

Health and Safety Guidance – Principal Designer 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.

37. 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.

38. 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.
39. 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.
40. 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 5: Duties of Principal Designers and Designers

41. In summary the Principal Designer (PD) is responsible for the planning, management, monitoring and co-ordination of health and safety in the pre-construction phase of a project. This includes;
 - 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.
 - Preparing and providing relevant information to other duty holders.
 - Providing relevant information to the PC to help them plan, manage, monitor and coordinate health and safety in the construction phase.
42. A designer is an organisation or an individual that prepares or modifies a design for a construction project or instructs someone else to do so. This includes temporary works.
43. A project with more than one contractor must have a Principal Designer, the PD must be a designer and have control over the pre-construction phase of the project. If a project only has one contractor, and therefore doesn't have a PD, the duties of the PD described below will be taken up by one of the designers on the project team, this should be confirmed in writing. For the purposes of this document PD refers to the principal director for projects with more than one contractor **and** the designer taking on these duties for projects with a single contractor.
44. The PD must be appointed in writing by the client, if the client doesn't appoint a PD in writing it is assumed the client has taken on this role. The PD may change as a project progresses but there can only ever be one PD. The PD role can be combined with other activities such as project management, the client can take on the role of PD, the PD and PC can be the same person.

What makes a PD competent?

45. The PD will usually be an organisation, or for small projects, an individual with:
 - Technical knowledge of the construction industry relevant to the project.
 - The understanding and skills to manage and coordinate the pre-construction phase, including any design work carried out after construction begins.
46. In addition to the design skills, knowledge and experience necessary for the project the PD must have the organisational capability to manage the pre-construction phase and support the PC. Developing and maintaining good relationships with the designers, the client and PC is essential. If the PD requires any additional skills to fulfil their role on a particular project they must seek to do so.

The duties of the PD

47. The PD's role is to plan, manage and monitor the pre-construction phase including the co-ordination and management of health and safety. This includes:
 - Assisting the client in identifying, obtaining and collating the pre-construction information.
 - Providing pre-construction information to designers, the PC and contractors.
 - Ensuring designers comply with their duties and cooperate with each other.
 - Liaising with the PC for the duration of the appointment.
 - Preparing the health and safety file.
48. The PD's duties apply for all projects, whether they are notifiable to the HSE or other authority and regardless of any contractual arrangements made for the appointment of other designers. If the PD appoints other designers the PD is responsible for ensuring they are competent to carry out their role.

49. All the information provided by the client and designers is compiled by the PD into the pre-construction information. The information is used to support the construction phase and allows the PC to prepare the construction phase plan, making informed decisions to manage health and safety risks appropriately

Relationship with the client

Assisting the client with the brief

50. The client is required to produce an initial brief and, depending on their experience, the PD may have to assist the client with this. The brief identifies the client's key requirements and expectations and should include any limiting factors such as the budget, planning constraints, timescales and ethical or cultural requirements. The brief is likely to develop as the project progresses and may include specification and standards such as the use of risk registers, safety in design standards and the requirement to use the UAL QHSE framework to check the competency of some external contractors.
51. It may also be necessary to assist the client to gather information for the pre-construction phase. This information is used by the PD to pass on to designers and the PC. Information from the client is likely to include any previous health and safety file, schematics and details of site services, asbestos register, water risk assessments (legionella), the fire risk assessment, surveys of ground conditions and any other surveys relevant to the project. The PD should review all the available documentation as early in the pre-construction phase as possible to assess impacts of health and safety and identify any additional information that is needed.
52. The PD is responsible for managing the pre-construction phase but the client retains overall responsibility for the project and must be kept informed about progress during the pre-construction phase, particularly any issues that arise affecting health and safety. The frequency and content of the updates should be agreed in advance with the client.
53. Consideration should be given to the level and type of information the client should receive. This should not only be what the client wants to receive but, if necessary, information the PD thinks the client should know. Consideration should be given to the following:
- The level and type of information included in regular updates, for example; changes to original brief, amendments to health and safety information.
 - Frequency of updates, the format and how records will be kept.
 - Information or circumstances the client should be informed of in addition to regular updates.

Pre-construction information

54. Pre-construction information is the health and safety information required by PCs and PDs to plan, manage, monitor and co-ordinate the project and provides the basis for preparation of the pre-construction phase plan drawn up by the PC. The information is also needed by designers and contractors who are bidding for the project or who may already have been appointed.
55. The PD is responsible for collating and updating this information and passing it onto other team members as required.
56. The PD should assess the quality of the pre-construction information provided and, if necessary, ask the client for additional or updated information. Things to consider when assessing the information include:
- Is the information from a reliable source, does it need verifying?
 - How old is the information, is it accurate and up to date?
 - Is there any information missing?

- Should a site visit be undertaken to verify the accuracy of the information?
- Are further surveys or investigations required?

Relationship with designers

57. Part of the PD's role is to coordinate health and safety with all the designers. How this is going to be managed should be agreed in much the same way as the relationship with the client is agreed. It is important that the designers are aware of the expectations of the PD, how the pre-construction phase will be managed including methods of communication, attendance at meetings and how information will be shared and circulated.
58. The PD is responsible for managing and liaising with other designers. The PD should provide the designers with the relevant information they need to carry out their role and pass on any information about the health and safety aspects of the client brief or other client information. It is essential that the way in which changes to design are communicated throughout the design team are agreed to avoid confusion and time wasting. Anything that will have an impact of health and safety at any point in the project must be brought to the attention of the PD as soon as it is known.
59. Designers should provide the PD with information necessary to develop the pre-construction plan that will need to be passed on to the PC. This information should include:
- Any significant risks that are unusual, not obvious or difficult to manage.
 - Any assumptions made about how things will be done and how these assumptions have influenced design decisions, for example; making assumptions about the specific sequence a job will be done in or how that fits in with the build sequence of the overall project.
60. The PD is expected to review health and safety information provided by the designers. This doesn't mean the PD is expected to review everything, they should concentrate instead on the high risk areas, including any changes to the original design and considering how any assumptions made by a designer may impact on the project as a whole.
61. The PD should be prepared to challenge designers on their decisions and the processes followed even if they do not have technical knowledge of all aspects of design. Part of the PD role is to try and resolve any issues that arise directly with designers and other members of the project team but any issues that cannot be resolved should be brought to the attention of the client; for example a lack of cooperation between designers or with the PC.

Relationship with the Principal Contractor

62. The PD is responsible for managing the pre-construction phase and the PC is responsible for managing the construction phase. The relationship between these two roles is key to the successful delivery of a project. The PD and PC should be in regular communication and, as with the client, it is important to establish how the relationship will work, what information will be communicated, how often meetings will take place etc.
63. As mentioned above the PC will require pre-construction information in order to write the construction phase plan. The PC may have questions about the information provided and may require additional information. It is the PD's responsibility to respond and provide additional information if necessary.
64. During construction it is almost inevitable there will be some changes to plans. The PD needs to be able to understand the impact any changes will have on health and safety, not only during construction but also on the use of the building as a workplace, its maintenance or cleaning. The PD should take the lead on resolving any issues, working with the client and PC.

The health and safety file

65. It is the responsibility of the PD to prepare the [health and safety file](#). The H&S file contains the information needed for the continued maintenance, cleaning and demolition of the structure. The format, structure and content should be agreed with the client during the initial discussions with the client and this information will be passed on to the PC.
66. The health and safety file will contain information from both the pre-construction phase and the construction phase. Any alterations made during the construction phase must be put into the health and safety file if they are relevant.
67. If there isn't going to be a PD in post at the end of the project the health and safety file will be handed over to the PC who will be responsible for its completion and handover to the client. The H&S file remains with the building and should be updated as necessary to reflect any changes that affect health and safety related to maintenance, cleaning and demolition; the client is responsible for ensuring this.

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										
	H&S Adviser										
	Bouygues										
	Moving Company										
	Building Surveyor										
	Crane Company										
	Supplier										
	Technical Manager		X								
	College	X									
Client											
Principal Designer											
Principal Contractor			X								
Designer			X	X	X			X		X	
Contractor			X	X			X	X			
Worker									X		

