

Health and Safety Guidance – Principal Contractor 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: The duties of the Principal Contractor/Contractor

37. In summary the PC has responsibility for the planning, management, monitoring and coordination of health and safety in the construction phase of a project including:
 - Liaising with the PD and client.
 - Preparing the construction phase plan.
 - Organising cooperation between contractors and coordinating their work.
 - Ensuring that
 - 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.
38. A PC must be appointed when there is going to be more than one contractor working on a project. The PC must be appointed in writing by the client. There can only be one PC appointed on a project at any one time but there can be more than one PC over the course of a project. If there is only one contractor on a project they will take up the duties of the principal contractor. For the rest of this section the PC will refer to both PC for a project with more than one contractor and the contractor on a project with only one contractor.
39. The PC must have the necessary knowledge, skills, understanding and experience in the particular project work to be able to carry out the role.

What makes a PC competent?

40. The PC 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 construction phase.
41. In addition to the construction skills, knowledge and experience necessary for the project the PC must have the organisational capability to manage the construction phase including other contractors and sub-contractors. Developing and maintaining good relationships with other contractors, the client and PD is essential. If the PC requires any additional skills to fulfil their role on a particular project they must seek to do so.

The duties of the PC

42. The PC manages the construction phase of the project, writes the construction phase plan and will also be involved in the pre-construction planning phase working closely with the client and PD. It is important to identify how much the client knows about CDM and their duties and fill in the gaps if necessary.
43. The PD is responsible for writing the pre-construction phase plan and will continue to manage design work during construction. The PC should work with the PD to ensure health and safety is considered in the pre-construction plan and any further design decisions.
44. Sometimes the client will require their contractors to work at, or have access to, the project site. If this is the case the client has a duty to liaise with the PC and cooperate with the site health and safety arrangements.
45. Managing the construction phase requires the PC to plan, monitor and co-ordinate activities and the project team so that health and safety risks are controlled. Key actions for the PC include:

- **Planning:** preparing the construction phase plan to ensure work is carried out without risk to the health and safety of anyone affected by the project including visitors, students, staff and any other site users.
- **Managing:** implementing the construction phase plan and facilitating cooperation and coordination between contractors.
- **Monitoring:** continually reviewing the plan to make sure it remains relevant and risks are controlled, revising arrangements if necessary and checking work is being carried out safely.
- **Securing the site:** taking reasonable steps to prevent unauthorised access to the site by using barriers and other means. The risks present on a site will inform the amount of effort required to keep the site secure.
- **Providing welfare facilities:** there must be suitable welfare facilities on site for the type of work being carried out. Welfare facilities must be in place at the start of the project.
- **Providing site induction:** all workers and visitors to the site must have an induction identifying the risks, H&S arrangements in place relevant to the site, their work or the reason for their visit.
- **Liaising on design:** discussing with the PD any issues with the design or changes.

The Construction Phase Plan

46. The [construction phase plan](#) describes how health and safety will be managed during the construction phase and it is the responsibility of the PC to develop and implement this plan. Information about client requirements and from the pre-construction plan will help with the development of the construction phase plan which should be:
- Proportionate to the risks involved, the size and nature of the work.
 - Realistic, with safety arrangements that will control risks and work. There is no point in insisting on elaborate safety measures that are unlikely to be complied with; most risks can be controlled with simple and familiar measures.
 - Sufficiently developed to allow work to start on site safely. It may not be possible to complete the plan before work starts because, for example, some contractors may not have been appointed and some parts of the design may not have been finalised. When this is the case the plan must be updated with relevant risk control information for each stage of the project before it is started and health and safety arrangements must be agreed and in place.
47. The construction phase plan should only contain the information relevant to the project and nothing else. It should be easy to understand and available to people working on the project. The PC should consult with the PD, contractors and workers when deciding on health and safety arrangements.

Risk control.

48. As discussed above the PC is responsible for ensuring that health and safety is managed throughout the construction phase. The HSE's hierarchy of control and principles of prevention should be followed when control measures are being identified. The basic questions to ask when deciding on control methods and method of working are:
- What could go wrong?
 - How likely is it that something might go wrong?
 - Who might be hurt and how?
 - What do I need to do to make things safer or healthier?

Welfare Facilities

49. The PC is responsible for ensuring welfare facilities are adequate. Welfare facilities must be in place when work commences. Welfare facilities must be clean and stocked with all necessary supplies at all times during the construction phase. Sharing existing facilities on UAL sites should be considered first rather than providing additional facilities.

50. Welfare facilities include:
- Lit and ventilated toilets, suitable for men and women. If facilities are to be shared then each cubicle must have a lock and there should be no urinals in the common areas.
 - Lit and ventilated washing facilities next to the toilets. They should have either hot and cold water or warm water, soap or hand cleaner and drying facilities.
 - A supply of drinking water and cups.
 - Facilities for rest and take breaks i.e. tables and chairs. If workers will be working in extreme temperatures there should be the facility to have cold drinks or heat food, whichever is applicable.
 - If required there should be changing facilities and lockers. Communal changing facilities should not be mixed and it is not acceptable to expect people to change in toilet cubicles.

Induction

51. The PC is responsible for ensuring that everyone working or visiting the site completes a site induction relevant to their activity. Records should be kept to show attendance and what was covered. The following content should be considered:
- Senior management's commitment to health and safety, expectations of behaviour and practice on-site.
 - An outline of the whole project not just the section that is relevant to the particular person.
 - Management of the site to include, for example, the name of the site manager and communication arrangements.
 - Site specific health and safety risks and how they are managed. This is particularly important for any unusual or not obvious risks.
 - Control measures on site, for example site rules, wearing of PPE, vehicle and pedestrian separation, delivery arrangements, arrangements for bringing visitors onsite,
 - Emergency arrangements i.e. first aid, fire, evacuation procedures, rescue from height and confined spaces. Arrangements about who should call the emergency services are important to agree to avoid several calls being made, or none.
 - All incidents, including any involving subcontractors must be recorded using the UAL incident reporting system. Arrangements for reporting incidents under RIDDOR is important, all reports that are made by the University are made by the UAL central health and safety unit. The University is responsible for reporting accidents involving UAL employees and visitors; the responsibility for reporting RIDDOR incidents involving contractors and sub-contractors falls to their employers, or in the case of a self-employed person, the person themselves. The incident must still be recorded on the UAL system.
 - Any additional training requirements; it is important to make clear the expectation of attendance at additional training.
 - Arrangements for consulting with the workforce.
 - Individual responsibility for health and safety making it clear what the penalties for failing to comply with these expectations are.

Site security.

52. The PC is responsible for making sure the site is secure and no one, even unauthorised people, can gain access to dangerous areas and be at risk of injury or ill health. The level of security should be appropriate to the risk. Cooperation with the client and any other site users will be important to ensure site security, it may also be necessary to seek the cooperation of neighbours.
53. Site boundaries should be clearly marked and, if necessary, access should be restricted. Consideration must be given to the surrounding area and the needs of neighbours. The site should be left in a safe condition at the end of each working day.

Appointment of contractors and workers.

54. The appointment of workers and contractors is the responsibility of the PC. All contractors and workers on site must have the necessary skills, knowledge, training and experience for the work they are engaged to carry out. A worker may not be a salaried employee; anyone working under the control of the PC, or any other contractor, is a worker for the purposes of health and safety management. Volunteers and people who, for the purposes of tax and national insurance, are self-employed are also workers.
55. Arrangements for the engagement of subcontractors and contractor's workers must be agreed as part of the construction phase plan.
56. When employing workers, or engaging people to work directly for them, the PC must ensure the following:
 - They have the necessary skills, knowledge, training and experience to complete the tasks for which they have been engaged.
 - They are supervised and given clear instructions. Levels of supervision and detail of instruction will vary depending on competence.
 - The right tools and equipment are provided including personal protective equipment. The employer is responsible for supplying personal protective equipment and cannot charge for this. This duty extends to volunteers and student helpers, although it would not be unreasonable to ask them to use their own PPE if they have it. PPE remains the property of the employer.
 - Workers are consulted about health and safety issues. Arrangements for consultation will have been agreed as part of the construction phase plan and may be direct or through representatives.
 - Arrangements are made for health surveillance if required and there are adequate arrangements in place to manage an exposure to asbestos - if this is a risk.

Appointing contractors

57. One of the main duties when appointing contractors is to ensure that those who are being considered can deliver the project in a way that secures H&S. The way in which competency is assessed should be transparent. The University has a QHSE framework that all contractors engaged by Estates must complete before being given access to work on-site.
58. The competency of all other contractors, that is, those not engaged by Estates, has to be verified by the client during the pre-construction phase and the Principal Contractor in the construction phase. The H&S standards that are required re detailed in the UAL Management of Contractors H&S Standard,
59. When appointing contractors, sub-contractors or trades the PC must:
 - Verify health and safety arrangements are adequate and they are capable of meeting them.
 - Provide all the health and safety information necessary for them to work safely and make informed decisions about risk.
 - Discuss the work before they start, agree control measures and ways of working.
 - Agree what will be provided by them or for them and ensure that everything is provided and in good working order before work starts. Regular inspection to ensure equipment remains in good working order should be carried out.
 - Monitor performance and address any shortcomings in a suitable timescale.

Competency of supervisors.

60. The PC does not have to directly supervise the work being carried out but is responsible for ensuring that anyone appointed as a supervisor is competent. The supervisor will need to be

familiar with the type of work being carried out and have the authority and skills to supervise effectively.

61. The level of supervision should reflect the level of risk associated with the work and the skills of the workers. The PC should assess the degree of supervision necessary taking into account the skills, knowledge, training, experience and likely behaviour of workers. Levels of supervision will also need to be agreed with contractors.

Consultation

62. It is a legal requirement to consult with workers over matters of health and safety. Consultation on matters to do with health and safety should happen in good time and be a clear, two way process to give an opportunity for workers, contractors, trades, subcontractors and the PC to contribute to decision making about health and safety. Involving workers with health and safety also helps improve health and safety performance across the project in several ways;
- Workplace risks are likely to be spotted more quickly by the people exposed to them,
 - Encouraging feedback about control measures will help ensure they are practical, increasing the likelihood they will be followed.
 - Workers are usually more committed to a project where their opinion is valued and they have a say in the way things are done.
63. Consulting involves not only giving information to workers but also listening and properly taking account of them before decisions are made, although it must be acknowledged that many decisions will have been made during the development of the pre-construction and construction phase plans. Issues that workers should be consulted on include:
- Risks arising from their work.
 - Risks from others or the environment they are working in.
 - Proposals to manage or control these risks
 - The most effective way of providing information and training.

Cooperation with contractors and other site users

64. The PC has a responsibility to ensure safe working, coordination and cooperation between contractors. The arrangements for this should be detailed in the construction phase plan and communicated to all contractors as part of the engagement process. As a minimum it is essential that all contractors and workers engaged in the project are aware of:
- Site rules and what is required of them.
 - The programme of works and where their work fits into this.
 - How work will be carried out safely and how risks will be controlled.
65. The duty to cooperate and coordinate for the purposes of health and safety extends to all site users and includes other work being carried out by or for the client and others on shared sites.

Contribute to the health and safety file.

66. The health and safety file contains information relating to the project which will be needed to manage any health and safety risks during the use and maintenance of the building or structure once the project has been completed. The health and safety file is prepared by the PD, unless their appointment doesn't last until the end of the project and then it is the PC's responsibility to complete and hand over the file to the client.
67. The PC will contribute information to the health and safety file; the structure, content and format of the file will be decided before the construction phase and the PD will let the PC know what information will be needed. Any changes to the design that effect health and safety made during the construction phase must be included in the health and safety file.

What information should the Principal Contractor receive?

From the client

- Information about the project, such as the client brief.

From the PD

- Pre-construction information necessary for the construction phase plan.
- Direction on what will be required for the health and safety file.
- Any changes to the design that will affect the construction phase.

From Contractors

- Information about how they will work and what they will need.
- Feedback on construction methods particularly any improvements that could be made to health and safety by reviewing the design.
- Information about contractor designed pieces of the work to be communicated to the PD for consideration and review.
- Evidence of capability and competency relevant to the particular risks they will encounter.
- Details about how health and safety will be managed, including leaving the site in a safe condition.
- Any particular risks arising from the work they are carrying out with particular emphasis on risks that might affect others or that are unusual or not obvious.
- Any requests to sub-contract elements of the work. Sub-contracting arrangements should be agreed as part of the construction phase plan.
- Details of how supervision will be provided and evidence that supervisors are competent and capable of taking on this role.

What information must the PC provide?

To the client and PC.

- Information on construction methods and any opportunities to improve health and safety through design review and development before work starts and through the construction phase.
- Details of any changes made that will affect the design.
- Information for the health and safety file, ensuring any relevant changes made during the construction phase are provided, in addition to the information identified by the PD during the pre-construction phase.

To designers

- Details of any changes that may affect the design.

To contractors

- Specific requirements and any lead-in times.
- Details of unusual or significant risks and any sequence constraints.
- Details of who is in charge of the site, duty arrangements and emergency contacts.
- Any relevant pre-construction information.
- Relevant parts of the pre-construction phase plan.
- Site rules and suitable site induction.
- Details of the welfare facilities.
- Potential sources of serious and imminent danger and the procedures to follow.
- Arrangements for reporting unsafe behaviours or conditions.
- Arrangements for first aid.

To workers

- Information about the health and safety risks and the arrangements to control them.
- Clear instruction about what to do in the event of an emergency.
- Arrangements for reporting unsafe behaviours or conditions.
- Arrangements for first aid.

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		