

SAFETY INFORMATION SHEET

CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2015

This Information Sheet is one of a series produced by the LEIA Safety and Environment Committee on topics relevant to the Lift and Escalator Industry. Whilst every effort has been taken in the production of these sheets, it must be acknowledged that they should be read in conjunction with the relevant legislation, codes of practice etc. They should not be taken as an authoritative interpretation of the law but guidance to it.

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Caution

This document attempts to broadly set out the requirements of The Construction (Design and Management) Regulations 2015 and their effects on LEIA members

It represents what is known at this time and is based on current guidance from HSE and elsewhere and is therefore subject to change.

Main changes to 2007 regulations

Many LEIA members will already be familiar with the 2007 regulations. The main changes are as follows

- CDM Coordinator role replaced by Principal Designer
- Appointment of Principal Contractor and now Principal Designer are now required irrespective of length of project.
- Client duties expanded
- Domestic Clients included in scope of regulations
- Notification is now only required for projects lasting more than 30 days with 20 or more persons on site at any one time or projects lasting over 500 person days.

Overview

The regulations are divided into 5 parts

Part 1 Interpretation and application.

Part 2 Client Duties

Part 3 Health and safety duties and roles

Part 4 General requirements for all construction sites

Part 5 General matters including transitional arrangements

There are also several schedules to the regulations covering

- Notification details
- Welfare facility standards
- Work involving particular risks
- Transitional arrangements
- Amendments

Does CDM apply to maintenance?

CDM applies to Construction work and this is defined in the regulations and covers a host of activities. The general maintenance of fixed plant which mainly involves adjustments, replacing parts or lubrication is unlikely to be construction work¹. Consequently the routine maintenance of lifts, escalators, moving walkways, stairlifts and similar equipment does not fall under the CDM umbrella, however more extensive work would be included. Refer to appendix 2 and 3 for more details.

¹ This was confirmed by the HSE in their Construction Infonet – May 2015 bulletin which is available from LEIA website.

The duty holders identified by the regulations are:

Client

Principal Designer (PD)

Designers

Principal Contractor (PC)

Contractors

Client Duties

The Client must:

- Make suitable arrangements for managing a project and ensure that these are maintained and reviewed
- Provide pre construction information
- Ensure a Construction Phase Plan drawn up
- Ensure Health and Safety file is compiled
- Appoint Principal Contractor and Principal Designer in writing

If a client fails to appoint a PC and PD then PC & PD duties fall back onto the client

For domestic clients the duties above transfer to the Contractor (if only one contractor involved) or to the Principal contractor if more than one contractor involved or, if client wishes, by written agreement to PD.

If a domestic client does not appoint a PC & PD then the contractor in control of construction phase becomes the Principal Contractor and the designer at the pre construction or planning stage becomes the PD.

LEIA members will be the client when they commission construction work in their own premises. This will include maintenance of the building fabric as well as more involved construction work, roof maintenance, extensions and refurbishments.

Principal Designer Duties

- Plan manage monitor and coordinate H&S in Pre Construction phase so that the project is carried out safely
- Identify eliminate or control risks through the design
- Ensure designers comply with duties and cooperate
- Assist client with gathering pre construction information and distribute
- Liaise with PC
- Prepare Health and Safety File

It is likely the PD will be the first designer involved in a project and the first point of contact a client makes when considering a project.

At that point the PD would simply be a Designer and has a duty to inform the client of their duties under CDM 2015 which may result in his appointment as principal designer.

The Principal Designer must be a designer.

It is likely that LEIA members will be expected to fulfil the role of PD and fulfil the duties above. These include assisting the client in gathering Pre construction information. The list in Appendix 1 may assist with this.

A Health and Safety file will be required and Appendix 5 gives examples of what should be included for various operations.

Designer duties

- Be sure the client is aware of their duties
- Design for health and safety
- Eliminate reduce and control risk through the design
- Cooperate and coordinate with others
- Provide info to other members of team

Where a LEIA member prepares a design, which can include drawings, design details, specification or where proprietary parts are selected for repair and refurbishment works then they take on the duties of the designer.

The design must consider the foreseeable Health and Safety risks of those carrying out and affected by the work, and future maintenance including considering how glass and similar can be cleaned safely.

Where the lift is installed in a workplace the work must comply with the Workplace (Health, Safety and Welfare) Regulations 1992.

A key duty of a designer, who is often the very first point of contact, is to inform the client of his duties under CDM.

The requirement to eliminate hazards and reduce risks is qualified by reasonably practicable.

The regulations do not require a risk free design but the designer must weigh up various factors, including cost, and make reasoned decisions about the hazards and risks involved.

A designer must not produce designs which cannot be built or subsequently maintained safely.

The Principal Contractor

The principal contractor must:

- Plan manage monitor the construction phase and coordinate H&S so that construction work is carried out safely
- Prepare Construction Phase Plan
- Organise cooperation between contractors
- Make sure contractors comply with the law
- Be sure the principles of prevention followed by others (app1 HSE guidance)
- Ensure compliance with Construction Phase Plan
- Provide site induction
- Keep site secure
- Provide welfare facilities
- Consult and engage with workers
- Liaise with PD

The key duty of the PC is to properly plan, manage and coordinate work during the construction (or work) phase.

LEIA members may be Principal Contractor in some circumstances for example:

- Domestic Installations
- Lift refurbishments and installations
- Work involving more than contractor where we have sold a job to a customer

Refer to Appendix 2 for examples of where LEIA members could be Principal Contractor

The PC must produce a construction phase plan setting out the arrangements for managing significant health and safety risks associated with the construction phase of the project.

Refer to documentation section for more information.

Principal Contractors are to provide and maintain welfare facilities from the start of the construction phase and throughout. Welfare facilities are detailed in Schedule 2 of the regulations and include the provision of toilets, washing facilities, drinking water, changing rooms and facilities for rest/mess rooms.

Contractors

Contractors must:

- Be sure client is aware of his duties
- Plan manage and monitor work to control risk
- coordinate activity with others if there is more than 1 contractor on the project
- prepare a Construction Phase Plan if we are the only contractor involved in a project
- Make sure that if there is more than 1 contractor involved in a project then one must be in Principal Contractor role.

LEIA members may be a contractor under the control of a Principal Contractor or a lone contractor in some instances.

A health and safety plan must be prepared even if we are the only contractor.

Everyone involved

- Everyone (Designers, Principal designers, Contractors, Principal Contractors) appointed must have skill, knowledge experience or organisational capability to fulfil their role
- Those without the necessary skill, knowledge, experience or organisational capability, must not accept an appointment if offered
- Those appointing Designers, Principal designers, Contractors, Principal Contractors must take steps to ensure skill, knowledge, experience or organisational capability
- All duty holders must co-operate
- All duty holders must report any H&S issues
- Anyone required to provide information and instructions must do so in a comprehensible and timely manner

Documentation

Documentation required

- Pre – construction information (All Projects)
- Construction Phase Plan (All Projects)
- Health and safety file (where there is more than one contractor involved)

Pre-construction information

The client must provide designers and contractors who may be bidding for the work (or who they intend to engage), with project specific health and safety information needed to identify hazards and risks associated with the design and construction work. This is termed the pre-construction information.

This information should be provided as part of the tendering or early procurement process. The client may use the responses to judge the competence of those tendering so the information is required in good time to allow for an appropriate response.

It would be ill advised to commit to any project until the pre construction information has been reviewed to consider and considered any effects it may have on the work.

The Principal Designer must assist the client in the preparation of the pre construction information and where LEIA members act as PD the list in Appendix 1 may help.

Construction Phase Plan

The Principal Contractor is responsible for ensuring that a suitable Construction Phase Plan is prepared however where there is only one contractor involved the he must prepare the plan.

A plan is required for all jobs.

The construction phase plan must record

- The health and safety arrangements for the work
- Any site rules
- Specific measures concerning certain types of work

When considering what information to include when compiling a plan the emphasis must be that it is relevant, is sufficiently detailed but is still proportionate to the scale and complexity of the project and the risks involved.

A list of topics to consider and a template plan is provided in Appendix 4

Many LEIA members will have developed Construction Phase Plans for the previous 2007 regulations typically for larger installation and refurbishment projects and may wish to continue to use a similar format suitably amended for the 2015 regulations for larger projects.

Appendix 3 suggests which plan could be used in what circumstances. Whatever format of plan is used remember:

In considering what information is included, the emphasis is that it

- a) Is relevant to the project*
- b) has sufficient detail to clearly set out the arrangements, site rules and special measures needed to manage the construction phase; but*
- c) is still proportional to the scale and complexity of the project and the risks involved.*

**L153*

Health and Safety File

The Health and safety file should contain information needed to allow future construction work, including cleaning and maintenance to be carried out safely.

The Principal Designer must prepare the file and hand the file over to the client for safekeeping on completion of the project.

Clients, designers, principal contractors and other contractors must all provide information for inclusion in the file.

Notification to HSE

The client must notify the enforcing authority, usually HSE (or ORR where railway work is involved) of projects lasting:

- more than 30 days with 20 or more persons on site at any one time or
- over 500 person days.

General requirements for all sites

Introduction

The following duties apply to all construction work and they do relate to lift work. Where a LEIA member acts as Principal Contractor it is important to remember that the duty for Health and Safety on the site is his and his arrangements for managing safety must include the provision of equipment, facilities and procedures for managing the safety of all contractors.

Safe places of work

Safe access to and egress from all places where work is carried out must be established and maintained. Where access and egress is unsafe it is not to be used. The places where work is actually carried out must also be safe and have sufficient space for persons to work there. These points are applicable to all parts of the lift installation.

Good order and site security

Working areas are to be kept reasonably clean and tidy and sites are to be kept secure. The housekeeping within the lift contractors working area is usually his responsibility. Where the "site" is a lift this is usually kept secure by the existing landing doors or when these are removed, by hoardings. Specific mention is made of timber with projecting nails which must not be left lying around for persons to tread or catch themselves on.

Stability of structures

When building up and dismantling parts of equipment, steps must be taken to ensure no instability occurs for example due to excessive out of balance loading. Any temporary platform, (for example a scaffold platform provided to support a lift car) must be designed, installed and maintained so that it is stable and strong enough to withstand the anticipated loading. Platforms must not be overloaded.

Demolition or dismantling

In this context demolition or dismantling is considered to mean the removal of a complete installation.

This work shall be planned and carried out as safely as possible with the arrangements recorded in writing (for example in the form of a construction phase plan or method statement) before the work starts.

Traffic routes

Defined traffic routes are required to ensure vehicles and pedestrians can move safely. Consideration needs to be given by the lift contractor to loading and unloading arrangements and also parking areas. In many cases because of the temporary nature of work these will be temporary barriers and signage. Where the lift contractor is the Principal Contractor then he needs to ensure arrangements are in place for all contractors involved. Traffic routes which are obstructed are not to be used.

Vehicles

This regulation concerns the movement of construction vehicles on an actual site. It seems unlikely this would affect our work however there is a requirement that persons in control of vehicles must give warnings to others likely to be at risk. This might affect LEIA members when making deliveries to a construction site.

Prevention of risk from fire etc.

Fire risk is the most likely to be encountered in our work however explosion, flooding and risks from substances likely to cause asphyxiation are also included. Steps are required to prevent risk of injury from fire or similar and could include not allowing combustible materials to accumulate, regular disposal of waste, control of hot work, prohibition of smoking and steps to prevent arson. Emergency arrangements, the provision of fire fighting and detection equipment are covered separately.

Emergency procedures

Arrangements for foreseeable emergencies shall be prepared – no mention is made within the regulations of these arrangements being written although this would be prudent. The emergency arrangements must include the procedures for evacuation of the location. Likely foreseeable emergencies are Fire, personal injury accidents, Asbestos release and possibly bomb threats or similar.

Emergency procedures could be included within an emergency plan covering

- Responsibilities for actions in an emergency
- Means of raising the alarm
- Locations of telephones
- Names of first aiders
- Location of first aid facilities
- Location and map showing local hospital with A&E dept.
- Arrangements for warning others on the site
- Evacuation procedure and assembly points
- Provision of information on the above in site induction

Emergency procedures need to take account the number of persons likely to be present, the size of the site, and the locations of those people. Everyone covered by the emergency arrangements must be familiar with them and the arrangements must be tested at suitable intervals.

Emergency routes and exits

In a project within an existing building it is likely that emergency routes and exits will be established and marked. Where this is not the case or where the lift project has interfered with the existing arrangements emergency routes and exits, leading as directly as possible to a place of safety must be provided, kept clear of obstruction and where necessary provided with emergency lighting. It should be noted our work may take the contractor into areas not normally used by the client such as roofs and basements and these areas may not have established and signed routes which may need to be put in place for the duration of the work.

Fire detection and fire-fighting

Where the risk of fire exists then the correct number of suitable fire extinguishers are to be provided with appropriate signage in suitable locations. Some system of detecting and providing an alarm in the event of a fire is also required. The numbers, locations and extent of fire precautions are based on a risk assessment considering the activity in any occupied

buildings, the type of work being undertaken (e.g. grinding or similar hot work), equipment being used, any flammable substances or chemicals likely to be present, the numbers and locations of people at work, the spread of the site, and the numbers of other people in the building (or on the site). Bearing in mind a project could extend over several floors and different areas of a building these matters need to receive consideration at the planning stage.

Everyone at work is to be instructed in the correct use of extinguishers and persons carrying out any high fire risk work are to be suitably instructed.

Fresh air

The provision of sufficient fresh air is not usually a problem in our work however where this is provided by artificial means the device providing the air must have a suitable visual or audible warning to indicate any failure.

Temperature and weather protection

The temperature of indoor workplaces must be reasonable. It is suggested this be based upon a risk assessment bearing in mind the use of the building and the activity in progress.

Where work is undertaken outside or in unheated buildings, suitable protective clothing giving protection from the weather is to be provided.

Lighting

All places where work is carried out must be suitably lit. Natural light although preferable is not always possible – for example within a shaft. Any artificial lighting must not adversely affect any H&S signage and where the failure of artificial lighting could affect a person's safety emergency lighting is to be provided.

Further information

For any clarification of this Information Sheet contact your company Safety Advisor or the LEIA Safety and Training Manager.

LEIA Safety Information Sheet N° 11-2 - Preparation of a Construction Phase Plan in accordance with The Construction (Design And Management) Regulations 2015

CDM 2015 HSE Legal Guide L153 Managing health and safety in construction

<http://www.hse.gov.uk/pubns/books/l153.htm>

CDM 2015 CITB Industry Guidance for all duty holders in a construction project:

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

Appendix 1 - Pre construction information

The following information should be requested as part of the Pre-construction information provided by the Client:

Site Layout

Services Location

Asbestos Register

Principal Contractor / Site Rules

Welfare Facilities

Storage Area

Fire Evacuation procedures / Alarm Tests / Muster Points

Permits to Work (Hot Work Roof Work/ Work at Height)

Isolation requirements (eg Dusty works)

Noisy work restrictions

Delivery Times / Routes / Loading Bay

Building Opening Hours / Entry time limits / Security

Signing In / Out process

Appendix 2 – Duty holder roles

	Potential duty holder role for LEIA member	Pre construction information: how obtained (in absence of information from client)	Notes
Routine maintenance			CDM does not apply
Breakdowns and Emergencies			CDM does not apply
Repairs (part of maintenance)			CDM does not apply
Repairs involving substantial dismantling	Principal Contractor Contractor Principal Designer	Specific risk assessment for the job plus pre construction pro forma	If we involve a second contractor we will become Principal Contractor and they will be our Contractor. We will also become Principal Designer
Repairs involving more than 1 contractor (ie us plus another)	Principal Contractor Principal Designer	Specific risk assessment for the job plus pre construction pro forma	
Installation and refurbishment	Principal Contractor Contractor Principal Designer	Specific risk assessment for the job plus pre construction pro forma	
Domestic installation	Principal Contractor Principal Designer	Sales risk assessment Sales survey Phone call ahead to premises (dogs)	Handover sheet, test sheet user manual handed to client to form H&S file.

Appendix 3 – Documentation requirements

	Existing RA/MS and other standard supporting documents	Construction Phase Plan (Short version – 3 sides)	Existing CPP template developed for 2007 regulations with amendments
Routine maintenance	Yes	No CDM does not apply	
Breakdowns and Emergencies	Yes	No. CDM does not apply	
Repairs (part of maintenance) e.g. Safety Edge replacement Car/Landing button replacement Aircords Emergency lighting Autodialler replacement Valve seals replacement Barrier provide Pit prop provide Release training Flex change Car/Gate lock change	Yes	No. CDM does not apply	
Repairs involving dismantling and outside maintenance e.g. New top of car control unit Re-rope/shorten ropes Replace Ram Seals Door Gear change Controller change Machine tank change Landing door/shutter replacement Supplementary tests Rupture Valve test	Yes	Yes	

	Existing RA/MS and other standard supporting documents	Construction Phase Plan (Short version – 3 sides)	Existing CPP template developed for 2007 regulations with amendments
Hydraulic hose change Ram change Safety edge introduction Auto dialler introduction Shaft lighting	Yes	Yes	
Repairs involving more than 1 contractor ie us plus another)	Yes	Yes	
Installation and refurbishment (Major, Industrial)	Yes		Yes
Domestic installation	Yes	Yes	

Appendix 4 – Construction Phase Plan

CDM REGULATIONS 2015 - CONSTRUCTION PHASE PLAN (CPP)

PROJECT DESCRIPTION
<p><i>Site address:</i></p> <p><i>What are the key dates?</i></p> <p><i>Who are the key members of the project team?</i></p> <p><i>What are the arrangements for this plan to be reviewed, updated and revised?</i></p>
PROJECT HEALTH AND SAFETY AIMS
<p><i>What are the H&S aims for the project?</i></p>
SITE RULES
<p><i>What are the rules for PPE, parking, radios, mobiles, smoking, restricted areas, hot works and other rules?</i></p> <p><i>Is it necessary to have translations of site rules available?</i></p> <p><i>How are site rules brought to the attention of everyone on site?</i></p>
COOPERATION ARRANGEMENTS
<p><i>What are the arrangements to ensure cooperation between the project team members and coordination of their work?</i></p>

CDM REGULATIONS 2015 - CONSTRUCTION PHASE PLAN (CPP)

WORKER INVOLVEMENT ARRANGEMENTS
<i>What are the arrangements for involving workers?</i>
SITE INDUCTION
<i>What are the arrangements for site induction?</i>
WELFARE FACILITIES
<i>What are the welfare facilities provided on site?</i>
FIRE AND EMERGENCY
<i>What are the fire and emergency procedures?</i>
SPECIFIC MEASURES (SM)
<p>SCHEDULE 3 Regulation 12(2) Work involving particular risks:</p> <ol style="list-style-type: none"> 1. Work which puts workers at risk of burial under earthfalls, engulfment in swampland or falling from a height, where the risk is particularly aggravated by the nature of the work or processes used or by the environment at the place of work or site. 2. Work which puts workers at risk from chemical or biological substances constituting a particular danger to the health or safety of workers or involving a legal requirement for health monitoring. 3. Work with ionizing radiation requiring the designation of controlled or supervised areas under regulation 16 of the Ionising Radiations Regulations 1999 4. Work near high voltage power lines 5. Work exposing workers to the risk of drowning. 6. Work on wells, underground earthworks and tunnels. 7. Work carried out by divers having a system of air supply. 8. Work carried out by workers in caissons with a compressed air atmosphere. 9. Work involving the use of explosives. 10. Work involving the assembly or dismantling of heavy prefabricated components.

CDM REGULATIONS 2015 - CONSTRUCTION PHASE PLAN (CPP)

<i>What are the Specific Measures for the following activities?</i>
Work at height
Assembly and dismantling of heavy components
Electricity
Are any other control measures required
MONITORING AND REVIEW
<i>What are the arrangements for monitoring effectiveness of this plan in addressing identified risks? How does the PC cooperate with contractors to confirm that the plan remains fit for purpose and risk controls are working?</i>

Appendix 5 - Considerations

The following should be considered when compiling a H&S Plan

Project description

- What are the key dates
- Who are the key members of the project team?
- What are the arrangements for this plan to be reviewed, updated and revised?

Management of work

- What are the H&S aims for the project?
- Site rules
- Cooperation and coordination
- Worker involvement arrangements
- Site Induction
- Welfare
- Fire and Emergency

Control of specific risks

The Plan must contain information which is relevant to project and should set out the arrangements, site rules and special measures in sufficient detail to be clear but it must be **proportionate** to scale and complexity of the work being undertaken.

Don't include documents which get in way of understanding (such as detailed method statements and generic risk assessments)

Appendix 6 – Health & Safety file

Health and safety file

This is put together by the principal designer it should contain details of

- The work carried out
- Details of any residual hazards and how addressed
- Operating and maintenance manual
- User instructions/manual
- As built drawings

It should not include things which will not help when planning future work

If there is more than one contractor involved a Health and Safety file must be produced