

DIRECTORATE OF ESTATES & FACILITIES

EPM HS14 – Construction (Design and Management) Regulations 2015

Procedures (Formally CDM 2007)

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Appendix A Design Services Unit – Direct Allocation of Principal Designer

1.0 Introduction to CDM 2015

- 1.1 The Construction (Design and Management) Regulations 2015 (CDM 2015) came into force on the 6th April 2015 to ensure compliance with the EU Directive “92/57/EEC - *temporary or mobile construction sites*” and in response to the Health and Safety Executive’s (HSE) evaluation of the effectiveness of CDM 2007.
- 1.2 In response, CDM 2015 does not change what the Regulations deliver, but how it is delivered with:
- Increased client accountability and visibility on projects
 - Greater co-ordination and planning of activities (especially on smaller projects)
 - Embedded pre-construction co-ordination within the project team
 - Securing of health and safety on projects through concept to completion.
- 1.3 Major regulatory changes of CDM 2015 include:
- Requirement for a Construction Phase Plan on every project, including minor project works undertaken by the Measured Term Contractors (MTC). Section 3.0 defines construction work
 - Changes to the threshold for notification of construction projects to HSE
 - Proportionate and sensible enquires to establish that designers and contractors have the necessary skills, knowledge and experience to carry out the works and the use of PAS 91:2013 (Public Available Specification) and Safety Schemes in Procurement (SSIP) Forum for assessing organisational capability i.e. policies and procedures
 - Introduction of domestic client duties.
- 1.4 On projects where there is more than one contractor appointed:
- The appointment of a principal designer to plan, manage and co-ordinate health and safety in the pre-construction phase of the project (this appointment in the majority of projects will extend into the construction phase)
 - The appointment of a principal contractor to plan, manage and co-ordinate health and safety in the construction phase of the project (this co-ordination includes temporary works and designs)
 - Requirement for a Health and Safety File.

2.0 Aims and Objectives

- 2.1 The client (University) has a major influence over the way a project is procured and managed, including contractual control, appointment of a competent project team (designers, contractors and specialists) and ensuring financial resources and sufficient time are made available from the outset. Client decisions therefore directly impact on the health, safety and welfare of all workers involved in construction projects at the University, and others, who may be effected by these activities.

2.2 The University's key aims are:

- Zero harm to people, property and the environment
- No accidents (reportable or otherwise)
- No occupational ill-health arising from the project i.e. health risk to be on par with safety risks
- No injuries or harm to any members of the public, University staff, students or others
- No environmental damage to water, land and biodiversity
- Eliminating risk at design stage for future accessibility, usability and maintenance
- Continual development of a positive health and safety culture through leadership, promotion of positive behavior in the workplace and learning lessons from near misses, incidents and accidents.

3.0 Definition of Construction Work

3.1 CDM 2015 applies to all building and construction work, this includes new build, demolition, refurbishment, extensions, conversions, repair and maintenance. HSE defines construction works as:

- The construction, alteration, conversion, fitting out, commissioning, renovation, repair, upkeep, redecoration or other maintenance (including cleaning which involves the use of water or an abrasive at high pressure, or the use of corrosive or toxic substances), de-commissioning, demolition or dismantling of a structure
- Enabling works - the preparation for an intended structure, including site clearance, exploration, investigation (but not site survey) and excavation (but not pre-construction archaeological investigations), and the clearance or preparation of the site or structure for use or occupation at its conclusion
- The assembly on site of prefabricated elements to form a structure or the disassembly on site of the prefabricated elements which, immediately before such disassembly, formed a structure (this also applies to the events industry i.e. gazebos, bandstands etc.)
- The removal of a structure, or of any product or waste resulting from demolition or dismantling of a structure, or from disassembly of prefabricated elements which immediately before such disassembly formed such a structure
- The installation, commissioning, maintenance, repair or removal of mechanical, electrical, gas, compressed air, hydraulic, telecommunications, computer or similar services which are normally fixed within or to a structure.

3.2 Structure means —

- 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 structure or structure designed to preserve or alter any natural feature, and fixed plant

- Any structure similar to anything specified in the above paragraph
- Any formwork, falsework, scaffold or other structure designed or used to provide support or means of access during construction work.

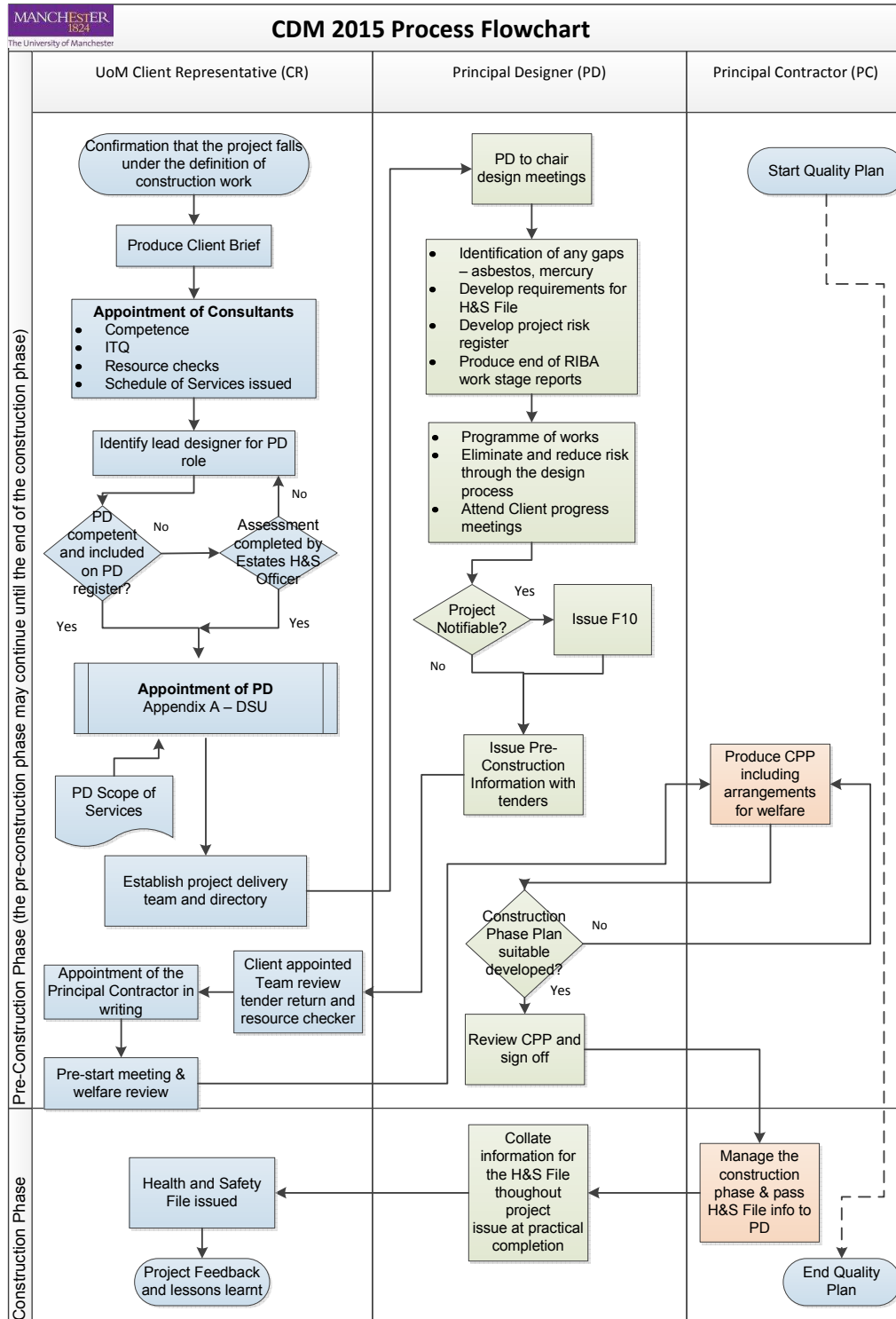
4.0 Client Duties

4.1 CDM 2015 defines a client as anyone for whom a construction project is carried out, *L153 - Managing Health and Safety in Construction* sets out considerations when determining who the client is on projects where uncertainties exist. The client representative from Design Services Unit (DSU), Maintenance Service Unit (MSU) or Capital Projects will be responsible for discharging the client duties in relation to managing projects. Client duties under CDM 2015 include:

- Making suitable arrangements for the successful management of a project
- Appointing other dutyholders as early as possible in the scheme
- Allowing sufficient time and resources (securing health and safety from concept to completion)
- Providing information to assist with design and construction planning e.g. refurbishment and demolition asbestos survey
- Ensuring that relevant information is prepared and cascaded to other dutyholders i.e. client brief
- Appointing in writing a principal designer and principal contractor (on projects with more than one contractor) and taking reasonable steps to ensure that they comply with their duties
- Ensuring that suitable welfare facilities are provided and maintained by the principal contractor for the duration of the construction phase of the project
- Ensuring that processes and procedures are in place to manage competent contractors (but not manage contractors work directly).

5.0 CDM 2015 Overview Process Flowchart

The sub-processes for appointment of the principal designer for DSU can be found in the appendices of this procedure.



*Reference should be made to *EPM PM3 – Procedures Manual* (Project flowchart for feasibility, design, tender and construction stage gateways and deliverables).

6.0 Selection and Appointment of the Project Team

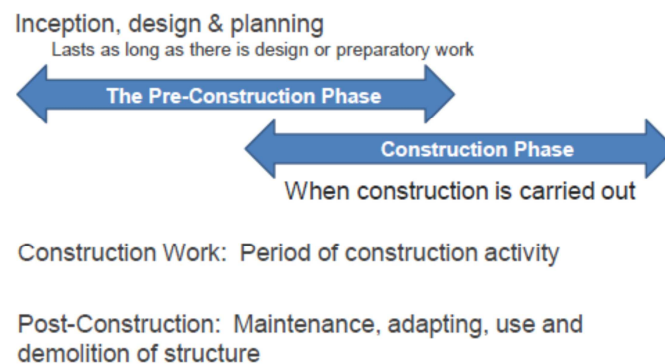
- 6.1 The client representative is responsible for appointing professional consultants that have the necessary skills, knowledge, experience and organisational capability to manage the risks involved when considering the size and complexity of the project. Appointees may include project managers, architects, building surveyors, building engineering services, quantity surveyors and designers (principal designer where there is more than one contractor) and where work involves particular risks (See section 15 for categories) the appointment of a specialist advisor to the project team.
- 6.2 On projects where direct award / appointment of consultants applies, consultants will be appointed on a rotational basis administered through the consultants rolling appointment register (where there is an existing fee agreement). On campus wide projects, or where the project involves works in numerous buildings, consultants will be appointed via mini-competition i.e. Invitation to Quote (ITQ).
- 6.3 For projects where the structural element is less than £20,000, then the award / appointment will be based on a time charge based on agreed hourly rates. Where direct appointment does not apply, consultants will be procured through mini-competition i.e. ITQ.
- 6.4 Contractors (principal contractor where there is more than one contractor) will be asked to tender for works on projects where they have proven capability and experience. These include:
- The Construction Partnering Framework where construction costs are in excess of £10M
 - Direct award on the Construction Partnering Framework
 - The Construction Works Framework on projects with construction costs less than £10M
 - On projects of less than £50k, works can also be procured directly through the MTC utilising a JCT minor works contract
 - Contractors who have undertaken minor works at the University in the previous 3 years.
- 6.5 New contractors will need to demonstrate their competence and will be assessed by the Estates and Facilities Health and Safety Officer using the form in *Appendix H of EPM HS14a*.
- 6.6 Appointment documents for both professional consultants and principal contractors can be found on *EPM PM5 - Project Management Procedures*.

7.0 Phases of a Project

7.1 Fig 2 illustrates the phases of a project, in terms of pre-construction and construction:

- The pre-construction phase can often continue into the construction phase (or even until the end of the construction phase)
- The principal designer's appointment will continue into the construction phase where there is ongoing planning and design elements on the scheme
- The principal designer and principal contractor must liaise on all temporary works during the construction phase.

Fig 2. Phases of a Construction Project



8.0 Role of the Principal Designer

8.1 The role of the principal designer is to plan, manage, monitor and co-ordinate matters relating to health and safety during the pre-construction phase regardless of contractual arrangements. This includes:

- Assisting the University in preparing a robust brief, including management and resourcing arrangements
- Assist the University in preparing a programme of work and identifying key milestones
- Ensuring the ongoing development of pre-construction information, identifying any gaps in information N.B. the development of pre-construction information can continue into, or even until the end of the construction phase
- Issuing of the F10 on projects which are notifiable (on behalf of the University)
- Cascading of the pre-construction information to designers and contractors (in a relevant format) and in good time allowing effective planning, resourcing and costing
- Providing relevant information to designers, the principal contractor (including principal contractor appointed specialist and temporary designers) and to the client. This includes tracking of information

- Facilitating the ongoing communication between the design team to secure health and safety objectives defined by the University
- Developing and implementation of a risk register from project inception to completion, considering:
 - Elimination and reduction of risk to as low as reasonably practicable
 - Buildability, usability, accessibility and maintainability
 - Red – Amber – Green lists (RAG) lists (*EPM HS14a - Appendix K*)
 - 'Safe by Design' principles.
- Sampling (and challenging) designers to ensure that they adhere to the principles of prevention (sampling should focus on RAG ratings, risk profiling i.e. high risk activities and the principal designer's construction experience)
- Ensuring that designs prepared for places of work comply with the Workplace (Health, Safety and Welfare) Regulations 1992 taking account of factors such as traffic routes and lighting
- Chairing and leading project design meetings and the timely issue of meeting minutes
- Participation in progress, pre-start and site meetings
- Issuing of monthly Health and Safety updates to the project team
- Reviewing and commenting on the adequacy of the Construction Phase Plan issued by the principal contractor
- Reviewing the principal contractor's arrangements prior to works commencing on site
- Developing of the Health and Safety File from feasibility to handover
- Co-ordinating the design of temporary works e.g. scaffolding and excavations, including temporary works by designers appointed by the principal contractor during the construction phase.

8.2 The University Scope of Services for a principal designer can be found on *EPM PM5 - Project Management Procedures*.

9.0 University Acting as Principal Designer

- 9.1 On projects which are low risk and less complex, the University can be appointed as the principal designer. The University's lead contact for the principal designer role must ensure that the following actions are completed during the project lifecycle:

Item	Action	Document
1.0	Assessment to ensure that they have the necessary skills, knowledge and experience to undertake the role in consideration of the project complexities	
2.0	Ensure that an Estates Health and Safety Officer has been notified of the scheme (and they are able to assist in discharging the principal designer duties)	
3.0	Ensure that the client representative has completed the client brief (on smaller / low risk projects this brief maybe verbal)	<i>EPM HS14a - Appendix A</i>
4.0	Complete the Pre-Construction Management Record and Pre-Construction Information	<i>EPM HS14a - Appendix B</i> (information must be proportionate to reduce bureaucracy and development is ongoing)
5.0	Carry out a resource check of consultants	<i>EPM PM5 – Project Management Procedure</i>
6.0	Identify any gaps in Pre-Construction Information and ensure that the necessary surveys are completed and the information obtained	
7.0	Chair design and project progress meetings	
8.0	Ongoing development of the project risk register, including notes on drawings	<i>EPM HS14a – Appendix J</i>
9.0	Issue the Pre-Construction Information to all designers and contractors (including tendering principal contractors)	<i>EPM HS14a - Appendix B</i>
10.0	Issue F10 where the project is notifiable	
11.0	Appoint the principal contractor in writing (as part of the contract)	<i>EPM PM5 – Project Management Procedure</i>
12.0	Review the adequacy of the principal contractor's Construction Phase Plan (consult with the Health and Safety Officer where required)	<i>EPM HS14a – Appendix C – Construction Phase Plan Checklist</i>
13.0	Issue confirmation that the construction phase can commence	<i>EPM HS14a – Appendix D Construction Phase Plan Review Letter</i>
14.0	Issue of the Health and Safety File to the University within 14 days of practical completion	
15.0	Including all duties identified in Section 8.0	

10.0 Principal Designer Capability Assessment

- 10.1 Prior to appointment, the client representative must ensure that the principal designer has successfully completed the University capability assessment questionnaire (*EPM HS14a – Appendix F*). Confirmation of competence and subsequent inclusion on the University's approved principal designer's register can be confirmed with the Estates and Facilities Health and Safety Officer.

11.0 Selection of Principal Designer

- 11.1 The client representative is responsible for appointing the principal designer in writing, as early as possible in the design process, and on projects which could foreseeably involve more than one contractor. It is a requirement of the University that the principal designer must be a designer on the project and be in a position to have control over the design and planning stage. Principal designers must also have the necessary skills, knowledge and experience and can be appointed from the following disciplines (please note this is not an exhaustive list):
- Professional consultants - architects, building surveyors, building engineering services and structural and civil engineers
 - Design and Build contractors
 - MTC Contractors.
- 11.2 The principal designer must be competent, adequately resourced, and be positioned within the project team to enable them to control, plan, manage, monitor and co-ordinate the pre-construction phase from feasibility through to the delivery of the construction phase (including planning and design in the construction phase where the principal designers appointment will continue). The principal designer has an important role to play in influencing, controlling and co-ordinating the works of others in the design team in an effort to eliminate, reduce and then communicate foreseeable risks to tendering contractors in the form of the Pre-Construction Information.
- 11.3 On minor projects where the principal designer will be the University (appointment by default), the lead contact details need to be formally recorded in the document – *Appendix A - EPM HS14a - Client Brief*.
- 11.4 Where there is a requirement for the principal designer to change during a project, a formal handover must be completed, including risk register, pre-construction information, Health and Safety File requirements etc.
- 11.5 Where the principal designer's appointment finishes before the end of the project, the principal designer must pass all relevant information to the principal contractor, including the Health and Safety File and information on risks that cannot be eliminated in design and how these risks are

to be controlled.

- 11.6 The appointment letter for the principal designer is available on *EPM PM5 - Project Management Procedures* (Appointment by contract award).

12.0 Appointment and Duties of Principal Contractor

- 12.1 A principal contractor must be appointed in writing by the client as early as possible in the pre-construction process (before the construction phase commences) and on projects which could foreseeably involve more than one contractor.
- 12.3 The principal contractor is responsible for controlling, planning, managing, monitoring and co-ordinating the construction phase of the project. Duties include:
- Managing the health and safety risks of the construction work
 - The provision of suitable welfare facilities
 - Site specific inductions
 - Preventing unauthorised access to the site
 - Consulting and engaging with the workforce
 - Competence assessment of any temporary works designers that they appoint
 - Continued liaison with the principal designer in regards to ongoing planning and design elements of the scheme.
- 12.4 On sites where two or more projects are taking place at the same time (but are run independently of each other) it is essential that there is clarity over who is in control during the construction phase in any part of the site, at any given time, is agreed (and documented) by the principal contractors involved in the project.
- 12.5 Principal contractor duties are detailed in *L153 - Managing Health and Safety in Construction – Regulation 13*.
- 12.6 Principal contractors (and contractors) must ensure that they abide by *EPM PM6 - Code of Practice for Contractors on Campus*.

13.0 Design and Build Projects

- 13.1 On projects which are Design and Build (D&B), the D&B contractor will be appointed as both principal contractor and principal designer. On these projects, the client representative must appoint a contractor with the skills, knowledge and experience, and importantly, the organisational capability to carry out both the functions of principal contractor and principal designer throughout the project from concept to completion. The D&B contractor must ensure:

- Ongoing development of the project risk register based on the principles of prevention
- Ensure monitoring arrangements are in place
- Effective management of design changes during the construction phase
- Effective management of temporary works, including any temporary works designer appointed
- Including all duties identified in Section 8.0 and Section 12.0.

13.2 The client has a legal duty to take reasonable steps to ensure that the principal designer and principal contractor comply with their duties under CDM 2015.

14.0 Tender Return and Adequate Resource Checker

14.1 It is the responsibility of the client representative / project manager to ensure that any consultants or contractors appointed to the project are adequately resourced. Check must be made during the tendering process and prior to appointment:

➤ Consultant:

- ITQ issued to consultant including meeting schedule and schedule of services
- Consultant returns tender with confirmation of names and responsibilities of who will be allocated to the project (Appendix 2)
- Client representative to evaluate cost v hours using Consultants Tender Return Scoring matrix (located on *EPM PM5 - Project Management Procedures*)
- Comparison of hourly rate against the consultants hourly rates for each classification
- Confirmation that the consultant has allocated enough hours, at each RIBA stage, for each classification.

➤ Contractor:

- Tender documents issued to contractor including schedule of services
- Contractors returns tender documentation
- Resourcing and proposed programme
- Key personnel allocated to the project
- Summary of how the contractor will address the significant and unusual hazards identified and documented in the tender return
- Waste and environmental management.

14.2 The client representative / project manager will be responsible for monitoring the resourcing of the project team, including attendance at meetings.

15.0 Work Involving Particular Risks

15.1 The principal contractor is required to draw up a construction phase plan, and where applicable, must include specific measures concerning work which falls within one or more of the categories included in schedule 3 of CDM 2015:

- Work which puts workers at risk of burial under earth falls, engulfment in swampland or falling from height, where the risk is particularly aggravated by the nature of the work or processes used or by the environment at the place of work or site
- Work which puts workers at risk from chemical or biological substances constituting a particular danger to the safety or health of workers or involving a legal requirement for health monitoring
- Work with ionising radiation requiring the designation of controlled or supervised areas under Regulations 16 of the Ionising Radiation Regulations 1999
- Work near high voltage power lines
- Work exposing workers to the risk of drowning
- Work on wells, underground earthworks and tunnels
- Work carried out by divers having a system of air supply
- Work carried out by workers in caissons with a compressed air atmosphere
- Work involving the use of explosives
- Work involving the assembly or dismantling of heavy pre-fabricated components.

15.2 If the scope of work does include particular risks, then a specialist advisor must also be appointed to the project team (*See Section 6 – Selection and Appointment of the Project Team*).

16.0 Client Brief

16.1 The client representative is responsible for providing a client brief to designers and contractors on all construction projects. However, the emphasis is on proportionality, considering risks and project complexity. *EPM HS14a – Appendix A* is the University Client Brief which includes the following items:

- Project description, timescales and budgets
- Management arrangements
- Resourcing and timescales
- Function and operational requirement of the project
- How welfare arrangements will be provided for the duration of the project
- Health and safety expectations on the project
- Single point of contact for the client.

16.2 The principal designer can assist in the preparation of the client brief, including RIBA works stage reports.

17.0 Pre-Construction Information

17.1 In accordance with CDM 2015, the client has the main duty for providing pre-construction information to designers and contractors, including principal designers and principal contractors. However, where there is more than one contractor appointed to the project, the principal designer must assist the client in bringing the pre-construction information together, assessing the adequacy of the information, and identifying any gaps or requirements for additional surveys. The principal designer is then responsible for cascading the information in a convenient form to designers and to contractors who have already been appointed, or are tendering for works (to enable them to eliminate and reduce risks during the design and construction phases). Pre-construction information should be:

- Already in the client's possession (or reasonably obtainable)
- Relevant to the particular project and;
- Appropriately detailed and proportionate to the risks involved.

17.2 Pre-construction information should be gathered and added to as the design progresses to reflect new information about the risks to health and safety and how these risks should be managed: In practice the pre-construction information will be:

- Used to track what information has been provided, to whom, and when
- A “live” document which must be developed through the pre-construction phase (pre-construction may continue until the end of the project)
- Used by the principal contractor to prepare the project specific Construction Phase Plan.

17.3 Pre-Construction information must include the client brief, key dates of construction, planning and management of the project, the health and safety hazards of the site, and how these will be addressed and any other information relevant to the project.

Further guidance on Pre-Construction Information and contents can be obtained in - *L153 Managing Health and Safety in Construction - Appendix 2*.

18.0 Construction Phase Plan Review

18.1 In accordance with CDM 2015, a construction phase plan that is sufficiently detailed and proportionate in consideration to the complexity of the project, is now required on ALL projects. The plan must record the health and safety arrangements, site rules and specific measures concerning works that fall within Schedule 3 of CDM 2015 (also see Section 15 – work with particular risks). *L153 Managing Health and Safety in Construction – Appendix 3* provides further guidance on the content of the plan, and what duty holders must do to comply with CDM 2015. HSE also provide an example of a simple Construction Phase Plan at:

www.hse.gov.uk/pubns/cis80.pdf

Or the CDM App at: www.citb.co.uk/health-safety-and-other-topics/health-safety/construction-design-and-management-regulations/cdm-wizard-app/

- 18.2 On construction projects involving more than one contractor, the principal contractor will be responsible for preparing the plan and the principal designer for reviewing and commenting on the plans adequacy, including the arrangements for managing health and safety.
- 18.3 Where the principal designer is a University appointment or there is only one contractor appointed on the project, the principal designer or client representative / project manager will be responsible for reviewing the construction phase plan and providing feedback to the principal contractor or contractor. A construction phase plan checklist is included in *EPM HS14a - Appendix C*.
- 18.4 The internally appointed principal designer or client representative / project manager is also responsible for issuing the construction phase plan review letter to the principal contractor / contractor *EPM HS14a - Appendix D* confirming when the construction phase can commence.

19.0 Risk Assessment and Method Statement Evaluation

- 19.1 Principal contractors and contractors have a legal duty in accordance with The Management of Health and Safety at Work Regulations 1999 to carry out a suitable and sufficient risk assessment of the risks to the health and safety of employees and those persons that could be affected by the work. These findings must be recorded in writing (where there are more than 5 employees) and the control measures identified in the assessment must be implemented, monitored and reviewed.
- 19.2 Where there is a requirement for a permit i.e. roof work, confined space entry, hot works, excavations etc., the client representative or project manager (requesting the permit) will be responsible for reviewing the suitability of the risk assessment submitted by the principal contractor or contractor. A method statement evaluation form can be found at *EPM HS14a Appendix E- Method Statement Evaluation Form*.
- 19.3 **Note:** The University does not approve risk assessments or method statements but accepts (without prejudice) where there are no health and safety reasons why the works cannot commence. Further guidance on method statement evaluation can be sought from the Estates and Facilities Health and Safety Officer. Further information on the University's permit to work system can be found at *EPM PM12 - Permit to Access & Permit to Work* which also contains additional guidance on method statement evaluation.

- 19.4 Confined space entry, roof work, excavation works etc. in the majority of cases will also fall under the definition of construction work (see section 3.0) and the CDM 2015 Regulations will apply, including:
- The client requirement to provide pre-construction information
 - Requirement for a construction phase plan on every project considering project complexities.

20.0 Design Arrangements

- 20.1 The design team must ensure that the general principles of prevention are applied i.e. eliminating foreseeable risks or where this is not possible, reducing the risk or controlling the risk through the design process. The risk register developed by the principal designer must:
- Continuously be developed and include design changes
 - Include RAG rating of risks (as per the University standard in *EPM HS14a – Appendix K*)
 - Seek to eliminate and reduce significant and unusual risks
 - Reduce unnecessary bureaucracy and be proportional to the works
 - Consider buildability, maintainability and usability
 - Consider maintenance and access strategies (ergonomics)
 - Be compliant with 'Safe by Design' principles
 - Comply with the Workplace (Health, Safety and Welfare) Regulations 1992.
- 20.2 Principal designers are permitted to use their own pro-forma for risk registers; however, the register should not be overly bureaucratic and needs to focus on reducing and eliminating the significant risks. The University project risk register can be found at *EPM HS14a – Appendix J*.
- 20.3 The University preference (where practical) is for the residual hazards and construction methodologies to be noted on drawings making information readily accessible to those who will be responsible for managing the risks.
- 20.4 On less complex projects (and where a documented risk register would not add value) evidence of risk elimination, risk reduction and the decisions of the design team can be recorded in design team meeting minutes or as notes on drawings.
- 20.5 Any outstanding risks must be documented in the Pre-Construction Information, addressed in the construction phase plan produced by the principal contractor, and then ultimately managed by the principal contractor during the construction phase.
- 20.6 Pre-Construction Information should not include information on risks that a competent contractor would be expected to manage.

- 20.7 Where there is a requirement for the University to appoint a designer directly (and they are not on the University's approved list of designers), the Estates and Facilities Health and Safety Officer must be notified and a capability assessment completed using the criteria in *EPM HS14a – Appendix G*.
- 20.8 Principal contractors will be responsible for their own capability assessments of those that they seek to appoint.
- 20.9 All designs, unless otherwise agreed by the University, must comply with the University design standards which can be found in *EPM PM7 – Code of Practice for Design Teams* and *EPM PM8 – Standard Electrical Specification*.

21.0 Management and Monitoring Arrangements

- 21.1 The principal contractor is responsible for managing and monitoring the arrangements for health and safety on site, including the provision of adequate welfare facilities. These arrangements for managing health and safety must be clearly documented in the construction phase plan. However, to provide assurance to the University as the client, client representatives, project managers and Estates and Facilities Health and Safety Officers will also monitor arrangements. University monitoring shall not replace the principal contractor's own arrangements for monitoring the construction phase and the application of the principles of prevention.
- 21.2 The audit template for client representatives / project managers to complete can be found at *EPM HS14a - Appendix I*. Findings and any corrective actions identified in the audit must be included on the agenda at the next project progress meeting.
- 21.3 Client representatives and project managers are not expected to carry out detailed site audits.

22.0 Notification to HSE

- 22.1 Although notification in itself does not trigger any further actions for duty holders, an F10 form still requires submitting to HSE if work on a construction site is scheduled to:
- a) Last longer than 30 working days and have more than 20 workers working simultaneously at any point in the project; or
 - b) Exceed 500 person days.
- 22.2 Although the duty to notify is a client requirement, the client can request that someone else does this on their behalf. On projects where there is a principal designer appointed, the principal designer (in accordance with the University's principal designer scope of services) will be responsible for the notification to HSE where this has been agreed in writing.

- 22.3 The client declaration on the F10 must be also signed off by an authorised member of the Estates and Facilities Health and Safety office.

23.0 Health and Safety File

- 23.1 The Health and Safety File is prepared by the principal designer and **only** required on projects involving more than one contractor. However, if the appointment of the principal designer ceases before the end of the construction phase, the principal contractor must take responsibility for the file and pass to the client. *L153 – Managing Health and Safety in Construction - Appendix 4* gives guidance on what should (and should not) be included in the Health and Safety File.

- 23.2 In regards to the Health and Safety File and O&M Manual, the client representative is responsible for:

- Determining the split of ongoing maintenance of all new assets between Faculties and the Department of Estates and Facilities. Guidance on this split can be found at the University Health and Safety Arrangements Chapter 23 Interface between Estates and Facilities and Building Occupiers
<http://documents.manchester.ac.uk/display.aspx?DocID=14843>.
- Ensuring that the “Pre-start H&S & O&M – CONTENTS” is signed off by all members of the design team (*EPM HS14b - Appendix A*) prior to works commencing on site
- Distributing the “File Folder Structure and Section Checklists” (*EPM HS14b - Appendix B*) to the project team
- Ensuring that the principal designer is compiling the information as the project progresses
- On completion of the project, check that the H&S and O&M File has been completed as per the “Pre-start H&S & O&M File Checklist” (*Appendix A*) and in accordance with the “File Folder Structure and Section Checklist” (*Appendix B*)
- Ensuring that the Project Management – H&S & O&M File Sign Off Sheet (*EPM HS14c*) is complete and signed off by all relevant members of the design team
- Issue the information to PSU as per the procedure in *EPM HS14a - Appendix L - Health and Safety File Procedure*.

- 23.3 In regards to the File and O&M manual, the principal designer is responsible for:

- Assisting the client representative in identifying the contents of the H&S File and O&M manual during the early stages of the project
- Continued preparation of the information as the project progresses
- Ensuring that the draft Health and Safety File and O&M manual are available at practical completion, with the final version formally issued to the client representative within 14 days after practical completion (as per the principal designer scope of service).

24.0 Quality Plan

- 24.1 The client representative / project manager is responsible for completing the CDM 2015 Quality Plan on every project (*EPM HS14a - Appendix M*). The quality plan acts as an aide-memoire and also demonstrates compliance with the requirements of CDM 2015 throughout each stage of the project, through feasibility to handover.

25.0 Reporting of hazardous situations

- 25.1 Everyone involved in a project has a legal duty to report instances where they or others are working in a way that them or anyone else at danger.
- 25.2 An investigation of an accident / near miss must be completed by the project manager / client representative and issued to the Head of Department. Guidance on the University procedure for accident, incident and near miss investigation can be found at <http://documents.manchester.ac.uk/display.aspx?DocID=12088>
- 25.3 Assistance with investigating accidents and incidents can also be obtained by contacting the Estates and Facilities Health and Safety Officer.

26.0 Further References

L153 - *Managing Health and Safety in Construction* – CDM Regulations 2015

www.hse.gov.uk/pubns/priced/l153.pdf

CITB Industry Guidance on CDM 2015 Dutyholders

www.citb.co.uk/health-safety-and-other-topics/health-safety/construction-design-and-management-regulations/cdm-guidance-documents/

EPM PM3 – Procedures Manual

estatesandfacilities.ds.man.ac.uk/BusinessUnits/DesignServicesUnit/Documents/ProceduresManual/EPM%20PM3%20Project%20Procedures%20flowchart%2020140815.pdf

EPM PM4 Procedure and Information Manual Client Representative (University Project Manager) for Capital Projects –Scope of Services

www.estates.manchester.ac.uk/media/services/estatesandfacilities/policiesandprocedures/EPM%20PM4%20-%20University%20Project%20Manager%20Guidelines.pdf

EPM PM5 - Project Management Procedures

estatesandfacilities.ds.man.ac.uk/BusinessUnits/DesignServicesUnit/ProceduresManual.asp

EPM PM6 – Code of Practice for Contractors on Campus

www.estates.manchester.ac.uk/media/services/estatesandfacilities/policiesandprocedures/EPM%20PM6%20-%20Code%20of%20Practice%20for%20Contractors%20on%20Campus.pdf

EPM PM7 – Code of Practice for Design Teams

www.estates.manchester.ac.uk/media/services/estatesandfacilities/policiesandprocedures/EPM%20PM7%20-%20Code%20of%20Practice%20for%20Design%20Teamsv2.pdf

EPM PM8 – Standard Electrical Specification

www.estates.manchester.ac.uk/media/services/estatesandfacilities/policiesandprocedures/EPM%20PM8-Standard%20Electrical%20SpecificationDecember15.pdf

EPM HS12 Permit to Access & Permit to Work

www.estates.manchester.ac.uk/media/services/estatesandfacilities/policiesandprocedures/EPM%20HS12%20-%20Permit%20to%20Work%20and%20Controlled%20Access%20Procedure.pdf

University Near Miss report form

documents.manchester.ac.uk/display.aspx?DocID=12088

HSE CDM 2015 Construction Phase Plan

www.hse.gov.uk/pubns/cis80.pdf

Appendix A – DSU (Direct Allocation of Principal Designer)

