

Control of Health and Safety in Works

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1. Introduction

ALL Construction work is to be managed in accordance with the Construction (Design and Management (CDM) Regulations 2015. CDM 2015 is the main set of regulations for managing the health, safety and welfare of construction projects.

These Regulations apply to all buildings and construction works and include new build, demolition, refurbishment, extensions, conversions, repair and maintenance. This procedure has been provided to guide colleagues through the safe management of construction works to prevent injury and ill health of workers and non-employees such as students, visitors and members of the public.

It makes clear the roles and responsibilities of each duty holder making it easy for everyone involved in the construction works to carry out their duties and understand what is expected from each duty holder to meet the requirements of CDM 2015.

2. Scope

The scope applies to all construction works (as defined below) undertaken by all Schools or Departments of London Metropolitan University. Works to the physical infrastructure of the University are carried out by Estates only.

In cases where construction work is being undertaken by Schools or departments other than Estates, the person responsible/project sponsor for the work must refer to this guidance and notify both Health & Safety and Estates at the infancy stage of the project (see [Appendix A](#)).

Only by prior agreement with Estates and Health & Safety should any manner of construction work be managed by Schools or Departments other than Estates.

No works affecting the building infrastructure (electricity, water, fabric, including drilling or piercing of the walls) can take place without Estates' authorisation. Such works should be included in the risk assessment for the activity and H&S team will be able to provide further advice on review.

This Policy applies to works on campus. The principals should also be applied to works off campus (i.e. School of Art, Architecture and Design activities involving construction off-site) with the relevant local context considered (i.e. Access Approval arranged with the local site).

This guidance particularly relates to construction falling outside Estates works, which are now also covered by the CDM Regulations. Schools and departments may undertake construction works which are managed by competent individuals within the School or department on approval from H&S team. For example, within School of Art, Architecture and Design, construction may take place in the course of research, experiment, or the delivery of teaching.

Duty holders will be identified and documented as part of the project brief. The project brief must be signed off by all key stakeholders including Estates and Health & Safety. **Appendixes B&C as well as other templates from the Project**

Governance Folder on Box could be provided to contractors to set expectations for Risk Assessment Method Statements and other procedures.

3. Definitions

Construction terms

Construction work, as defined by the Health and Safety Executive (HSE), means 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.*

A **Project** in this guide is used to describe any construction, building, infrastructure repair or maintenance work, whether on a fixed or transient site.

A **Design** could include drawings, sketches, design details, specifications and product selection, bills of quantity or calculations, prepared for the purpose of constructing, modifying or using a building or structure, a product, or system (such as a mechanical or electrical system).

Construction Phase Plan (CPP) The construction phase plan is the foundation for good management and clarifies who does what; who is responsible for what; the

hazards and risks which have been identified; how the works are controlled. It is a live document developed by the principal contractor.

Practical Completion is the point at which a building project is complete, except for minor defects that can be put right without undue interference or disturbance to the occupier.

Some construction practitioners describe this point as when the building project is "capable of beneficial occupation and use".

Definition of Roles under CDM

Organisations or individuals can undertake the role of more than one duty holder, provided they have the skills, knowledge, and experience necessary to fulfil those roles in a way that secures health and safety. If you do not hold the necessary skills, knowledge or experience you are required to seek competent advice by appointing competent duty holders.

A **client** is an organisation or individual/project sponsor having a construction project carried out in connection with a business, whether the business operates for profit or not. Examples of commercial clients are schools, universities, retailers and landlords.

In all cases London Met will be the Client. In some instances, London Met may be both Client and Principal Designer. It may also be the case that one School or department is the client whilst another is the Principal Designer, CDM still applies.

A **principal designer (PD)** is appointed by the client of projects with more than one contractor. It can be an organisation or an individual with sufficient knowledge, experience, and ability to carry out the role. On smaller projects, they can be an individual with:

- A technical knowledge of the construction industry, relevant to the project
- The understanding and skills to manage and co-ordinate the pre-construction phase, including any design work carried out after construction begins.

Principal designers will need to consider whether they have any gaps in their skills, knowledge and experience for the project and, if so, seek further advice from other specialists. The principal designer must have the ability to develop good relationships with the client and principal contractor.

A **designer** is someone who as part of a business, prepares or modifies designs for a building, product or system relating to construction work. Designers include architects, consulting engineers, interior designers, temporary work engineers, chartered surveyors, technicians, specifiers, principal contractors, specialist contractors and some tradespeople.

You could also be carrying out design even if you would not normally identify yourself as a designer. An example would be if you are a client or contractor specifying a roof system, deciding what size joists to use, or selecting a type of window. Examples in the Academic setting would include the design of an artistic installation, such as a sculpture or structure or simply specifying where an item of equipment/ utility should be located in a workshop/ laboratory.

A **principal contractor (PC)** is appointed by the client to plan, manage, monitor and co-ordinate health and safety during the construction phase of a project when there's more than one contractor involved. There should only be one principal contractor for a project at any one time.

A **contractor** may be an individual, a sole trader, a self-employed worker or a business who carries out, manages or controls construction work in connection with a business. Anyone who directly engages construction workers or manages construction work is a contractor. This includes companies that use their own workforce to do construction work on their own premises, i.e. academic staff and students to build a structure/ sculpture. The duties on contractors apply whether their workers are employees, self-employed or agency workers.

A **worker** is an individual working for or under the control of contractors on a construction site.

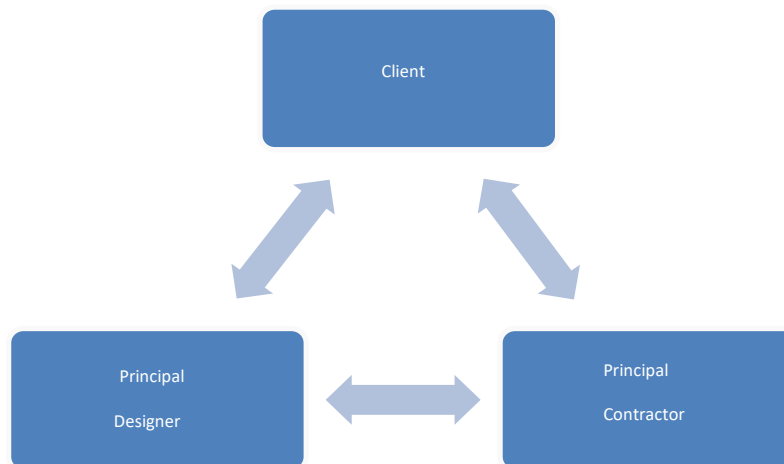
There are two important phases of a project: before and during construction or building work. This guide refers to them as:

- **The pre-construction phase:** the inception, design and planning stage of a project (before the construction or building work starts), although it is acknowledged design and planning continues into and through the construction phase.
- **The construction phase:** the start-to-finish stage of the construction or building work

4. The Client's Role

The CDM Regulations place responsibility for managing the health and safety of a construction project on three main duty holders. The client, the London Met, has overall responsibility for the successful management of the project and is supported by the principal designer and principal contractor in different phases of the project.

For the successful delivery of a project, good working relationships between the duty holders are essential from the start. **Clients with less experience managing construction projects are strongly advised to employ/appoint a PD in writing regardless of the number of contractors to guide them through their Client's responsibilities.** A template of the scope of services can be obtained from Estates by contacting the Helpdesk by emailing ask@londonmet.ac.uk.



Client's Responsibilities

A client has responsibility to make suitable arrangements for managing a project. This includes making sure:

- other duty holders are appointed in writing
- sufficient time and resources are allocated
- relevant information is prepared and provided to other duty holders
- the principal designer and principal contractor carry out their duties
- welfare facilities are provided

<https://www.hse.gov.uk/construction/cdm/2015/commercial-clients.htm>

Preparation

What is a Client brief?

One way of explaining what you want, as well as helping you to carry out your duties under CDM, is to develop a client brief.

As a client, you have a significant role to play. Clients set standards and ensure work is carried out without risking the long-term health and safety of those on site.

You may ask the principal designer to help you develop your client brief.

As the client, you will have requirements and expectations that will assist those designing, constructing, or using the structure or building. Sharing these at an early stage can help shape how each duty holder approaches, plans and accommodates your requirements.

The client brief should be a written document drafted by you the Client or by a designer or contractor after you have discussed your requirements with them. A clear brief is essential to the success of your project. It sets out key requirements, outlines your vision of the project and communicates your aims and aspirations.

What should the client brief include?

The brief should:

- Describe the main function and operational requirements of the finished building or structure.

- Outline your motivation for initiating the project.
- Give your expectations during the project, including how health and safety risks should be managed (i.e.) emergency routes, access, material delivery, working at heights etc. The PD should assist with identifying safety in design. The details of H&S risks will be determined as part of the feasibility assessment not the briefing by the client.
- Explain the design direction you have in mind.
- Establish a single point of contact for any client queries or discussions during the project.
- Set a realistic timeframe and budget.

Whilst the initial client brief sets out your general requirements and expectations for the project, it is also important that it outlines your health and safety expectations.

Make suitable arrangements for managing the project

As the client, you must make suitable arrangements to ensure that, throughout the planning, design and construction of a project, adequate consideration is given to the health, safety and welfare of all those affected and involved in the construction work.

Your arrangements should be appropriate to the nature of the work and enable other duty holders to carry out their work without risk to themselves or anyone else who may be affected. The management arrangements should:

- Include requirements for how the project is to be run, taking into account any risks to the public
- Explain how you will select and appoint designers and contractors to ensure they have the necessary capabilities for the work they are required to do
- Allocate sufficient time and resources to each stage of the project, from concept through to completion
- Ensure suitable welfare facilities are in place before works start.

For projects involving more complex work and significant risks, the management arrangements will also need to cover:

- What is expected of the design team to ensure that they consider health and safety risks for the construction phase, as well as when maintaining and using the building once it is built.
- The arrangements for procuring the design and construction team, including establishing that designers and contractors are adequately trained, and have the right skills and experience of health and safety.
- The arrangements for monitoring designers' and contractors' performance, for example by arranging progress meetings with the principal designer and principal contractor to ensure that the project runs in line with your expectations and meets legal requirements. The meetings also give you the opportunity to take action where that is not the case.
- The format for the health and safety file or a building manual that incorporates the health and safety file.

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

- **Select the project team and formally appoint duty holders**

If more than one contractor will be working on your project then, **as the client, you must appoint a principal designer and a principal contractor in writing**. If you do not do this then you take on these roles and associated legal duties yourself.

One of your main duties is to ensure that those you propose to appoint are able to demonstrate that they can deliver the project for you in a way that secures health and safety.

This means that they should:

- Have the necessary capabilities and resources
- Have the right blend of skills, knowledge, training and experience
- Understand their roles and responsibilities when carrying out the work.

You may need to make specific enquires about their basic health and safety knowledge when carrying out the job in question. This can be done in several ways.

For smaller jobs, you should look for straightforward evidence from previous construction work.

- The University will also have a list of framework contractors who are vetted for safety and other procurement requirements which can be appointed following procurement guidelines.
- The [Public Available Specification PAS91](#) provides a set of health and safety questions that can be asked by construction clients and those who appoint designers and contractors as part of the pre-qualification process.

You could use a [Safety Schemes in Procurement \(SSIP\)](#) member-assessed scheme to find designers or contractors who have been assessed and confirmed by a SSIP Forum member as meeting acceptable health and safety standards. London Met does not hold the SSIP membership at the moment.

Only make enquiries for information that will address the anticipated risks and capability of the supplier – excessive or duplicated pre-qualification and other paperwork should be avoided because it can distract attention from the practical management of risks.

- **Provide information to help with design and construction planning**

As the client, you must provide relevant information which you may already have, or that can be obtained by sensible enquiries, for example any surveys or the results of other investigations.

It is important to pass on all this **pre-construction information** at the earliest opportunity as it will help the others, such as designers and contractors. It will also inform them of any risks that may have an impact on the design of the building or

structure, as well as on its construction and future use.

For projects with more than one contractor, you can expect to receive help from the principal designer in drawing this information together. They have a duty to assist you in this.

You will also need to discuss and agree with the principal designer what information you will need to keep at the end of the project to help you and others safely use and maintain the completed building. This information is known as **The Health and Safety File**.

➤ **Notifiable Projects**

If your project is expected to last longer than 30 working days **and** have more than 20 workers working on the project at any one time, or exceed 500 person days, you will need to make sure that your project is notified to the relevant enforcing authority.

The easiest way to notify any project to the HSE, is to use the online notification form F10 on the HSE's website. Further information on how to notify construction work can be found at: <https://www.hse.gov.uk/construction/faqs.htm>

• **Snagging works under Notifiable Projects**

For notifiable projects, the F10 is no longer valid when Practical Completion is taken by the Client, nor is the Construction Phase Plan (CPP) for the project as this would have been produced for the project works.

If there are snagging works or additional work outside of the project after practical completion, a extra information needs to be included to the existing CPP covering additional risks and coordination.

The contractors undertaking these snagging works will need to follow London Met's safe systems of work. If there is more than one contractor carrying out snagging works at the same time, a Principal Contractor must be in place. The appointment of a Principal Contractor falls under the Client's duties.

• **Ensure the management arrangements are working**

As the client, you are required to ensure the arrangements made for managing health and safety during the pre-construction phase are working successfully. You should take reasonable steps to ensure that the principal designer is complying with their duties. This could be achieved by participating in regular progress meetings. These are also a good way of ensuring that the project runs in line with your expectations and meets legal requirements.

What does the Client have to do in the construction phase?

• **Ensure the Construction Phase Plan (CPP) is in place.**

The principal contractor is required to produce a plan of how they will manage health and safety on site during the construction phase. Before the work starts on site you will need to satisfy yourself that a CPP is prepared. You do this by checking with the principal contractor that the plan is relevant and meets the requirements of the job.

The plan should be project-specific, take into account the pre-construction information provided, and its contents should be proportionate to the site risks.

- **Ensure welfare facilities are in place**

You must ensure suitable welfare facilities are provided on site. Check that they are in place from the very start of the site work by:

- Agreeing that your existing welfare facilities are made available to those carrying out the work
- Carrying out a site visit
- Asking for confirmation from the principal contractor (or contractor on a single contractor project) of what facilities are being provided.

- **Ensure the management arrangements are working**

As the client, you are required to ensure that the arrangements made for managing health and safety during construction are working successfully. You will need to take reasonable steps to ensure that the principal contractor is complying with their duties. This may be carried out through face-to-face progress meetings or via written updates. You are not required to undertake routine monitoring of construction phase activities; however, it is recommended as best practice.

- **Check completion and handover arrangements**

As the project nears its end, you should check any arrangements made for its completion and handover.

This could include a phased handover, such as you taking partial possession of finished parts of the building and checking that agreed measures are in place to ensure the health and safety of those in the areas that have been handed over.

- **Co-operate with the principal contractor**

During the construction work, the responsibility for the site is handed over to the principal contractor. As the client, your staff, or any contractor you have named or nominated (for example a facilities management team) must comply with the principal contractor's requirements.

- **Check that the health and safety file has been prepared**

The health and safety file contains the information needed to ensure the health and safety of anyone carrying out any future construction, demolition, cleaning or maintenance work on your building or structure.

You and the principal designer should identify and agree the structure, content and format for the health and safety file at the beginning of the project. Before it is passed to you, it should have been reviewed and updated to ensure it contains all the necessary information. You may wish to ask for an explanation of what the completed file contains, such as any key risks that need to be managed in the future.

The Health & Safety file should be kept for the lifetime of the building.

- **Maintain and make available the health and safety file**

Once the project is completed, the client must keep the health and safety file. This can be in an electronic format, on paper or in any other durable form. Keep the file separate from the building maintenance manual to avoid losing information that may be required urgently.

If responsibility for the premises is passed on or shared, you must give the health and safety file to each new owner and make it available to leaseholders. You should ensure that they are aware of the nature and purpose of the file.

You must also ensure that the file is regularly revised and updated where required, and that it is available to anyone who may need it to comply with health and safety law.

At the end of the project, you must ensure that the principal designer provides you with the health and safety file. On projects where the principal designer's role has finished before the end of the project, the principal contractor will have taken on responsibility for the file and for handing it over to you.

5. What is the Principal Designer's role?

The principal designer's role is to plan, manage and monitor the pre-construction phase, to coordinate health and safety. The pre-construction phase is defined as any period during which design or preparatory work is carried out for a project, which may continue during construction.

The principal designer must:

- Assist the client in identifying, obtaining and collating the pre-construction information.
- Provide pre-construction information to designers, the principal contractor, and contractors.
- Ensure that designers comply with their duties and co-operate with each other.
- Liaise with the principal contractor for the duration of the appointment, keeping them informed of any risks that need to be controlled.
- Prepare the health and safety file.

The Principal Designer's duties apply regardless of the contractual arrangements for the appointment of other designers and whether the project is notifiable to the Health and Safety Executive (HSE). If the principal designer appoints other designers, the principal designer is responsible for ensuring that they have the relevant skills, knowledge and experience to deliver their work.

Principal Designer's Responsibilities

The Principal Designer's responsibilities include:

- **Carry out your duties on appointment**

You will need to understand the client's level of knowledge and experience of this type of project. A client who is unfamiliar with construction projects will need to be made aware that the CDM Regulations apply to their project.

- **Project set up**

Produce a proposal for the client outlining the scope of the principal designer role and how you will fulfil it. This may include an overview of your resources, as well as your skills, knowledge and experience and will provide clarity for your client.

Obtain details of your appointment in writing, which should confirm the scope of services you will provide, including timescales and resources required. At this stage, it is useful to obtain details of the client's main contacts, as well as any designers and contractors involved in the project.

- **Help with the client brief**

You may be asked to help the client to develop their initial brief. This is a good way of outlining the client's key requirements and expectations for the project, including any limitations or restrictions, such as budget, planning constraints and timescales. This brief is likely to be developed further as the project progresses and may include specifications and standards as well as health and safety expectations. For example, the brief could highlight safety in design through the use of risk register.

- **Obtain information from the client**

The client is required to identify and obtain information for the pre-construction phase. You will need to assist the client in doing this before you collate it and pass it to the designers. This information will also need to be passed to the principal contractor before construction begins.

The information from the client could include any previous health and safety file, site services, drawings, asbestos information, ground conditions and other relevant surveys as well as site arrangements and restrictions. Additional information could be obtained from the client's maintenance and operational staff.

You need to review this information as early as possible to identify any potential impacts on health and safety. Where you identify any shortfalls, you will need to advise the client on how to address them.

What to look for:

- Is the information reliable?
- Where has it come from?
- How old is it?
- Could it have been superseded by subsequent works?
- Is there any information missing (such as asbestos records)?
- Would a site visit help to confirm the accuracy of the information (such as location of manhole covers)?
- Are further surveys or investigations required?
- Remember that the information was not prepared with your work in mind

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

- **Liaise with the client**

You should discuss with the client how you will manage the pre-construction phase. You need to agree when updates will be provided, as well as the level and type of information they would like to receive. This may include the status of information gathering, development of the design and whether they want to see a copy of the developing pre-construction information that will be issued to the principal contractor.

Your updates should also include feedback on any significant health and safety issues arising from their original brief, and any subsequent changes to the brief or the design. You are expected to try to resolve any problems directly with the designers. However, you should raise any concerns, such as a lack of co-operation between the designers, with the client.

- **Provide information to the designers**

You need to provide relevant information to all the designers when it becomes available. They should tell you if there are any issues with the health and safety aspects of the client brief or in other client information that has been provided to them. The designers may have questions or queries and may identify any ambiguous or missing information. As the principal designer you will need to respond, either directly or by obtaining further information from the client.

- **Ensure co-ordination with and between the designers**

You have a responsibility to co-ordinate health and safety with all the designers, including temporary works designers. You should inform the designers of your expectations of how the pre-construction phase will be managed, including methods of communication, circulation of information and attendance at meetings.

You need to be sure that designs are co-ordinated between the different designers to identify any potential impacts on health and safety during the full project lifecycle. This includes construction, maintenance, cleaning and, where relevant, its use as a workplace.

- **Oversee the design**

You must ensure that the designers comply with their duties. You should talk to them at an early stage to find out how they will consider health and safety and how they will review its effectiveness.

The designers should give you regular updates, including information about issues or design changes that could potentially impact on health and safety. You may need to inform the client about these, especially where changes have been made to their original brief, significant risk and how these will be managed.

You are expected to review the health and safety information paying particular attention to the areas of high risk.

- **Develop the pre-construction information**

You need to compile and review the pre-construction information to check that the information provided is appropriate for supporting the construction phase. It

should be specific to the project, highlight any significant health and safety issues and not include information that a principal contractor familiar with this type of work would be expected to know.

What does the Principal Designer have to do in the construction phase?

- **Liaise with the principal contractor**

You must liaise with the principal contractor throughout your appointment, communicating with them regularly to ensure that the design, including temporary works design, is co-ordinated. This provides you with the opportunity to raise any potential issues. You should agree how you will communicate with the principal contractor, including how you will communicate with contractors when they are responsible for aspects of the design or have questions about the design.

- **Provide information to the principal contractor**

You must provide the pre-construction information to the principal contractor when it becomes available. This information will be used to prepare the construction phase plan, as well as to develop the health and safety file.

- **Receive information about design changes**

The principal contractor needs to provide information about any potential issues or proposed changes to the design. As the principal designer, you need to understand the impact that this could have on health and safety during the structure's construction, maintenance, cleaning and, where relevant, its use as a workplace. Where necessary, you should discuss this with the designers and the client.

- **Prepare and develop the health and safety file**

It is your responsibility to prepare and develop the health and safety file, including the information required for cleaning, maintenance, alteration or demolition of the building. You will need to provide the principal contractor with details of the agreed format, structure and required content.

The principal contractor will then need to provide the construction information, which should include any changes to the original design along with the as-built drawings. When the project is complete, the health and safety file must be handed to the client.

It is your responsibility to hand over the file to the client unless your appointment ends before the project finishes. In these circumstances, you must hand the file to the principal contractor, who will continue to develop it and then hand it to the client at the end of the project. A principal designer must be in place while any design activity is ongoing, including temporary work design.

6. What is the Designer's role?

As a designer your decisions can affect the health and safety of workers and others who will construct, maintain, repair, clean, refurbish and eventually demolish or remove the building or structure, as well as those who will use it as a completed workplace. Taking risks arising from the design into account can positively affect the

project and make it easier for these risks to be managed by contractors and those who will maintain or use the structure.

a) Delivering design without risk to safety

Your design forms an important part of delivering a project safely and without risks to health. Designers must:

- Understand and be aware of significant risks that workers and users can be exposed to, and how these can arise from their design decisions.
- Have the right skills, knowledge, and experience, and be adequately resourced to address the health and safety issues likely to be involved in the design.
- The designer's role when preparing or modifying designs is to eliminate, reduce or control foreseeable risks that may happen during construction or maintenance and use of a building after it's been built.
- Check that clients are aware of their duties.
- Co-operate with others who have responsibilities, in particular the principal designer.
- Take into account the general principles of prevention when carrying out their design work.
- Provide information about the risks arising from their design.
- Co-ordinate their work with that of others.
- The designer also provides information to other members of the project team to help them fulfil their duties.

Manufacturers supplying standardised products for use in any construction project are not designers. However, the person who selects the product is a designer and must take account of health and safety issues arising from the installation and use of those products. In situations where a product is required to be purpose-built (bespoke), then the person who prepares the specification or drawings is a designer and so is the manufacturer who develops the specification into a detailed design.

b) Being appointed and appointing others

You and anyone you engage to help you with a design must have the appropriate skills, knowledge, and experience to do the work. You may be asked to demonstrate this by providing simple evidence, such as proof of membership of a professional institution, references from previous clients or by showing examples of past work and how you have managed risks on similar projects.

If you are appointing others, you will need to consider whether they have any gaps in their skills, knowledge and experience for the project and, if so, seek further advice.

If you appoint another designer (for example, a specialist) you should make enquiries about their skills, knowledge, and experience to ensure they are capable of carrying out the job in question.

For smaller jobs, you should look for straightforward evidence, for example by requiring references from previous construction work they have carried out. For

more complicated or higher risk jobs, further enquiries will be needed. For example, the Public Available Specification PAS 91 provides a set of health and safety questions that can be asked by construction clients and those who appoint designers and contractors as part of the prequalification process for construction projects (see p.9 of this Policy).

Designer's responsibilities

- **Make clients aware of their duties**

When the client engages you to carry out design work you must make sure that they understand their responsibilities under CDM 2015 before you start. If the client needs more details about their responsibilities, you can refer them to the [Industry guidance for clients \(CDM15/1\)](#). Where a principal designer has been appointed, check with them that they have made the client aware of their duties.

On projects with more than one contractor the client must appoint a principal designer. If you are working as one of a team of designers, it is important that you know who the principal designer is, and that you co-operate with them.

- **Prepare and modify designs for safety and health**

You can help to avoid and reduce the risks that arise during construction and associated work. When preparing or modifying designs, your first aim is to eliminate risks to anyone who may be affected by your design or, if that is not possible, to reduce or control the risks.

Design is rarely a simple one-step operation. It usually involves you making changes as a result of discussion with others and as more information becomes available. Your design may also become more detailed as the project goes from concept to fully detailed proposals.

Your design will require you to apply your professional or trade expertise to produce information needed by others who will be relying on you to do this. You will need to make sure that the information can be clearly understood by those who will use it.

- **Co-operate and co-ordinate with others**

You must co-operate with the client, other designers, and anyone else who provides you with information, in particular the principal designer. You should co-ordinate and communicate with others to provide clear information on how to control any remaining risks. This includes temporary and permanent works designers, who should themselves co-operate to ensure that their designs are compatible with each other.

Depending on the nature and extent of design work, there may be a need to carry out design reviews in order to focus on areas of the design where there are health and safety risks requiring resolution.

On projects where more than one contractor is involved, the principal designer should take the lead in managing this review process. For example, they may ask you to review your design when a subsequent designer or contractor asks

for a change. On smaller projects these reviews could be part of normal project meetings.

Reviews enable the project team to focus specifically on health and safety matters. They are most effective when held at the earliest opportunity so that risks can be identified and then eliminated or reduced in good time.

The need for such reviews is likely to continue throughout the project. This is particularly necessary where there are changes to requirements or designs later in the project.

7. What is the role of a Principal Contractors?

The principal contractor's role is to:

- Plan, manage, monitor and coordinate health and safety in the construction phase of a project.
- Liaise with the client and principal designer.
- Prepare the construction phase plan.
- Organise cooperation between contractors and coordinate their work.

Principal Contractor's responsibilities

The principal contractor manages the construction phase of a project.

This involves:

- Liaising with the client and principal designer
- Liaising with the client and principal designer throughout the project, including during the preconstruction phase.
- Depending upon the nature of the project, the principal designer and principal contractor may be supported by designers, contractors and workers.

Even the simplest tasks, such as arranging routine maintenance or minor building work, require adequate time to plan and manage the work safely.

The term manage in this guide also includes planning, monitoring and co-ordinating the construction phase so that health and safety risks are controlled. Key actions include:

- Planning: preparing a construction phase plan that ensures the work is carried out without risk to health or safety
- Managing: implementing the plan, including facilitating co-operation and coordination between contractors
- Monitoring: reviewing, revising and refining the plan and checking work is being carried out safely and without risks to health
- Securing the site: taking steps to prevent unauthorised access to the site by using fencing and other controls
- Providing welfare facilities: making sure that suitable facilities are provided throughout the construction phase

- Providing site induction: giving workers, visitors and others information about risks and rules that are relevant to the site work and their work
- Liaising on design: discussing with the principal designer any design or change

- **Manage the construction phase**

Planning is an essential part of managing a construction site and should start as early as possible to identify health and safety risks, control measures and resources needed to reduce or eliminate them. This approach should take place for all phases of the construction work. You will also need to think about how you will monitor site health and safety standards and control measures so that they remain effective.

Planning can be as straightforward as asking the following questions.

- What does the work involve?
- What needs to be done and when?
- How can it be done?
- Who do I need to do it?
- What other resources do I need?
- You will need to consider client requirements and any other information, such as that provided by the principal designer.

- **Prepare the construction phase plan (CPP)**

You must draw up a plan which describes how health and safety will be managed during the construction phase. Pre-construction information you have received and any client requirements you have established will help in drawing up the construction phase plan. The CPP, including site set up must be reviewed and approved and the Project Manager, Principal Designer, Health & Safety Team and Estates NO project should commence prior to the CPP sign off by all the aforementioned stakeholders.

- **Ensure welfare facilities are provided**

You are responsible for ensuring welfare facilities are provided and are suitable and sufficient for the size and nature of the site. They must be available as soon as the work starts and remain until the construction work is completed. You may be able to use existing facilities.

- **Provide a site induction**

You must ensure a suitable site induction is provided to every site worker. The induction should be site specific and be relevant to the size and scope of the work, and level of risk involved.

- **Secure the site**

You must ensure that reasonable steps are taken to prevent unauthorised access to the site. Close co-operation between the client or others when working in occupied or shared premises will help achieve this objective. The site boundaries should be clearly marked out using suitable means depending upon the risk, such as signage or fencing.

- **Appoint contractors and workers**

You must also ensure all contractors and workers on your site have the necessary skills, knowledge, training and experience for the work they are carrying out.

- **Provide the right management and supervision**

You must ensure that those managing and supervising the work have the right blend of skills, knowledge, training and experience and that there is an adequate number of supervisors.

- **Engage contractors and workers**

Key information on health and safety risks, including relevant parts of the construction phase plan, need to be shared with contractors and communicated with workers through induction and worker engagement.

- **Monitor the risks on site**

You will need to monitor site health and safety standards and risk control measures to ensure that they remain effective. This can be as simple as asking people what they are doing or carrying out visual checks or inspections and dealing with any issues.

- **Contribute to the health and safety file**

The health and safety file contains information relating to the project which is needed to ensure the health and safety of anyone carrying out future construction or maintenance work on the building or structure.

8. What is the role of the Contractor?

The contractor's must:

- plan manage and monitor construction work under their control so that it is carried out without risks to health and safety.
- for projects involving more than one contractor, co-ordinate their activities with others in the project team – in particular, comply with directions given to them by the principal designer or principal contractor.
- for single contractor projects, prepare a construction phase plan.

Contractor's Responsibilities

- **Manage your work**

The term manage includes planning, managing, monitoring and co-ordinating work under your control to ensure health and safety.

- **Co-operate with the other duty holders**

You have a key role to play in co-operating with the principal contractor and other contractors. Your work, or that of another contractor, could affect the health and safety of your workers and others so, to ensure that the risks are properly managed and controlled, you will need to cooperate with others.

- **Consult with employees**

Workplaces where workers are involved in helping to make decisions about health

and safety are safer and healthier.

- **Prepare the construction phase plan**

On a project with more than one contractor, developing the construction phase plan will be the responsibility of the principal contractor, and they should provide you with information within it that is relevant to your work

However, if you are the only contractor on the project then you are responsible for drawing up a plan which describes how health and safety will be managed during the construction work.

- **Ensure welfare facilities are provided**

If you are working on a project where you will be the only contractor you are responsible for ensuring welfare facilities are provided and that they are suitable and sufficient for the size and nature of the project. They must be available as soon as the work starts on site and remain until the end of the project.

- **Ensure a site induction is provided**

If you are working on a project where you will be the only contractor then you will need to ensure a suitable site induction is provided to every site worker. The induction should be site specific and cover the health and safety risks associated with the site and the controls required.

- **Ensure the site is secure**

If you are working on a project where you will be the only contractor then you must take reasonable and proportionate steps to prevent unauthorised access to the site or work area and that your work will not put the public or others at risk

- **Appoint contractors and workers**

You must also ensure all workers on your site have the necessary skills, knowledge, training and experience for the work they are carrying out. Additional information, instruction, training and supervision will be needed to support those who are still developing their experience in order to become self-sufficient in safe and healthy construction practices.

- **Provide the right supervision**

You must ensure that those managing and supervising the work have the right blend of skills, knowledge, training and experience and that there is an adequate number of supervisors.

9. Workers

As people working for or under the control of contractors on a construction site the workers have duties as well as their employers.

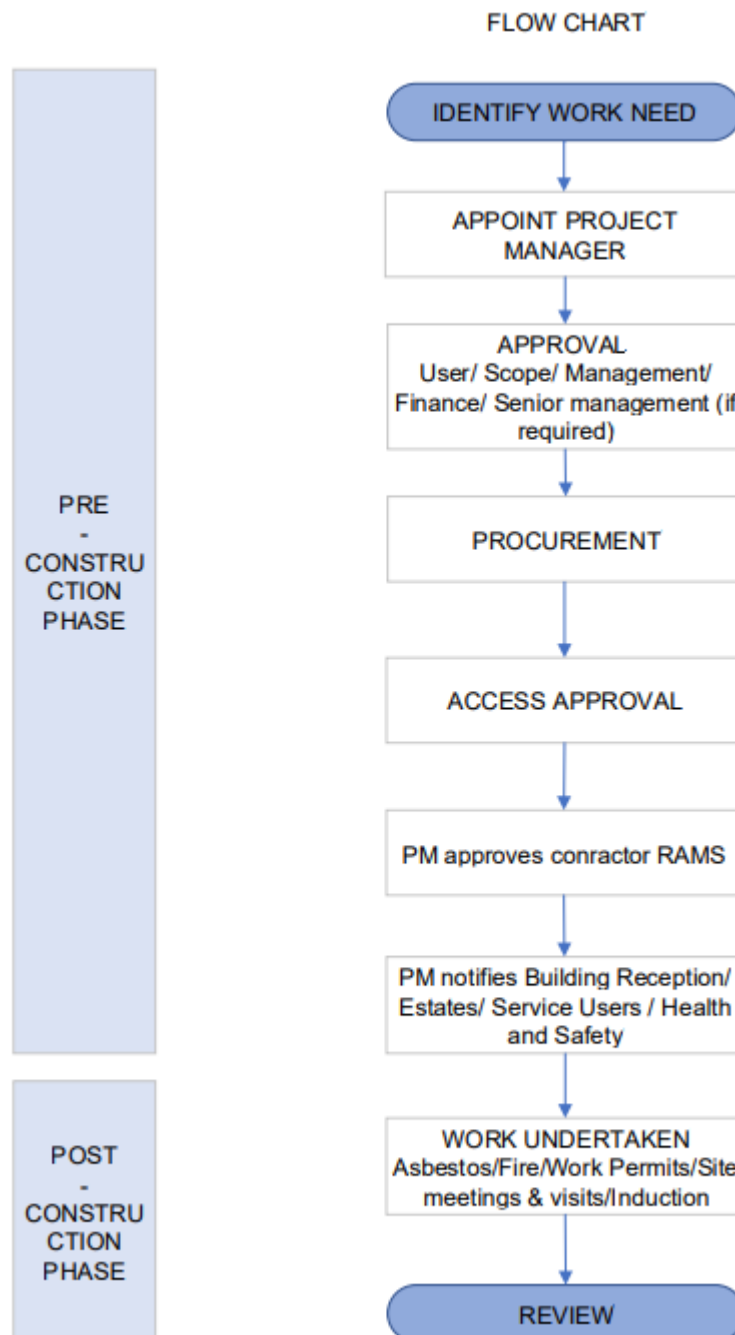
Workers must:

- be consulted about matters which affect their health, safety and welfare
- take care of their own health and safety and others who may be affected by their actions

- report anything, they see which is likely to endanger either their own or others' health and safety
- cooperate with their employer, fellow workers, contractors and other duty holders

10. Process for Control of Works

Following the Process Fix summits in March 2019, London Met has adopted the following process for the Control of Works on Campus. Each step is described in detail below.



Identify need for Work

The need for work may arise from many sources and will either be planned or reactive:

- Member of London Met community raises a task via Estates/ IT Helpdesk.
- Planned Preventive Maintenance/ annual service
- Staff request for minor works
- Estates Strategy
- Remedial work required to address replacement/ repair of plant or infrastructure

Once any work has been identified, a Project Manager will be appointed.

Identify and Appointment Project Manager

Once work has been identified, a competent Project Manager will need to be identified and a project team may be appointed to support them in fulfilling their duties. For small planned projects this may only be one person, with suitable competence and access to support and advice, whilst for notifiable projects this is likely to require assembly of a larger team including those from outside of their own department.

Approval

The Project Manager, along with their project team, will then develop a scope of works. This may require consultation and approval with the person who initially identified the work, internal/ external stakeholders and specialist consultants.

Depending on the nature of the project, stakeholders may include:

- Estates
- ITS
- Schools or Departments affected by the works (service users)
- Health & Safety Team
- DDS
- Finance
- Contracted Services (FM, Catering etc.)
- Specialist Consultants (including Architects)

For projects with multiple designers, a Principal Designer must be explicitly appointed however it is likely that London Met will be considered a designer due to the nature of specifying expectations and details within scope of works.

Procurement

Contractors must be appointed in line with London Met's Procurement Policy. Where multiple contractors have been appointed, a Principal Contractor needs to be identified.

In some cases, it may be decided that in-house staff (or students) have the necessary competence to undertake some work. Notifications will still need to be made (see section below). Once appointed a detailed design is required for final approval.

Insurance

Contractors must take out and maintain suitable and sufficient insurances to comply with the Employers' Liability (Compulsory Insurance) Act 1969 and the Employers' Liability (Compulsory Insurance) Regulations 1998 or any subsequent amendment and Public Liability Insurance as required in respect of claims arising out of any one occurrence. The Contractor must, if requested to do so by the Project Manager or Principal Contractor provide a copy of their Certificates of Insurance.

Contractors shall be liable for and shall indemnify the University against any expense, liability, loss, claim or proceedings whatsoever, arising under any statute or common law in respect of personal injury or death of any person whomsoever or any damage to property or any damage to any real personal property arising out of, or in the course of, or caused by the carrying out of work, except to the extent that the same is due to any act or neglect of the University.

Access Approval

It is the responsibility of the Project Manager to ensure that all contractors appointed are competent to undertake the planned work. **A contractor MUST submit a method statement and a suitable and sufficient risk assessment to the Project Manager. For planned works RAMS must be submitted at least 10 working days prior to works being undertaken.**

All risk assessments and method statements (RAMS) should be specific to the site and work activity being undertaken. As a minimum standard, method statements should contain the following information:

- **Scope of Work:** Description of works, start and completion date and location.
- **Personnel Involved:** Details for site supervisor and individuals contact details, details of contractors.
- **Order of Work** – Step by Step description of how the work will be undertaken, details of tools, machinery and equipment to be used, details of machine operators and their training records.
- **Site Requirements** – Access arrangements, material delivery arrangements, how the work area will be controlled to stop unauthorised access, site security arrangements, details of welfare arrangements (i.e. toilets, wash and mess facilities), and personal protective equipment requirements.
- **Emergency Planning** – Details of first aider(s) and nearest hospital, firefighting arrangements.
- **List of key hazards and controls** – A risk assessment must be attached to the method statement.
- **Environment considerations** – Waste disposal arrangements, management of nuisances such as dust and noise.

The Health & Safety team is available to support Project Managers with the review of RAMS if required. A detailed content of RAMS and a checklist are provided in **Appendixes B&C** to support Project Managers and should be distributed to contractors.

The Project manager is responsible for notifying relevant persons that a contractor is due to visit London Met premises and that these visits comply with Estates Access Control Policy. This includes those likely stakeholders listed above and as a minimum will include:

- Security and Resilience Manager and Security Co-ordinator, especially for parking requests and site access
- Building Reception
- Estates (Maintenance and Property – if any work involves infrastructure)
- ITS (if appropriate)
- Schools or Departments affected by the works (either as service users or as technical space owners)
- CBRE (if access is required to plant rooms, risers or roof spaces).
- Health & Safety Team
- Update of the Works on Campus calendar spreadsheet *

*** Failure to notify the relevant persons above will result in any contractor being refused entry to London Met premises.**

The Project Manager is also responsible for ensuring that arrangements are in place for the induction of Contractors on to the London Met site and any specialist local induction if required (i.e. laboratory, plant room etc.)

Work is Undertaken

Considerations:

- **Asbestos**

Asbestos and asbestos containing materials (ACM) are present within premises at London Met. Removal of such materials will be by a licensed contractor only. However, where such materials are in good condition they may be left in situ, encapsulated and labelled. **Refer to the Asbestos Policy and Management Plan** for further information on managing the known ACMs and the associated emergency procedures. Under no circumstances are contractors to carry out or undertake work on such materials without prior consultation with their Project Manager or Principal Contractor nor should any invasive or destructive works take place without first consulting the University's Asbestos Register. **Any instructions to contractors must include a statement:** *"The absence of information on asbestos does not guarantee asbestos is not present in the area and reasonable precautions must be undertaken to safeguard employees and students".*

Should any operative come across a substance within the workplace with they suspect may contain asbestos, they must stop work immediately. Steps will then be taken to verify the composition of the material. Workers must not resume work until it has been deemed safe to do so by their Project Manager.

- **Fire Safety**

Fire Action Notices are posted in the common areas of all the University's premises. Project Managers are responsible for ensuring that Contractors are familiarised with the local procedures and rules, instructions, comply accordingly and:

- Ensure that their employees are familiar with the Fire Alarms and means of activating them.
- Ensure that their employees are aware of the location of Firefighting Extinguisher and report any use of damage of such equipment.
- Ensure safe methods of work to eliminate any risk that may endanger life or property.
- Advise their Project Manager and Principal Contractor of any flammable mixtures, LPG or explosive substances to be used or stored by them within the University premises.
- Ensure that cylinders and containers are not left in unauthorised place and where oxygen, acetylene, propane etc. is used, that flashback arrestors are fitted.
- Obtain a 'Hot Work Permit' prior to commencing any operations involving the use of any flame or heat producing equipment.
- Not burn rubbish or light fires on any premises.
- Ensure that their employees comply with the [University's No Smoking Policy](#).
- Provide additional firefighting equipment as appropriate or as required by their Project Manager or Principal Contractor.

In addition to any instruction or precautions against fire in a building, contractors will ensure that their employee's activities and equipment in no way prejudices:

- Means of escape in a fire.
- Fire warning or firefighting installations.
- Water supplies for firefighting.
- Access to firefighting equipment.
- Access for the Emergency Services.

Permits to Work

Any work involving the following will require a Permit to Work:

1. Hot Work
2. Work at Height/ roof access (see Work at Height Policy for further information).
3. Confined Spaces (including voids and lift shafts)
4. Electrical Systems
5. Work in restricted/controlled spaces
6. Work on pressure systems (plant containing steam, hazardous chemicals, gases or liquids under pressure)
7. Excavation or trenching

It is the Project Manager and Principal Contractor's responsibility to ensure that Permits are issued for any high risk works. These must be raised in good time, in accordance with London Met's Permit to Work arrangements.

In order to obtain a Permit to Work, Project Manager should email their reviewed RAMS, the associated competencies and the completed RAMS checklist to CBRE

Permits Londonmetpermits@cbre.com (copying this email to Health and Safety Team). Once issued, the contractor will need to sign for the permit before work commences and once work is completed.

For larger projects, where a site demise is handed from London Met to the Principal Contractor, they are responsible for managing and issuing their own permits and must notify the Project Manager and Health and Safety Team when any permits are to be issued and when they have been closed. Permits must also be recorded in the Works on Campus calendar.

- **Site Meetings**

For notifiable projects, site meetings with relevant internal and external stakeholders should be conducted weekly.

- **Site Visits**

The Project Manager is responsible for ensuring that any contractor or subcontractor is conducting themselves safely and in accordance with their submitted RAMS. For larger projects, the Health and Safety Team will periodically undertake inspections of sites and for notifiable projects an external consultant should be appointed to undertake this role.

On completion of the activity, the Project Manager should arrange for a review of the work to ensure that contractors have:

- Removed all refuse and debris.
- Removed all surplus materials
- Removed tools, ladders, access equipment and scaffolding.
- Replaced all manholes or access covers in a secure state.
- Ensured that all equipment is either brought back into service or made safe by disconnection and isolation as appropriate.
- Ensure all doors, gates or other accesses to restricted areas are secured.
- Return all keys.
- Return all Permits to Work to the person who issued the permits. The Authorised Person will check that the work has been properly completed, all safety precautions have been taken and that all systems are made safe or have been brought back into service.

At this stage, the Project Manager is also responsible for ensuring that:

- Issues identified (snagging)
- Operation and Maintenance (O&M) Manuals are received.
- User Training is provided (if required).
- Asset Registers are updated.
- University Directory updated.
- Any Risk Assessments are reviewed in light of significant change.

Review

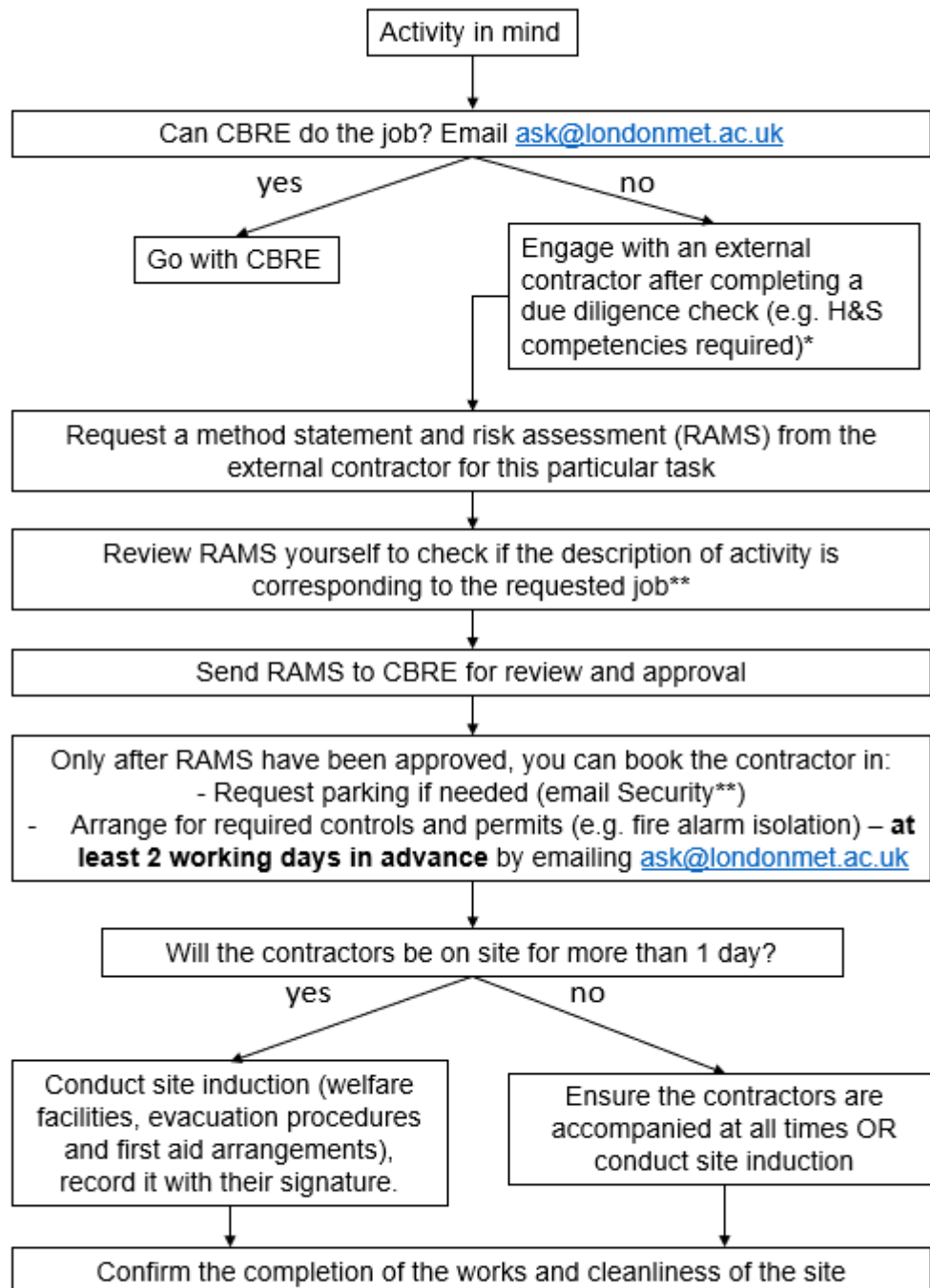
After the successful completion of any works there must take a place a review of the project with the intention of identifying any lessons learnt that can be applied to

subsequent projects. This should consider performance at each stage listed above and involve all the relevant stakeholders.

Staff and Student experience should be considered at both the early review stage and at a later date as part of an objective review of project planning for the past year.

Appendix A: Workflow to follow when a School or Department considers employment of external contractors

Flow chart for recruiting external contractors*



* For 3rd part contractors employed directly by the Schools or Departments.

** Refer to H&S team for help and advise Hands@londonmet.ac.uk

Appendix B: Content of RAMS

To make sure that the Method Statement is practical and specific to the task and Risk Assessment part is “suitable and sufficient”, the RAMS should contain following information:

1. **Scope of Work:** Description of works, start and completion date and location.
2. **Personnel Involved:** Details for site supervisor and individuals contact details, details of contractors.
3. **Order of Work** – Step by Step description of how the work will be undertaken, details of tools, machinery and equipment to be used, details of machine operators and their training records.
4. **Site Requirements** – Access arrangements, material delivery arrangements, how the work area will be controlled to stop unauthorised access, site security arrangements, details of welfare arrangements (i.e. toilets, wash and mess facilities), and personal protective equipment requirements.
5. **Emergency Planning** – Details of first aider(s) and nearest hospital, firefighting arrangements.
6. **List of key hazards and controls** – A risk assessment must be attached to the method statement.
7. **Environment considerations** – Waste disposal arrangements, management of nuisances such as dust and noise.

Appendix C: Small Works Method Statement / Risk assessment Review Sheet (Project Governance Folder Template in Capital Projects, Template 4.4)

Contractor	
Title of work:	
Location:	
Date received:	Proposed start date:

PROMPT LIST (as applicable)	Yes	No	In Part	N/A
Details of company provided (Principal contractor and sub-contractors)				
Revision number and date provided				
Work adequately described				
Sequence of tasks adequately described				
Location of the work defined				
Commencement date & expected duration provided				
Manual handling/lifting operations /signs & signals adequately addressed				
COSHH adequately addressed & PPE specified				
Chemical vapours/smells entering building or causing complaints				
Access / egress & delivery routes identified				
Certificates of competence /experience of personnel provided				
Supervisor / key personnel identified				
Details of plant/equipment/materials provided				
Statutory examination reports provided for lifting equipment				
Environmental controls/waste disposal described				
Penetrations through fire walls and fire stopping, remedial works by a competent person (Certificates and documentation required on completion)				
Pollution risks (i.e. noise, dust, etc) adequately controlled				
Asbestos risks adequately controlled, confirm that the contractor is competent				
Temporary arrangements (e.g. fire, traffic routes, services) described				
Emergency arrangements (e.g. first aid, rescue) described (incl. details of local hospital A&E)				
Welfare facilities and arrangement				
Monitoring arrangements outlined				
Statement confirming operatives briefed on MS and will retain copy				
Method statement signed on behalf of contractor				

Risk assessment is suitable and sufficient				
Out of hours justification (Project Manager)				
Additional Requirements (As applicable)				
Floor plan with work area, access routes and storage (Work requester)				
Isolations required as part of work (Maintenance Manager / Lead Engineer)				
Permit to Work Required (London Met Permits Office/ PM)				
Parking/ Deliveries Required (link to parking on site procedure)				
Site wide notification required				

Reviewed by (as required)	Required Y/N	Name	Date & Signature
Project Manager (required)			
User Representative(s)			
Estates			
ITS			
H&S			
DDS (Student Journey)			
Finance			
Others			