

# Construction (Design & Management) Regulations 2015 Procedures

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**Estates and Property Services**

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2015	Darren Kibble	Document re-written to reflect changes in legislation and transferred onto new template	V3.0
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**Procedure Management and Responsibilities****Owner:** The Director of Estates and Property Services is the document owner and has delegated responsibility for writing and amending this policy to the Head of Operations**Author:** Head of Operations**Others with responsibilities (please specify):** All Students, Staff, Contractors and Visitors are responsible for engaging with and adhering to this policy.**Assessment**

Equality Analysis

*Cross relevant assessments*

X

*Cross if not applicable*

Legal

Information Governance

Academic Governance

**Consultation**

Staff Trades Unions via HR

*Cross relevant consultations*

X Via Health and Safety Committee

Students via USSU

Any relevant external bodies

(please specify)

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**Document dissemination and communications plan**

Document will be communicated and circulated by Estates and Property Services Managers and H&S Coordinator

## 1.0 Scope and Objectives

All construction work undertaken by or on behalf of the University of Salford is subject to the Construction (Design and Management) Regulations 2015. The University is committed to the aims of the regulations and recognises that it has duties and obligations under the CDM Regulations 2015. This procedure adopted by the University of Salford aims to ensure that consideration is given to the designing, planning and coordination of construction works, and ensures compliance with the regulations.

This procedure applies to all construction works planned and undertaken by or on behalf of the University. The document outlines the duties and responsibilities of the University of Salford, Estates and Property Services and other duty holders.

The Client (University of Salford/Estates & Property Services (E&PS)) will notify the HSE of construction works according to Reg 6, unless this duty is formally discharged to the Principal Designer or other duty holder.

## 2.0 Definitions

**Construction work** - the carrying out of any building, civil engineering or engineering construction work and includes—

(a) 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;

(b) 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;

(c) 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;

(d) 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;

(e) 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.

**Notifiable Project** - a project is notifiable if the construction work on a construction site is scheduled to last longer than 30 working days and have more than 20 workers working simultaneously at any point in the project; or exceed 500 person days.

**Clients** - are organisations or individuals for whom a construction project is carried out.

**Designers** - are those, who as part of a business, prepare or modify designs for a building, product or system relating to construction work.

**Principal Designer** - a designer appointed by the Client in projects involving more than one contractor. They can be an organisation or an individual with sufficient knowledge, experience and ability to carry out the role. The Principal Designer must plan, manage and monitor the pre-construction phase and coordinate matters relating to health and safety during the pre-construction phase to ensure that, so far as is reasonably practicable, the project is carried out without risks to health or safety.

**Principal Contractor** - a contractor appointed by the client to coordinate the construction phase of a project where it involves more than one contractor.

**Contractors** - are those who do the actual construction work and can be either an individual or an organisation.

**Construction Phase Plan** - the Client must ensure that a construction phase plan for the project is prepared before the construction phase begins. The plan must outline the health and safety arrangements, site rules and specific measures concerning any work involving particular risks listed in Schedule 3 of CDM 2015. For single-contractor projects, the contractor must ensure the plan is prepared. For projects involving more than one contractor, it is the Principal Contractor's duty.

**Health & Safety Files** - the health and safety file is defined as a file appropriate to the characteristics of the project, containing relevant health and safety information to be taken into account during any subsequent project. The file is only required for projects involving more than one contractor. However E&PS considers them to be of value for all projects and seeks to hold a sufficient health and safety file for each property and site under its control. Information in the file should alert those carrying out such work to risks, and should help them to decide how to work safely. Its purpose is to ensure that, at the end of the project, the client has information that anyone carrying out subsequent construction work on the building will need to know about in order to be able to plan and carry out the work safely and without risks to health.

To ensure that an appropriate health and safety file is produced at the end of the project, the Client must:

- (a) provide the Principal Designer with any existing file produced as part of an earlier project so the information it contains can be used to plan the pre-construction phase of the current project;
- (b) ensure the Principal Designer prepares a new file (or revises any existing one);

- (c) ensure the Principal Designer reviews and revises the file regularly and passes the completed file back at the end of the project;
- (d) ensure the file is handed to the Principal Contractor if the Principal Designer's appointment finishes before the end of the project;
- (e) ensure the file is kept available for anyone who needs it to comply with relevant legal requirements; and
- (f) pass the file to whoever takes over the building and takes on the client duties if the client decides to dispose of their interest in it.

The file must contain information about the current project likely to be needed to ensure health and safety during any subsequent work, such as maintenance, cleaning, refurbishment or demolition. When preparing the health and safety file, information on the following should be considered for inclusion:

- (a) a brief description of the work carried out;
- (b) any hazards that have not been eliminated through the design and construction processes, and how they have been addressed (eg surveys or other information concerning asbestos or contaminated land);
- (c) key structural principles (eg bracing, sources of substantial stored energy – including pre- or post-tensioned members) and safe working loads for floors and roofs;
- (d) hazardous materials used (eg lead paints and special coatings);
- (e) information regarding the removal or dismantling of installed plant and equipment (eg any special arrangements for lifting such equipment);
- (f) health and safety information about equipment provided for cleaning or maintaining the structure;
- (g) the nature, location and markings of significant services, including underground cables; gas supply equipment; fire-fighting services etc;
- (h) information and as-built drawings of the building, its plant and equipment (eg the means of safe access to and from service voids and fire doors).

There should be enough detail to allow the likely risks to be identified and addressed by those carrying out the work. However, the level of detail should be proportionate to the risks. The file should not include things that will be of no help when planning future construction work such as pre-construction information, the construction phase plan, contractual documents, safety method statements etc. Information must be in a convenient form, clear, concise and easily understandable.

Safety Files shall be provided as follows: -

- One hard copy on A4 paper contained within a four-ring binder or binders with large format documents (drawings) folded and housed in clear pockets
- One copy provided in indexed Portable Document Format on a CD

**(A Template Health and Safety File is provided in Appendix D)**

### **3.0 Procedure Roles and Responsibilities**

Where smaller construction works are required for a School or Professional Service within the University, the department will act as the Client. The role of Principal Contractor and role of Principal Designer will be undertaken by the university's suitably competent and experienced building managers and members of Estates & Property Services, depending on the risk profile and/or complexity of the works involved.

For complex and high risk projects Estates & Property Services (the Client) will formally appoint individuals/organisations with the skills, expertise and organisational capabilities to fulfil the role of Principal Designer and Principal Contractor. The extent of the checks the Client must make into the capabilities of duty holders they appoint will depend on the complexity of the project and the range and nature of the risks involved. Pre-qualification checks on individuals/organisations will be carried out by E&PS using the relevant competence checklist. The checklist is based upon the Contractors Health and Safety Assessment Scheme (CHAS) benchmark for evaluating Designer competence.

The Client (University of Salford/E&PS) must appoint duty holders including the Principal Designers and Principal Contractors as soon as practicable and before the start of the construction phase, so they have enough time to carry out their duties in planning and managing the pre-construction and construction phases respectively.

Appendix A provides details on the role and responsibilities of the CDM 2015 regulations.

Appendix B sets out University of Salford's health and safety and CDM processes and procedures in relation to the management and delivery of its construction projects.

Most of University of Salford's construction projects will follow the RIBA Stages through the planning, design and procurement process. The process has been written to reflect the RIBA Plan of Work Stages 2013 (Stages 0 to 7) for ease of application as Appendix C. Appendix C shows how different types of information relate to and influence each other in a construction project involving more than one contractor.

#### **4.0 Related Documentation**

- HS06 CDM 2015 Policy
- University Health & Safety Policy

#### **5.0 Monitoring and Performance of Procedure**

The implementation of this procedure will be monitored by periodic reviews of risk assessments, sample audits and inspections and feedback from progress meetings. Active monitoring will be carried out as a formal check that all aspects of safety performance are at an acceptable level.

#### **6.0 Training and Support**

The skills, knowledge, training and experience of an individual or organisation must be assessed prior to their appointment.

The person/s responsible for appointing designers (including Principal Designers) or contractors (including Principal Contractors) to work on a project must ensure that those appointed have the skills, knowledge and experience to carry out the work in a way that secures health and safety. If those appointed are an organisation, they must also have the appropriate organisational capability. Those making the appointments must establish that those they appoint have these qualities before appointing them.

To ensure that the requirements of this duty the University of Salford use the Contractors Health and Safety Assessment Scheme (CHAS) as a basis for evaluation. The relevant Competence checklist should be issued to the potential duty holder and completed.

## **7.0 Appendices**

**Appendix A – Duty Holders Roles and Responsibilities**

**Appendix B – RIBA Stages of Work/Construction Health and Safety Process**

**Appendix C – Information**

**Appendix D – Health and Safety File Template**



## Appendix A – Duty Holders Roles and Responsibilities

### Client

- Assemble the project team. Where applicable appoint duty holders at the right time
- Ensure sufficient time and resources are allocated to the project.
- Prepare and provide relevant information (pre-construction information) to other duty holders appointed or those being considered for appointment to the project.
- Prepare a 'Clients brief' which sets out the main function and operational requirements of the finished project, safety risks, timeframe and budget.
- Notify the HSE of the works (F10) where the construction project is deemed notifiable as per the regulations.
- Ensure the roles, functions and responsibilities of the project team are clear.
- Ensuring that workers are provided with suitable welfare facilities for the duration of construction work.
- Where applicable, the Principal Designer and Principal Contractor carry out their duties.

### Designer

- The designer's duties apply as soon as designs which may be used in construction work in Great Britain are started.
- A designer must not start any design work unless they are satisfied the client is aware of the duties clients have under CDM 2015.
- A designer should have a sufficient knowledge of client duties to give sufficient advice about the project. The level of advice will depend on the knowledge and experience of the client and the complexities of the project.
- When preparing or modifying designs, a designer must take account of the general principles of prevention, and the pre-construction information provided to them, with the aim, as far as reasonably practicable, of eliminating foreseeable risks.
- When addressing risks, a designer is expected to do as much as is reasonable at the time the design is prepared. Risks that cannot be addressed at the initial stage of a project may need to be reviewed later on during detailed design. On projects involving more than one contractor, the Principal Designer will lead in managing the review process.
- Designers should liaise with any other designers, including the Principal Designer, so that work can be coordinated to establish how different aspects of designs interact and influence health and safety.
- Designers must also cooperate with contractors and Principal Contractors so that their knowledge and experience about, e.g. the practicalities of building the design, is taken into account.

### Principal Designer

- In liaison with the client and Principal Contractor, the Principal Designer has an important role in influencing how the risks to health and safety should be managed and incorporated into the wider management of a project.
- Plan, manage, monitor and coordinate the pre-construction phase.
- Principal Designers must take account of the general principles of prevention.

- Principal Designers must ensure as far as reasonably practicable that everyone involved in working on the pre-construction phase cooperates with each other. They must establish that effective communication is occurring and that information is shared within the project team. This could involve holding meetings with others in the design team. Progress meetings with the client and the Principal Contractor also provide a way of ensuring work on the project is properly coordinated;
- Must ensure that designers comply with their duties. Appropriate checks should be made to ensure designers are dealing with design risks appropriately. This can be done as part of the design process and through regular progress meetings.
- The Principal Designer must liaise with the Principal Contractor for the duration of their appointment. During the pre-construction phase this must cover sharing information that may affect the planning, management, monitoring and coordination of the construction phase – in particular, the information needed by the Principal Contractor to prepare the construction phase plan
- If the Principal Designer's appointment finishes before the end of the project, they must ensure that the Principal Contractor has all the relevant information so that the Principal Contractor is aware of the risks which have not been eliminated in the designs, understands the means employed to reduce or control those risks; and understands the implications for implementing the design work for the rest of the project.
- The Principal Designer must prepare the file, and review, update and revise it as the project progresses. If their appointment continues to the end of the project they must also pass the completed file to the client to keep. If the Principal Designer's appointment finishes before the end of the project, the file must be passed to the Principal Contractor for the remainder of the project. The Principal Contractor must then take responsibility for reviewing, updating and revising it and passing it to the client when the project finishes.

**Principle Contractor** - They are appointed by the Client and must possess the skills, knowledge, and experience, and (if an organisation) the organisational capability to carry out their role effectively given the scale and complexity of the project and the nature of the health and safety risks involved.

- In planning, managing, monitoring and coordinating the construction phase, a Principal Contractor must take account of the general principles of prevention.
- The Principal Contractor should be appointed by the Client before the construction phase begins to allow them to work closely with the Client for the life of the project, and the Principal Designer for the remainder of their appointment.
- Principal Contractor must ensure anyone they appoint has the skills, knowledge, and experience and, where they are an organisation, the organisational capability to carry out the work in a way that secures health and safety.
- For projects involving more than one contractor, the Principal Contractor is responsible for drawing up the Construction Health and Safety Plan or for making arrangements for it to be drawn up. For single contractor projects, it is the Contractor who is responsible for ensuring that the plan is drawn up
- A Principal Contractor has a specific duty to ensure that contractors under their control cooperate with each other so the risks to themselves and others affected by the work are managed effectively. This includes ensuring contractors who start work at different stages of the construction phase cooperate with each other so any information and instruction relevant for a new contractor to carry out their work safely is provided to them. Regular planning meetings between the Principal Contractor and contractors are an effective way of ensuring

this.

- The Principal Contractor must ensure every site worker is given a suitable site induction. The induction should be site specific and highlight any particular risks.
- The Principal Contractor must ensure reasonable steps are taken to prevent unauthorised access onto the construction site. They should liaise with the contractors on site to physically define the site boundaries by using suitable barriers which take account of the nature of the site and its surrounding environment. The Principal Contractor should also take steps to ensure that only those authorised to access the site do so.
- The Principal Contractor must ensure that suitable and sufficient welfare facilities are provided and maintained throughout the construction phase. What is suitable and sufficient will depend on the size and nature of the workforce involved in the project. Facilities must be made available before any construction work starts and should be maintained until the end of the project.
- They should also liaise with the Principal Designer throughout the construction phase on matters such as changes to the designs and the implications these changes may have for managing the health and safety risks.
- The Principal Contractor must consult and engage with workers.

**CONTRACTORS** - Anyone who directly employs or engages construction workers or manages construction is a contractor. Contractors include sub-contractors, any individual, sole trader, self-employed worker, or business that carries out, manages or controls construction work as part of their business. This also includes companies that use their own workforce to do construction work on their own premises. The duties on contractors apply whether the workers under their control are employees, self-employed or agency workers.

- A contractor must plan, manage and monitor construction work carried out either by the contractor or by workers under the contractor's control, to ensure that, so far as is reasonably practicable, it is carried out without risks to health and safety.
- A contractor must not employ or appoint a person to work on a construction site unless that person has, or is in the process of obtaining, the necessary skills, knowledge, training and experience to carry out the tasks allocated to that person in a manner that secures the health and safety of any person working on the construction site.
- A contractor must provide each worker under their control with appropriate supervision, instructions and information so that construction work can be carried out, so far as is reasonably practicable, without risks to health and safety.
- A contractor must not begin work on a construction site unless reasonable steps have been taken to prevent access by unauthorised persons to that site.
- Where there is more than one contractor working on a project, a Contractor must comply with any directions given by the Principal Designer or the Principal Contractor, and the parts of the construction phase plan that are relevant to that Contractor's work on the project.
- If there is only one contractor working on the project, the contractor must draw up a construction phase plan, or make arrangements for a construction phase plan to be drawn up, as soon as is practicable prior to setting up a construction site.
- The contractor should monitor their work to ensure that the health and safety precautions are appropriate, remain in place and are followed in practice.
- On projects involving more than one contractor, as part of the duty to cooperate with other duty holders, the contractor should provide the Principal Contractor with any relevant information that stems from their own monitoring so the Principal Contractor can monitor the management of health and safety at a project-wide level.

- For projects involving more than one contractor, the contractor is required to comply with any directions to secure health and safety given to them by the Principal Designer or Principal Contractor. They are also required to comply with the parts of the construction phase plan that are relevant to their work, including the site rules.
- For single contractor projects, the contractor must ensure a construction phase plan is drawn up as soon as practicable before the construction site is set up.
- A contractor who employs workers or manages workers under their control must ensure that appropriate supervision is provided.
- Contractors should provide their employees and workers under their control with the information and instructions they need to carry out their work without risk to health and safety. This must include:
  - (a) suitable site induction where this has not been provided by the Principal Contractor (b) the procedures to be followed in the event of serious and imminent danger to health and safety. These should make clear that any worker exposed to any such danger should stop work immediately, report it to the contractor and go to a place of safety. The procedures should: (i) include details of the person to whom such instances should be reported and who has the authority to take whatever prompt action is needed; (ii) take account of the relevant requirements which set out provisions relating to emergency procedures, emergency routes and exits and fire detection and fire-fighting; (c) information on the hazards on site relevant to their work (eg site traffic), the risks associated with those hazards and the control measures put in place (eg the arrangements for managing site traffic).
- On projects involving more than one contractor, it must be discussed and agreed with the Principal Contractor who is to provide welfare facilities.

## Appendix B – RIBA Stages – Construction Health and Safety Process



The following pages set out University of Salford’s health and safety and CDM processes and procedures in relation to the management and delivery of its construction projects.

Most of University of Salford’s construction projects will follow the RIBA Stages through the planning, design and procurement process.



### RIBA Stage 0 – Strategic Definition

#### Health & Safety Requirements for University of Salford

RIBA Stage 0 is the stage at which a project is strategically appraised and defined before a detailed brief is developed. There are some high level health & safety activities that should take place during Stage 0 in order to set the scene when the project moves forwards.

Health & Safety Requirements	Guidance
Ensure that there is clarity in relation to who is the Client for the project.	University of Salford/E&PS/Division of the university
Ensure that suitable resources will be allocated to all stages of the project to allow all parties to comply with their duties under relevant Health & Safety Legislation.	Resources include time, budget and information.  If appointed, the Principal Designer, Client Representative or Project Manager should be able to advise in relation to this requirement.
Establish whether the project is Notifiable under the CDM Regulations	Construction projects are Notifiable if the construction works are expected to exceed 30 working days and have more than 20 workers working simultaneously at any point Or exceed more than 500 person days.
Review the health and safety lessons learnt from previous projects and implement where possible on this project.	It is suggested that the topic of Health & Safety lessons learnt is included in a general lessons learnt session, so that other topics can be explored at the same time.  This can be reviewed against previous University of Salford projects or in conjunction with the Project Team and their experiences of similar past projects.
Consider what appointments will be required under the CDM Regulations	If more than one contractor will be working on the project a Principal Designer and a Principal Contractor must be notified in writing. This includes directly appointed Designers, Principal Designers, Contractors and Principal Contractor and a Project Safety Advisor, if required.  The Principal Designer will need to be appointed at Stage 1. The Principal Contractor must be appointed as soon as practicable after the Client knows enough about the project to be able to select a suitable party of this

	appointment – i.e. the Regulations encourage early contractor involvement.
Consider the timescales for the various appointments on the project	This particularly relates to the key roles such as the Design Team, Principal Designer and Principal Contractor.
Consider any Health & Safety KPIs that will need to be included as part of the procurement process.	KPIs can be useful incentives to ensuring the Project Team follows the health and safety goals and objectives of University of Salford.
Ensure that appropriate time is allowed for the undertaking of Capability Assessments of the key CDM appointments as required by University of Salford.	Key CDM appointments include directly appointed Designers, Principal Designer, directly appointed Contractors and the Principal Contractor. Use the associated checklists.
Identify any key or high risk health and safety issues that could impact the project programme and/or cost.	Examples could include: <ul style="list-style-type: none"> <li>the presence of high quantities of asbestos within the building which would require careful planning with regards surveys and eventual removal/remediation.</li> <li>the need to employ specific Health &amp; Safety related expertise</li> </ul>
Consider the lead in times for key Health & Safety related activities.	Lead in times for key Health & Safety activities could include: <ul style="list-style-type: none"> <li>intrusive surveys (refurbishment and demolition asbestos surveys, structural surveys);</li> <li>the time to be provided to the Principal Contractor (and other directly appointed contractors) between appointment and commencement of construction work on site;</li> <li>asbestos removal works (licensed - there is a notification period to the HSE prior to works commencing)</li> </ul>
Consider the time to be provided to the Principal Contractor from his appointment to start of work on site.	The Client must allow sufficient time to allow the Principal Contractor to plan for the construction works on site.  This timescale has to be notified to the HSE via the F10 Notification process.
Gather pre-construction information in readiness for handover to the Project Team in Stage 1	Pre-construction information that might be available at this Stage includes historic drawings, old plans, fire risk assessments, asbestos management plans, Health & Safety Files, O&M manuals etc.



**RIBA Stage 1 – Preparation & Brief  
Health & Safety Requirements for University of Salford**

RIBA Stage 1 is the stage at which a detailed brief is prepared for the project with the Client. At this point it is important to define what the University of Salford’s key health and safety objectives and goals are going to be for the project, start making the key health & safety/CDM appointments, and start providing and reviewing pre-construction information.

At this stage of a Project, University of Salford expects its Project Executives, with support from the appointed Project Safety Advisor and Client Representative/ Project Manager, to undertake the following:

Health & Safety Requirements	Guidance
Set out University of Salford’s health and safety goals and objectives for the project and any additional health and safety requirements	There is a legal requirement under the CDM Regulations for Clients to produced project specific health and safety management arrangements for its construction projects. The Principal Designer will be able to support the Client in the preparation of these arrangements.
Ensure that clear roles and responsibilities are understood across the Project	Ensure each duty holder is aware of their duties under the CDM regulations, and is clear what is expected them.
Appoint the Principal Designer as soon as is practicable within Stage 1.	A Principal Designer must be appointed (in writing) for all projects with more than one contractor.  If a Principal Designer is not appointed, the Client will automatically take on the duties and responsibilities of the Principal Designer and must be able to demonstrate capability to act in this role.  Under the CDM Regulations, the Principal Designer must be appointed as soon as practicable after initial design work has begun, but before detailed design work has commenced (i.e. before the start of RIBA Stage 2).
Notify the HSE of construction project (where applicable)	The F10 Notification is completed online via the HSE website.  Where the duty has been transferred to the Principal Designer, the Principal Designer should complete the F10. Request a copy of the Initial F10 Notification for University of Salford’s records.



Ensure all directly appointed Designers, Contractors (for any surveys) and the Principal Designer are capable and adequately resourced as per University of Salford Requirements and required general duties of the CDM Regulations.	Under the CDM Regulations, Designer, Principal Designers and Contractors should not accept appointments unless they are capable to undertake the work. Duty holders should be able to demonstrate capability.
Establish methods to ensure that any structure that is designed as a workplace complies with the requirements of the Workplace (Health, Safety & Welfare) Regulations.	Most of the requirements of the Workplace Regulations tend to be covered by Building Regulations and British Standards. However, there can be a few anomalies which need to be addressed.  It is a Client duty and a designer duty under the CDM Regulations to ensure the design complies with the Workplace Regulations.  An appropriate method to ensure this compliance should be established for the project.
Establish what pre-construction information is available and promptly hand this to the Principal Designer and Project Team.	Pre-construction information can include: <ul style="list-style-type: none"> <li>• existing drawings</li> <li>• structural surveys</li> <li>• condition surveys</li> <li>• fire risk assessments</li> <li>• property risk assessments</li> <li>• asbestos management plans</li> <li>• O&amp;M manuals for residual equipment</li> <li>• previous Health &amp; Safety File(s)</li> </ul> This information will be obtainable from E&PS, in most instances.
Commence the procurement of surveys that may be required to establish the missing pre-construction information, in accordance with the advice from the Principal Designer and the Project Team.	The Principal Designer and Project Team will advise on the additional information required and the surveys that will need to be procured to establish this information.
Identify the requirement for a Refurbishment and Demolition (R&D) Asbestos Survey and liaise accordingly with the Asbestos Duty Holder for the property.	Instruct the Duty Holder to procure an R&D survey (if vacant possession or partial vacant possession is available).  Ensure that there is adequate liaison between the Designers and the Duty Holder such that an appropriate specification for the R&D survey is developed.  The greater the clarity on what parts of the structure/ property are to be affected by the future works can be provided to the asbestos surveyor, the greater the certainty with regards

	the resultant survey report.
Ensure that all Surveys are procured and managed accordance with the requirement of the Management of Health and Safety at Work Regulations (visual and intrusive surveys) and CDM Regulations (for intrusive surveys).	<p>University of Salford must ensure the safety and wellbeing of all those working in or visiting its premises – through risk assessment and implementing appropriate controls and procedures.</p> <p>University of Salford must provide contractors (those employed to work for the Client) information on :</p> <ul style="list-style-type: none"> <li>• the health and safety risks they may face</li> <li>• the measures in place to deal with those hazards and risks</li> <li>• how to follow any emergency procedures</li> </ul>
Following advice from the Principal Designer and Project Team, schedule the necessary surveys into the project programme.	<p>This should include visual and intrusive surveys and any lead-in times or procurement requirements.</p> <p>R&amp;D asbestos surveys will require detailed specifications to be drawn up prior to tender process. These specifications will require an appropriate amount of time to be drafted by the Project Team.</p>
Request from the Principal Designer any anticipated Health & Safety issues that may have a bearing on the Planning Application and/or Planning Restrictions.	<p>Examples of include:</p> <ul style="list-style-type: none"> <li>• the need for roof parapets to allow for regular roof access;</li> <li>• façade cleaning and maintenance requirements;</li> <li>• disabled access for listed buildings;</li> <li>• location of future site set-up/ lay down areas;</li> <li>• construction vehicle access</li> </ul>
Address the above issues with the Project Team where required to minimise any future issues.	Lack of early consideration to items such as those listed above, can have a financial or programme impact on the project during the construction phase and end use.



**RIBA Stage 2 – Concept Design**  
**Health & Safety Requirements for University of Salford**

RIBA Stage 2 is the stage at which Concept Design commences in line with the requirements of the initial project brief.

At this point it is important to set the scene and University of Salford’s expectations with regards the management and communication of health and safety on the project and embed the key roles and responsibilities

Health & Safety Requirements	Guidance
Request from the Principal Designer the Health & Safety issues that could have a bearing on the Planning Application and/or Planning Restrictions.	Items that could have a potential impact on planning include: <ul style="list-style-type: none"> <li>• the need for roof parapets to allow for regular roof access;</li> <li>• façade cleaning and maintenance requirements;</li> <li>• disabled access for listed buildings;</li> <li>• location of future site set-up/ lay down areas;</li> <li>• construction vehicle access</li> </ul>
Ensure the Project Team is providing regular information on the key Health & Safety risks associated with the Project.	The Project Team is required to co- ordinate and co-operate with regards the provision of information.
Promptly provide the Principal Designer with information relating to the Health & Safety File.	This includes details on the format required, timescales for completion, roles and responsibilities with regards its collation, compilation and review, and information to be provided.  Only one Health & Safety File should be produced per building/structure. This is required so that it can be included in the Pre-Construction information such that the Project Team and the Principal Contractor are aware of the requirements on them for the provision of information for the File. The Principal Designer will review and issue to the Client.
Continue the procurement of surveys to establish missing information in accordance	The Principal Designer will be able to advise the Client on how to manage the procurement of

with the advice from the Project Team and Principal Designer and request from the Principal Designer details of any Health & Safety issues that have been identified during the surveys.	visual and intrusive surveys to ensure compliance with the Management of Health and Safety at Work Regulations and the CDM Regulations.
Commence the procurement of the Principal Contractor as soon as practicable after the Client has enough knowledge about the project to be able to select a suitable and capable party for this role.	The Client should provide a set of pre-construction information as part of the tender documents and can support with the review of the tenders by reviewing capability assessment returns and attending tender interviews.
Ensure the Principal Contractor is competent in this role as required by University of Salford.	Competence Checklist prior to appointment. Evidence of skills, expertise, qualifications.
Ensure an outline Cleaning & Maintenance strategy is prepared in advance of Planning Application to ensure any key health and safety issues are addressed prior to application submission.	It is important to have an idea of the cleaning and maintenance requirements of a building prior to planning application. Items that should be considered include window access and replacement, roof plant access and replacement, routes in and out of the building/property for any specialist equipment (i.e. scissor lifts, MEWPs etc.) Planning application can put constraints on a building's design which can have implications for the detailed design and end use with regards the cleaning and maintenance strategy.



**RIBA Stage 3 – Developed Design  
Health & Safety Requirements for University of Salford**

During this RIBA Stage, the concept design is further developed and progressed until the spatial co-ordination exercises have been completed.

The project strategies are also further developed and signed off by the Client. The Design Change Control process is also usually implemented during this phase so further changes can be controlled and monitored.

On some projects, Stage 3 also represents the commencement of Principal Contractor procurement.

Health & Safety Requirements	Guidance
Ensure the Project Team is providing regular information on the key health and safety risks associated with the project.	<p>As the design develops it becomes more important to ascertain and understand the health and safety risks that will need to be ‘passed-on’ and managed by the Principal Contractor and end user.</p> <p>The more developed the design, the greater the fixity and less opportunity to change the design to reduce risk.</p> <p>This information will need to be included in the Pre-Construction Information that forms part of the tender documents, such that any key issues can be appropriately priced for and plans implemented for their management and control.</p>
Ensure Health & Safety is given due consideration during any Value Engineering exercises.	<p>Value Engineering exercises are often undertaken to challenge the cost or programme implications of certain design decisions.</p> <p>As part of this process, other aspects should also be considered including health, safety and environmental/ sustainability effects.</p> <p>Where requested, the Principal Designer should be present at these Value Engineering workshops such that any health and safety</p>

	implications of design changes can be recorded on the Project Design Risk Register.
Ensure the Access & Maintenance Strategy is completed by the Design Team (with particular regard to health and safety issues and assumptions).	A detailed Access & Maintenance Strategy at this stage will help ensure some certainty with regards any associated health and safety issues and costs associated with the purchasing or hiring of specialist equipment.
Ensure that the construction phase does not commence unless the Principal Contractor has prepared and adequate construction phase plan and that adequate welfare facilities will be provided at the commencement of work on site.	The Client/Project Manager should seek assurance from Principal Designer that an adequate Construction Phase Plan is in place and that the Welfare facilities will be suitable.
Maintain the project's Design Risk Register.	



**RIBA Stage 4 – Technical Design  
Health & Safety Requirements for University of Salford**

RIBA Stage 4 comprises the residual technical work of the core design team members. The architectural, structural and building services designs are further refined to provide technical definition of the project and the design work of specialist contractors is developed and concluded.

By the end of this stage, all aspects of the design will be completed, apart from minor queries arising from the site during the construction stage. In many projects, Stages 4 and 5 work concurrently – particularly the sub-contractor design aspects.

Health & Safety Requirements	Guidance
Ensure Health & Safety issues are given due consideration during the Design Change Control Process.	Not all the Change Control forms that the Principal Contractors use have a section querying the Health & Safety implications of any changes.
Ensure the Principal Designer is provided with copies of the Design Change Forms where there are potential health and safety implications.	Further to the above, any design changes that have identified potential Health & Safety issues should be forwarded to the Principal Designer for comment or information.
Continual development of project’s Design Risk Register.	Ensure the Risk Register is kept update and includes residual risks.
Regular communication between duty holders.	Progress meetings to discuss key Health & Safety issues that have been identified and what the Project Team is doing to close these issues out.



**RIBA Stage 5 – Construction  
Health & Safety Requirements for University of Salford**

RIBA Stage 5 is the stage at which the building/ structure is constructed on site in accordance with the construction programme. Construction includes the erection of components that have been fabricated off site. Stage 5 recognizes the importance of design work undertaken by specialist subcontractors and/or suppliers employed by the contractor.

Health & Safety Requirements	Guidance
Ensure Duty Holder responsibilities are clear and notified in writing prior to the start of the Construction Phase.	With regards to the CDM Regulations, there should be written appointment of the Principal Contractor and Principal Designer on projects with more the one contractor. With regards to the Control of Asbestos Regulations, there should be written confirmation that the Principal Contractor will take on the role of asbestos Duty Holder upon acquisition of the site (for the parts of the site/building with which he has control).
The Principal Designer is to confirm in writing to the Principal Contractor that he can commence work on site following the successful review of his initial Construction Phase Plan and Welfare Arrangements.	The Principal Designer will advise University of Salford as to the adequacy of the Principal Contractor’s Construction Phase Plan and arrangements for Welfare facilities.
Health & Safety Advisor to undertake an audit of the construction works on the site.	The frequency of these audits may vary from project to project depending on the performance of the Principal Contractor. The audits may be carried out by the University’s Health and Safety Advisor or external consultant if appointed.
Review the accident, incident and near miss data that are provided by the Principal Contractor each month.	The Principal Contractor must provide the data to both the Client and the Principal Designer (if still engaged on the project). The information must be reviewed between duty holders as part of progress meetings.





**RIBA Stage 6 – Handover and Closeout  
Health & Safety Requirements for University of Salford**

The Project Team’s priorities during this Stage will be facilitating the successful handover of the building/ structure in line with the project programme, concluding all aspects of the building contract, including the inspection of defects as they are rectified and the production of certificates/ sign-offs.

Health & Safety Requirements	Guidance
Ensure that the transfer of Duty Holder responsibilities is clear.	<p>University of Salford needs to ensure there is a clear transfer of the Duty Holder responsibilities.</p> <p>This will include the hand back of the asbestos Duty Holder role from the Principal Contractor back to University of Salford’s property management team, and the clear cessation of the role of Principal Contractor such that work areas become the responsibility of University of Salford’s property management team to manage.</p>
Receive the completed Health & Safety File upon practical completion. Pass the Health & Safety File onto University of Salford’s E&PS management team.	This should be provided to the Client by the Principal Designer or the Principal Contractor if the design had finished prior to the completion of Stage 5.
Check the residual Health & Safety issues are captured in the Health & Safety file prior to handover to University of Salford’s E&PS team.	The Principal Designer will undertake the main review of the Health & Safety File. If the Principal Designer’s appointment has come to end before the project completion, the Principal Contractor will complete the Health & Safety file.
Capture any lessons learnt from the project.	This should be done in conjunction with the Project Team and the lessons learnt fed back to University of Salford’s Head of Construction.



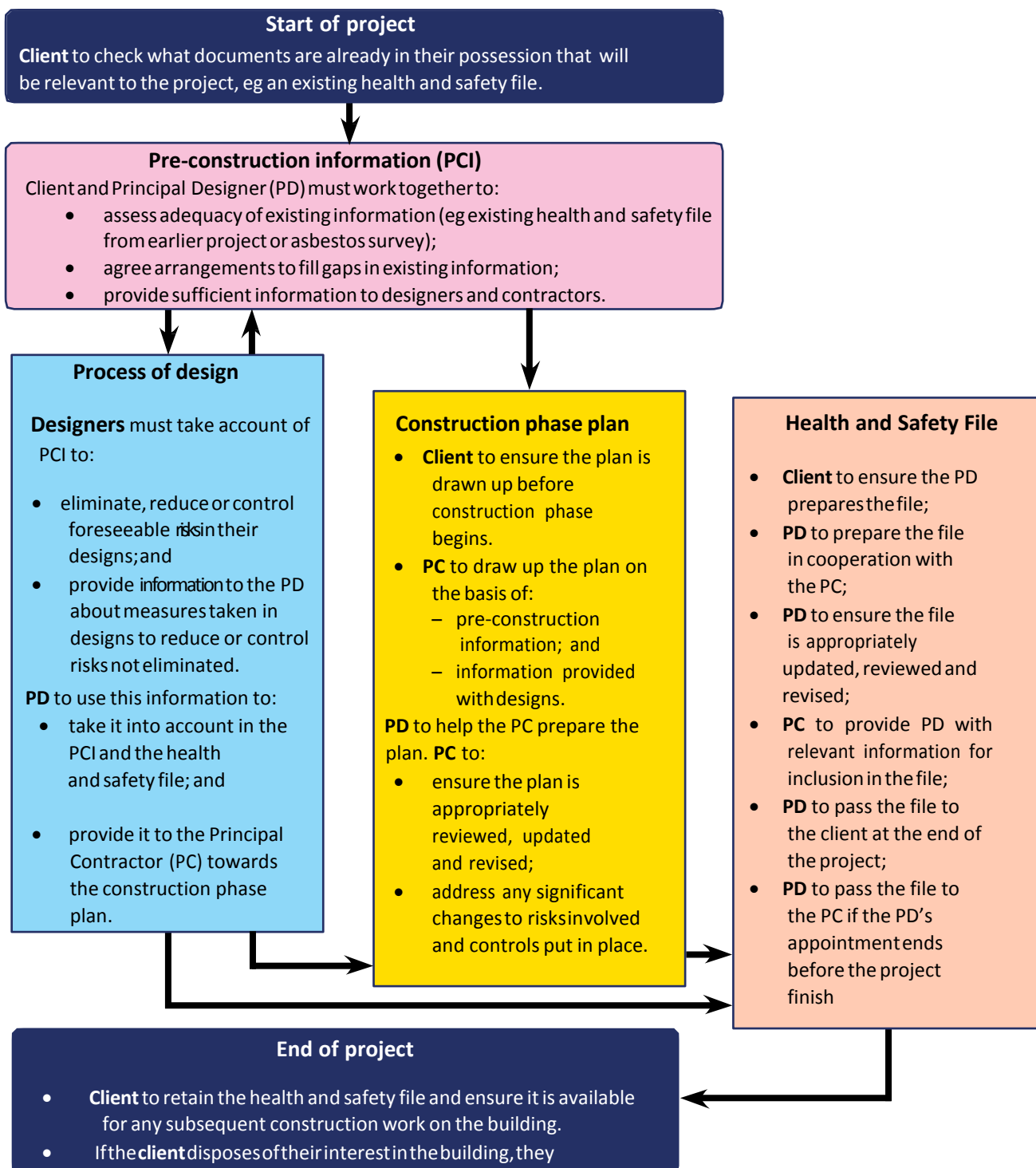
**Stage 7 – In Use**  
**Health & Safety Requirements for University of Salford**

Whilst it is likely that many of the handover duties will be completed by the end of RIBA Stage 6, certain activities may be required afterwards

Health & Safety Requirements	Guidance
Retain and provide access to the Health & Safety File by those that need it.	The Health & Safety File will be passed to University of Salford’s property management team post completion, but they have a duty to provide access to the information should any future works to the building/property be required.
Ensure the Health & Safety File is revised with information from new projects.	The Project Executive for any new projects on the building will need to make sure that the existing Health & Safety File is updated to reflect these works.

## Appendix C – Information

**Appendix C** shows how different types of information relate to and influence each other in a construction project involving more than one contractor.



## Appendix D – Health and Safety File Template



### HEALTH & SAFETY FILE

**FOR PROJECT NAME**

**FOR SALFORD UNIVERSITY**

**AT PEEL PARK CAMPUS**

**Prepared By**

**Date:**

**JOB NUMBER: ????**

**ISSUE AMENDMENT RECORD:**

**THIS FILE HAS BEEN ISSUED AND AMENDED AS FOLLOWS:**



<b>ISSUE</b>	<b>REVISION</b>	<b>DESCRIPTION</b>	<b>DATE</b>	<b>SIGNED</b>
1	0	Health & Safety File	11/09/2015	

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## **SECTION ONE: INTRODUCTION**

The health and safety file is defined as a file appropriate to the characteristics of the project, containing relevant health and safety information to be taken into account during any subsequent project. The file is only required for projects involving more than one contractor, however E&PS considers them to be of value for all projects and seeks to hold a sufficient health and safety file for each property and site under its control. Information in the file should alert those carrying out such work to risks, and should help them to decide how to work safely. Its purpose is to ensure that, at the end of the project, the Client has information that anyone carrying out subsequent construction work on the building will need to know about in order to be able to plan and carry out the work safely and without risks to health.

**SECTION TWO: CLIENTS RECORD OF AMENDMENTS**

Enter details of the changes made to the file, the organisation making the amendment and the date of the amendment.

Rev:	Changes Made:	Organisation:	Date:

**SECTION THREE: PROJECT DIRECTORY**

**3.1 Name of the Client**

**3.2 Principal Designer**

**3.3 Principal Contractor**

**3.4 Architect**

**3.5 Structural Engineer**

**3.6 Electrical Engineers**

**3.7 Mechanical Engineers**

**SECTION FOUR: PROJECT DESCRIPTION**

**4.1 Scope of Works**

**SECTION FIVE:      ARCHITECTURAL DESIGN DESCRIPTIONS**

**5.1      Architectural Description**

**5.2      Access Statement**

**5.3      Fire Strategy**

**SECTION SIX: KEY STRUCTURAL PRINCIPLES**

**6.1 General Structural Description**

**6.2 Groundworks, Foundations & Substructure**

**6.3 Superstructure**

**6.4 Calculations**

## **SECTION SEVEN: MECHANICAL SERVICES**

### **7.1 Ventilation Systems**

Reference should be made to Section XX of Mechanical Services O&M Manual. This section includes detailed design descriptions of the following:

### **7.2 Heating System**

Reference should be made to Section XX of the Mechanical Services O&M Manual. This section includes detailed design descriptions of the following:

### **7.3 Cooling System**

Reference should be made to Section XX of the Mechanical Services O&M Manual. This section includes detailed design descriptions of the following:

### **7.4 Utility Services**

Reference should be made to Section XX of the Mechanical Services O&M Manual. This section includes detailed design descriptions of the following:

### **7.5 BMS Controls**

Reference should be made to Section XX of Mechanical Services O&M Manual. This section includes detailed design descriptions of the following:

### **7.6 Plant Weights**

For dimensions and locations refer to plantroom drawings:

**Plant item**

**Approx. Weight(Kg)**

## **SECTION EIGHT: ELECTRICAL SERVICES**

### **8.1 Component Descriptions**

Reference should be made to Section XX of the Electrical Services O&M Manual. This section includes detailed design descriptions of the following:

### **8.2 Fire Detection & Alarm**

Reference should be made to Section XX of the Electrical Services O&M Manual. This section includes detailed design descriptions of the following:

### **8.3 Fire Alarm Cause & Effect**

Reference should be made to Section XX of the Electrical Services O&M Manual. This section includes detailed design descriptions of the following:



**SECTION NINE:**

**LOCATION & MARKING OF SERVICES**

**9.1 Building Services**

**9.2 External Buried Services Drawing**

**9.3 External Services Layout**

**9.4 Electrical Supply Drawing**

Sub-station & Generator

& Small Power

**9.5 Water Supply Drawing**

Domestic Cold & Hot Water

**SECTION TEN: ACCESS & MAINTENANCE STRATEGIES**

**10.1 External Cleaning Strategy**

**10.2 Internal Features Access**

**10.3 Roof Access**

**10.4 Mechanical & Electrical Access Strategy**

**SECTION ELEVEN: DEMOLITION, DISMANTLING & REMOVAL STRATEGY**

**11.1 Structural Demolition & Dismantling Strategy**

**11.2 Plant Replacement Strategy**

**SECTION TWELVE: RESIDUAL HAZARDS**

**12.1 Architectural**

**12.2 Structural**

**12.3 Mechanical**

**12.4 Electrical**

## **SECTION THIRTEEN: AS-BUILT / AS-FITTED INFORMATION**

**13.1 Architectural**

**13.2 Structural**

**13.3 Mechanical**

**13.4 Electrical**