LEIA Safety Information Sheet

Construction (Design & Management) Regulations 2015

Prepared by the LEIA Safety and Environment Committee

JANUARY 2021

Document Reference	11
Issue Nº	5
Revision Date	January 2021
Next Review Date	December 2025

SAFETY INFORMATION SHEET
CONSTRUCTION (DESIGN & MANAGEMENT) REGULATIONS 2015

PREAMBLE

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.

CONTENT

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 work. Consequently, the routine maintenance of lift, escalators, moving walks, 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.

CDM DUTIES

The duty holders identified by the regulations are:

Client

Principal Designer

Designer

Principal Contractor

Contractors

Client:

The Client must:

- Make suitable arrangements for managing a project and ensure that these are maintained and reviewed
- Provide preconstruction information
- Ensure a Construction Phase Plan drawn up
- Ensure Health and Safety file is compiled
- Appoint Principal Contractor (PC) and Principal Designer (PD) 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 preconstruction 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 Preconstruction 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 one contractor where they 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 they 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 they 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 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 then 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.

Appendix 3 provides guidance of when existing Risk Assessments and Method Statement (RAMS) are required and when a Construction Phase Plan will need to be produced.

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

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 relevant 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 are 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 firefighting 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 firefighting

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 an 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 Nº 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 - Preconstruction 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	**Preconstruction 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 preconstruction proforma	If you employ a contractor to complete the works, it is likely you will become the Principal Contractor and they will be your Contractor. You will also become the Principal Designer
Repairs involving more than 1 contractor (ie you plus another)	Principal Contractor Principal Designer	Specific risk assessment for the job plus preconstruction proforma	As above
Installation, modernisation and refurbishment	Principal Contractor Contractor Principal Designer	Specific risk assessment for the job plus preconstruction proforma	Construction Phase Plan required.
Domestic installation	Principal Contractor Principal Designer	Sales risk assessment Sales survey Phone call ahead to premises	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**
Routine maintenance	Yes	CDM does not apply
Breakdowns and Emergencies	Yes	CDM does not apply
Repairs (part of maintenance) e.g. • Safety Edge replacement • Car/Landing button replacement • Air cords • Emergency lighting • Auto dialler replacement • Valve seals replacement • Barrier provision • Pit prop provision • Release training • Flex change • Car/Gate lock change	Yes	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	Construction Phase Plan required
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, modernisation and refurbishment (Major, Industrial)	Yes	Yes
Domestic installation	Yes	Yes

Appendix 4 – Construction Phase Plan

CDM REGULATIONS 2015 - CONSTRUCTION PHASE PLAN (CPP)

PROJECT DESCRIPTION
Site address: *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?*
PROJECT HEALTH AND SAFETY AIMS
What are the H&S aims for the project?
SITE RULES
*What are the rules for **PPE, parking, radios, mobiles, smoking, restricted areas, hot works** and **other rules**?* *Is it necessary to have **translations** of site rules available?* *How are site rules **brought to the attention** of everyone on site?*
COOPERATION ARRANGEMENTS
What are the arrangements to ensure cooperation between the project team members and coordination of their work?

CDM REGULATIONS 2015 - CONSTRUCTION PHASE PLAN (CPP)

WORKER INVOLVEMENT ARRANGEMENTS
What are the arrangements for involving workers?
SITE INDUCTION
What are the arrangements for site induction?
WELFARE FACILITIES
What are the welfare facilities provided on site?
FIRE AND EMERGENCY
What are the fire and emergency procedures?
SPECIFIC MEASURES (SM)
SCHEDULE 3 Regulation 12(2) Work involving particular risks: 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)

What are the Specific Measures for the following activities?
Work at height
Assembly and dismantling of heavy components
Electricity
Are any other control measures required
MONITORING AND REVIEW
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?

Appendix 5 - Considerations

The following should be considered when compiling a Construction Phase 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 CPP 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.

Do not include documents which get in the 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

Examples of information that could bee provided include the following: