

Management of Health and Safety Files

Background

Health and Safety Files are critical tools for enabling structures to be safely used, maintained and adapted. They contain important safety information about the structure, enabling those designing or working upon it in the future to understand and manage hazards that may otherwise not be apparent. There is consequently a legal requirement on clients to store and share Health and Safety File information (CDM 2015, Regulation **). A range of other parties have legal duties to assist with the management of Health and Safety Files.

Historically, Health and Safety Files have contained generic or inappropriate information or have been stored in a manner which makes retrieval impractical.

Purpose

The purpose of this document is to ensure that appropriate information is stored in UoL Health and Safety Files and that it is readily accessible for future use.

Every block or area of a campus will ultimately have its own Health and Safety file consisting of a number of electronic documents. These documents will be searchable by floor, room number or subject matter. Hard copies of File information will only be retained to the end of the defects and liability period.

This document provides an approved format for Health and Safety Files to ensure consistency in the layout and quality of documents provided.

Scope

This procedure applies to all construction work conducted by the University of Leicester (UoL).

The Health and Safety File is a distinct and separate entity from Operation and Maintenance (O&M) manuals and Building Manuals (BM). This procedure does not address the required content or format of O&M or BM manuals.

As-built drawings are centrally collated by UoL Property Data staff. The UoL Project Manager (PM) will manage the collection of these drawings separately. The format the drawing should be received in are in accordance with the UoL AutoCAD protocol, and PDF (showing print size to scale). The only drawings that need to be maintained in the File are those that meaningfully illustrate or locate items mentioned in the File.

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Responsibilities
UoL Project Manager

Responsibility	Specific, Auditable Standards to Achieve
Review existing Health and Safety File when planning a project	IF not available seek advice from the Estates Safety Manager
Appoint a PD in writing before detailed design work commences	1. Date of PD appointment to precede dates of detailed design
Bring this procedure to the attention of any PD who may be or has been appointed	1. Issue this procedure as part of tender documents 2. Hold a CDM co-ordination meeting as soon as practicable after appointing a PD and follow the agenda in appendix 4
Ensure designs are reasonably safe to maintain	1. Maintenance Schedules, supplied by the PD, are to be reviewed and signed off by the <i>Head of maintenance team</i> 2. Large/complex projects should have a separate maintenance workshop involving PD, designers, maintenance team and UoL Contract Administrator
Contribute appropriate information to the Health and Safety File	1. At the beginning of the project, complete the "project description" (see appendix) for all notifiable projects in conjunction with the lead designer and PD 2. When acting as a designer on a notifiable project, provide relevant information to the PD for inclusion in the File, possibly including a UoL Maintenance Schedule (see appendix 3)
Ensure material for health and safety file is being collated by the PD/PC	1. Maintain a copy of the completed 'health and safety file contents' template in section ** of the project folder 2. Follow the standard agenda ** for meetings which includes items on the development of the Health and Safety File 3. Store minutes of meetings on project files **
Check the adequacy of the submitted health and safety file	1. Arrange a health and safety file review meeting with the PD, Estates Safety Manager and a member of the maintenance team at least 28 days before practical completion in order to review the current version of the File. 2. At this meeting, check the information provided against the completed 'health and safety file contents' template in section ** of the project folder. 3. Instruct PD to make relevant changes to bring File into line with requirements 4. Review the final version of the File one week before practical completion 5. Sign the handover certificate for the File when satisfied with it. 6. Store the signed certificate in section *** of the project file
Submit the File for processing	Once the certificate is signed, pass the Health and Safety File to the Property Data Officer for processing
Take responsibility for collecting relevant information for non-notifiable projects	<i>See further guidance in this document</i>

Seek support from the Estates Safety Manager where required

Principal Designer (notifiable projects only)

Details of the PD responsibilities are included in the separate Schedule of Services for PD (to be agreed)

UoL Property Data Staff

- Maintain as-built drawings supplied at the end of a project
- Maintain the storage on MiCAD of the H&S file and reiterations thereof.

Designers and Principal Contractors

- Ensure arrangements are in place for collecting and supplying relevant Health and Safety File information to the PD

Estates Department Systems Officer?

- Ensure that electronic Health and Safety File folders are set up on the shared drive for all UoL sites in accordance with this procedure
- Ensure that electronic File information is transferred to the correct Folder
- Notify the UoL Project Manager if electronic or hard copy Files are not correctly labelled
- Ensure that CDs and hard copy Files are securely stored in an orderly manner.
- Maintain hard copies of Health and Safety Files in a secure and orderly manner until the end of the defects and liability period. At the end of this period, hard copies are to be disposed of in a secure and sustainable manner
- The systems officer is not required to check the technical content of Health and Safety Files

Compliance Manager

- Work with the Estates Safety Manager to ensure that contract preliminaries incorporate text supporting the production of Health and Safety Files

HoD's

- Use case reviews, supervision etc. to ensure UoL Project Managers follow this procedure

Estates Safety Manager

- Ensure all Principal Designer appointed are made aware of this procedure
- Provide advice to others in support of this procedure
- Seek to populate the new folder structure with existing information
- Attend review meetings to confirm the adequacy of the File
- Keep this procedure under review
- Audit samples of project files to ensure compliance with this procedure

Specific Arrangements Relevant to CDM

Co-ordinating the Health and Safety File

The UoL Project Manager is to agree the requirements of the Health and Safety File with the PD at a co-ordination meeting (see agenda in Appendix 4). Prior to that meeting, the Project Manager is to provide the PD with an electronic copy of this document.

Appendix 2 should be adapted by the PD and issued to relevant Designers, the Contract Administrator and the Principal Contractor to ensure they understand who is responsible for providing information.

Format of File Information

UoL requires one Hard copy and one CD containing this same information electronically.

Layout of the Hard Copy of the File

- Documents are to be contained in A4, plastic covered, loose leaf, four-ring binders with hard covers.
- The binder should have a cover sheet as contained in Appendix 1.
- Spines must be labelled "Health and Safety File for [*Campus*] [*Block*]".
- Files are to be indexed and divided into separate, relevant topics in accordance with Appendix 2.
- Drawings needed to illustrate or locate items mentioned in the File should be included and if larger than A4 they should be folded in the binders so they may be unfolded without being detached.

Labelling of CD cases

The CD case provided by the CDM-c should be labelled in the same manner as the hard copy File.

Electronic File Naming Protocol

Individual electronic files are to be named according to the following protocol:

To Be agreed with STJTopic

Each electronic file must be given an appropriate 'topic' in the file name. These topics, and their required contents, are listed in Appendix 2. In brief they are:

Project Description • Residual Significant Risks • Maintenance Schedule • Key Structural Principles • Safe Working Loads • Hazardous Materials • Removal of Installed Equipment • Utilities and Services • Fire Strategy Information • Environmental Information

A proforma for 'project description' and 'maintenance schedule' is included in Appendix 3 and these must be used by the PD/PC on all projects.

Note that **relevant** drawings should be included under the topic to which they apply and should not be collated into a separate section where their relevance may be lost.

Project Location
No table of contents entries found.

If the information relates to...	Location is the...
A single room	UoL room number e.g. <i>FJB 0016</i>
A number of rooms	UoL room numbers in rising numerical order e.g. (as Asset register)
The majority of one or more floors	Floor number e.g. (as Asset register) If the project affects more than one floor, all the floor numbers should be given e.g. (as asset register)
An entire block or area	Block or area code e.g. (asset register)
An entire site	This will be relatively unusual and unique (e.g. a campus-wide utility mapping exercise). The naming and storage location of the file should be discussed with the Estates Safety Manager.

'Roof' can be added as a descriptor if working on the roof above one or more rooms (or an entire block).

Examples

D_Removal of Installed Equipment _air con unit_room*** Roof_**** (asset register numbers)

Estates Office_Safe Working Loads_Mezzanine Floor_****

E_Maintenance Schedule_windows_*****

Updating Health and Safety Files

When a PD completes a project description sheet at the end of a project (see Appendix 3), they must indicate what information from earlier Health and Safety Files has been superseded or altered as follows:

Scenario	Action by PD
An existing electronic file is rendered completely obsolete e.g. structural information for a mezzanine floor following its demolition	Identify in project description which elements of the File have been rendered obsolete*
An existing electronic file needs significant alteration e.g. following internal refurbishment the method statement for removal of installed plant from a basement have changed	PD to ensure a new document is prepared and included in the File. The project description should state which existing document it replaces*
Existing information needs minor amendment e.g. 'Maintenance Schedule' for roof plant has changed slightly during a project which installed handrails and removed a safety line system	PD to amend the electronic document (wherever possible) and save it with the current date. The project description should state which existing document it replaces*

* The Estates Safety Manager will arrange for obsolete files to be deleted.

Review and Hand Over of File

The PD should supply the Health and Safety File for approval not less than 28 days before practical completion at a review meeting which will be organised by the Project Manager. The amended File should then be handed over one week prior to practical completion. Health and Safety Files should be signed for by the Project Manager (using, for example, the APS standard certificate).

Specific Arrangements Relevant to the Estates Department *** Officer****Electronic Folder structure**

Electronic folders are to be set up on the shared drive by the Systems Officer. A folder is to be set up for every block or area in every campus or site. The following folder structure is to be employed:

X:*****/* to be agreed with STJ and ITS

Transfer of data

On receiving the CD containing the Health and Safety File information (from the PM), the Systems Officer should save the contents to the correct Folder within 5 working days. If during this process they notice that any files do not correspond to the file naming protocol, they are to notify the Project Manager.

Storage of CDs and Hard Copy Files provided by PD/PC

On receiving the Health and Safety File on CD and as a hard copy (from the Project Manager), the Facilities Department ***** Officer shall ensure:

- CDs and hard copies have been correctly labelled
- CDs and hard copies are stored securely to prevent access by anyone other than Facilities Department managers
- CDs must be stored in a separate room to the hard copy Files
- Maintain a database of all CDs and hard copies, recording the information on the front sheet
- The databases are to be maintained under X:/*/*/* to be agreed
- CDs and hard copies are stored by campus and block or area (e.g. TBA archive review)
- Hard copies are disposed of at the end of the defects and liabilities period and the date of disposal must be noted on the index

Notes Relevant to Contract Administrators

These notes expand upon details in the 'responsibilities' section of this procedure.

Searching the Health and Safety File

Project Manager/PPM Managers, Maintenance Managers and staff should open the relevant folder for the campus and block in question (S:/EST/ Health and Safety Files/*Campus or Site/Block or Area*) and searching for File information relating to the subject matter of relevance (e.g. environmental information) and the floor or room in question (by searching for all files with the name '3F' for example).

CDM Co-ordination Meeting

This could form part of a design team meeting, although larger and more complex projects are likely to require a dedicated meeting. Relevant electronic documents can be sent to PD or other dutyholders via email or on a CD.

Non-Notifiable Projects

If a Project Manager identifies information that should be included in a Health and Safety file where the project is not notifiable, the Project Manager must:

- Complete the 'project description' (see appendix 3)
- Collate the electronic files and name them according to this procedure
- Present this to the Estates Safety Manager for review and comment
- On approval of this material, submit it to the ***** Officer for processing

On non-notifiable projects, there is no requirement to create a back up CD or store hard copies.

Specific Arrangements Relevant to the Construction Safety Manager**Review of Health and Safety Files**

The quality and format of all Health and Safety Files provided by PD/PC will be checked by the Estates Safety Manager, during the handover meeting. This procedure and the HSE 'Guidance on Regulations L153' will be used to assess the adequacy of the files.

Where shortfalls are identified, they shall be addressed initially with the PD at this review meeting.

The PD will then need to submit a final version of the file at least one week before practical completion.

When the Project Description identifies the need to make changes to the existing File, it shall be the duties of the Estates Safety Manager to ensure those changes are made.

The Estates Safety Manager is responsible for the deletion or alteration of existing Files.

Appendix 1**Health and Safety File Cover**

Addition to the Health and Safety File

Campus:	
Block:	
Project Location(s):	
UoL Project Number:	
Name of UoL Contract Administrator:	
File was created on:	
The defects and liability period ends:	

Appendix 2**Health and Safety File Contents**

These appendices are indebted to the 'Guide to the Management of CDM co-ordination' by the Association for Project Safety and the ACoP to CDM 2007.

UoL Health and Safety File Contents

Topic	To be provided by	To be provided to	Comments and Notes*
1 Project Description			At the end of the project, the Principal Designer should complete the "project description" (see Appendix 3) with assistance from the UoL Contract Administrator and CDM-c.
2 Residual Significant Risks	CDM-c		If the following sections indicate a significant risk, UoL expects the PD to summarise what those risks are and how they will be managed.
3 Maintenance Schedule	Designers	CDM-c	Complete a 'maintenance schedule' for each distinct element of the structure and provide any supporting documentation e.g. details of ladder fixing points; details of specialist equipment used; means of access to and from service voids; location provided for temporary access platforms etc. Include safe working methods if unusual or difficult methods are envisaged.
4 Key Structural Principles			e.g. sequences or order of removal, load transfer details, temporary works envisaged to alter or demolish; sources of substantial stored energy; critical components and how they work (e.g. fixing of pre-cast walling). Requirements and provisions for general maintenance/cleaning of structural components (e.g. repainting steel) should be detailed in section 3.
5 Safe Working Loads			e.g. for slabs, beams, arches, covers, floors and roofs particularly where these may preclude placing scaffolding or heavy machinery there. Detail how the characteristic loads (occupancy and environmental (e.g. wind)) were derived. List the British and European standards used.
6 Hazardous Materials			e.g. include MSDS for materials that are harmful to persons using, altering or demolishing the structure in future. NB UoL maintains a separate asbestos register but include as significant residual risks any information about asbestos that remains in situ and explain why it could not be removed.
7 Removal of Installed Equipment			This covers removal or dismantling of installed plant and equipment e.g. lifting arrangements; designed in lifting points; solutions for large or heavy or unusual items of plant, especially at height or below ground level. As-built drawings of the plant could be relevant
8 Utilities and Services			This covers the nature, location and markings of significant utilities and services e.g. the specification given for the installation of underground services and a marked plan.
9 Fire Strategy Information			Appendix G of Approved Document B applies. Information for simple buildings should include assumptions regarding management of the building; an annotated plan showing active and passive fire protection measures, high risk areas, escape distances etc. Complex buildings require more detailed information.
10 Environmental Information			Soil or ground or environmental investigation results or reports

*These generic comments should be altered by the PD to reflect the specific items of information that designers and the principal contractor should be providing. Clearly mark any items that are 'not relevant'.

Appendix 3

Mandatory Forms for use on all UoL Notifiable Projects

These forms must also be used for non-notifiable projects that generate information of significance for the Health and Safety File.

Project Description

Location of the project		UoL Project Number	
Sheet prepared by		Date prepared	
What was built, maintained, altered or demolished during this project?			
What significant problems were encountered and how were they overcome (please provide details of any special techniques used such as ground de-watering)?			
What earlier Health and Safety File information has been superceded? (e.g. harmful materials previously incorporated into a structure that have been removed). Give filenames wherever possible.			
Are there significant residual risks? If so, further details should be included in section 2			YES / NO

Maintenance Schedule for [Location] [Descriptor] e.g. X Block Roof

The purpose of this schedule is to identify general maintenance and cleaning activities which pose **significant or unusual** hazards. It shall be the duty of all designers working for UoL to complete this schedule for the distinct elements of the structure that they are responsible for. The PD shall review and ensure effective co-ordination between different maintenance schedules before submitting them to UoL Project Manager.

The following examples should be deleted.

Building element or component	Activity which could pose a risk of harm	Nature of hazard(s)	Frequency of activity	Proposed management strategy	Related documents
e.g. X block roof	Access for inspection of vents etc.	Falls from height	Quarterly	Access scaffold to be positioned on hard standing shown on site plan XX1234. Eyebolts for tying in scaffold shown on elevation drawing XX1235	Drawings XX1234 and XX1235 (attached)
e.g. fall arrest system on X Block Roof	Inspection	Failure of system leading to falls from height	Annual	UoL to arrange annual inspections by competent contractors. Note fall arrest system is positioned to enable contractors to clip on before leaving the scaffold.	Fall arrest system operating manual (see O&M manual)
e.g. Roof vents on X Block Roof	Inspection and, if required, maintenance	Falls from height	Quarterly	Use of fall arrest system. UoL to ensure contractors have relevant training.	Fall arrest system operating manual
e.g. Air Con Unit on X Block Roof	Inspection and, if required, maintenance	Falls from height	Quarterly	Use of fall arrest system. UoL to ensure contractors have relevant training.	Fall arrest system operating manual

UoL Project Manager must ensure all maintenance schedules are Approved by the Maintenance Team Leader:

Name:

Signed:

Date:

Appendix 4

Agenda for CDM Co-ordination Meeting

Required Attendance

- UoL Project Manager
- Designers appointed to date
- PD

Agenda Items

1. Introductions
2. Confirm PD has been/will be appointed in writing (form ****)
3. Details of project team
4. Project scope/initial design
5. Programme
6. Review existing pre-construction information e.g.
 - a. UoL Project Planning Sheet
 - b. Health and Safety File
 - c. Building Manual
 - d. User Manual
 - e. Asbestos Register
 - f. Site Plans
 - g. Provide a copy of the Safety Requirements for Main/Principal Contractors
7. Identify gaps in pre-construction information and confirm arrangements for organising investigations/surveys to address these gaps
8. Confirm arrangements for issuing F10
9. Arrangements for co-ordinating design work (design team meetings, lead designer etc) and management of risk by design team
10. Allocate responsibilities for providing Health and Safety File information (*The PD is to complete and issue the template in Appendix 2 of the Procedure for the Management of Health and Safety Files*)
11. PD to issue the maintenance schedule to all designers, apart from designers of temporary works (*the template is in Appendix 3 of the Procedure for the Management of Health and Safety Files*)
12. Agree date and time of site visit by PD
13. AOB