meeting after which the system installer should be satisfied that the new users understand how to use and maintain the system, including any indications that the system is not working properly. The mechanism for ensuring this stage of handover happens should have been agreed during the pre-construction phase with the PD and PC.

Maintain and make available the health and safety file.

70. Once it has been handed over the client or owner of the building must keep the health and safety file in a durable form, this can be electronically or on paper, film etc. It should be available in an emergency and the information should be clear and easy to access, not buried in building maintenance and management documentation.
71. If responsibility of the building is shared or passed on the health and safety file must be given to each new owner or made available to new leaseholders. It is the client's responsibility to do this and to make sure new owners or leaseholders are aware of the purpose and content of the file.
72. The H&S file must be kept up to date and revised if necessary; this might include changes to, or replacement of plant, the surrounding site or changes in legislation that impact on the use or maintenance of the building.

Appendix 6: Examples of the allocation of roles within projects.

End of year show

- There is a single member of staff co-ordinating the end of year show liaising with course leaders about each courses part in the show, what they are planning, the resources they will need and the individual elements that will make up the show.
- Course leaders are working with students to determine what they are planning and what resources they would like to have to show their work.
- Students are designing their own work, deciding what they are going to show. They will also build their own show and assist with the building of the course area.
- Student volunteers will come on site during the show build and assist students.
- Technicians will take the lead on the build and will have some input in to the design of elements of the show build.
- The H&S Adviser also has an input into the layout of the show and can require or suggest modifications.
- Some elements of the structure will be pre-fabricated off- site, some in college workshops. The sets will be put together on-site and some of the structure will be built on-site.

Distribution of roles.

	College	Show coordinator	Course Leader	Student	Technical Manager	Technician	H & S Adviser	Student volunteer
Client	X							
Principal Designer		X						
Principal Contractor		X						
Designer			X	X	X	X	X	
Contractor					X	X		
Worker				X		X		X

Installing window blinds in an office

A department has decided to have window blinds fitted, they have engaged a company to measure, make and fit the blinds. The office manager will choose the fabric and type of blind.

Distribution of roles.

	Department	Office Manager	Blind Company	Fitter
Client	X			
Designer		X	X	
Contractor			X	
Worker				X

There is no PC or PD because there is only one contractor.

Theatre build – in house production

- The production manager is coordinating the whole production liaising with the company director, a set designer and a technician who is managing the build.
- Set designer is working with a team of students who are designing the sets, lighting and special effects.
- The technician is working with other technicians and the students to build the sets and with designers to refine and modify designs as instructions come from the company director and production manager.
- The company director is working with the production manager, set designer and technician to finalise designs for set and lighting.

Distribution of roles.

For this example there are at least two different ways the roles could be allocated; the production manager or the technical manager could be the principal contractor.

	Theatre	Production Manager	Set Designer	Technical Manager	Company Director	Technician	Student
Client	X						
Principal Designer		X					
Principal Contractor		X					
Designer			X	X	X	X	X
Contractor				X		X	
Worker						X	X

	Theatre	Production Manager	Set Designer	Technical Manager	Company Director	Technician	Student
Client	X						
Principal Designer		X					
Principal Contractor				X			
Designer			X	X	X	X	X
Contractor						X	
Worker						X	X

3rd party event – venue hire

- A local community festival organiser is using a college site to host part of their event.
- The festival organising team will be working with designers and contractors to bring off the whole event.
- The University Estates team and the college H&S Adviser will have some input into the layout of the design and site arrangements, particularly to do with site security, noise and emergency procedures.
- The festival organisers will hold the licence for the event.

Distribution of roles.

	Festival	Festival organising team	Festival designers	Festival contractors	UAL Estates Team	H&S Adviser	Build staff
Client	X						
Principal Designer		X					
Principal Contractor		X					
Designer			X	X	X	X	
Contractor							
Worker							X

Installing a large piece of machinery

- A large piece of workshop equipment is being delivered and installed into a workshop. The machine will be delivered on site and then hoisted into the second floor of the building using a crane, a window will have to be removed and a doorway widened and then repaired.
- A surveyor has been engaged to calculate loading when the equipment is in position and to make sure the wall and floor can bear the load when the machine is being moved.
- The machine will be moved into place by a company engaged by the supplier.
- The machine will be fixed in place and wired into the mains electricity.
- The lorry delivering the equipment and the crane will be in the loading bay which is also an emergency escape route for the building.
- The college is commissioning the work, which is being organised by the technical manager.
- The technical manager, facilities manager and the health and safety adviser will have input into the way the work is organised.
- The supplier is organising the crane and all other moving activities.
- The removal of the window and doorway and the electrical work is being managed by the college resources manager using University contractors, Bouygues.

Distribution of roles.

Three options for allocating roles have been given for this example. The Technical Manager could represent the College only as the client with the supplier as both PD and PC; the College could be the client, the technical manager the PD and PC with the supplier being a contractor and designer; or, the client is the college, the technical manager the PD and the supplier the PC.

	College (represented by technical manager)	Supplier	Crane Company	Building Surveyor	Moving Company	Bouygues	H&S Adviser	Crane driver, movers, Bouygues employees	College Resources Manager	Facilities Manager
Client	X									
Principal Designer		X								
Principal Contractor		X								
Designer			X	X			X		X	X
Contractor			X		X	X				
Worker								X		

	College	Technical Manager	Supplier	Crane Company	Building Surveyor	Moving Company	Bouygues	H&S Adviser	Crane driver, movers, Bouygues employees	College Resources Manager	Facilities Manager
Client	X										
Principal Designer		X									
Principal Contractor		X									
Designer			X	X	X			X		X	X
Contractor			X	X		X	X				
Worker									X		

Facilities Manager										
College Resources Manager										
Crane driver, movers, Bouygues employees										X
H&S Adviser							X			
Bouygues								X		
Moving Company								X		
Building Surveyor					X					
Crane Company					X					
Supplier			X							
Technical Manager		X								
College	X									
Client										
Principal Designer										
Principal Contractor			X							
Designer			X	X	X				X	X
Contractor			X	X				X		
Worker										