

IMPERIAL

Property Division

Record Document Process Guidelines

Guidance for the Project Team

(To be read in conjunction with the latest revisions of the Building Fabric and Mechanical & Electrical O&M Technical Guidelines)

REVISION 3

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Imperial College London

imperial.ac.uk

Revision History

Revision Number	Revision Date	Summary of Changes
Rev 1	February 2016	
Rev 1.1	March 2017	<ul style="list-style-type: none"> • Updated 4.07 Draft Manuals Review Process • Updated 3.0 Responsibilities • Updated 5.0 Asset Register Schedule • Updated 6.0 Fire Strategy information • Updated 7.0 Additional BFM Literature • Updated appendices • Asset Register process updated
Rev 1.2	Nov 2017	<ul style="list-style-type: none"> • Revised Asset Register process
Rev 2	Jan 2020	<ul style="list-style-type: none"> • Updated all references of CAD/CAD strategy to BIM or EIR where applicable. • added minor works records requirement • updated Asset Register process • updated job titles and Division titles where applicable • general minor updates of text across the document • updated Appendix i: Record Document Flow chart • removed Appendix iv: Asset Register flow chart
Rev 2.1	September 2021	<ul style="list-style-type: none"> • Updated 3.0 Updated Project Manager, Technical Author, Principal Designer and Reviewer responsibilities • Updated 4.01 Document reference number • Updated 4.03 Record document strategy meeting • Updated 4.07 draft manuals review process. • Updated 9.0 Delivery to relate to digital delivery • inclusion of Technical Author's scope of service (appendix v)
Rev 3		<ul style="list-style-type: none"> • Updated references to Imperial following rebrand, new logo applied • Updated 2.1 Minor Works • Added 2.2 post completion + defects works • Updated 3 Responsibilities • Updated 4.07 Draft Manuals review process • Updated 4.08 instructions for review • Removed 4.09 (consolidated into 4.07) • Updated 5 Asset register deliverables • Updated 6 Fire Safety Information • New section 7 Specialist Contractors • Updated 10 Delivery • Updated appendices • General minor text updates throughout

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1. Introduction

A record document is evidence of a transaction carried out as part of business activities. In the context of a construction project, record documents are required as evidence of works carried out and delivered as an outcome of the completed project.

Construction project record documents include but are not limited to:

- As built / As Installed drawings and models
- Building Fabric Manual
- Health and Safety File
- Mechanical Services Manual
- Electrical Services Manual
- BEMS Manual
- Fire Safety Information
- Asset Register
- *Project Filing*¹

This document is to provide guidance to anyone working on a construction project on the Record Documents procedure. For a specific breakdown of the required format and content of the Operating and Maintenance Manuals (O&Ms), refer to the separate documents:

- [RM07 Production Guidelines](#) for the Building Fabric Manual (incorporating Health & Safety File)
- [RM08 Production Guidelines](#) for the Operating and Maintenance Manuals

Refer to the Information Management Process Map for further information on how the record document process sits within the project programme under RIBA stages: [Space & Information Management Process Map](#)

2. Record Documents as a deliverable.

Issue of Record Documents, **produced to Imperial College London standards**, is a required deliverable of a construction project. Completion should not be granted until the documents have been approved by Imperial and issued formally by the Principal Contractor.

2.1 Minor Works

For very minor refurbishment works undertaken by a single contractor, for example: flooring replacement in a small area; a simple record of what was installed and how it should be maintained should be delivered. For such works, a full building fabric manual may be impractical and instead a [Minor Works Installation Record](#) should be completed by the Contractor or Project Manager.

If the scope of works is too complex to be itemised in this single page document or more than one contractor undertaking the works, then a manual is required, the extent of which should be agreed with the Estates Records & Archives Officer when preparing the contractor tenders.

The Minor Works Installation record must be delivered as a single pdf, with any literature incorporated and hyperlinked to the appropriate sections of the completed form.

¹ Delivery of Project Filing is not covered in this document. Refer instead to the Records Management Policy

2.2 Post-completion or defects works

In the event of post-completion works, an agreement must be made between the Project Manager, Principal Contractor and Estates Records & Archives Officer on delivery of outstanding works' documentation, so as not to adversely affect completion of the O&Ms. This could be an update to the manual issued at completion or issue of an addendum document covering the additional works.

Additional works must not delay delivery of the main work's records, and the format of the additional/defects works records must be confirmed at the Handover meeting.

3. Responsibilities

The **Contractor**² is responsible for:

- Ensuring that all record documents produced are an accurate record of the completed works.
- Providing all relevant literature and drawings, as produced by themselves, their sub-contractors, consultants, and relevant Imperial departments to the Technical Author for record document production.
- Production of a Record Document Tracking tool and program; and reporting updates at project team meetings.
- Completion of Asset Register and photographs, including documenting removed assets, and applying asset tags to newly installed maintainable items.
- Following the review and delivery processes of O&Ms, asset information and drawings as documented in these guidelines and in the project specific EIR.
- Ensuring delivery of O&Ms, asset information and as-built drawings to the Estates Records & Archives Officer for onward distribution.
- Updating master drawings or fire strategies as agreed in the EIR and the Record Document Strategy Meeting.
- Providing a sign-off letter or completed comments tracker to evidence that the manuals are a complete and reviewed record of the works carried out.

The **Technical Author** is appointed by the Contractor to:

- Collate all literature, text and drawings required in the O&Ms as issued by the Contractor, or where applicable issued by the Project Manager/Imperial, to produce record documents to Imperial's guidelines.
- Undertake collation, production, review submission and escalation requirements as outlined in the Technical Author's Scope of Service (refer to [Appendix iii](#))
- Ensure O&Ms have been reviewed by all parties before the release of final documents.
- Arrange for delivery of O&Ms and record drawings to the Estates Records & Archives Officer following sign off by Project Manager.

The **Project Manager**:

- Organises the Record Document Strategy Meeting.
- Ensures that the agreed process is adhered to for the duration of the project.
- Carries out early-stage review of initial draft document
- Circulates final draft to relevant Imperial staff for approval

² The Contractor would in most cases be the Main Contractor but according to the nature of the work may be instead an M&E Contractor.

- Undertakes final sign-off review, including confirming that all necessary parties have approved the final drafts, to ensure the documents are an accurate record of works carried out
- Authorises delivery of record documents to the Estates Records & Archives Officer
- Ensuring all record documents have been issued to Imperial's requirements before giving Completion to the Contractor.
- Attends the monthly Projects Team's Pending O&M meetings to provide updates on delayed record documents.
- Agrees a process for post-completion or defects works' record information with the Estates Records & Archives Officer.

The **Principal Designer** is responsible for:

- Liaising with the Contractor and Technical Author to ensure the Health & Safety file is incorporated into the Building Fabric manual and compliant with CDM15 regulations.
- Ensuring the inclusion of fire safety information, including but not limited to reports, statements and drawings, ensuring that the master fire strategy has also been updated where available.
- Completion of M&E Health & Safety pro-formas for inclusion in Operating & Maintenance Manuals.
- Review of completed Health & Safety file to ensure the content is relevant to ongoing management of the completed area and complies with regulatory requirements.

The **Estates Records & Archives Officer** is responsible for:

- Providing guidance on the production of O&Ms.
- Chairing the Record Document Strategy Meeting.
- Assigning Document Reference numbers.
- Carrying out a final compliance review of the O&Ms.
- Taking delivery of all completed record documentation for onward distribution.
- Distribution of Issue Memo to confirm receipt of record documents.

The **BIM Manager** is responsible for:

- Checking drawings and data to ensure compliance with the project specific EIR.³
- Checking and allocating room numbering.
- Provide guidance on meeting the EIR requirements.
- Providing master BIM models, current floor plans and other master drawings to the contractor for updating.
- Checking the asset register and photos to ensure compliance with the EIR

The **nominated reviewers** are responsible for:

- Reviewing the draft documents.
- Reporting back to Technical Author with comments within the agreed timescale.

Nominated reviewers are confirmed at the record document strategy meeting. Depending on the nature of the project, this would normally be the design team and supervisors for technical reviews of the content. Internally the Building Manager, Maintenance Manager and Fire Office as a minimum should be included in the final review stage, or earlier where required.

³ Employers Information Requirements

4. Process

To ensure a timely and accurate handover of record documents, the production of record documents should follow this process:

4.01 Document Reference number

The expected O&Ms are registered by the Estates Records & Archives Officer upon receipt of the F10, generating a Document Reference number. If notification to the HSE is not required, the scheduling of the record document meeting by the Project Manager would be the trigger for this process in place of the F10. The Project Manager should ensure that the Estates Records & Archives Officer is notified when the F10 is issued (and saved in the project file) or otherwise inform when the contractor has been appointed and works programmed to start on site.

The Document Reference number is building and phase specific and is to be displayed on all volumes of the relevant O&Ms with the project number.

If a project is completed in several phases and/or in multiple buildings, separate Document Reference numbers will be assigned for each area of the works, requiring separate sets of record documents. This will be agreed in the Record Document Strategy Meeting.

4.02 Technical Author Appointment

For most projects, the Contractor is to appoint a Technical Author from Imperial's recommended list of companies, obtained from the Estates Records & Archives Officer. The Project Manager and Estates Records & Archives Officer must be notified of the selection.

Technical Authors will provide a standard level of service which ensures a consistent, focused and proactive approach to the production of the manuals. Refer to [Appendix iii](#): Technical Author's Scope of Service

For minor projects, if it is agreed that the scope of works does not warrant the appointment of a Technical Author, the Contractor must instead produce the record documents in accordance with the Building Fabric and O&M production guidelines (*RM07* and *RM08*).

This should be agreed when the tender documentation is being prepared to ensure that the Contractor quotes for the appropriate scope of works; any change to this agreement at a later stage should be addressed to the Project Manager and Estates Records & Archives Officer.

The Technical Author should regularly report directly to the Project Manager advising them of any potential problems or shortcomings associated with meeting the programme's key dates.

4.03 Record Document Strategy Meeting

The Project Manager is to set up a Record Document Strategy meeting after the Contractor has been appointed. The following attendees should be invited:

- Project Manager
- Contractor (Site Supervisor and nominated Information Manager/Document Controller)
- Imperial Estates Records & Archives Officer

- Imperial BIM Manager
- Imperial Maintenance Manager for the project area
- Imperial Building Manager for the project area
- Imperial's Fire Officer (must receive minutes if unable to attend)
- Principal Designer
- Lead Designers from relevant disciplines (must receive minutes if unable to attend)
- Imperial's Security Officer/Controls Engineer, where applicable to the nature of the project.
- other Imperial representatives or project team members as appropriate to the works

This meeting should take place before the appointment of the Technical Author to enable appropriate pricing of record document production. A follow-up meeting may be scheduled with the Technical Author in attendance if required.

4.04 Record Document Strategy Meeting Agenda

The Estates Records & Archives Officer will chair the meeting to address the following items. Refer to [Appendix i](#) for Agenda template.

- Introductions
- Scope of works and documents required, ie phased projects, multiple locations, scope of works, specialist manuals.
- Quantity and format of O&Ms
- Summary of contents and required literature.
- Room numbering, required drawings and EIR compliance
- Asset Register
- Fire Safety information
- Structural information
- Other items for inclusion.
- Sign off/Review: agree nominated technical reviewers, deadlines, review method.
- Any other queries

The agenda template may get updated to cover minor/urgent changes to record document requirements as an interim record between updates to these record document guidelines.

4.05 Strategy Meeting Follow-up

The Estates Records & Archives Officer will distribute the meeting minutes to the attendance list, accompanied by a cover email confirming the project number, document reference number, and agreed project title.

The items agreed at the meeting form the scope of works for the Technical Author. For complex projects, a follow-up meeting may be required with the Technical Author present.

4.06 Content, Reporting and Tracking

The Principal Contractor or Technical Author must produce a tracking tool to report on the progress of the record documents. This will also include checking for compliance with the EIR (refer to [section 8.0](#) for further details).

The tracker will include all items agreed in the strategy meeting, including a schedule of Manufacturers literature and sub-contractors' drawings, progress of drawings' production and draft O&M's sign-off procedure.

Refer to the separate technical guideline documents *RM07 Production Guidelines for Building Fabric Manuals* and *RM08 Production Guidelines for Operating and Maintenance Manuals* for a full outline of the required contents.

The progress of the record documents (collation and review) should be included on the agenda of project handover meetings.

4.07 Draft Manuals Review Process

Draft copies of the manuals are to be issued in accordance with the Project Handover Plan and allow sufficient time for approval prior to final issue. Unless otherwise specified, the drafts should be uploaded to Imperial's project filing on Box.

Review of the manuals should follow these key stages:

- Initial draft review
- Technical review
- Stakeholder Review
- Composition/format compliance review
- Project Manager sign-off.

Responsibilities for reviewing the content may vary for minor projects and this is to be confirmed at the record document strategy meeting.

There must be a near complete draft delivered to Imperial for Stakeholder review by project completion, with an agreed time period for inclusion of certificates and updates following review.

Refer also to [Section 8.0](#) of this document for drawings' review procedure and [Section 3.0](#) for an outline of individual responsibilities.

Initial draft review

This draft should provide summary information at this stage, including:

- Scope and location of works
- Project Directory
- Health & Safety and Fire Safety information
- Schedules of literature and certificates
- Schedules of drawings (drawing registers)

Literature, drawings or certificates themselves may not yet be available, but the schedules should list expected documentation.

The purpose of the draft at this stage is to ensure that the manual is being set out correctly, that key project information is correct and demonstrates that information for the other sections is in the process of compilation. This early draft should be reviewed by the Project Manager, Designers, Contractor, Principal Designer, Fire Office and Supervisors (where appointed) to ensure the documentation will accurately reflect the works carried out.

This draft should be prepared from the start of the construction programme, to avoid delay on completion.

Technical review

A complete draft will be issued by the Technical Author to the Contractor, Designers and Supervisors for review, along with any other reviewers agreed⁴ at the Record Document Strategy meeting, at an appropriate date to enable reviews to be conducted prior to completion.

The draft at this stage should include finalised literature and drawings, with “placeholders” for any commissioning certificates to be included on completion. The review should also ensure that any changes made to the scope of works since the first draft have been updated and incorporated. Refer to section (4.08) for instructions on commenting.

Where no designers have been appointed, the Contractor and Principal Designer must carry out the technical review before it is issued to Imperial for internal review, unless requested at an earlier stage by the Project Manager.

For larger projects, interim drafts may be issued to the project team for review as agreed. Record document handover meetings may also be scheduled by the Project Manager in the run up to completion.

Stakeholder review

Once the manual and accompanying drawings⁵ have been signed off by the Design Team (or Contractor where no Design Team has been appointed), this is issued to the Project Manager to distribute to any internal interested parties to review the manuals and submit comments before the finalised version is issued. This should include the Building Manager, Maintenance Manager, Maintenance Contract Manager and Fire Officer as a minimum. The draft manuals should include the comments tracker to show any design team comments which have been resolved.

To avoid delay to the final delivery, an agreed cut-off time for comments should be given, after which if no comments received, the Project Manager can sign off the content as complete instruct the Contractor and Technical Author to progress to the Composition Review stage.

Composition/Format Compliance review and Project Manager Sign-off

The compliance review can take place concurrently with the final sign-off to avoid delay. This must take place before any hard copy manuals are produced. The fully reviewed and hyperlinked digital manual is issued to the Estates Records & Archives Officer and Project Manager.

The compliance review is carried out by the Estates Records and Archives Office and only checks the following:

- Project Number
- Project Name
- Document Reference Number
- Hyperlinks (random selection)

⁴ This may include internal stakeholders such as Maintenance or Engineering if requested, but they would otherwise be included in the final stakeholder review.

⁵ drawings must have also been signed off as compliant to the project EIR by this stage.

- Adherence to Guidelines
- Structure and clarity of document.
- Any specific items or exceptions agreed at the Strategy Meeting have been addressed.
- Whether the drawings have been checked/approved for EIR compliance.

Although this review does not cover the technical content, which should have been verified and approved by this stage, any items addressed in the Strategy Meeting which have not been incorporated will be referred to the Project Manager for clarification.

Once the Compliance Review has been completed and there are no further comments to be addressed, the Project Manager can give their final sign-off to authorize release of the record documents for onward distribution.

The Estates Records & Archives Officer can also review the format and layout of the manual at an earlier stage where required but is not involved in the technical content reviews.

4.08 Instructions for Reviews and Comments

The following should be observed when commenting on the information issued for review:

- It is essential that the text in the initial draft version is correct. Additional comments made at final issue due to lack of review at draft stage may result in additional costs and delayed issue of the documents.
- Should the scope of works change following sign-off of the initial draft, the Technical Author must be informed at the earliest opportunity.
- In the event of a significant scope change, the Estates Records & Archives Officer and the Building Information Manager should also be notified.
- Comments should be issued in the form of a snagging list, detailing the Section, page or item number as appropriate, clearly indicating what is required.
- Comments and completed forms should be returned promptly to avoid delay at completion.
- Any queries relating to the format or layout of the drafts should first refer to the standard format outlined in guideline documents RM07 and RM08. If an exception to the standard format is required, this must be agreed with Estates Records & Archives Officer, stating the reason for the exception and the impact of not making the change.
If format, layout or standard content changes have not been agreed, they will be rejected at the final Composition Review.

The Technical Author is to escalate any delay in the production process to the Project Manager, which will then be addressed at the project team meeting.

5. Asset Register

A register of newly installed maintainable Mechanical and Electrical Assets within the project area, along with photographs of the assets, form part of the final delivery of record documents required from the Contractor.

Refer to the project specific EIR for further details on the requirements and on this page for an overview of the Asset tagging and delivery process:

<http://www.imperial.ac.uk/estates-facilities/buildings/procedures/assets/>

This process applies to any project where mechanical or electrical assets are removed, updated or installed.

Whilst the asset register does not fall within the Technical Author's scope but instead is uploaded directly to the project file by the Contractor, it is however considered part of the overall record document delivery and the issue memo will not be released by the Records & Archives Officer until it has been received and signed-off.

6. Fire Safety information

All fire safety information is required to comply with Building Regulation 38 and as outlined in Appendix G of Approved Document B. The Contractor is responsible for providing this information as part of the project completion record documents.

The overall format and scope of fire safety record information should be confirmed at the Record Document strategy meeting.

For new build projects or full building refurb, a master fire strategy document conforming to the above building regulation should be produced. This should be produced in accordance with the Fire Safety team's [scope of works](#) using their template provided. If the completed and signed-off fire strategy document is issued directly to the Fire Office, a copy should be included the Building Fabric Manual to provide a fixed record of the fire strategy at time of completion of the works.

For refurbishment projects, the master fire strategy document must be requested from the Fire Office for updating. Project specific fire strategy information is then incorporated into Section 2.2 of the building fabric manual, accompanied as applicable by the architect's fire strategy report.⁴

Information on modifications to the fire alarm system is included in the Electrical O&Ms and installation of a new fire alarm panel or full system requires a separate fire alarm manual.

Section 2.2 of the Building Fabric manual should detail where all information relating to fire safety installed or altered as part of the works can be located within the O&Ms. Upon receipt of the Issue Memo, the Head of Fire Safety can refer to this section to retrieve the required information to review against their latest fire strategy documentation and update their building records as required.

Refer also to the project EIR for details on fire drawing requirements. The Fire Strategy drawing(s) must outline the firefighting strategy of the building including compartmentation lines, emergency evacuation routes, locations and types of fire-fighting equipment, and building emergency evacuation procures including evacuation lifts, safe zones and the muster point agreed with the Fire Office.

The contractor must first request the existing Master Fire Strategy drawing from the Building Information Team via cadcompliance@imperial.ac.uk for this to be updated, along with the delivery of the project specific drawing issued with the manual. Where no current Fire Strategy drawing exists, the Contractor should supply new drawings which outlines the final fire strategy for the project area.

7. Specialist Contractors

Specialist contractors, whether sub-contracted to the Main Contractor or appointed directly by Imperial may require self-contained O&Ms in a bespoke structure appropriate to the nature of the install and include specific information needed for maintenance, cleaning, replacement or dismantling.

Typical examples may include:

- Lifts
- Catering equipment
- Clean Rooms
- CL3 laboratories
- Fume Cupboards
- AV
- IT or Security
- Specialist surveys
- Specialist roof finishes, curtain walling etc.

Where the specialist contractor is appointed under the main contractor, their documentation is to be incorporated into Section 7 of the appropriate manual by the Technical Author.

Imperial procured specialists must provide their documentation in the format of a single pdf, with the index page hyperlinked to each section as a minimum. The Project Manager is to obtain this and issue to the Main Contractor for inclusion into the manual. Drawings would also need to be EIR compliant and issued with the manual in dwg and pdf format unless otherwise agreed.

If a Specialist Contractor doesn't have the administrative/technical resource to produce a compliant pdf or drawings, a meeting must be scheduled to include both Contractors, the Project Manager, the Records & Archives Officer and the Building Information Manager to agree upon how compliant records can be delivered, followed by a Project Manager's Instruction where required.

Standalone specialist manuals

If standalone manuals are required for any specialist contractors, their schedule of contents may vary as appropriate to the nature of the install, but must include appropriate health and safety information, reviewed and accepted by the Principal Designer. This should be considered an exception and agreed upon at the Record Document Strategy Meeting.

The Project Manager should confirm with the relevant Division (ie Safety, Engineering, ICT or Academic Department) whether they have a particular agreed template for directly procured Specialists, ensuring that the content covers all H&S requirements.

Standalone manuals must be issued as a single pdf document and as a minimum have the index page hyperlinked to each section within the file, and no links to external content. The cover of

the manual must reference the registered project number, project title, location of works and document reference number.

Agreement on all Specialist contractors, the format of documentation, authoring responsibility and review procedure must be determined and minuted at the Record Document Strategy meeting. A follow up meeting should be arranged if this was not identified at time of meeting.

8. Additional Building Fabric Manual Literature

The following items may also be required for the building fabric manual, in accordance with the nature of the project and should be agreed at the Record Document Strategy Meeting:

- Planning Consents and discharge conditions
- Asbestos Reports
- BREEAM certificates
- surveys and reports
- Waste Management final report
- F10 Notification to the HSE
- Consent to Commence Work
- Imperial specialist works (if installed/carried out during the contract period)
- Building Control Certificate

Refer to *Production Guidelines for the Building Fabric Manual (incorporating Health & Safety File) RM07* for full details of expected literature for the manual.

9. Drawings

All drawings, models and digital information are to be issued as final As-built / As-installed status and produced to Imperial's Employers Information Requirements (EIR). Refer to the project specific EIR for information and deliverables.

BIM and 2D production standards within the EIR are standard on ALL Imperial projects and can be found on the Space Management website: <https://www.imperial.ac.uk/estates-projects/space-management/building-information>

The information approval process is as follows:

- Room numbering is to be allocated at Stage 3 (Design) by the Imperial Building Information Manager and is to be correctly recorded on all drawings and digital information from this stage.
- The Design Team send samples to cadcompliance@imperial.ac.uk, or upload to the dedicated area within the Imperial project filing at Stages 2-3, for the Space Team to check on project EIR compliance. The email MUST include the project number in the heading.
- Imperial's BIM and 2D production standards as specified within the EIR are to be applied to all drawings from this stage onwards.
- Towards the end of Stage 5 (Construction), the Contractor sends sample final As-built / information to cadcompliance@imperial.ac.uk (the email MUST include the project number in the heading), for approval before record documents can be issued.
- Drawings and digital information to be issued in native (.dwg or .rvt) format and PDF.

- For BIM and 3D deliverable projects, the 2D drawings must be output from the model, unless otherwise agreed.
- Where required, a set of hard copy drawings are to be printed to the size specified on the scale, folded down to A4 for insertion into the appropriate manual.⁶

All models and drawings must adhere to the project specific EIR where they inform on the fabric, infrastructure, and services of the building (for example, architectural, structural, mechanical, electrical, public health) and may be needed for alterations or renovations in the future.

Some manufacturers' component drawings, supplied in *Section 9 Manufacturer's literature* of the Building Fabric Manual, are issued for information purposes only and may not require full compliance. The Estates Records & Archives Officer must be included in this decision, to confirm what information is needed for the Estates Archive.

10. Delivery

The Project Manager is to ensure that all record documents are delivered to the Estates Records & Archives Officer for onward delivery to the agreed recipients.

Unless otherwise specified, the final digital format documents are uploaded to Imperial's project filing on Box, separate to any earlier drafts, notifying the Estates Records & Archives Officer. Once the manual has been signed off, the Estates Records & Archives Officer can issue a File Request link, for the contractor or technical author to upload the complete set of O&Ms and drawings.

The digital upload of final documentation must be accompanied by a sign-off letter and a Comments Tracker, to evidence that the records have been reviewed and signed off by all responsible parties as an accurate record of works completed, in the format prescribed by Imperial College London.

One set of hard copy manuals and drawings are delivered to the Estates Records & Archives Officer.

The Estates Records & Archives Officer will check the received records, including the asset register and photos uploaded to the project file, comply with that agreed at the Composition Review and send an Issue Memo to confirm delivery. The distribution list consists of the Building Manager, Maintenance Manager, Fire Officer, Project Manager, Contractor, Principal Designer, and other interested parties within Imperial.

Following receipt of Issue Memos for all agreed O&Ms, the Project Manager can issue the Completion certificate.

Partially completed or not signed off record documents will not be accepted.⁷

⁶ Refer to documents RM07 Production Guidelines for the Building Fabric manual and RM08 Production Guidelines for Operating & Maintenance Manuals for more information regarding delivery formats.

⁷ A procedure for post-completion works needs to be agreed at a meeting in advance of completion, so as not to delay the issue of record documents.

11. Contacts

For further information please contact the following:

Record Documents: Estates Records & Archives Officer
Alyson Brewer a.brewer@imperial.ac.uk +44(0)20 7594 6483

Drawings, models and digital information: Building Information Manager.
Julie Neville j.neville@imperial.ac.uk +44(0)20 7594 8896
Sample drawings for EIR compliance check to: cadcompliance@imperial.ac.uk

Health & Safety Information: Health & Safety Advisor (Construction)
Oluseyi Oduntan o.oduntan@imperial.ac.uk +44 20 7594 8936

Asset Registers: Estates Operations' Customer Service Centre.
eo.csc@imperial.ac.uk +44 (0)20 7594 8000
Completed asset registers and photos for compliance check to: cadcompliance@imperial.ac.uk

Appendix i: sample Record Document Strategy Meeting agenda

Refer to following pages.

3	Scope of works. Please provide a brief outline of the works and areas affected
Response	
Comments	
4	Project Start on site date
Response	
Comments	
5	<p>Is it a phased project or with significant enabling works? If yes, is the proposal for:</p> <ul style="list-style-type: none"> • a separate set of record documentation issued for each phase (recommended if different contractors are appointed or if each area of works is distinct) • or a single set of manuals updated as each phase completes (recommended if there are interconnected or superseded services installations) <p><i>If the latter, please discuss with Alyson Brewer as to how this will be produced and delivered,</i></p>
Response	
Comments	
6	<p>Do any element of the works take place in</p> <ul style="list-style-type: none"> • other buildings* or locations? • Any works taking place on the roof** • Any works taking place in plantrooms. • External areas or elevations? <p><i>*Separate manuals may be required if works are taking place in other buildings</i> ** <i>personal fall protection equipment documentation requirements to be agreed (BS 7883:2019).</i></p>
Response	
Comments	
7	<p>Scope of M&E Works – major or minor? <i>If very minor, this information can be included within Section 10 of the building fabric manual (refer to guideline document RM07) or if significant, separate manuals should be produced (guideline document RM08)</i></p>
Response	
Comments	
8	<p>Quantity and format of manuals is outlined in Section 9 of RM07 Building Fabric manual Guidelines and Section 11 of RM08 O&M manual guidelines. Are there any additional copies required (for end users or other parties with an interest in the location)?</p>
Response:	
Comments	
9	<p>Drawings and digital information must be produced in accordance with the Project EIR (Employers Information Requirements)</p> <ol style="list-style-type: none"> 1. has an EIR been produced and issued for this project? 2. Have sample design stage drawings been sent to Julie Neville (cadcompliance@imperial.ac.uk) to confirm compliance to the EIR? <p><i>Note that final drawings must be as-built status and a final compliance check must be carried out, via the Technical Author where appointed.</i></p>
Response:	1.

Comments	
9a	Anticipated drawings and/or model deliverables
	<input type="checkbox"/> 2D Architectural <input type="checkbox"/> 2D Electrical <input type="checkbox"/> 2D Mechanical <input type="checkbox"/> 2D Fire <input type="checkbox"/> 2D Structural <input type="checkbox"/> Other:
	<input type="checkbox"/> 3D Architectural <input type="checkbox"/> 3D MEP <input type="checkbox"/> 3D Structural
10	Are there any changes to room layouts and have new room numbers been allocated by Julie Neville, Building Information Manager?
Response:	
Comments	
11	<p>Asset Register Are existing maintainable assets being removed or replaced? Are new maintainable assets being installed?</p> <p>Refer to RM09 Record Document Process guidelines and http://www.imperial.ac.uk/estates-facilities/buildings/procedures/assets/</p>
Response:	
Comments	<p>PM to get current register for works area – contact Estates Operations Customer Service Centre (EOCSC) to request the current asset schedule. eocsc@imperial.ac.uk Check for removed assets and cross them off the list (do not delete from list) New assets to be listed on a separate spreadsheet downloadable from the above link. PM to request asset tags from EO CSC Contractor to apply tags before PC and issue the final asset register and 2x photos of each asset as part of the final record document deliverables. Upload to project file and notify cadcompliance@imperial.ac.uk for checking. Refer to link above for full details of the asset register process</p>
12	Are there any structural alterations taking place or have surveys been conducted on the structure? What reports and drawings will be included in the manual?
Response:	
Comments	
13	Any other reports or surveys conducted in the works area or connecting services?
Response:	
Comments	
14	<p>Schedule of Manufacturers Literature. Please refer to section 4.06 of guideline document RM09 Record Document Guidelines and confirm that a schedule will be produced at an early stage to collate all relevant literature (refer also to guideline documents RM07 and RM08 for details on the literature required) Please include any queries you may have on what literature is required.</p>
Response	
Comments	
15	Are there any items procured by Imperial directly which are to be installed during the project programme?
Response	
Comments	.

16	Are there any specialist items procured within the contractor's scope? Which manual are they to go in (Building Fabric, Mechanical, Electrical) or issued as a standalone manual (as an exception only, refer to guideline document)?
Response	
Comments	
17	Are new or additional wireless access points being installed?
Response	
Comments	if a survey is to be conducted by ICT on Wi-Fi range, please include this in section 8/7 of the manual. Confirm with project manager if survey will be taking place. If yes but report isn't ready by the time the manual is completed, please reference it in this section noting that it is to follow by separate issue direct to the Estates Records Officer.
18	<ol style="list-style-type: none"> 1. Will the fire safety strategy change as an outcome of the works? 2. Have fire strategy drawings been produced or any other relevant documentation? 3. Is a new fire alarm panel or system being installed or an update to the existing system?
Response:	
Comments:	
19	<p>Other items:</p> <ol style="list-style-type: none"> 1. Final SWMP report 2. Planning 3. BREEAM 4. Warranties – specialist, extended or with conditions attached? 5. Building control 6. Notifiable to HSE (F10 issued) 7. Any other project specific H&S requirements? 8. Building logbook 9. Separate H&S file (refer to RM07, usually incorporated within the Building Fabric Manual)
Response	
20	<p>Sign off and review:</p> <ol style="list-style-type: none"> 1. Completion date 2. O&M delivery date 3. Review method 4. Reviewers (see Q21 and 22) <p><i>Refer to guideline document RM09 for O&M review process and responsibilities</i></p>
Response	1.
21	Principal designer for the construction period
response	
Comments	If Imperial College is retaining the role of Principal Designer, the Project manager needs to name the responsible person who is undertaking that role. The named person is then responsible for liaising with the Project Manager, Contractor and relevant parties within Imperial to produce the H&S documentation for inclusion within the manual.
22	<ol style="list-style-type: none"> 1. External supervisors with record document review responsibility? 2. Designers novated to the Contractor? 3. Do the Designers have record document review responsibility?
response	

23	Any other items?
Response	
Comments	

Appendix ii: sample Issue Memo

refer to following page

ISSUE MEMO

To:- *insert name* – Building Manager

From:- Alyson Brewer

CC:- *insert name* – Maintenance Manager
insert name – Project Manager
insert name – Contractor (*contractor name*)
+ issue memo distribution list

Date: 23/09/2025

Project No:- QG172301
LG L1 L2 Refurbishment, 170 Queens Gate. B/QG17/009

Receipt of digital format Operating & Maintenance manuals

Dear all,

The following documents have been issued in digital format. PDF formats can be accessed via the following links by all Estates staff. Please advise if access is needed for anyone else.

1. Building Fabric Manual and record drawings: (link to file in Box)
2. Mechanical Services Manual and record drawings: (link to file in Box)
3. Electrical Services Manual and record drawings: (link to file in Box)

GA drawings in dwg format have also been copied into the project file for CAD Compliance to pick up.

The asset register and photos is also in the project file here (link to file in Box)

A full set of all record documentation in digital format has been retained in the Estates Archive

Best Regards,
Alyson Brewer
Estates Records & Archives Officer

Appendix iii: Technical Author's Scope of Service

refer to following page

Technical Author Specific Scope of Service

October 2025

TECHNICAL AUTHOR SCOPE OF SERVICE

Imperial College London's (Imperial) scope of technical author services is intended to provide a standard approach through each project process to completion. Further details of Imperial's Project Process and Procedures are included in the Projects section of the Property Division's webpages

This document must be read in conjunction with Imperial's Consultant's Core Duties document and the Design Responsibilities Matrix.

The technical author duties are arranged over various stages, as outlined below.

These stages generally follow the RIBA stages. There is some repetition of particular services between different stages.

- | | |
|---|---|
| 0 | Strategic Definition: Project initiated using Client Brief and Business Case. Obtain information on the site, surveys and appointing consultants and carry out Feasibility Studies.

Project Approval: Approval of capital funding for the project at Imperial College Project Review meeting (PRM) |
| 1 | Preparation and Brief: Development of Design brief with users and technical advisors. |
| 2 | Concept Design: preparing and approving concept design. |
| 3 | Developed Design: scheme and design development, plus obtaining statutory approvals. |
| 4 | Technical Design: Detail technical design and specifications plus statutory approvals. Preparation of design details and further information for construction as required by construction contract. |
| 5 | Construction: mobilization, reviewing and inspecting the works |
| 6 | Handover and Completion: Post Construction: final inspections and accounts |

STAGE 0 – 3

PROJECT DUTIES:

1.	No duties; technical author will be procured at the end of Stage 4.
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STAGE 4 TECHNICAL DESIGN

PROJECT DUTIES:

1.	No Duties, the Technical Author will be procured at the end of Stage 4. A record document strategy meeting will take place with the Contractor, Estates Records & Archives Officer, BIM Manager and Project Manager, the minutes of which will be forwarded to the Technical Author to assist with and provide clarification during their tender process.
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STAGE 5 CONSTRUCTION

PROJECT DUTIES:

1.	Contact the Estates Records & Archives Officer to confirm the document reference number and project number/name
2.	Attend follow up record document requirements meetings if requested by the Contractor to discuss what was agreed at the initial strategy meeting.
3.	Request and collate the required information from the Contractor; record status and actions in a tracker document and report as part of a RAG report.
4.	Compile/author the information to produce draft sections that adhere to the College guidelines (RM09 Record Document Guidelines, RM08 Operation and Maintenance Manual Guidelines and RM07 Building Fabric Manual Guidelines).
5.	Incorporate self-contained specialist contractor O&Ms and Imperial procured specialist O&Ms and reports into the appropriate sections of the manual
6.	Follow any project-specific requirements documented in the O&M/Record Document Strategy Meeting
7.	Send draft information to the agreed signatories for comments (as frequently as required).
8.	Incorporate the comments into the draft documentation ensuring guidelines (RM09, RM08 and RM07) are followed.
9.	Review a selection of sample drawings across each discipline to ensure they are As-built and that the naming conventions and the Imperial title blocks/sheets have been used, before sending to the Building Information Manager to ensure EIR compliance.
10.	Feedback EIR comments to relevant parties to ensure any changes are made.
11.	RAG (red, amber, green) report to the Contractor and Imperial on the progress of manuals and reviews to track performance against planned progress. Where necessary, escalate any delay to the Project Manager.
12.	Liaise with the Principal Designer to incorporate the health & safety file within the building fabric manual.
13.	Cross reference across manuals where necessary (including specialist manuals).
14.	Attend project handover planning meeting where requested by the Contractor to agree dates of key tasks during the commissioning to Completion phase.

STAGE 6 HANDOVER AND CLOSEOUT

PROJECT DUTIES:

1.	Send the final draft manuals to the named reviewers as agreed at the record document strategy meeting, accompanied by the comments tracker for review and sign-off.
2.	Ensure all literature is incorporated within the manual and produced as a fully hyperlinked pdf file
3.	Send the finalised hyperlinked pdf manual and associated drawings and asset register to the Estates Records & Archives Officer for composition review.
4.	Produce the final manuals once the Composition Review is complete with no further comments and the Project Manager has checked and confirmed that all necessary parties have approved the final drafts.
5.	Deliver the final digital copies via the agreed method and the Archive hard copy to the Estates Records & Archives Officer accompanied by a completed comments tracker and sign-off sheet/letter.