

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 12). A range of other parties have legal duties to assist with the management of Health and Safety Files.

Purpose

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

Every building or area of the 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 CU Group.

The Health and Safety File is a distinct and separate entity from operation and maintenance (O&M) manuals.

As-built drawings are centrally collated by Estates Services. The only drawings that need to be maintained in the File are those that meaningfully illustrate or locate items mentioned in the File.

Co-ordinating the Health and Safety File

The project manager is to agree the requirements of the Health and Safety File with the PD at no later than RIBA Stage 3 of the construction programme.

Appendix 2 should be adapted by the PDc and issued to relevant designers, the project manager and the principal contractor to ensure they understand who is responsible for providing information.

Format of File Information

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

Layout of the Hard Copy of the File (To be provided alongside a soft copy)

- 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 *[Building]*".
- 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 PD 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 format:

building_topic (see below)_suitable descriptor_project location (see below)_date (ddmmyy format)

Topic

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

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

Project Location can be given in the following formats and should follow the university identification and space numbering policy:

If the information relates to...	Location is the...
A single room	room number e.g. <i>ALG 04</i>
A number of rooms	room numbers in rising alphabetical and then numerical order e.g. <i>GS101 GS102 GS103</i>
The majority of one or more floors	Floor number e.g. <i>WM 2</i> . If the project affects more than one floor, all the floor numbers should be given e.g. <i>WM2 WM3</i>
An entire building or area	Building or area code e.g. <i>GS</i>
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 project Manager.

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

Updating Health and Safety Files

When a PD completes a project, they must update any existing health and safety file as per this guidance

Review and Hand Over of File

The PD should supply the Health and Safety File for approval not less than 14 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.

Transfer of data

On receiving the CD containing the Health and Safety File information, the Systems Administrator 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.

Appendix 1
Health and Safety File Cover

Health and Safety File

Campus:	
Building:	
Project Location(s):	
Project Number:	
Name of Project Manager:	
File was created on:	
The defects and liability period ends:	

Appendix 2

Health and Safety File Contents

CU Group 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” aspect of the file with assistance from the Project Manager.
2 Residual Significant Risks	PD		If the following sections indicate a significant risk, CU expects the PD to summarise what those risks are and how they will be managed.
3 Maintenance Schedule	Designers	PD	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 CU 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’.