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The Scottish Building Standards
Procedural Handbook
Third Edition



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Purpose: The Procedural Handbook provides clarification on the procedures underpinning the Scottish building standards system as set out in the Building (Procedure) (Scotland) Regulations 2004 and the Building (Scotland) Act 2003 to assist with practical operation.

Version	Date	Notes
1.0	27/09/10	New Third Edition to reflect legislative changes in 2009 and 2010. This document replaces the Second Edition published in 2007.
1.1	02/05/11	Inclusion of Section 7 (Sustainability) and introduction of the Construction Products Regulation.
1.2	09/01/13	Inclusion of new paragraph 3.2.15 for statement identifying feasibility of high efficiency alternative heating systems with building warrant applications.
1.3	01/10/13	Inclusion of information on the local authority performance framework, changes implemented by the Building (Miscellaneous Amendments) (Scotland) Regulations 2013 and other general updates.
1.4	02/02/15	Inclusion of information on charging orders as introduced by the Buildings (Recovery of Expenses) (Scotland) Act 2014.
1.5	14/6/17	Inclusion of changes implemented by the Building (Miscellaneous Amendments) (Scotland) Regulations 2017 (new Type 23A to schedule 3, changes to fees and discounts, timing of certificate of design for discount, recognise digital procedures and forms. Also other general updates (e.g. Section 6 Energy, and SEPA).
1.6	1/10/19	Inclusion of additional information on the roles and responsibilities of the relevant person and the verifier from pre-application stage through to completion stage, including temporary occupation or use of buildings, CCNPs and CDM.

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1 GENERAL



1.1 Introduction

1.1.1. This handbook explains the procedures set up by the Building (Scotland) Act 2003 (the Act) and the Building (Procedure) (Scotland) Regulations 2004. The procedures are for building work to which the Scottish building regulations apply and for other matters covered by the Act, in particular those dealing with dangerous and defective buildings. (Chapter 2 of this handbook explains the application of the building regulations, and chapters 10 and 11 cover dangerous and defective buildings).

1.1.2. Any references within this handbook to the Building (Procedure) (Scotland) Regulations 2004, the Building (Scotland) Regulations 2004, the Building (Forms) (Scotland) Regulations 2005 or the Building (Fees) (Scotland) Regulations 2004 should be read as including any subsequent amendments in force.

1.1.3. The purpose of the handbook is to clarify the intent of the procedure regulations and expand on the procedures set up by the Act. Unlike the Technical Handbooks and most other guidance documents issued by Scottish Ministers to support the building regulations, this procedural handbook has no specific legal status, but is designed to aid the practical operation of the procedures.

1.1.4. The EU Directive on the energy performance of buildings (EPBD) has been implemented primarily through the Building (Scotland) Act 2003, but also through the European Communities Act 1972. This handbook only covers the matters that relate to the 2003 Act. For further information on the EPBD please refer to the BSD website at <https://www.gov.scot/policies/building-standards/>.

1.2 The building standards system in Scotland

1.2.1. The building standards system in Scotland is established by the Building (Scotland) Act 2003. The Act gives powers to Scottish Ministers to make building regulations, procedure regulations, fees regulations and other supporting legislation as necessary, to fulfil the purposes of the Act. The purposes include setting building standards and dealing with dangerous and defective buildings. The various regulations are made by Scottish Ministers, but must be approved by the Scottish Parliament before coming into force.

1.2.2. The system is intended to ensure that building work on both new and existing buildings results in buildings that meet reasonable standards. The standards are set out in the building regulations, which are, in the terms of the Act, intended to:

- secure the health, safety, welfare and convenience of persons in or about buildings and of others who may be affected by buildings or matters connected with buildings;
- further the conservation of fuel and power; and
- further the achievement of sustainable development.

1.2.3. The building regulations, and the supporting guidance documents on how to meet the regulations, are subject to scrutiny by the European Commission (EC) and the member states of the European Economic Area. This check is intended to ensure that where the regulations and guidance documents use technical specifications to describe materials or constructions, no barriers to trade in construction products are being created. This scrutiny procedure supports the

EC Construction Products Regulation, which requires references to materials and construction methods in our regulations and guidance documents to be made in the terms used in European Standards for products and test methods. (The Regulation allows for the 'harmonization' of standards before they must be used. It took ten years or so for member states to agree the first harmonized standards but these are now being regularly produced).

1.3 Purpose of the building standards system

1.3.1. The purpose of the building standards system is to protect the public interest. It is not intended to provide protection to a client in a contract with a builder. The building standards system sets out the standards to be met when building work or a conversion takes place, to the extent necessary to meet the building regulations.

1.3.2. The system is pre-emptive, designed to check that the proposed building work meets the standards. Inspections during construction and on completion are to protect the public interest in terms of compliance with the building regulations and to discourage avoidance of the legislation. The inspections do not provide a system to control work onsite. That is a matter for the contracts and arrangements put in place between the client and builder.

1.3.3. The roles established to operate the system are set out throughout the document. The role of checking compliance rests with verifiers and, in prescribed ways, approved certifiers. Enforcement is by local authorities. Updating is by the Building Standards Division (BSD) of the Directorate for Local Government and Communities of the Scottish Government, advised by departmental working groups.

1.4 Building Standards Division

1.4.1. Building Standards Division is part of the Directorate for Local Government and Communities in the Scottish Government. The division prepares and updates building standards legislation and guidance documents, conducting any necessary research and consulting on changes as the Act requires. The division, on behalf of Scottish Ministers, gives views (see paragraphs at 4.2) to help verifiers make decisions in particular cases, and deals with applications to relax standards for particular matters. It also approves verifiers, and certifiers of design and construction (see paragraphs at 1.9) and it checks how verifiers (including local authorities) and certification scheme providers are operating the system. Finally, should it be necessary, Scottish Ministers can, through the division, take over the enforcement role of a local authority.

1.5 Process for reviewing building standards procedures and regulations

1.5.1. The Building Standards Advisory Committee, was abolished on 1 August 2010 as part of the Scottish Government's commitment to reform public services. Following its abolition the functions are now fulfilled by BSD establishing informal departmental working groups operating on a non-statutory basis, thereby engaging with key construction industry stakeholders.

1.5.2. The intention of the working groups is to provide expert advice. Members may be representative of construction industry interests but are essentially selected for the specific expertise and knowledge they can bring. The selection will be made as and when working groups are required from a wide variety of bodies interested in the process of building.

1.6 Local Authority Building Standards Scotland

1.6.1. The Building Standards Division also works closely with Local Authority Building Standards Scotland which is an organisation representing all 32 Scottish local authority building standards services. Formal meetings are held on a regular basis and any problems or issues arising from the legislation and procedures or from common building practices are discussed at these meetings. Agreed guidance is produced, where possible, to aid common understanding and to encourage the effective operation of the building standards system.

1.7 Verifiers

1.7.1. The role of the verifier is to protect the public interest by providing an independent check of applications for building warrants to construct or demolish buildings, to provide services, fittings or equipment in buildings, or to convert buildings. Verifiers are appointed by Scottish Ministers.

1.7.2. The Act provides for a variety of verifiers should this be required, but at present the only appointed verifiers are the 32 Scottish local authorities, each covering their own geographical area. If Scottish Ministers decide to appoint private verifiers, then the regulations and procedural guidance will be amended.

1.8 Local authorities enforcement role

1.8.1. It is considered necessary to have an ongoing, independent body to enforce building legislation, with local knowledge and resources. The Act therefore provides for enforcement to be the responsibility of the local authority for the area in which the building work is taking or it has undertaken the verification role.

1.8.2. Any local authority choosing to contract out building standards work under the ‘best value’ regime must consider the technical work involved in enforcement. The local authority must be capable of dealing with the duties in part 3 of the Act relating to compliance and enforcement and in part 4 on defective and dangerous buildings.

1.9 Approved certifiers

1.9.1. The Act establishes a role for suitably qualified persons (whether individuals or bodies corporate or unincorporated and including public bodies and office-holders) as approved certifiers of design or construction. The appointment by Scottish Ministers, is to certify that specific elements of design or construction work comply with the building regulations.

1.9.2. Two roles are designated as approved certifiers of design and approved certifiers of construction. Approved certifiers are required to check the specified elements of design/construction, as set out within the scope of the scheme of which the certifier is a member and detailed within the relevant scheme guide. Their role is to certify compliance with the building regulations as appropriate. Further information on certification schemes may be found in the BSD ‘Certification Handbook’, which is available at <https://www.gov.scot/policies/building-standards/>

1.9.3. If satisfied that the proposed design meets the requirements of the building regulations, an approved certifier of design may issue a certificate for submission with the application for a building warrant. Approved certifiers must have due regard to compliance with all relevant building standards requirements, which may impact on the work undertaken, not just those of immediate relevance to the particular scheme. A verifier must, however, check that the person signing (the approved certifier) is registered by a scheme provider to certify in relation to the design aspects specified on the certificate. Checks must also be undertaken to confirm that the certificate has been counter-signed by a registered approved body. These checks are made using the online certification register (see 13.2).

1.9.4. Approved certifiers of construction must also have due regard to compliance with the full range of building standards, not just those applicable to the part of the building covered. They must investigate and be satisfied that the construction has been completed in accordance with the building regulations relevant to the building warrant application. When content that compliance has been achieved, a certificate of construction may be issued. The checks to be undertaken by the verifier mirror those set out at paragraph 1.9.3.

2 APPLICATION OF THE BUILDING REGULATIONS



2.1 Building (Scotland) Regulations 2004

2.1.1. The Scottish building regulations are made under the powers in section 1 of the Act. The regulations apply to the design, construction or demolition of a building, the provision of services, fittings or equipment in or in connection with a building, and the conversion of a building.

‘Construction’ applies widely and includes alteration and extension as well as new building. Conversion however is restricted to prescribed changes of intended use or occupation (see schedule 2 of the building regulations). Where such a conversion is to be made, building work will have to be done so that all the relevant standards will be met, to the extent specified in schedule 6 of the building regulations.

2.1.2. Other than in relation to a prescribed conversion, the building regulations do not generally require existing buildings to be the subject of work or alteration until and unless the owner intends to do building work. However, there are ways that the regulations can require work when it is really necessary. One way is for continuing requirements to apply. A building owner can accept them as a condition when a building warrant is granted (section 22 of the Act), for example, a requirement to ensure continued access to allow the operation of a safety or maintenance device, such as a mobile platform to clean windows. Also, Scottish Ministers can impose continuing requirements on a particular class of building (section 2 of the Act), for example, requiring certain types of air conditioning systems to be inspected for the purposes of assessing energy performance (see paragraphs at 7.3 and 7.4).

2.1.3. A second way is for Scottish Ministers to require all existing buildings of a particular type to comply with a provision of the current regulations (section 25 of the Act). Local authorities will be directed to serve notices on the owners of all such buildings. This power is expected to be used rarely but can be used if particular problems come to light.

2.2 Guidance documents and compliance with the building regulations

2.2.1. The building regulations are expressed in terms of 'functional standards'. These standards are statements of functions the completed building must fulfil or allow. For example, 'every building must be designed and constructed in such a way that there will not be a threat to the building or the health of the occupants as a result of moisture penetration from the ground'. The intention is to permit a variety of ways of complying. In this example, the standard does not specify, for example, 'the floor must have a damp proof membrane', as this may not always be relevant. What is needed for compliance depends on the materials chosen, the site conditions, and the use of the building.

2.2.2. To give guidance on possible ways of complying, Scottish Ministers issue guidance documents through the BSD. The principal documents are the Technical Handbooks, one for domestic buildings and one for non-domestic. Proof of compliance with such a document may be relied on in any legal dispute as 'tending to negate liability' for an alleged contravention of building regulations. For most situations therefore it is expected that designing in accordance with the Technical Handbooks will be the usual way of showing that the functional standards are going to be met. However the verifier or certifier is judging against the functional standard and has the power to decide whether or not other solutions fulfil the requirement.

This also allows judgement of where local site conditions, as mentioned in paragraph 2.2.1, or the construction or historical relevance of an existing building, may affect what is a reasonable way of fulfilling the standards (see paragraphs at 3.9).

2.2.3. One important alternative is the acceptance of solutions based on harmonised European standards and on technical specifications recognised in other member states of the European Economic Area where these provide equivalent or better standards of protection or performance.

The European Council of Ministers adopted the Construction Products Regulation (CPR) in February 2011 (following adoption by the European Parliament in January). The regulation (305/2011/EU) came into force on 1 July 2013 and replaced the Construction Products Directive (89/106/EEC). The regulation simplifies and clarifies the existing framework for placing construction products on the market. The new provisions in the regulation:

- clarify the use of 'CE marking';
- introduce simplified procedures to reduce costs incurred by enterprises (in particular small and medium-sized enterprises); and
- impose stricter designation criteria for bodies involved in the assessment and verification of the constancy of performance of construction products.

2.2.4. The six essential requirements of the Construction Products Directive have been replaced with seven basic requirements for construction works. This arrangement should assist in the evaluation of different standards for construction materials, tests and assemblies. It is, however, the applicant that must convince the verifier and must provide the verifier with translations of documents if necessary.

2.2.5. The BSD have also published numerous specialised guidance documents to assist compliance with building regulations. Documents cover different aspects of the building standards such as ‘Sound and Air-Tightness Testing’. All the documents are available on the Scottish Government website at <https://www.gov.scot/policies/building-standards/>

2.3 Exempt work

2.3.1. The procedures in this handbook do not apply in any way to building work and structures that are excluded from the definition of building in Section 55 of the Act.

2.3.2. However, work on buildings, services, fittings and equipment that is listed as ‘exempt’ in Schedule 1 of the building regulations is exempt only from regulations 8 to 12, i.e. those regulations imposing standards. Thus, such work, while neither required to meet a particular standard nor subject to warrant procedures, is still subject to the regulations about protective works or, under the Act, to the provisions for dangerous or defective buildings.

2.4 Work not requiring a warrant

2.4.1. The procedures for obtaining a warrant and submitting a completion certificate also do not apply to certain other defined types of work. Schedule 3 of the building regulations lists buildings and building work, including the provision of services, fittings and equipment that do not require a warrant.

2.4.2. The important difference from ‘exempt work’ is that this ‘work not requiring a warrant’ must still comply with the building standards set in the building regulations. Note, however, that Schedule 3 work is in three parts. The work listed in part A must meet the standards in full. Work listed in part AA is similar but this type

must only meet the requirements of standards 1.1, 3.17-3.22, and 4.4. The work listed in part B is different and need only be done in such a way that the completed result does not make the relevant part of the building worse in relation to the standards. These works should also consist solely of operations falling into one or more of types 1 to 26 of Schedule 3. If it is intended to carry out additional works that require warrant approval at the same time as works specified in Schedule 3, the latter should also be included in the warrant application. The building warrant fee should be calculated taking all work into account.

2.4.3. Within Schedule 3, types 1 and 2 relate to certain building types, whereas types 3 to 26 are applicable to all building types, unless otherwise stated in the type description:

- Type 1 covers any work to or in a house with a storey height not exceeding 4.5 metres but only if the exceptions do not apply.
- Type 2 covers the following:
 - Any work to, or in a non-residential building that members of the public do not have access to, with a storey height not exceeding 7.5 metres, but only if the exceptions do not apply.
 - Any work to or in a building where a person may be legally detained or held, such as a prison, but only if the exceptions do not apply.
 - A building, or any work to or in a building, or the conversion of a building that is the Scottish Parliament.
 - A building, or any work to or in a building, or the conversion of a building belonging to Her Majesty in right of her private estates.

In all cases, except in respect of the Scottish Parliament and Her Majesties private estate the exceptions include, but are not limited to, structural work, work to a separating wall and alterations to roofs or external walls.

- Types 3-23 are wider and permit the specific item in every building, unless specifically indicated to the contrary in an exception. Therefore, types 3-23 can apply to a house which is not covered by type 1 because it has a storey above 4.5 metres.

Where the exception in type 1 says “work, not being work of types 3-26 below, to a house having a storey, or creating a storey, at a height of more than 4.5 metres” it means you can do any work allowed by type 1 in houses with no storey above 4.5 metres and anything in types 3 to 26 in any house.

Where the exception in type 2 says “work, not being work of types 3-26 below, to a building having a storey, or creating a storey, at a height of more than 7.5 metres” it means you can do work any work allowed by type 2 in a non-residential building to which the public do not have access with no storey above 7.5 metres and anything in types 3 to 26 in any such building.

The phrase “and, without prejudice to the generality of types 1 and 2 above” preceding types 3-23 means that, even if something is not permitted by an exception in types 3-23, it may still be permitted by type 1 or 2.

The following gives examples of how these two qualifications work:

- Type 14 allows a stairlift to be fitted in any dwelling, without a restriction on storey height.
- Type 11 does not allow the installation of a WC without a building warrant but type 1 or type 2 do, though only in a house with no storey above 4.5 metres or in a non-residential building to which the public do not have access with no storey above 7.5 metres respectively.
- Types 24-26 (Part B) apply to all building types and cover work closer to repair and maintenance than new work. It includes the replacement of fittings or services and partial replacement (not involving replacing the frame) of doors, windows or rooflights. This work is allowed without first obtaining a building warrant approval because it is likely to form part of a repair contract and repairs are not subject to the requirement to obtain warrant, provided the replacement materials are of the same general type as the existing.

From 1 July 2017, Schedule 3 includes a new building type 23A under part AA – On condition that this type in all respects and/or in the manner of their fitting meet the requirements of Standards 1.1, 3.17-3.22, and 4.4 of Schedule 5.

Type 23A covers a single-storey building, no more than 30 square metres floor area, used for shelter or sleeping in connection with recreation. This building type is different from other building types in Schedule 3 in that they must comply with the requirements of standards 1.1, 3.17-3.22, and 4.4. Exceptions are added to recognise galleries, proximity to buildings and boundaries.

This is the first time buildings with sleeping accommodation have been included in Schedule 3. The main focus is to maintain public safety for people using and sleeping in these buildings.

Therefore, there are key legislative health and safety safeguards maintained for structure and the installation of combustion appliances that must meet the building regulations.

This type was added as a result of the Reforesting Scotland campaign to Scottish Ministers under “A thousand huts” where they campaigned “to celebrate, protect, expand and enjoy the world of hutting in Scotland “. Scottish Ministers agreed to concessions for huts in legislation (planning and building standards) to make them more affordable to build and in doing so may help them to become accessible to more people.

Reforesting Scotland have produced a helpful Good Practice Guide see <http://www.reforestingscotland.org/>

2.4.4. It is intended that the BSD will issue separate guidance to assist those preparing work for which a warrant may not be required. Should owners seek further reassurance, it is not the intention that they should be able to apply for a warrant, as this could affect the efficiency of the system. Verifiers may consider issuing a letter to confirm that, on the information available to them, the work does not require a warrant. Additionally, if owners are seeking advice on whether the proposed work “not requiring a warrant” does meet the standards, verifiers may choose to offer such a service. This will be distinct from the warrant system and it will be for the provider of the service to determine reasonable charges. Other types of provider may also offer such a service.

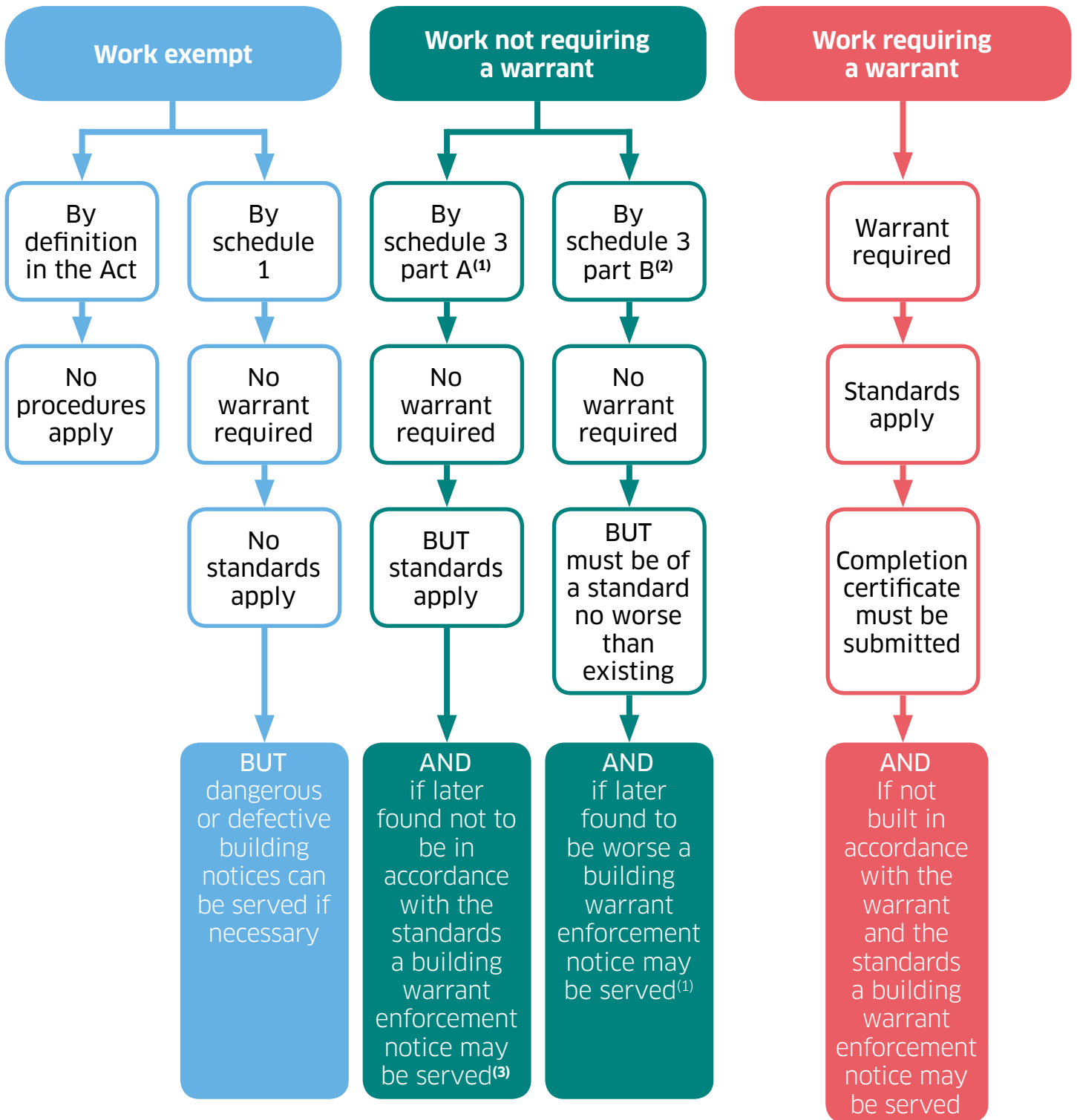
2.4.5. Although Schedule 3 allows more minor works to be done without a warrant than previous legislation did, one effect of the 2004 regulations is to move certain building work from being completely exempt to being controlled by Schedule 3. That is, this building work must now meet the regulation standards, but does not require a warrant. Transitional arrangements allowed such work, which was small buildings and garages of 8 to 30 square metres and replacement windows (i.e. work falling within types 3 to 5 and 20 of Schedule 3) to be completed without meeting the standards provided construction was commenced on or before 1 June 2005, and was completed on or before 2 September 2005.

2.5 Crown buildings

2.5.1. From 1 May 2009, the Act applies to all Crown buildings with the exception of defence and security service buildings which includes all Ministry of Defence buildings. Provisions to allow Crown projects that have commenced prior to 1 May 2009 to be completed without the need to obtain building warrant have also been made. Full details of how the Act applies to Crown properties can be found in the separate guidance document “Procedural Guidance for Crown Buildings”. Determining the ‘ownership’ of a Crown building is done by reference to subsection 53(5) of the Act and the final decision as to who is the owner lies with Scottish Ministers.

FIGURE 1 BUILDING WORK

PROCEDURES APPLYING TO DIFFERENT TYPES OF BUILDING WORK



- Note**
1. A building warrant is not required for this work on condition that it meets the standards. If it does not meet the standards, a building warrant should have been obtained; therefore, a building warrant enforcement notice can be served.
 2. A building warrant is not required for this work on condition that it is no worse than existing. If it is worse, a building warrant should have been obtained, therefore, a building warrant enforcement notice can be issued.
 3. A dangerous building notice may also be served if the works render the building dangerous to persons using or frequenting it or to adjacent buildings.

3 BUILDING WARRANTS TO BUILD, CONVERT OR DEMOLISH



3.1 When a building warrant is required

3.1.1. A warrant is required for all building work to which the regulations apply, with the following exception. Building regulation 5 allows work to be done without a warrant if it is work listed in schedule 3 of the building regulations. This work, described in the paragraphs at 2.4, must still meet any relevant requirements of the building regulations.

3.1.2. Except for 'work not requiring a warrant', it is an offence for anyone to carry out work to which the building regulations apply without a building warrant. The Act in sub-section 8(3) indicates who is guilty of an offence if a warrant is not obtained before work is done. These people are:

- any person carrying out the work; that is a self-build owner or tenant, a developer who is a builder, or a builder; and
- any person for whom the work is to be done; that is an owner, tenant or developer who is not doing the work but has engaged a builder to do it; and
- the owner; if the owner is different from the persons above.

For any one project, therefore, a variety of people may have committed an offence. These can include the owners, tenants or developers who order the work to be done, any person doing the work (including the builder) and the owner (when not one of the above). The ways of dealing with this are to report the offence to the Procurator Fiscal or, more normally, to issue a building warrant enforcement notice. Such a notice can only be issued on the relevant person as defined in section 27 of the Act.

Although a builder can be reported for committing an offence, if the builder is carrying out the work on behalf of a client then the builder cannot be served with such a notice (see paragraph 7.2).

3.1.3. The verifier will agree with the applicant what drawings (if any), specifications and other information are required to enable the check for compliance with the regulations, based on the paragraphs at 3.3. A fee is payable at the time of application (see the separate fees regulations, and guidance at paragraphs 3.14 and 3.15, for details).

3.1.4. A building warrant is also required for a conversion, as defined in schedule 2 of the building regulations, even if it is not proposed that building work is to be undertaken (see paragraphs 3.9.5 and 3.9.6).

3.1.5. An amendment to a building warrant is required before work starts on areas of construction that do not follow the proposals in the original approved drawings and/or specifications. If changes are made during construction without an amendment to warrant these could be subject to a building warrant enforcement notice (see paragraphs at 7.2).

3.2 Use of pre-warrant meetings and customer agreements

Pre-warrant meetings

3.2.1. When considering the nature and complexity of a building, a pre-warrant application discussion between the verifier and designers may be undertaken. A pre-warrant meeting would allow for initial discussion on key aspects of design such as fire safety and the means of escape strategy. This could also include discussion around roles and responsibilities during the construction stage.

Use of customer agreements

3.2.2. A customer agreement can aid discussion about the design and programme of work between the verifier and applicant or the appointed agent. This can help both parties to allocate resources at pre-planned timescales. The agreement could cover a range of aspects from pre-application through to completion on site.

3.2.3. Therefore, a customer agreement may be useful for applications which are considered complex in nature. An applicant, or their appointed agent, can request a customer agreement by contacting the relevant local authority verifier.

3.3 How to apply for a building warrant

3.3.1. Applications for building warrant should be made using standard forms. They are available and can be submitted electronically through the eBuilding Standards portal see <https://www.ebuildingstandards.scot>. Alternatively applicants can still submit paper-based applications directly to the local authority.

3.3.2. The eBuilding Standards service was developed in partnership with all 32 Scottish local authorities and is found on the edevelopment.scot home page. The eDevelopment.scot portal also allows electronic submission of planning applications through ePlanning.scot.

3.3.3. At present the verifier is the local authority for the area where the proposed work is to be carried out. The application may be made on paper or by electronic means where the verifier has this facility. The accompanying information can be on paper, in an electronic format or in a combination, as agreed with the verifier. If in paper form, two sets of drawings and one of other accompanying information are normally required but one or two additional copies may be requested by the verifier. Note that durable copies on linen or plastic film are no longer required but drawings should be indelible or read-only format if electronic. The verifier will record the date of receipt of the application for both paper and electronic submissions.

3.3.4. A warrant application may be made and signed by anyone wishing to do building work or this may be done through an agent. Electronic signatures are acceptable when the verifier has the facilities to accept electronic applications.

3.3.5. Schedule 2 of the procedure regulations sets out the information which should accompany an application for a building warrant. This information will normally be provided on drawings but written schedules can also be used where appropriate. Large projects require extensive information but for small or very simple work the verifier may agree to accept less information. Details of the kind of drawings which may be required are given at paragraph 3.3.18. The drawings no longer have to be signed but each drawing in an application must have a different reference number. Advice on presentation of drawings and supporting information is available from the Help Guide on eBuilding Standards and, for paper applications, from verifiers.

To enable the verifier to undertake a comprehensive initial review, a building warrant application should consist of a full set of detailed plans and construction specifications to show compliance with building regulations.

3.3.6. There is an alternative to providing the verifier with all of the detailed information described (see 3.3.5). An approved certifier of design can provide a certificate saying that particular aspects of the work will comply with the building regulations. The use of certifiers of design can reduce the time spent by verifiers assessing information and may speed up the issue of building warrants. Less detail is provided for that aspect (see paragraph 3.3.7) as a verifier is required to accept this certificate, so long as it has been issued in accordance with the conditions which apply to the approved certifier.

On receipt of a certificate of design, the verifier must undertake a check of the certification register, as set out at paragraph 1.9.3.

When a warrant is granted based upon information which includes a certificate of design, any subsequent application for amendment to warrant which includes revisions to the certified design must be reviewed by an approved certifier of design and a new certificate issued to support the amended application.

3.3.7. The information provided must allow the verifier to clearly identify the scope of the certified work and allow consultation with other authorities when necessary (see chapter 14). The information on the certificate of design should match that provided on the building warrant application form in respect of:

- the location of the project;
- the description of works; and
- the description of the stage of work (if applicable) (see 3.5).

The applicant must also provide information to the verifier, including certified works, to inform any site inspections the verifier wishes to make. Using structural certification as an example, the approved certifier of design may be required to provide the applicant with details of beam sizes, bearings, etc., for the verifier, for use by the verifier in discharging their duties.

When a specialist contractor is to provide a structural element, the detailed information required for completion of the certificate of design may not be available until a later date resulting in a delay to obtaining a building warrant. To accommodate this situation, the structural certification scheme permits the certification of specific details to be undertaken sometime after the certification of the general structural arrangement has been completed and a warrant (or staged warrant) has been granted. The certificate of design must be accompanied by a schedule (known as schedule 1) which lists any structural items or details that the certificate does not cover in detail and, once the details have been finalised, the approved certifier issues the finalisation notice (known as Model Form Q).

If an approved certifier is used they must retain, not just the information submitted, but all the details relevant to the project as set out within the relevant scheme guide. This is a requirement of their membership of a certification scheme. It should be noted that certificates of design or construction should only be issued in respect of works for which building warrant approval is required. They should not be issued on works that are exempt from building regulations under schedule 1 or works not requiring a warrant under schedule 3. Further information on the level of information to be submitted with a building warrant application may be found in Procedural Guidance on Certification on the BSD website at <https://www.gov.scot/policies/building-standards/>.

3.3.8. If the application is for alteration or extension of an existing building, enough information on the existing building must be provided to demonstrate that it is not being adversely affected. For example, subdivision might result in the means of escape in the remaining part having to be checked, so these should be shown. There may also be related repair work, which is not subject to the requirement for warrant, but which should be shown on warrant drawings where it results in, or affects, work that requires a warrant. For example a damaged plasterboard lining may have to be replaced, which could affect the sound resistance or thermal insulation of a wall. The requirement to show the existing building may also apply to work done to meet the requirements of a warrant to convert. It may even be applicable when the warrant for conversion does not entail building work or demolition associated with the conversion (see paragraphs at 3.9 for more detail of application of regulations to existing buildings).

3.3.9. Where a relaxation of the regulations relating to the application is obtained (see paragraphs at 4.3) this must either form part of the application or, if obtained after the application is made, be added to it. Any additional information required by the verifier also becomes part of the application when submitted.

3.3.10. In most cases, the first response to an application will include a request for further detail drawings and specification. When planning a project, the time allowed to obtain a warrant should include time for providing such information as well as processing by the verifier.

3.3.11. The warrant application should include sufficient information to allow the verifier to check for compliance with building regulations. If a warrant application is submitted without the appropriate fee it should not be accepted. If the appropriate fee is provided and it appears to the verifier that all of the information is present the application can be accepted. However, if all the information is not submitted the verifier may, when appropriate, accept the application with the condition that the applicant submits the information within 42 days from the date of receipt. If the requested information is not submitted within 42 days, the verifier may consider the application withdrawn and return the application and fee to the applicant. The conditional acceptance of an application should only be used to prevent applications lacking key pieces of information having to be rejected immediately.

3.3.12. When new legislation and guidance is about to be introduced the conditional acceptance of an application must be carefully considered by the verifier. It is extremely important to ensure that applicants are not prematurely submitting substantially incomplete applications to avoid compliance with incoming legislation and guidance.

3.3.13. The amount of the fee, which is related to the 'value of the works', is set by separate fees regulations (see paragraphs at 3.14 and 3.15 for details of the current fees). The fee is subject to discounts where certificates of design form part of the application and/or where it is indicated in the application that certificates of construction will be included with the completion certificate submission.

Note, however, to qualify for a discount, the certificate(s) of design should be provided as part of the application, either for warrant or for amendment of warrant. The intention of the system is that any certificates of design should accompany the warrant application, at which point they attract a discount on the warrant fee. If an applicant wishes to submit a certificate at a later date, this should be accepted by the verifier as additional information. If the applicant confirms this on the application form and provides details of the approved certifier and approved body (including their registration numbers) they are using, they will still be eligible for the discount. If they do not provide confirmation the fee cannot be discounted. When a discount has been given, the certificate must be provided before a building warrant can be granted.

3.3.14. Section 7 of the Technical Handbooks specifies six aspects of sustainability to meet Standard 7.1. All new buildings are required to have a statement of sustainability (sustainability label) covering all six aspects. The baseline level ('bronze') is for an aspect of sustainability and the label itself records compliance with Sections 1 to 6 of the Technical Handbooks. Optional two upper levels of sustainability are defined for buildings which applicants may choose to adopt.

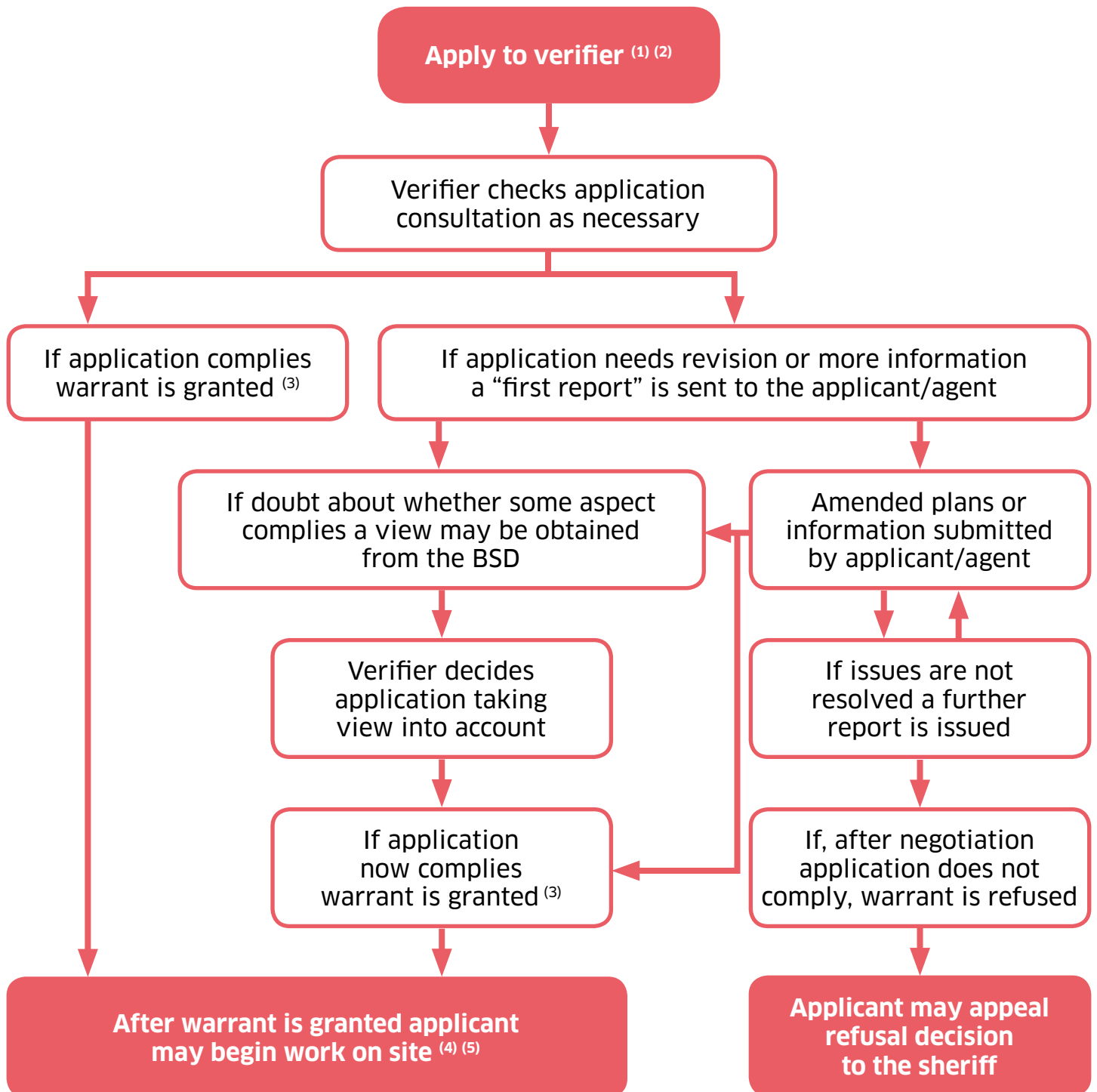
3.3.15. Information on the eight aspects of sustainability that must be addressed and how they are reported in the sustainability label is provided in Section 7 of the Technical Handbooks. The definition and application of the eight aspects differs between new domestic and new non-domestic buildings.

3.3.16. Where an application for building warrant is made for one or more new buildings, the applicant must declare if the proposals have been designed to any of the optional upper levels of sustainability. Where they have chosen to do so they also declare the level of sustainability that will be achieved for each of the eight aspects of sustainability. This enables the verifier to assess the application appropriately. When the application relates to multiple buildings it should be made clear which level for each aspect applies to which building.

3.3.17. Where a building warrant application for a new building is submitted on or after 9 January 2013, it should be accompanied by a statement identifying how the feasibility of high-efficiency alternative heating systems was considered and taken into account in developing proposals. This analysis is required under Article 6 of the Energy Performance of Buildings Directive, 2010/31/EU and noted in the introduction to standard 6.1 in the Technical Handbooks. Further guidance is provided in Annex 6C of the Domestic Technical Handbook and Annex 6E of the Non-domestic Technical Handbook.

FIGURE 2 BUILDING WARRANT

PROCESS OF OBTAINING A BUILDING WARRANT



Note

1. At present the verifier is the local authority for the area where the work is to be carried out.
2. Applications should be made on the application form with fee, plans and information on materials, etc. Include any certificate(s) from certifier(s) of design.
3. Warrant may be granted subject to conditions or continuing requirements.
4. Applicant must notify verifier, in writing, within seven days of the commencement of work on site.
5. Applicant must give verifier details of any work that they intend to cover with a certificate of construction prior to works commencing to the affected part on site.

3.3.18. An application for warrant or amendment to warrant should be accompanied by the information listed below (this is an expansion of schedule 2 of the procedure regulations). Note however that the verifier has discretion over the extent to which the information must be provided, so that minor work can be treated more simply.

A. List for application for warrant to erect

1. General arrangement drawings comprising:

- a plan of the foundations, each floor and any roof;
- sections through the building; and
- an elevation of each face of the building.

Note: all to be at a scale not less than 1:100 (1:50 preferred), with drawings to a larger scale as necessary to show the particulars needed to determine the application and to show the relevant particulars set out below.

For all buildings (but see notes a and b:)

- The level of the site of the building, lowest floor and adjacent ground (including any road), all in relation to one another and some known datum.
- The position, materials and dimensions of foundations, walls, windows (including opening area and direction of opening), doors (including direction of opening), floors, roofs, chimneys and flues, ventilators and ventilation ducts, stairs, landings and balconies, protective barriers and such other parts of the building as the verifier requests.
- Details of construction including any frame and size and position of reinforcing material.

- Details of calculation of loading and strength.
- Indication of compartment and separating walls and floors and details of fire stopping.
- Position, materials and dimensions, including gauge or weight, of any damp proof course or other moisture barrier.
- Position of any sanitary facility or other built in equipment.
- Position, materials, dimensions and form of any drainage or ventilation pipe (including the line, depth and inclination and means of ventilation of every drain and the relationship to any sewer, sewage treatment works or other outlet into which drains are to discharge).
- Position, materials, dimensions and form of any traps, manholes and access openings.
- Such particulars as are necessary to show that the works involved will be conducted in accordance with building regulations 13, 14, 15 and 17.
- The position and dimensions of any lift well, lift car, machine room and platform lift.
- The escape routes available as means of escape from fire including dimensions.
- The position of any ground hydrants, fire mains and fire appliance access.
- Any supplementary information, as requested by a verifier, so as to allow an application to be properly considered, such as ground condition or fire engineering reports.
- Any supplementary information required to meet the upper levels in any aspect of sustainability.

In addition, for buildings having sleeping accommodation:

- the position and number of socket outlets, carbon monoxide and smoke alarms in dwellings;
- the position of automatic fire detection and carbon monoxide alarms in residential buildings; and
- the position of automatic life safety fire suppression systems in residential care buildings.

Notes:

- Some of the above may be presented in a written specification as agreed with the verifier, or may not be required where an approved certifier of design is covering aspects such as structural matters. However, for complex buildings strategy diagrams for structure and fire may be required even where an approved certifier of design is used.
- Each drawing must have a unique reference number, to identify the drawing.

2. A block plan to a scale not less than 1:1250 (1:500 preferred) to show:

- the size and position of the building, and any adjoining building as it affects the proposal;
- a north point;
- the position, width and level (in relation to some known datum) of any road, court or footway adjoining the building or from which there is access to the building; and
- the boundaries with land in different occupation and any notional boundaries needed to determine compliance with the standards.

3. Where the site is not identifiable from the block plan referred to above, a location plan to show:

- the position of the site, to a scale not less than 1:2500 (1:1250 preferred), and a north point.

B. List for application for warrant to extend

- Plans and specifications, as detailed in A, of the extension and of the building so far as it is affected by the extension. The drawings must, if the verifier requires, identify new work, materials used, downtakings etc.

C. List for application for warrant to alter, to convert, or to provide services, fittings or equipment

- Plans and specifications, as detailed in A, but only so far as is necessary to show that the building after the proposed alteration, conversion or fixture will comply with the building regulations.
- The drawings must, if the verifier requires, identify new work, materials used, downtakings etc.
- An assessment of the existing structure may be required if the proposed work is reliant on it for compliance e.g. if loads are significantly changed.
- In the case of certified self-contained projects to install particular services, the details to be provided may be specified in the scheme.

D. List for application for warrant to demolish:

- a block plan, to a scale not less than 1:500, showing the size and position of the building to be demolished and its relationship to adjoining buildings and boundaries with land in different occupation;
- a statement of the method by which the building is to be demolished;

- a statement providing information on the construction of the building to be demolished (this may be a section of the building to be demolished, but photographs of the existing, or original as built drawings, may provide enough information – to be agreed with the verifier);
- particulars appropriate to show that the work involved will meet the requirements of building regulations 10 and 13 to 15; and
- if the building is not to be demolished in a continuous operation, the dismantled stages in which it will be left.

E. List for application to amend any warrant under section 9(4) or 9(5) of the 2003 Act

- Plans and specifications, as detailed in A, but only so far as is necessary to show the further information required or the proposed amendment.
- In the case of an amendment to a previously certified design (see paragraph 3.6.11), the information supplied should be sufficient to allow the verifier to clearly identify the scope of any certified work, to allow any necessary consultation with other authorities (see chapter 14) and to assist any site inspection the verifier may wish to make.

F. Directions

- Relaxations are covered in detail in chapter 4.

G. Supplementary information

- This part of the schedule covers details such as requiring dimensions to be figured, plans to be drawn in a clear and intelligible manner and the requirement for plans to have a reference number.

3.4 Late application for building warrant

3.4.1. Where work for which a building warrant is required has started without a warrant, an offence has been committed. However, to deal with these cases where work has started without a warrant, perhaps through ignorance of the law, a way of regularising the situation is needed. The Act, therefore, allows a late application for warrant to be submitted at any time before the works on site are complete. If the works are complete, a late completion certificate may be submitted (see 5.3).

3.4.2. Importantly, the standards that apply to a late application are those at the time of application, not when the building started, so changes may be required even to parts of the project that have been completed if it does not meet the relevant standards.

3.4.3. Full drawings are required, as for a normal application. If the construction is well advanced the verifier may request parts to be exposed so that adequate checks can be made and a higher fee is charged to cover such difficulties. These disadvantages to starting work before obtaining a warrant are not designed as a penalty, which would arise from any action taken in relation to the offence, but are necessary to allow proper consideration of the work. (Note, the requirements relating to late applications, such as the need to meet the standards applying at the date of application, do not apply to applications for amendment of warrant).

3.4.4. If, before a building warrant application is approved, it is discovered that works started on site prior to the submission of the application, the application form has been completed fraudulently.

In such instances, the verifier should arrange for the application form to be altered or replaced to indicate that the works have commenced and the higher fee charged (see 3.15). It should be noted that, where works commence on site after the submission of the building warrant, the application should not be treated as a late warrant and the higher fee cannot be charged.

3.4.5. The Act and procedure regulations permit certification of design and construction in late applications but certification schemes may discourage certification of work started without a warrant, except in particular cases defined in the schemes.

3.5 Staged warrants

3.5.1. In some projects, particularly for commercial buildings, a building cannot be fully designed until the eventual occupant is identified. Specialist sub-contractors, who are often needed to complete the detailed design of parts of the building, may also not be identifiable at the outset. The Act allows for warrants to be granted in such cases, in the following ways.

3.5.2. The initial submission to the local authority should be made using an Application for Building Warrant Form. For each subsequent stage an Application for Amendment of Warrant should be used.

3.5.3. The applicant has to agree with the verifier which later stages of work cannot commence until details of those stages are provided. The warrant for the whole project is then granted with a condition that work on the identified stages does not start until the necessary information has been submitted and an amendment of warrant for the next stage(s) granted. Thus work on piling or foundations can start before the rest of the design is finalised. It is the responsibility of the applicant or their agent to apply for the amendment of warrant in good time to allow checking and approval so that site work can continue smoothly.

3.5.4. An application for a staged warrant, as described above may include a certificate from an approved certifier of design if that is applicable to the stage in question. If the certificate covers the whole of a particular aspect of design, for example the structure, then subsequent application(s) for amendment will have to include updated certificate(s) which relate to the stage in question and must also take responsibility for the work up to that point.

3.5.5. The fee for a staged warrant is payable in full at the time of the initial application, based on the estimated total value of the project. A discount is available for any certificate of design presented with the application, or where the applicant confirms on the application form details of the approved certifier and approved body (including their registration numbers) they are using and/or for any certificate of construction indicated in the application as to be included in the completion certificate submission. For the later amendments the fee will be as in paragraph 3.15. No discount is available for updated certificates of design covering the same section of the Technical Handbooks but any certificate covering a new aspect of design could attract a discount on the fee payable for the amendment, where the estimated value of the additional works exceeds £5,000. Any other arrangement for collecting the fee payable, for example a phased payment rather than all with the original application, is at the discretion of the verifier.

3.5.6. The principle of staged warrants can be applied to work on existing buildings, for example, where a specialist piece of work may only be fully designed after work has progressed to a stage where full dimensions are available. For example a metal stair may only be finally detailed when alterations to floors are completed.

3.5.7. A completion certificate will not normally be accepted until all stages are complete; however, there are occasions when a completion certificate can be accepted before all works covered by a staged building warrant are complete. For example, individual certificates would be accepted in relation to a phased housing development where additional buildings are to be the subject of further stage(s). It is not possible in a staged warrant application to have separate completion certificates for shell and for fit out. If an applicant wishes, perhaps for contractual arrangements, to split a shell from fit out work, separate warrant applications can be made for each and individual completion certificates accepted for each. However, as a completion certificate has to certify the building complies with the building regulations as well as the warrant drawings, a warrant granted for a shell should include a continuing requirement that effectively prevents occupation of the completed shell until the fit out is completed. Such a continuing requirement should quote the provisions of the regulations which the fit out has still to satisfy.

3.6 How a building warrant application is assessed, decided and issued

3.6.1. Receipt of an application for warrant should be recorded immediately if delivered by hand, electronically, or by post during the verifier's office hours. The date of receipt is otherwise the first working day after receipt. An application may only be rejected in certain circumstances, defined in regulation 8. An application is subject to a detailed procedural check shortly after receipt, with a technical check being carried out later. There is no normal time for this check, as the time taken can vary considerably depending on the complexity of the project, the quality of the application and the use of certificates of design. Verifiers do, however, publish target times for responding to and dealing with applications. There are also long stops in the legislation to prevent applications from lying indefinitely (see 3.6.8). An applicant can enter into a customer agreement with the verifier where specific target times will be agreed. The agreement is likely to cover a range of aspects from pre-application through to completion on site.

3.6.2. The application check involves two main parts:

First, a procedural check of the registered details of any person who has signed a certificate of design submitted in support of the warrant application using the certification register (see 13.2).

The verifier may only accept a certificate if:

- the person is approved as a certifier of design on the date of signature; and
- the firm is an approved body on the date of signature by the certification coordinator; and
- both are registered under the same scheme which is relevant to the work being certified.

The verifier should also check that the certificate relates to the warrant application, for example, building address, description of works and description of stages are consistent. Note that for certificates submitted just after a change in regulations, particularly where signed before the change, the verifier may wish confirmation that the certificate correctly relates to the standards applicable at the date of the application. If the register check shows that either the approved certifier or approved body were not approved at the date of signing the certificate, the verifier must inform the scheme provider using the certification register (see 3.6.10). In such a case, the verifier should allow the applicant to obtain certification from another approved certifier or from another approved body with the appropriate designation. Where this is not possible, the verifier may agree with the applicant to take responsibility for checking the design in return for the appropriate fee (payment of the discount given when the warrant application was made – see 3.15). The application must be adjusted to alter the details of the approved certifier. Second, a detailed technical check of those aspects of work that are not certified is made, assessing the application against the relevant standards in the building regulations. The Technical Handbooks and other guidance documents issued by Scottish Ministers will assist verifiers to fulfil this duty.

3.6.3. The check may result in an immediate decision to issue a warrant but more usually a report, known as the ‘first report’, will be produced indicating failures to comply or areas requiring further clarification. The report should provide a level of detail sufficient to identify clearly which standards must be addressed or what further information is required.

The report should not comment on work subject to certification but may cover the relationship of certified matters with the other parts of the building or aspects of the design which are outwith the certification. A verifier may also ask for such details of the certified matters as are considered necessary to check the certified design on site (see paragraph 3.3.7). A verifier is required to respond to an application for a building warrant within a period of three months from the date of receipt of the application. If a verifier has not responded within three months, or as otherwise extended, the building warrant application is deemed to be refused.

3.6.4. The applicant must make any necessary adjustments to the proposals and submit appropriate revised drawings and specifications until the verifier is satisfied that the work can be carried out:

- in accordance with the building regulations; and
- when the warrant is for construction, demolition or the provision of services, fittings or equipment, that nothing on any plan or specification indicates the work when completed will result in a failure to comply with the building regulations.

If any aspect of the design is certified, the applicant must inform the certifier if the verifier requires any significant adjustment to be made to the proposals. The certifier must certify the revised design.

Revisions should be clearly highlighted on amended drawings. This will enable verifiers to assess revisions more quickly and reduce the need to request further information. This is applicable for all applications, particularly for those submitted through the eBuilding Standards portal.

3.6.5. Before granting a warrant, a verifier may require the applicant to consult other bodies, may offer the opportunity for consultation through issuing lists of applications or may consult directly. For details of the types of consultation appropriate for different situations see chapter 14.

3.6.6. The application for a building warrant is based on a model form and includes certificates for all available certification schemes. When the warrant is issued, one copy of the drawings and any specifications, as finally approved after any necessary amendment, are returned to the applicant, in the format in which they were received. The verifier will retain a copy of the warrant or amendment to warrant, and any other copy of drawings or information requested, e.g. for use on site. When a warrant has been granted, a copy of the warrant or amendment, including any continuing requirement imposed, together with the principal set of plans and any certificates from approved certifiers, must be sent to the local authority for inclusion in the building standards register.

3.6.7. A warrant may be subject to conditions, in the following ways.

- A staged warrant (see paragraphs at 3.5) has conditions preventing work on later stages being carried out until an amendment of warrant has been issued.
- A relaxation (see paragraphs at 4.3) related to an application may have conditions that must be met.
- A warrant may be subject to continuing requirements (see paragraphs at 7.3 and 3.5.7).
- A warrant may be granted subject to a limited-life condition (see paragraphs at 3.8).
- A warrant to demolish includes a condition setting a time period within which the demolition must be carried out.

Note that when a warrant is issued, there will be a requirement to inform the verifier when work starts on site, and at other stages the verifier deems necessary (see paragraph 3.11.1). A verifier will also have to be informed when approved certifiers of construction are to be used. These requirements are not formal conditions of the warrant, which are limited by the Act, but are a requirement of the procedure regulations.

3.6.8. A building warrant application that has not been granted within nine months of the date of the first report is automatically determined to be refused unless a longer period is agreed with the verifier.

This prevents applications that have run into difficulties lying unfinished. A fresh application and fee are necessary if the application is to be reconsidered. The first report should give clear warning of this procedure to the applicant. The verifier may consider it prudent to issue a further letter closer to the 'deemed refusal' date, reminding the applicant of the impending action and advising what options are available to them. If the warrant has not been granted within the statutory time period or the period has not been extended, the verifier may consider issuing formal notification of the 'deemed refusal'.

The time period is extended by any time taken to obtain a view or a relaxation from Scottish Ministers or a response to a consultation request or if there is agreement between verifier and applicant.

3.6.9. Where a warrant application is refused, the verifier ensures this information is sent to the local authority to be recorded in the building standards register. The principal plans and specifications, together with any amendments, including any certificates submitted in support of the application, are retained in the normal way but the remaining drawings and information are returned to the applicant in the format in which they were received, along with a formal refusal. An applicant or their duly authorised agent has the right to appeal to the Sheriff Court in respect of a verifier's decision to refuse to grant a building warrant or if the warrant is deemed refused as in 3.6.3 or 3.6.8. This process is covered in Section 6.

3.6.10. Whether or not a warrant is refused, where an application includes certificates submitted by individuals who do not hold appropriate current designations or by bodies that are not currently approved to co-ordinate certification of such matters, the verifier should inform the Building Standards Division.

3.6.11. Where an application for amendment of warrant affects work that has been certified, the certifier must reassess and recertify the work in question. Any arrangements that may become necessary to replace a certifier are a contractual matter but certification scheme providers are expected to offer assistance to identify alternative certifiers.

3.6.12. When a warrant has been granted, work may start on site. It should be noted however that a grant of warrant does not preclude the need to have any other legal requirements, such as planning permission, in place before starting work. There will be other considerations also, such as the position of existing services like gas pipes or power cables, which are outside the remit of the building standards system. It is the responsibility of those wishing to build

to check with utility companies before work starts. When the verifier grants the warrant, they will include a Construction Compliance and Notification Plan (CCNP). This will detail the particular stages of the work they wish to inspect or where alternative evidence should be provided. The verifier must be notified when work is to start, and notified in advance of the other stages noted in the CCNP (see paragraph 3.6.7 and 3.11.1).

3.6.13. When an applicant decides to withdraw an application there is no refund of fee, and the entry remains on the building standards register.

3.7 Duration of warrant

3.7.1. A building warrant is valid for three years, commencing the day it is granted. The applicant must either finish the work within that period or apply for an extension of the warrant. An application for extension is required to be made before the expiry of the warrant, although verifiers have the power to accept late applications in cases of hardship. If the verifier agrees to extend the warrant, the first extension will be for nine months. There is no legal limit to the number of extensions but they are at the verifier's discretion and the need for further extensions will have to be very clearly justified, for example, by the size or complexity of the project. To prevent misuse of extensions of time, verifiers have the power to insist that work done after the expiry of the original warrant must meet the building regulations in force on the date of the application to extend the expired warrant. This is, however, only likely to be appropriate where little work has been commenced.

3.7.2. It should be noted that an amendment of warrant does not alter the period for which the original warrant is valid. A specific application as in paragraph 3.7.1 is necessary if more time is needed.

3.7.3. Although a building warrant is granted to a particular applicant, if a building is sold while under construction, the effect of the warrant transfers to the new owner or indeed all the persons having an interest in the building. In other words construction may continue and on completion the new owner must submit the completion certificate (see chapter 5 for details of submitting completion certificates).

3.8 Limited life warrants

3.8.1. Where a building is intended to be used for a limited period of time it may not be necessary to apply all the standards for a permanent building. The Act allows building regulations to specify which of the standards should not apply and lets the procedure regulations set a time limit. This limit is currently five years for a 'limited-life warrant' and is measured from the date of acceptance of the completion certificate for the building or, if applicable, the date of any permission for temporary occupation or use.

3.8.2. It is important to stress that this type of warrant is intended for buildings that will be removed by the end of the time limit and removal is a condition of the warrant. An application to demolish is required at least three months before the limit is reached, unless otherwise agreed with the verifier. It is possible for the owner to apply for an extension of the limit but this is at the discretion of the verifier.

It is an offence to fail to demolish (or otherwise remove) by the time limit set in the warrant unless an extension of time has been granted (not just applied for). Continued occupation of such a building after the time limit can be prevented by the Courts.

3.9 Application of regulations to existing buildings

3.9.1. Extensions to existing buildings must be constructed in such a way that the extension complies with all current standards that are relevant to the construction and use of the extension.

In addition, the whole building must not, as a result of the extension, fail to comply with building regulations if it complied originally or fail to a greater degree if it failed to comply originally. If either of those conditions is not met, the verifier is required to refuse a warrant and certifiers of design must not certify such an extension.

3.9.2. Alterations to existing buildings also attract the full current standards relevant to the alteration work. In addition, the whole building must not, as a result of the alteration, fail to comply with building regulations if it complied originally, or fail to a greater degree if it failed to comply originally.

Again there should be no certification of design and the warrant application must be refused if these conditions are not met.

Note, however, that alterations to an existing building which are part of a conversion in terms of the Act have to be taken further, so that the building being converted complies more fully (see paragraph 3.9.5).

3.9.3. The definition of building in the Act (section 55) makes it clear that in relation to the extension, alteration or conversion of a building, references to building are to, so much of the building as is comprised in the extension or is the subject of the alteration or conversion. Section 10 of the Act, therefore, protects the whole building from the effects of the extension, alteration or conversion of part of a building. However, the intention is to prevent the creation of a worse situation rather than to require other parts of the building to be upgraded to remove existing deficiencies. Therefore, the existing building requires to be sufficiently detailed on the submission drawings to demonstrate that it is not being adversely affected by the proposals.

3.9.4. In the light of that intention, failure or failure to a greater degree, as a result of the proposed work is considered to mean the existing building is deemed to comply unless some aspect is actually altered by the work. The consequence of this for conversions is set out in paragraphs 3.9.5 and 3.9.6. For alterations and extensions is set out in the following examples.

- When an existing building is altered internally and access to the entrance is not affected, there is no requirement to provide access for disabled people.
- Where a building is extended, there is no requirement to provide an accessible entrance for disabled people to the extension but if there is suitable access to the existing building it should continue into the extension.
- If a lift is added to a building, which might allow access for disabled people to an upper floor, there is no requirement to alter existing door or corridor widths on that floor, nor to add refuges on an escape stair.
- In a dwelling, if an accessible WC is available on the entrance level there is no requirement for any new WC to meet the access standard but the accessible WC cannot be removed and be replaced by one, on say the first floor.

Note, however, that the above comments do not take account of obligations that might arise under any other legislation, such as that controlling the workplace or requiring equal access to services for people with disabilities.

3.9.5. Conversion of a building, if it is a conversion of a type set out in schedule 2 of the Building (Scotland) Regulations 2004, brings different requirements from those that apply to alterations. It is not just the planned work that must meet the standards; when converted, the whole building is required to meet all the standards. There are two important qualifications to that requirement because few existing buildings can reasonably be altered to meet all aspects of current standards. Firstly, schedule 6 to regulation 12 lists those standards which can be met by improving a building to as close to the full requirement as is reasonably practicable (see paragraph 3.9.6). Secondly, it is important to remember that functional standards allow some flexibility in deciding what is acceptable (see paragraph 3.9.8). Historic buildings also require sensitive application of the standards (see paragraph 3.9.9).

3.9.6. The building regulations define 'reasonably practicable' as "...having regard to all the circumstances, including the expense involved in carrying out the building work". The way to proceed is that an applicant has to show how any failure of the building, as it is proposed to be after conversion, is being addressed. Except for historic buildings (see 3.9.9), it is only in exceptional cases that it is likely that taking no action is acceptable but it will be normal for many of the identified standards that the full current requirements will not be met. The regulations do, however, require the building to be no worse than before, so the construction must either be left untouched or be altered in a way that is closer to compliance with the standards. The individual sections of the Technical Handbooks to the building regulations give guidance on what is likely to be an acceptable standard.

3.9.7. In other cases where the occupation or use of an existing building changes, i.e. cases which do not fall within the definition of conversion, there are no standards applied to it unless there is alteration or extension work done, in which case the guidance in paragraphs 3.9.1 to 3.9.4 applies.

3.9.8. Notwithstanding all of the above, there will always be cases when working with existing buildings that adopting solutions based on whatever is in the Technical Handbooks or other guidance documents will not be suitable. Rather than deal with these cases by relaxations, as previously, it is now possible for the verifier to use judgement as to whether a standard is adequately met. In difficult cases it will be possible to obtain a formal view from the BSD to assist the decision or where it is the functional standard itself that is not applicable, a relaxation may be requested from the BSD.

The approach expected from verifiers is that where relaxation might have been accepted in the past it can be approved, if necessary with whatever compensating features that might previously have been requested under 'conditions of relaxation'. A similar approach applies to certifiers of design, although the option of a formal view is not available to them (see paragraph 4.2.6).

3.9.9. For historic buildings and traditional buildings, the judgement of what is reasonably practicable must be made in a wider context. Section 35 of the Act gives specific protection to certain historic buildings in relation to statutory notices. However, a wider range of buildings may need sympathetic consideration. Historic Environment Scotland use the following definitions:

Historic building means a building of architectural or historic interest. An historic building does not have to be listed by Scottish Ministers or lie within a conservation area to be deemed to have special interest or significance.

Listed building means a historic building, which has been included in a statutory list because of its special architectural or historic interest.

Traditional building means a building or part of a building of a type constructed before or around 1919:

- a. using construction techniques that were commonly in use before 1919; and
- b. with permeable components, in a way that promotes dissipation of moisture from the building fabric.

3.9.10. In applying the functional standards to work done to buildings covered by the above definitions, the particular matter that is significant or important should be considered. Also, the construction and materials of the existing building may have to be considered in light of the standards rather than the Technical Handbooks which assume current materials and construction techniques.

Further advice is available in an Historic Environment Scotland guide for practitioners entitled "Conversion of Traditional Buildings; Application of Building Standards".

3.9.11. It is the responsibility of the applicant to inform the verifier whether the building which is the subject of the application has any relevant historical significance in relation to either statutory protection or the wider definition in 3.9.9.

3.10 Demolitions

3.10.1. Warrants for demolition, while nominally valid for three years, are usually granted subject to time limits, i.e. a time period from the commencement of the demolition to the completion of works. This period should be set by the verifier in agreement with the applicant.

3.10.2. The information required on the existing building and on the method of demolition, is intended for the purpose of allowing a verifier to judge what is the appropriate provision of protective works to ensure the safety of the general public. Other details of any method statement prepared to meet Health and Safety at Work legislation need not be checked by the verifier. For building warrant approval only sufficient information is needed to ensure the requirements set in regulations 10 and 13 to 15 of the building regulations are met.

3.10.3. The demolition of a building brings additional concerns of a health and safety nature into play and it is important that any extra requirements are considered at an early stage. Further information on environmental, and health and safety matters can be found in paragraphs 14.5 and 14.12.

3.11 Inspections, tests and other evidence

Construction Compliance and Notification Plan

3.11.1. The verifier will issue a Construction Compliance and Notification Plan (CCNP) with the building warrant, setting out the construction stages that have been identified for site visits or other alternative methods to check compliance.

Compliance with the building regulations is ultimately the responsibility of the building owner.

It is the responsibility of the building owner to contact the verifier at the notifiable stages. The notification could be done by the agent or builder acting on behalf of the owner. When notified, verifiers undertake checks in line with the CCNP, as part of their responsibility for undertaking 'reasonable inquiry'.

The number and frequency of checks carried out will depend on the nature and complexity of the building. The verifier may require additional evidence to establish if compliance is achieved. If the verifier has reasonable doubt with regard to compliance and other relevant evidence cannot be provided there may be the need for elements of construction to be exposed by the applicant. Failure to notify the verifier at the relevant stages may affect the acceptance of the completion certificate.

Where an applicant appoints an agent to act on their behalf to obtain building warrant approval, the agent should inform their client of the requirement to contact the verifier at the appropriate stages in accordance with the CCNP.

It must be stressed that the inspections are to protect the public interest in terms of compliance with building regulations, not to ensure that all the work is constructed as the person paying for the work would want it.

A verifier should be notified within seven days of work commencing, when drains are laid but not covered, when the drainage system is completed and when the building is completed. However, it would be beneficial to notify the verifier as soon as possible before work commences.

These items can form part of the stages highlighted in the CCNP, but other stages can be included, where considered relevant by verifiers, depending on the nature and complexity of a building. CCNPs will focus on undertaking inspections for safety critical elements at key stages in construction, for example wall ties, lateral restraints, compartmentation and fire stopping.

In addition to the specified stages in a CCNP, verifiers may also carry out additional inspections in support of reasonable inquiry.

If there is any non-compliant work, or where workmanship affects the performance of a building element, the verifier will notify the building owner and/or builder to rectify the work. A willingness by owners, builders and verifiers to engage with each other, can result in better working relationships and lessen a necessity to initiate enforcement action. If the building owner fails to act, the local authority has enforcement powers to rectify the work as detailed in chapter 11.

3.11.2. Applicants also need to inform verifiers of any aspect of any work that is to be certified by an approved certifier of construction, before that work starts on site (or elsewhere, in the case of off site prefabrication). Applicants should agree any such declarations with the certifiers identified to do the work, as if subsequently the work is not certified, it may result in the need for disruptive surveys and delay. A verifier should not inspect works on site that are the subject of a certificate of construction.

3.11.3. Should any verifier be actively prevented from undertaking inspections of work, the 'relevant person' (see paragraph 5.2.1) submitting a completion certificate for the work can expect to have it refused. Also, Section 27 of the Act gives a local authority power to issue enforcement notices (see chapter 7) where work is being done without a warrant or not in accordance with a warrant and powers to inspect work in progress. If necessary, a verifier (where not a local authority) could request an inspection be carried out by the local authority under these powers.

3.11.4. A verifier may inspect a site or an existing building before issuing a warrant with the agreement of the applicant (and the owner if different). In practice early inspections can be helpful to applicants and verifiers and can assist assessment of an application. Applicants are encouraged to allow such preliminary inspections. Note, however, that where a local authority suspects building work is being done without a warrant it has powers to enter and inspect any premises. Where a building is to involve extensive off site fabrication, it may also assist assessment if inspection of the parts during fabrication could be agreed, although the practicality of such an arrangement will depend on the location of the fabricator.

3.11.5. Under section 41(2) of the Act, a verifier may request a 'materials test' if they consider it necessary. These tests are to establish whether an application for a warrant should be granted or whether a building being constructed under a warrant is being constructed in accordance with the warrant (see also paragraph 5.5.3 in relation to tests to determine whether a completion certificate should be accepted). The Act explains that a 'materials test' means a test on individual materials or materials in combination or even of a whole building. The test is at the building warrant applicant's or relevant person's expense.

3.11.6. In the case of work covered by a certificate of design, a verifier may not request a materials test before granting a warrant. However if a local authority wishes to take enforcement action they may, under section 39(4) of the Act, carry out reasonable tests to determine the quality and strength of any material.

3.11.7. From 1 May 2011, testing was phased-in with regard to Section 5 (Noise) and Section 6 (Energy). For further information, see paragraph 5.5.7.

3.12 Discharge of continuing requirements

3.12.1. Verifiers must, if an application is made to them, discharge or vary continuing requirements that they have placed on a building (see paragraphs at 7.3) where the following criteria are met.

- For discharge, application is made showing that the building complies with the regulations at the time of the application and that the continuing requirement is not needed to secure that the purposes of the regulation will not be frustrated.
- For variation, application is made showing that the building complies with the regulations at the time of the application and that the variation will not result in the purposes of the regulations being frustrated.

3.12.2. Continuing requirements also cease to have effect if a further building warrant is granted in respect of the building or a further completion certificate is accepted, although a verifier may re-impose or impose further, continuing requirements as it sees fit.

3.12.3. Verifiers do not have the power to discharge or vary a continuing requirement imposed by Scottish Ministers.

3.13 Maintenance of records

3.13.1. A local authority is required to maintain a register of the applications for warrant and amendments to warrant, including the plans, other documents and information submitted, together with the decisions taken on the applications (see chapter 8). When local authorities are acting as verifiers they do not need to keep other records. If in future other verifiers are appointed, the procedure regulations will be amended to require the relevant information to be sent to the relevant local authority to be recorded on the building standards register. The local authority and verifier where different, will have to check that the address given corresponds for any existing building. However, where a new building is to be erected the land parcel may not have a final address, this will have to be checked when the construction starts or, at the latest, when a completion certificate is submitted.

3.13.2. The local authority and verifier where different, should also take responsibility to describe as accurately as possible, the work for which the warrant is finally granted. The inclusion of key words and key descriptors to assist searches is strongly advised. The registration numbers of approved certifiers and bodies should be recorded in a form that allows searches. Verifiers should note the aspects of work for which they have accepted certificates from approved certifiers of design and the result of the checks on the certifier.

3.14 Fees regulations

3.14.1. The Building (Fees) (Scotland) Regulations 2004 set the fees that are charged by verifiers for building warrant submissions, including those for 'late' completion certificates and building warrant submissions. The discounts applicable when certificates of design or construction are correctly submitted (see 3.14.7) are also covered by these regulations. Details of the fees are set out in the tables on pages 39-40, with the fees related to the 'value of the works'. In calculating the value of the works, the applicant must use the normal market costs rather than any discounted costs which they might be able to achieve. For example, even if the labour was unpaid because it is a self-build project, the value of the building work should still include a fair assessment of the value of labour had commercial contractors undertaken the work. The cost of verifying compliance is the same in both cases, indeed it may even be higher in a self-build project, so it is considered equitable that the warrant fee should be calculated on the same basis.

3.14.2. The cost of works that do not require building warrant approval, for example, decoration, floor coverings, etc, do not require to be included in the estimated value of the works. However, temporary works and preliminaries relating to the permanent works required to comply with the building regulations should be included.

3.14.3. If the verifier feels the estimate of value provided by the applicant is incorrect, they may check the amount by reference to established indices of building costs, for example the RICS Building Cost Information Surveys of Tender Prices. This provides the mean, lowest and highest prices in £/square metres for works of different character. It also provides a modifier which can be applied to reflect geographical variations throughout Scotland.

3.14.4. If the verifier believes the value of the works should be higher than stated, the verifier can refuse to consider a warrant application unless the value is increased and the appropriate fee paid.

3.14.5. The fee is set at zero for works to alter or extend a dwelling to improve its suitability for use by a disabled occupant. The relief, therefore, is not for disabled people in general, it relates specifically to works to provide facilities for disabled people as defined in the building standards. This definition is a person with a physical, hearing or sight impairment which affects their mobility or their use of buildings.

3.14.6. The Equality Act 2010 replaced a range of anti-discrimination legislation, including the Disability Discrimination Act (DDA) and it carries forward the protection previously provided for disabled people by the DDA. Accordingly, the zero fee rating remains restricted to dwellings.

3.14.7. The fee is subject to discounts when:

- a.** certificate(s) provided by approved certifiers of design are submitted with the warrant application; and/or
- b.** a verifier is informed, at the warrant application stage, of the intention to use certifiers of design before the building warrant is granted; and/or
- c.** a verifier has been informed, at the warrant application stage, of the intention to use certifiers of construction as part of the completion certificate that is to be submitted.

The appropriate discount should be deducted from the fee before submitting the application for building warrant. The notification to a verifier that an approved certifier of design or construction is to be used must be given at the application stage.

Where it is intended to use a certifier of design, details of the certifier and approved body, including their registration numbers, should be confirmed on the building warrant application form. However there is no requirement to provide details of the approved certifier of construction to be used at this stage.

If a certifier is not subsequently employed, the discount provided must be paid to the verifier. In the case of a certifier of design, this would be before the building warrant is granted, and in the case of a certifier of construction, as part of the completion certificate that is to be submitted. In the case of a certificate of construction, the verifier will also have to inspect the work and may require disruptive surveys to ensure the construction is in accordance with the building warrant.

3.14.8. Similar discounts, as noted in 3.14.7, are available for 'late' building warrant applications.

A late completion certificate submission must be accompanied with certificate(s) of design and/or certificate(s) of construction to receive the relative discount on the warrant fee.

Such discounts to the fee are based on the increased fee payable for a 'late' submission (see 3.4.2 and 5.3.2).

3.15 Tables of fees

3.15.1. The fees and discounts available for building warrants for the construction of a building or for the provision of services, fittings or equipment in connection with a building (whether or not combined with a warrant for conversion or an application for demolition) is as per the following tables. (Note that the fees for late building warrant and completion certificates where no warrant was obtained are subject to higher level of fees).

Table 1a: Table of fees – Value of works between £0 – £100,000

Value of work up to £100,000	Building Warrant Fee (no discounts applied)	Discounts available for providing a Certificate from an Approved Certifier – (fixed rates based on value of work up to £100,000)			
		Certificates of design (discount provided/certificate)		Certificates of Construction (discount provided/certificate)	
		Building Structure Scheme (SER)	Energy Scheme (BRE, RIAS)	Electrical Installations Scheme (NICEIC, SELECT)	Drainage, Heating and Plumbing Scheme (SNIPEF)
£	£				
0-5,000	150.00	30.00	30.00	15.00	15.00
5,001-5,500	169.00	40.00	40.00	15.00	15.00
5,501-6,000	188.00	40.00	40.00	15.00	15.00
6,001-6,500	207.00	40.00	40.00	15.00	15.00
6,501-7,000	226.00	40.00	40.00	15.00	15.00
7,001-7,500	245.00	40.00	40.00	15.00	15.00
7,501-8,000	264.00	40.00	40.00	15.00	15.00
8,001-8,500	283.00	40.00	40.00	15.00	15.00
8,501-9,000	302.00	40.00	40.00	15.00	15.00
9,001-9,500	321.00	40.00	40.00	15.00	15.00
9,501-10,000	340.00	40.00	40.00	15.00	15.00
10,001-11,000	359.00	50.00	50.00	20.00	20.00
11,001-12,000	378.00	50.00	50.00	20.00	20.00
12,001-13,000	397.00	50.00	50.00	20.00	20.00
13,001-14,000	416.00	50.00	50.00	20.00	20.00
14,001-15,000	435.00	50.00	50.00	20.00	20.00
15,001-16,000	454.00	60.00	60.00	25.00	25.00
16,001-17,000	473.00	60.00	60.00	25.00	25.00
17,001-18,000	492.00	60.00	60.00	25.00	25.00
18,001-19,000	511.00	60.00	60.00	25.00	25.00
19,001-20,000	530.00	60.00	60.00	25.00	25.00
20,001-30,000	593.00	80.00	80.00	30.00	30.00
30,001-40,000	656.00	80.00	80.00	30.00	30.00
40,001-50,000	719.00	80.00	80.00	30.00	30.00
50,001-60,000	782.00	100.00	100.00	35.00	35.00
60,001-70,000	845.00	100.00	100.00	35.00	35.00
70,001-80,000	908.00	100.00	100.00	35.00	35.00
80,001-90,000	971.00	100.00	100.00	35.00	35.00
90,001-100,000	1,034.00	100.00	100.00	35.00	35.00

Table 1b: Table of fees – Value of works £100,001 and above

Value of work £100,001 and above	Building Warrant Fee (no discounts applied)	Discounts available for providing a Certificate from an Approved Certifier – (percentage for value of work £100,001 and above)			
		Certificates of design (10% discount/certificate)		Certificates of Construction (3% discount/certificate)	
		Building Structure Scheme (SER)	Energy Scheme (BRE, RIAS)	Electrical Installations Scheme (NICEIC, SELECT)	Drainage, Heating and Plumbing Scheme (SNIPEF)
£	£				
100,001-120,000	1,137.00	113.70	113.70	34.11	34.11
120,001-140,000	1,240.00	124.00	124.00	37.20	37.20
140,001-160,000	1,343.00	134.30	134.30	40.29	40.29
160,001-180,000	1,446.00	144.60	144.60	43.38	43.38
180,001-200,000	1,549.00	154.90	154.90	46.47	46.47
200,001-220,000	1,652.00	165.20	165.20	49.56	49.56
220,001-240,000	1,755.00	175.50	175.50	52.65	52.65
240,001-260,000	1,858.00	185.80	185.80	55.74	55.74
260,001-280,000	1,961.00	196.10	196.10	58.83	58.83
280,001-300,000	2,064.00	206.40	206.40	61.92	61.92
300,001-320,000	2,167.00	216.70	216.70	65.01	65.01
320,001-340,000	2,270.00	227.00	227.00	68.10	68.10
340,001-360,000	2,373.00	237.30	237.30	71.19	71.19
360,001-380,000	2,476.00	247.60	247.60	74.28	74.28
380,001-400,000	2,579.00	257.90	257.90	77.37	77.37
400,001-420,000	2,682.00	268.20	268.20	80.46	80.46
420,001-440,000	2,785.00	278.50	278.50	83.55	83.55
440,001-460,000	2,888.00	288.80	288.80	86.64	86.64
460,001-480,000	2,991.00	299.10	299.10	89.73	89.73
480,001-500,000	3,094.00	309.40	309.40	92.82	92.82
500,001-550,000	3,272.00	327.20	327.20	98.16	98.16
550,001-600,000	3,450.00	345.00	345.00	103.50	103.50
600,001-650,000	3,628.00	362.80	362.80	108.84	108.84
650,001-700,000	3,806.00	380.60	380.60	114.18	114.18
700,001-750,000	3,984.00	398.40	398.40	119.52	119.52
750,001-800,000	4,162.00	416.20	416.20	124.86	124.86
800,001-850,000	4,340.00	434.00	434.00	130.20	130.20
850,001-900,000	4,518.00	451.80	451.80	135.54	135.54
900,001-950,000	4,696.00	469.60	469.60	140.88	140.88
950,001-1,000,000	4,874.00	487.40	487.40	146.22	146.22
And for every £100,000, or part thereof, over £1 million	Add £253	10% of fee	10% of fee	3% of fee	3% of fee

3.15.2. Application for building warrant for conversion only, that is without any building work – Fee is £150.

3.15.3. Application for demolition only, that is where there are no immediate plans for rebuilding – Fee is £150.

3.15.4. Application for amendment of Warrant where the new total estimated value:

a. is less than the original or is an increase of no more than £5,000 – Fee is £100.

b. increases by more than £5,000 – Fee is the amount for a building warrant of the same value as the increase. (That is, if the increase is £20,000, the fee will be £530).

3.15.5. Application for an amendment to warrant for demolition or conversion only – Fee is £100.

3.15.6. Application to extend the period of validity of a warrant – Fee is £100.

3.15.7. Where a late application for building warrant is made, or a completion certificate is submitted and there was no warrant obtained when there should have been, the fee is increased to cover the increased difficulty the verifier will have in establishing whether work that is already underway or completed complies with the plans, specifications and other information provided. The resulting fees are detailed in 3.15.8-3.15.11.

3.15.8. Application for late building warrant, i.e. where work is already started.

a. Application for a building warrant for the construction of a building or the provision of services, fittings and equipment in connection with a building (whether or not combined with an application for demolition) – Fee is 200% of the fee in tables of fees.

b. Application for warrant for demolitions only – Fee is £200.

3.15.9. Submission of a completion certificate where no warrant was obtained for:

a. the construction of a building or the provision of services, fittings or equipment (whether or not combined with an application for conversion or for demolition) – Fee is the same as for a late application for building warrant of the same value of works, that is 300% of the fee in tables of fees; or

b. application for warrant for demolitions only or for conversion only – Fee is £300.

3.15.10. A warrant fee is discounted where certificate(s) from approved certifiers of design are presented with a warrant application, or before the building warrant is granted as below.

- 10% (or the fixed levels of discounts for values of work up to £100,000, indicated in the tables of fees) for each certificate that covers the whole of any section of the functional standards.
- The Building (Fees) (Scotland) Regulations 2004 allows for a 1% discount for each certificate covering a single item in any such section, up to a maximum of 5% for any one section, all subject to a maximum discount of 60% of the warrant fee. However, it should be noted that there are currently no approved certifier of design schemes that cover single items within a section of the building standards.

When a local agreement is in place between the verifier and the applicant for phased payment of the warrant fee, the discount should be due on all the payments, provided a certificate was submitted with, or the intended use confirmed on, the warrant application form.

Note that the above discounts apply where a late application for warrant is made or a late completion certificate submitted, with the discount applied to the whole fee.

Discounts also apply to an application for amendment to warrant but only where the increase in the estimated value of works exceeds £5,000. This may be for a different design scheme or, in the case of staged warrants, may involve a new certificate. The discount is on the amendment fee (which will take into account any increased value or work) and not the original fee.

3.15.11. A warrant fee is also discounted where it is stated at warrant application stage that one or more certificates from an approved certifier of construction will be presented with a completion certificate as below.

- 3% (or the fixed levels of discount for values of work up to £100,000) for each certificate covering an approved scheme.
- 20% for a single certificate covering the construction of the entire building all subject to a maximum discount of 20%.

Except when accompanying a late completion certificate, a discount is only applicable where a verifier has been informed of the intention to use the approved certifier of construction at warrant application stage, including late warrant applications.

3.15.12. The discounts in relation to both certificates of design and certificates of construction are based on the original warrant fee (before any discounting).

4 ROLE OF SCOTTISH MINISTERS



4.1 Interpretation

4.1.1. While definitive interpretation of regulations is the preserve of the Courts, Scottish Ministers have the power to give a view on the extent to which a proposed building or construction complies with the regulations. Also, most of the technical information related to the standards in the regulations is in the Technical Handbooks and other guidance documents issued by the Ministers and the BSD can interpret these. Informal advice on the content of the handbooks is available by telephone or e-mail but for a formal view on the extent to which a proposal complies with the building regulation standards the following procedure must be followed.

4.2 Reference to Scottish Ministers for a view

4.2.1. To assist verifiers and applicants for warrant in cases where there is doubt on whether proposals satisfy the regulations or whether continuing requirements need to be imposed as conditions of the warrant, Scottish Ministers may give a view on the matter. Verifiers must have regard to any view given when determining the application. It should be noted that a formal view will not be given on matters certified by an approved certifier of design.

4.2.2. Either the applicant for warrant or the verifier may choose to request a view. However, a view is only given if, in the words of the Act, the BSD (on behalf of Scottish Ministers) 'think fit'. It will be regarded as unusual to give a view if only one party seeks to approach the BSD. The intention is not to act as an unofficial appeal mechanism but to assist where there is genuine doubt as to the extent to which a proposal meets the regulations.

4.2.3. A referral for a view should be emailed, or otherwise sent to the BSD. A response is given within 48 hours, stating whether the BSD is prepared to give a view, what the relevant fee is and when a response will be given. The timing depends on the nature of the query and whether sufficient information accompanies the referral. Only the minimum information and drawings need to accompany a referral but further details may be requested if thought necessary. Applicants must then confirm that they accept timescale and verifiers that they will pay the relevant fee. The BSD website will give details of the fee, which will vary on a case-by-case basis.

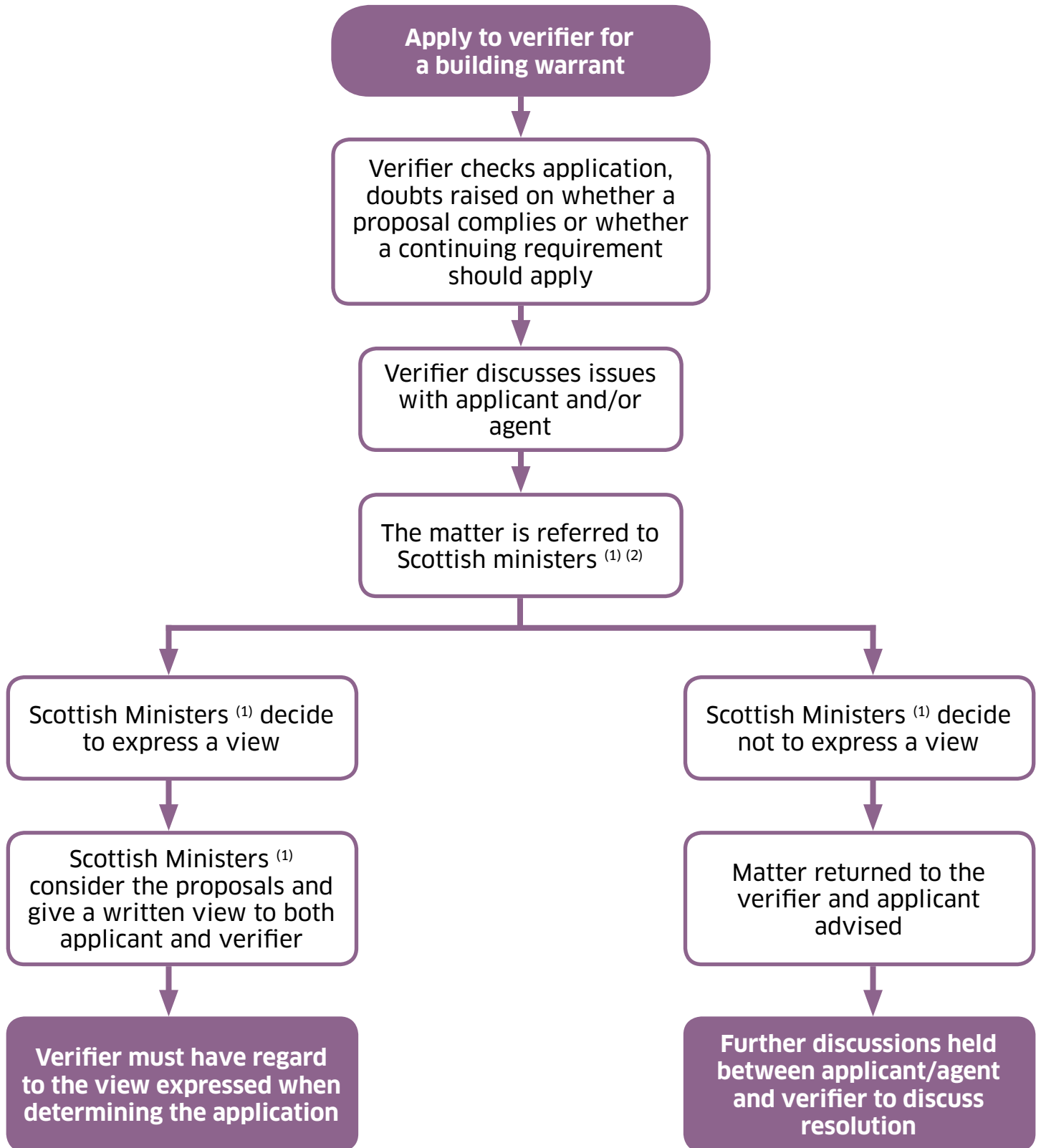
4.2.4. The BSD does not normally consult on their view as it is intended to be a fast response service. Where the opinions of other parties, for example Historic Environment Scotland, may be useful, consultation should take place before the BSD view is sought. If the BSD consider appropriate consultation has not taken place, the view can include a recommendation to the verifier or the warrant applicant to consult specifically on the matter.

4.2.5. A view is sent to both verifier and applicant. The verifier will be accompanied by an invoice. Where the BSD consider it may be useful, views are published more widely and can be found online at <https://www.gov.scot/policies/building-standards/>

4.2.6. Where approved certifiers of design are seeking advice on the extent to which proposals satisfy the regulations in terms of either the matters to be certified or their relationship to other aspects of design, the BSD may give advice but may charge a fee, depending on the extent of the work involved in considering the case. Unlike a view given by Scottish Ministers to a verifier and/or an applicant, a verifier is not required to have regard to this advice and a certifier is not obliged to present it.

FIGURE 3 VIEWS

PROCESS OF OBTAINING A VIEW FROM SCOTTISH MINISTERS



Note

1. In practice the Building Standards Division will receive the reference and issue the view on behalf of Scottish Ministers.
2. Normally a reference will only be accepted if it comes from both parties.

4.3 Relaxations

4.3.1. For any particular building, a person may apply to Scottish Ministers for a direction to either relax or dispense with a provision of the building regulations. The building regulations designate certain provisions that may not be relaxed, although there is currently no designation in relation to the building standards themselves.

4.3.2. Where Scottish Ministers consider it unreasonable that the provision should apply to that building they may issue a direction. The direction may set conditions and a date for expiry. Any direction may also be revoked or varied by a further direction. There is no requirement to consult before issuing a direction in relation to a particular building but the fire service will normally be consulted for any question related to fire matters. If the application for relaxation relates to an existing warrant application and particularly where a warrant has been granted, the verifier will also normally be consulted.

4.3.3. The application should be made on the model form available from the BSD or online at <https://www.gov.scot/policies/building-standards/>. One copy of sufficient drawings, specification and other information to fully explain the case should accompany the application. The precise provision of the regulations which the applicant considers is not appropriate for the application must be identified. If the BSD requests, further information or test results (which the applicant must obtain at their own expense), should be submitted. With the agreement of the BSD, supporting information may be submitted electronically. Where the BSD consider it necessary, a copy of any related application for warrant must be forwarded by the relevant verifier. No fee is payable when making an application for a relaxation.

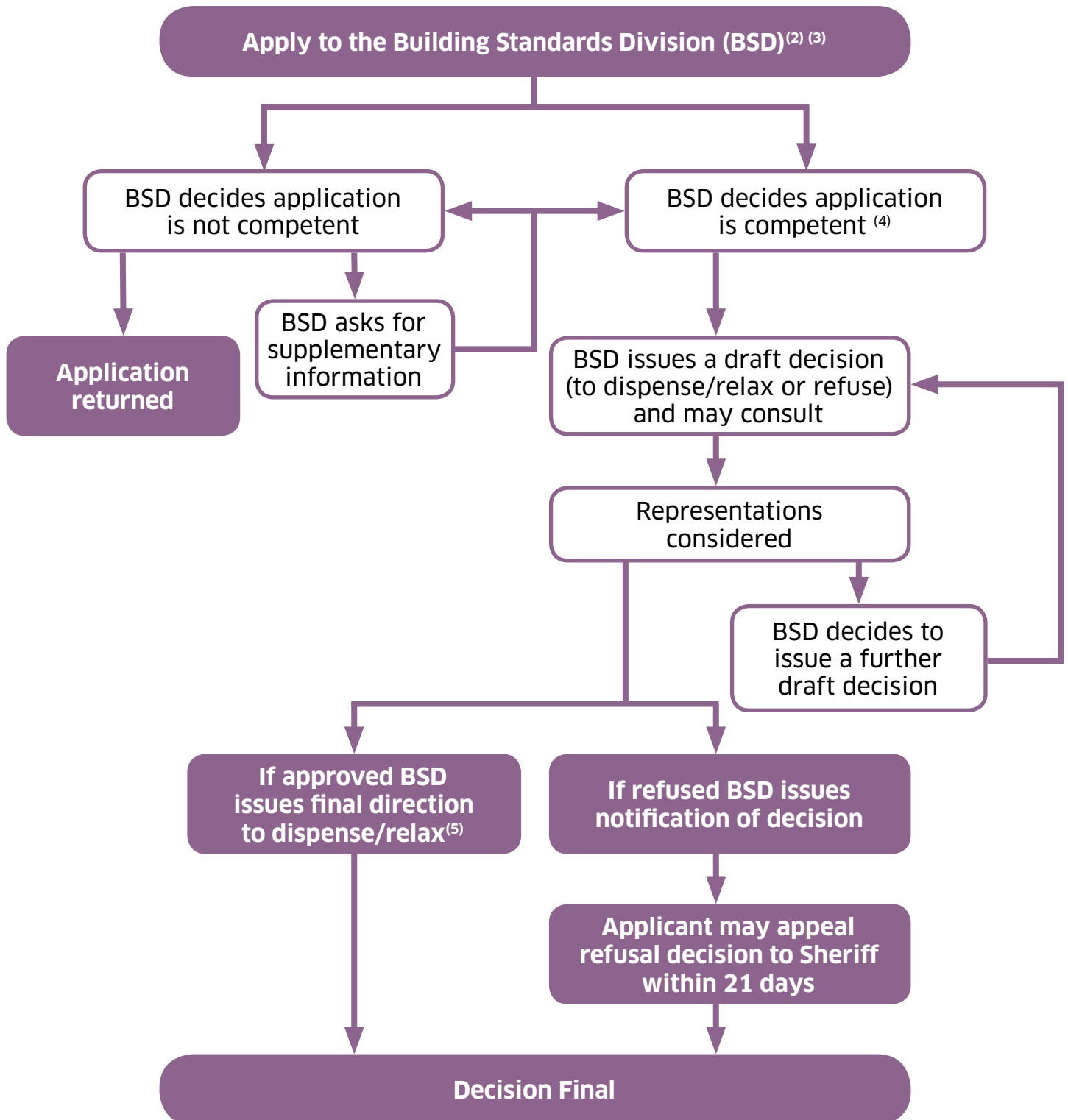
4.3.4. Normally a draft direction is sent to the interested parties, giving 21 days for representations against any aspect of the direction. A final direction is issued after consideration of the representations, if any, after the 21-day limit. Copies of the final direction are sent to the local authority. (Note, if alternative verifiers are introduced, every verifier authorised to deal with that type of building in that local authority area will receive a copy). Any other party that received the draft direction should also receive a copy of the final direction. The BSD will normally report the background to the reasoning on the decision.

4.3.5. There are differences between relaxations under the 2003 Act and those previously given under the 1959 Act. The new form of expanded functional regulation gives more opportunity for flexibility and most cases can be decided by verifiers by interpretation of the requirements in schedule 5 of the building regulations. A relaxation or dispensation is for cases where a requirement is clearly, in whole or in part, unreasonable for a particular building. There is an appeal mechanism, as applicants may challenge a decision of the BSD, in relation to relaxations, in the sheriff court.

4.3.6. Where a certifier of design applies for a relaxation, any direction given by Scottish Ministers must be submitted with the application for warrant or amendment to warrant. Where a certifier of construction applies for a relaxation, any direction given must be included with an application for an amendment of warrant.

FIGURE 4 RELAXATIONS – PARTICULAR BUILDINGS

PROCESS OF OBTAINING A RELAXATION⁽¹⁾ FOR A PARTICULAR BUILDING



- Note**
1. 'Relaxation' here includes complete dispensation of a standard.
 2. Applications should be made on the model form.
 3. The BSD carries out this procedure on behalf of Scottish Ministers.
 4. Competence depends on whether the BSD considers the application relates to regulation that may be relaxed (the Act provides that some regulations may not be).
 5. The direction may include conditions and/or continuing requirements.

4.4 Type relaxations

4.4.1. Scottish Ministers may also give a direction relaxing or dispensing with a provision of the building regulations for any description of building, i.e. a type relaxation. This can be given either on application by any person or by Scottish Ministers on their own behalf. The building regulations designate certain provisions that may not be relaxed, however, there is currently no such designation that affects the building standards. Before giving a direction BSD may consult any interested party.

The consultation will normally include Local Authority Building Standards Scotland, verifiers and local authorities. Fire and Rescue Service Scotland must be consulted on questions relating to fire.

4.4.2. The direction may set conditions and may set a date for expiry. Any direction may also be revoked or varied by a further direction, following consultation as in paragraph 4.4.1. Where an application for warrant has been made to which a type relaxation is applicable, the type relaxation continues to have effect for that application, even if the relaxation is revoked or ceases to have effect before the building warrant is issued or the building is completed. A type relaxation cannot automatically apply where a warrant application has already been made, but a verifier may take account of such a direction when deciding the application.

4.4.3. An application should be made to BSD using the model form available online at <https://www.gov.scot/policies/building-standards/>. One copy of sufficient drawings, specifications and other information to fully explain the case should accompany the application. The provision of the regulations

which the applicant considers is unreasonable for the type of building in question must be identified. Following the initial application, BSD may require further information or test results (which the applicant must obtain at their own expense). Supporting information may be submitted electronically. No fee is payable when making an application for a type relaxation.

4.4.4. A draft direction is sent to the interested parties, giving 21 days for representations against any aspect of the direction. A final direction is issued after consideration of the representations, if any, or after the 21-day limit. Copies of the final direction are sent to every verifier. (Note, also sent to any local authority that is not a verifier, should that occur in the future). Any other party that received the draft direction should also receive a copy of the final direction. The BSD will normally report the background to the reasoning on the decision.

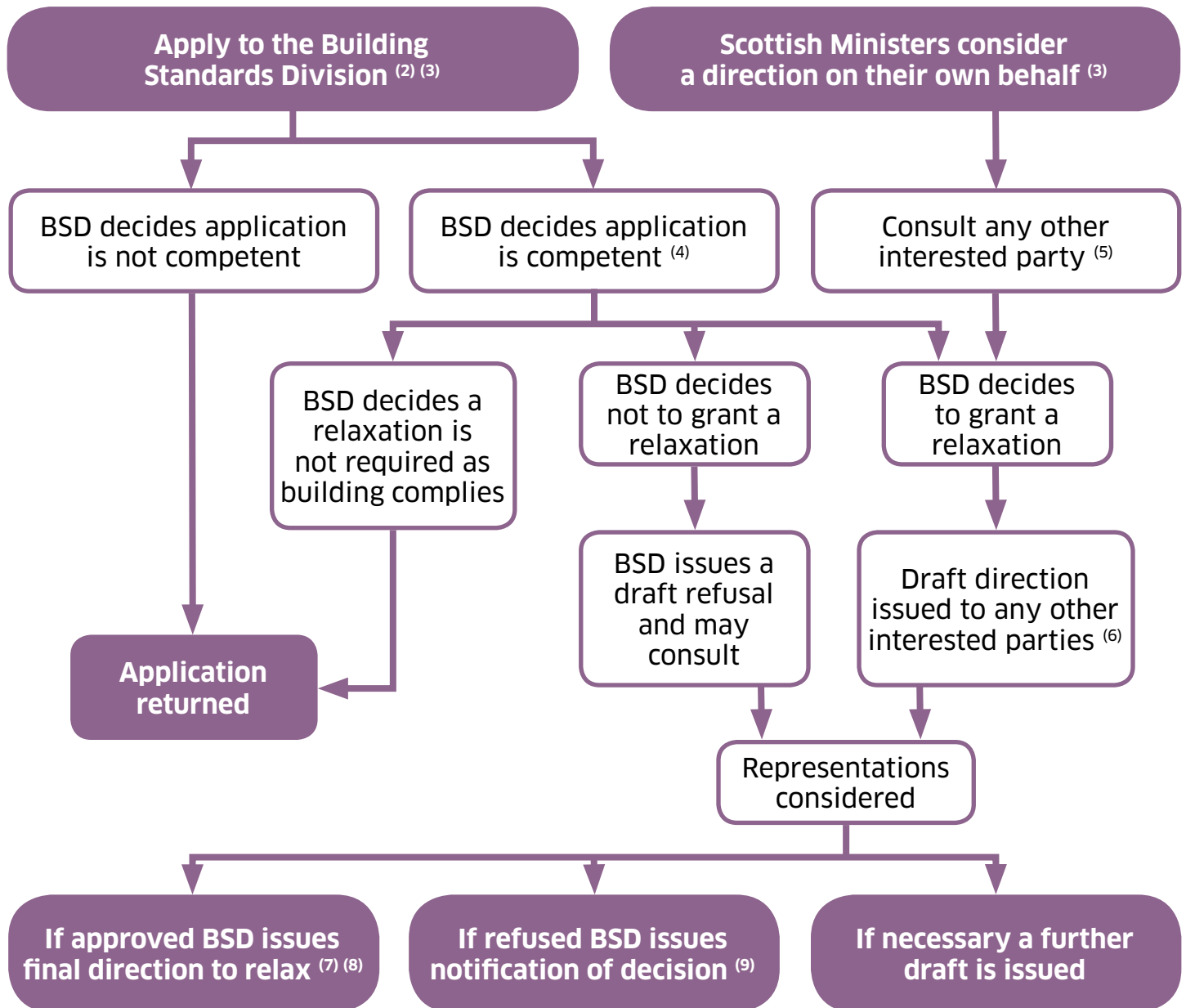
4.5 Type approvals

4.5.1. The 2003 Act does not make provision for type approvals. However a Scottish Type Approval Scheme is provided by Local Authority Building Standards Scotland. Anyone wishing to have a design approved for use on several sites, subject to checks on site-specific matters such as foundations, can apply to Local Authority Building Standards Scotland. See the website at <https://www.labss.org/>

4.5.2. This scheme allows more rapid and certain processing of applications by members of the scheme. At the time of publication, all local authorities are members and while this arrangement exists all local authorities approved as verifiers will recognise type approvals.

FIGURE 5 RELAXATIONS – PARTICULAR TYPE OF BUILDING

PROCESS OF OBTAINING A RELAXATION⁽¹⁾ FOR A PARTICULAR TYPE OF BUILDING



Note

1. "Relaxation" here includes complete dispensation of a standard as it applies to a particular type of building.
2. Applications should be made on the model form (BSD1).
3. The BSD carries out this procedure on behalf of Scottish Ministers.
4. Competence depends on whether the BSD considers the application relates to regulation(s) that may be relaxed (the Act provides that some regulations may not be).
5. The process may be halted at this stage with no refusal notification issued.
6. 'Interested parties' in relation to draft direction consultations include applicant or duly authorised agent (if any), every verifier and any other person they think fit.
7. The direction may include conditions and/or continuing requirements.
8. In the case of a 'type relaxation' Scottish Ministers must send a copy of the direction to every verifier and local authority that is not a verifier.
9. A refusal would not be issued in the case of a relaxation initiated by Scottish Ministers.

5 COMPLETION



5.1 Why a completion certificate is needed

5.1.1. A completion certificate is needed to confirm that a building has been constructed, demolished or converted in accordance with the relevant building warrant and to comply with the building regulations. It is the responsibility of the relevant person (usually the owner or developer – see paragraph 5.2.1) to build correctly or to ensure building is done correctly, as verifiers cannot regularly or sufficiently monitor all construction work to check that the regulation requirements are being met. Consequently, the relevant person should ensure that adequate procedures are in place to allow the completion certificate to be properly submitted. This will include reminding any approved certifier of construction involved of the obligation of the relevant person to certify, when submitting a completion certificate, that the work has been both completed in accordance with the warrant

and, more generally, in accordance with the building regulations. It is an offence to submit a completion certificate that is known to be false.

Note that if the relevant person is unsure about their responsibilities or the building standards procedures they can appoint an agent to act on their behalf. It is recommended that this person is a suitably qualified and experienced building professional, for example an architect, building surveyor or structural engineer. Similarly, it is the responsibility of the relevant person to make sure that work is carried out by a qualified and experienced building professional, ideally registered with a reputable trade or professional body.

5.1.2. Further, it is an offence to occupy a new building, a conversion or an extension unless the relevant completion certificate has been accepted. It is, however, possible to obtain permission for temporary occupation or use,

under section 21 of the Act, from the verifier. The application may be made by the relevant person (see paragraph 5.2.1).

Note that the prevention of occupation does not apply to buildings subject to alterations but it is still a requirement of the regulations that a completion certificate for the alterations is submitted before expiry of the warrant.

5.1.3. When an application for temporary occupation or use is made, the person signing the declaration is confirming compliance with building regulations. The verifier will undertake reasonable inquiry and if satisfied will permit temporary occupation or use, for a specified period of time. Any mitigation measures presented will also be taken into account, for example, means of escape within a partially completed building.

The verifier will monitor the time period and will advise the person who made the application when this is about to expire. It is the responsibility of this person to apply for an extension of time before the expiry date. On the expiry of the period, and should the building continue to be occupied or used, the building will be deemed to be occupied illegally and an offence committed, that may result in enforcement action by the local authority.

The verifier may require additional supporting information to be submitted (similar to that of a completion certificate) with the application. See 5.2.

5.2 How to submit a completion certificate

5.2.1. On completion of either work (which includes demolition) or conversion for which a warrant is required, the 'relevant person' must submit a completion certificate. The 'relevant person' is defined in the Act at section 17(10) but can be summarised as:

- the owner, tenant or developer doing the building work or conversion themselves; or
- the owner, tenant or developer who has employed a builder to do work for them; or
- the owner, where the tenant, developer or builder has not submitted the certificate when they should have done so.

Note that the owner must always be named on the completion certificate, as the procedure regulations require an owner to be notified when a completion certificate is accepted or rejected. The checks by verifiers and approved certifiers help to protect the public interest but do not remove the relevant person's responsibility for ensuring compliance with the building regulations. A duly authorised agent may sign this completion certificate on behalf of the relevant person but this does not move the responsibility for compliance, which remains with the relevant person.

5.2.2. The submission must be made to the verifier, on a form provided by the verifier, either on paper or by electronic means (where the verifier has this facility). The accompanying information can be on paper, in an electronic format or in a combination as agreed with the verifier. Where required by building standards 6.9 and 7.1, this must include a copy of the energy performance certificate(s) and statement of sustainability respectively for the building(s). Examples of the format used for energy performance certificates and the statement of sustainability are available on the BSD website along with guidance on a fire safety design summary <https://www.gov.scot/policies/building-standards/>. The completion certificate form includes an annex that should be completed if any approved certifiers of construction have been used and the original, signed certificate(s) should accompany the completion certificate.

Verifiers may require additional supporting information dependent on the nature and complexity of the building. The following table provides examples:

•

Information to accompany completion certificate submission

Procedure
Form 5 - Completion Submission
Structure
Form Q
Roof Truss Certificate
Wall ties/structural restraint inspection report
Fire
Fire detection and alarm Certificate
Automatic fire suppression system Commissioning Certificate
Emergency Lighting Certificate
Fire/smoke dampers commissioning Certificate
Smoke ventilation system commissioning Certificate
Smoke Curtain Drop Test and Commissioning
Intumescent paint/cladding Certificate
Fire door installation inspection report
Fire Rated Glazing and Framing Certificate
Fire stopping inspection report
Dry Fire Main Commissioning Certificate
Fire Safety Design Summary
Environment
Certificate of Construction (Plumb/Heat/Drain)
Boiler Commission Certificate
Gas Safety Information
Unvented Hot Water Competence
MVHR/MEV/dMEV Commissioning Certificate
Scottish Water/SEPA Approval
Drain Test inspection reports (in addition to any actual tests by the verifier)
Safety
Certificate of Construction (Electrics)
Electrical installation test Certificate - BS7671
Lift Commissioning Certificate
Evidence of Safety Glass Fitted
Noise
Noise Test Certificate
Energy
EPC
Air Tightness Test Certificate
Quick start guide (domestic)
Logbook information (non-domestic)
Sustainability
Sustainability Label

5.2.3. From October 2013 regulation 41(bd) of the Building (Procedure) (Scotland) Regulations 2004 requires a fire safety design summary to be submitted with the completion certificate where it relates to the construction of, or conversion to, a new non-domestic building. For the purposes of these regulations a 'fire safety design summary' means information relating to the design and construction of the building, and the services, fittings and equipment provided in or in connection with the building, which will assist in the operation and maintenance of the building for fire safety purposes.

5.2.4. It should be noted that where an approved certifier of construction intends to deviate from the approved warrant drawings, the applicant or the agent must submit an application for an amendment of warrant. This should be obtained before the work is done. This is necessary to allow the relevant person, when submitting the completion certificate, to state that the work has been done in accordance with both the building regulations and the building warrant.

5.2.5. The Building (Scotland) Act, does not require a certificate to be submitted with the completion certificate by the electrical installer. Verifiers will, however, still seek proof that the installation is properly done. Unless the installation is covered by an approved certifier of construction, detailed evidence may be required.

5.2.6. Where there are several buildings covered by a warrant (excluding new dwellings or existing dwellings in different ownership), the regulations permit the submission of a completion certificate related to either, each building or to all buildings covered by the warrant. The 2007 amendments to the Building (Procedure) (Scotland) Regulations 2004 allow a single completion certificate to be submitted in the case of work to existing dwellings in the same ownership. It is intended that this will cover such work as the upgrading of an estate consisting of social housing where it may be more convenient to all involved to have a single completion certificate and acceptance for the entire project. For new

dwellings, however, a completion certificate is required for each individual dwelling. On an estate of houses, a completion certificate must be submitted and accepted for each dwelling, provided the common services required by the building regulations for that dwelling have been completed. In other words, a completion certificate should not be accepted for a dwelling until it is connected to a suitable drainage system or until access to a suitable road is complete. (Note that matters not covered by a warrant, such as street lighting are, however, outside the scope of the certificate).

5.2.7. It should be noted that the final completion certificate for the last dwelling cannot be accepted until all the common items are complete.

5.2.8. In blocks of flats, the completion certificate for an individual flat cannot be accepted until the common areas affecting that flat are complete, including, for example, the common stairs or landings, access and facilities for firefighting. The completion certificate for the final flat cannot be accepted until works to all the common areas (internally and externally) are complete. If an approved certifier of construction is used, a certificate of construction should accompany each completion certificate submitted.

5.2.9. It is essential in all cases where submissions and/or acceptance cover only part of the warrant application and in particular in relation to groups of dwellings, that the buildings or dwellings involved are consistently and accurately designated on the completion certificate, the acceptance and the building standards register.

5.2.10. The verifier is only responsible for taking reasonable inquiry to check compliance with building regulations at the completion certificate stage. The relevant person should be aware that they may have responsibilities under other legislation and not only building standards legislation. See chapter 14 for further information. The roles are shown in Table 5 for information only.

5.3 Late completion certificate submission without a warrant

5.3.1. Where work has been carried out or a conversion made without a warrant when there should have been a warrant applied for, a completion certificate must still be submitted. However, in this case the certificate may only be accepted if it confirms that the work or conversion has been carried out in accordance with, and now complies with, the building regulations applicable at the time of the submission of the completion certificate.

5.3.2. A completion certificate submission must provide plans and specification details equivalent to those for a warrant application, so that the verifier can adequately assess whether to accept the certificate. Discounts for certificates from approved certifiers of design and approved certifiers of construction are allowed. The submission attracts a higher fee. See the section on Fees for details.

5.3.3. There is no limit as to how long after the completion of the work a late completion certificate may be submitted but it is always the regulations at the time of submission that must be met. It therefore becomes increasingly unlikely that work carried out will comply with the current regulations and further work will have to be carried out before a completion certificate can be accepted. However, as the completion certificate is a late submission it will require to be accompanied by drawings and an appropriate fee and any extra work required to comply can be shown on or added to, the drawings as with a building warrant application. It should be noted, however, that if extensive additional works are required, a separate building warrant may need to be submitted.

5.3.4. A certificate from an approved certifier of either design or construction may be part of a completion certificate that has been submitted late but the certifier must assess the work against the regulations applying at the time of the submission of the completion certificate. It is an offence to issue a certificate that is false or misleading, so the certifier must be satisfied, if necessary by checks, inspection or tests, that the work is in compliance.

5.3.5. In the case of work covered by a certificate of construction, a verifier may not request a materials test before accepting the completion certificate. However if a local authority wishes to take enforcement action, they may under section 39(4) of the Act carry out reasonable tests to determine the quality and strength of any material.

5.4 Acceptance or rejection of completion certificate

5.4.1. A verifier must accept a completion certificate if, after reasonable inquiry, they are satisfied the work/conversion certified complies with the relevant warrant and building regulations. If the work/conversion does not comply the completion certificate must be rejected. The verifier must, in reaching this decision, accept that a certificate issued by an approved certifier of construction is 'conclusive of the facts to which it relates'. The verifier must, however, check that the approved certifier is registered, on the date on which the certificate of construction was signed, and that the certificate of construction is counter-signed by a body that is approved at that date to co-ordinate the certification of such matters. There is no requirement for a verifier to check that certifiers are still registered at either the date of submission or the date of acceptance of the completion certificate.

5.4.2. Reasonable inquiry would, in terms of the Act, include consultation with those specified in the procedure regulations in relation to the specified kinds of work. At present, consultation is not specified but guidance is given in chapter 14 on when consultation will normally be required. It is also likely to include inspection (see paragraphs at 5.5).

5.4.3. The submitted completion certificate should be on a prescribed form which includes an annex to list any available certificates of construction. Although a discount is only provided on the warrant fee if it is indicated at application stage that a certificate of construction will be provided with the completion certificate submission, certificates of construction may still be forwarded in support of the completion certificate submission. If certificates of construction are not included with the completion certificate submission when it was stated on the warrant application form that they would be, any discount given should be paid to the verifier

as other enquiries must be made and this may affect the processing of the completion certificate. The verifier may also require additional disruptive inspections to be carried out. See 5.3 regarding late completion certificates.

5.4.4. Some product certificates, such as those accepted by local authorities in the previous system in relation to intumescent products, may continue to be accepted as evidence of compliance. Such documents should not be confused with certificates from approved certifiers where there is considerable protection given to both clients and verifiers through the approval scheme.

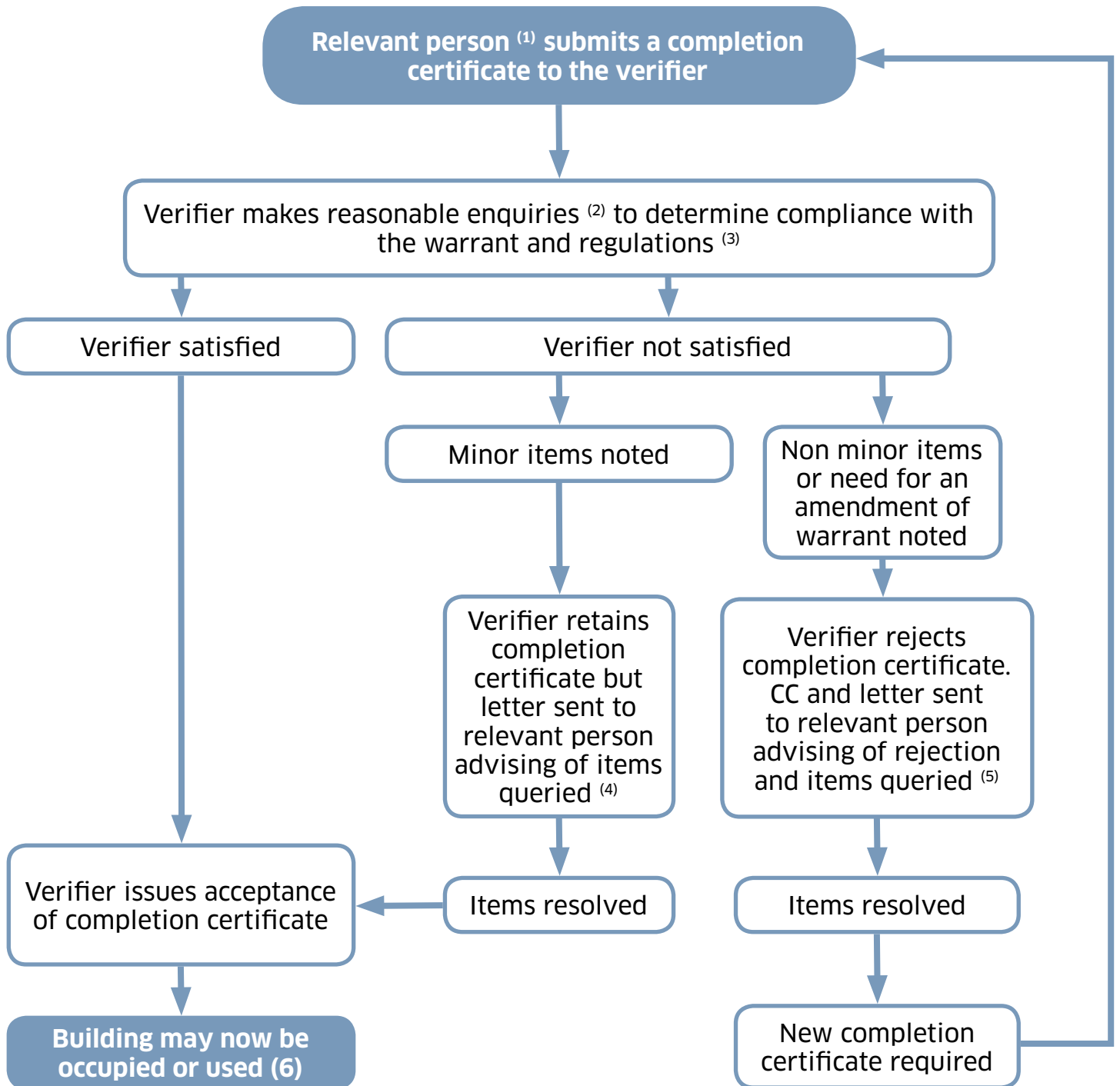
5.4.5. Verifiers and those submitting completion certificates, should note that the Act does not provide for views by Scottish Ministers to be sought on whether completed building work may be accepted as meeting the regulations.

5.4.6. A verifier must provide a response as to whether a submitted completion certificate is acceptable within 14 days or such longer period as has been agreed with the person making the submission (but see 5.4.7). It will be normal to agree a longer period if remedial works are required to be carried out to allow the completion certificate to be accepted. If a submission is rejected the verifier must give that person the reasons for rejection. If a decision has not been taken within the 14-day period the application is deemed to have been rejected (but see 5.4.7). Where an amendment to warrant is required, the completion certificate should be rejected and a new certificate submitted covering all the works once the amendment has been issued. Following a rejection, the person making the submission may appeal to the Sheriff against the decision.

5.4.7. There is one exception to the time limit in 5.4.6. Where a completion certificate has been submitted but no warrant was obtained when it should have been, the timings for the consideration are the same as for considering a warrant application (see 3.6).

FIGURE 6 COMPLETION CERTIFICATE

PROCESS OF OBTAINING ACCEPTANCE OF A COMPLETION CERTIFICATE



Note

1. Relevant person defined in the Act and summarised at paragraph 5.2.1.
2. Reasonable inquiry may include:
 - Site inspection against the warrant drawings/functional standards.
 - Checking validity of certificates from approved certifiers of construction.
3. A verifier must provide a response to a completion certificate submission within 14 days.
4. The verifier should also obtain agreement that the 14 day response period is to be extended.
5. Applicant/owner may appeal to sheriff against the decision to reject the completion certificate.
6. This applies to new build, extensions or conversion. Other alteration work need not prevent continued occupation.

5.5 Inspection and tests

5.5.1. Following the submission of a completion certificate, the verifier usually carries out a non-disruptive inspection of the work. However, as a verifier need only make ‘reasonable inquiry’ before acceptance of the certificate there can be circumstances where a site inspection may not be needed.

For example, if the verifier has carried out previous inspections in accordance with the Construction Compliance Notification Plan, these may have provided sufficient assurance to inform the verifier’s decision.

5.5.2. Also, where the application relates to repetitive work over several buildings, such as the application of external insulation to blocks of flats, random inspections of say 30% of the dwellings may be sufficient if all inspections indicate compliance. If defects are found, more detailed inspections will be required, depending on the frequency and seriousness of the defects.

5.5.3. If they consider it necessary, under section 41(2) of the Act a verifier may require a ‘materials test’ to be completed or test results to be provided if tests have already been carried out. A ‘materials test’ can include a test of materials in combination, for example, a separating wall or even a whole building, as well as individual materials. The verifier may be prepared to carry out the test but in all cases the full costs of materials tests are to be borne by the relevant person unless the verifier chooses to reduce the cost.

5.5.4. In the case of work covered by a certificate of construction, a verifier may not request a materials test before accepting a completion certificate. However, if a local authority wishes to take enforcement action they may under section 39(4) of the Act carry out reasonable tests to determine the quality and strength of any material.

5.5.5. Disruptive inspections and tests are, however, permitted when applications for completion certificate are made without a warrant having been obtained when it should have been, unless the works are covered by a certificate of construction.

5.5.6. It should be noted that while the Act does not include an automatic right to enter a building to inspect, where entry is denied a verifier can refuse to accept a completion certificate. If appropriate, a verifier can ask the local authority to use the power in section 39(4) of the Act to inspect the building to ensure the work has been carried out in accordance with the warrant, in case a section 27 notice is necessary.

5.5.7. Guidance within the Technical Handbooks on compliance with particular functional standards identifies a need for testing to establish performance. For example, testing under standard 5.1 (noise separation) to verify sound transmission performance levels and under standard 6.1 (carbon dioxide emissions) to verify design levels of air infiltration.

5.6 Continuing requirements

5.6.1. On occasion, in order to be satisfied that the purposes of the regulations will not be frustrated, for example, by some change that is liable to happen unless care is taken to prevent it, a verifier may impose some continuing requirement.

For example, if glass cleaning depended on access being maintained to certain areas, a continuing requirement to keep access clear could be imposed and could be enforced later if any attempt to reduce the access was made (see also paragraphs at 7.3 and 7.4 for further information on continuing requirements).

A further example is where a warrant application is made for a building shell and a subsequent fit out is then undertaken. The warrant granted for the shell should include a continuing requirement which prevents occupation of the building until the fit out is completed and compliance of the finished building with the standards is demonstrated (see paragraph 3.5.7 for further details).

5.7 Maintenance of records

5.7.1. A local authority is required to record on the building standards register the completion certificates submitted, including any plans, specifications, certificates of construction and other relevant documents or information, together with the decisions made as to acceptance or rejection (see chapter 8). When local authorities are acting as verifiers they do not need to keep other records. If in future other verifiers are appointed, the procedure regulations will be amended to require the relevant information to be sent to the relevant local authority for registering.

5.7.2. In relation to the certificates of construction, the registration numbers of the approved certifiers and bodies should be recorded. The verifier should also note the aspects of work for which they have accepted certificates and the results of the eligibility checks on the certifiers.

5.7.3. In the event that a verifier refuses to accept a completion certificate because certificates of construction are submitted by individuals who do not hold appropriate designations or bodies that are not currently approved, the verifier should provide written notification to the relevant Scheme Provider organisation.

6 APPEALS



6.1 Matters subject to appeal

6.1.1. The Act permits appeals to the Sheriff Court on the following matters where:

- 1.** Scottish Ministers refuse an application to relax or dispense with a provision of the building regulations;
- 2.** a verifier refuses to grant or amend the terms of a warrant, including deemed refusals, resulting when the verifier has not made a decision within the specified time limits;
- 3.** a verifier refuses to extend the life of a limited-life building, including deemed refusals resulting when the verifier has not made a decision within the specified time limits;
- 4.** a verifier rejects a completion certificate, including deemed rejections resulting when the verifier has not made a decision within the specified time limits;
- 5.** a verifier imposes continuing requirements;
- 6.** a verifier refuses to discharge or vary a continuing requirement; or
- 7.** a local authority serves a notice (regarding building regulations compliance, continuing requirement enforcement, building warrant enforcement, defective or dangerous buildings).

6.2 Time limits

6.2.1. An appeal must be made within 21 days of a decision being issued or of a notice being served. Where a verifier has not made a decision in relation to items 2, 3, 4, or 6, a decision is deemed to have been made by the period specified in the procedure regulations.

6.2.2. For item 2, the period after which a decision is deemed to have been made is three months from the date of receipt of an application for warrant or amendment of warrant if no first report is issued, or nine months after the date of issue of the first report. These periods may be extended by agreement or by time taken to obtain relaxations or views.

6.2.3. For item 3, the period for a deemed decision is one month from the date of receipt of the application is specified, for item 4, 14 days from the date of submission is specified (excluding submissions without a warrant having been obtained) and for item 6, the period is one month from the date of receipt of the application.

7 COMPLIANCE AND ENFORCEMENT



7.1 Building regulations compliance notices

7.1.1. Where Scottish Ministers consider it essential that certain types of existing building should be required to comply with the current standards, they may direct local authorities to take action to ensure that these buildings are made to comply. The local authorities must serve on the owners of identified buildings of the prescribed type a 'building regulations compliance notice' (see section 25 of Act). The local authorities may also serve a notice where it appears any other building of the prescribed type does not comply and this provision of the Act will apply if the initial identification was of specific buildings. This power is limited to the purposes specified in the Act for the building regulations and can be applied only to buildings of a type to which the building regulations apply.

7.1.2. The notice must specify the provision of the regulations to be met (usually specified by reference to a functional standard), a date (not less than 28 days after the notice takes effect) after which the building must comply, any particular steps that must be taken and the date of effect.

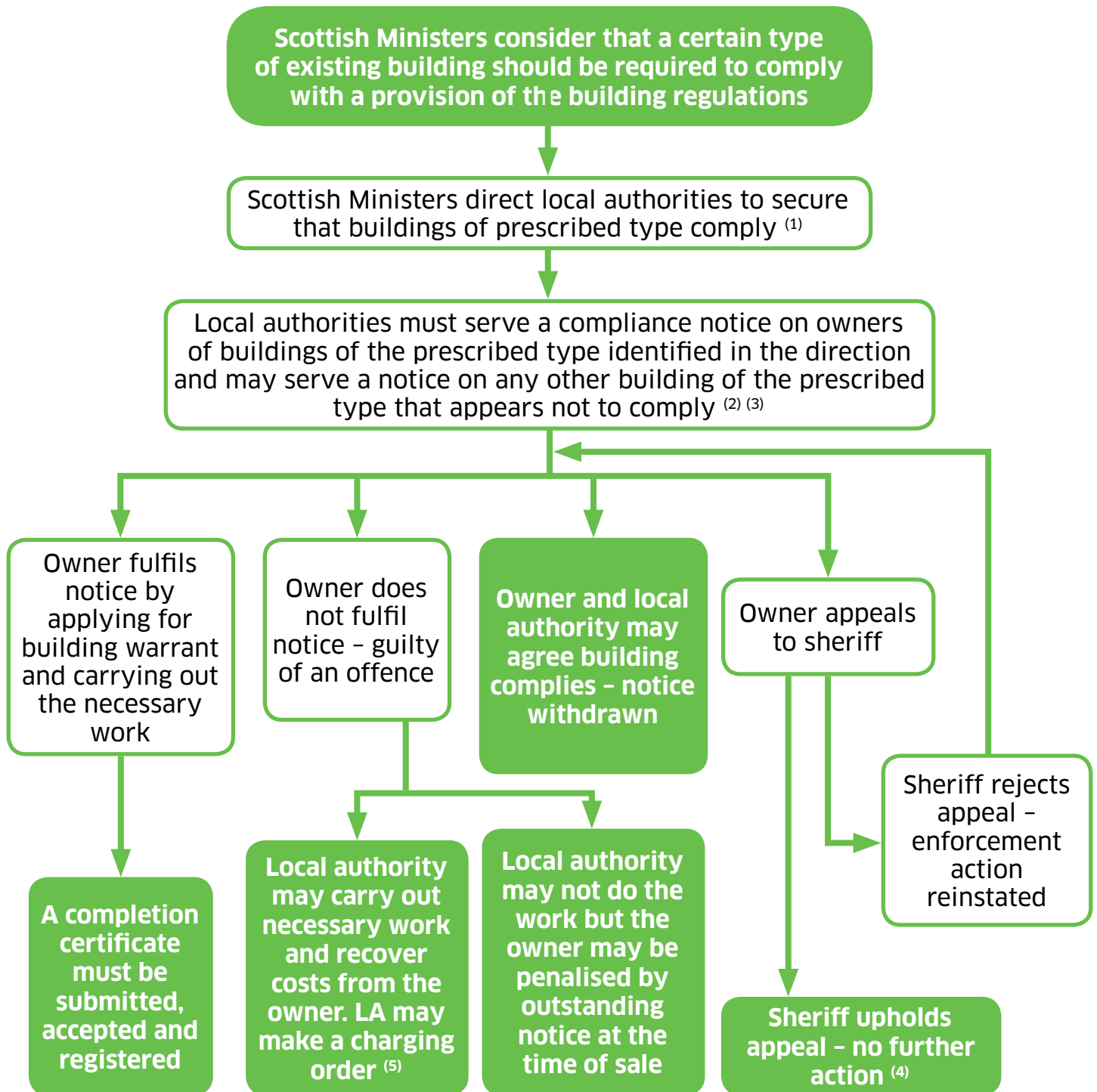
7.1.3. The issue of a building regulations compliance notice does not preclude the need to obtain building warrant approval if a warrant is required for the work. However, if the owner has applied for a warrant (and notified the local authority if in future the local authority is not the verifier) by the specified completion date, the local authority may alter the date by which the building must comply.

7.1.4. If, by the final specified completion date, the owner has not complied with the notice, the owner is guilty of an offence. The local authority may then carry out the necessary work to make the work comply with the specified provision and can recover the costs from the owner. A local authority entitled to recover its costs may make a charging order in favour of itself and register it in the appropriate land register (see 10.8). A local authority does not need a warrant to do work carried out so as to enforce a notice but after completion the authority must register in the building standards register, a completion certificate.

7.1.5. A local authority may withdraw a notice or waive or relax any requirement of a notice or substitute a later date for completion, whenever it sees fit. Such a withdrawal does not, however, preclude the issue of a further notice.

FIGURE 7 COMPLIANCE

PROCESS APPLYING TO BUILDING REGULATION COMPLIANCE NOTICES



Note

1. The BSD carries out this process on behalf of Scottish Ministers.
2. Notices must be recorded on the Building Standards Register.
3. The local authority may withdraw a notice or waive or relax any requirement of a notice, or submit a later date for completion whenever it sees fit.
4. The particulars of the notice should be removed from the Building Standards Register.
5. A local authority entitled to recover its costs may make a charging order in favour of itself and register it in the appropriate land register (see 10.8).

7.2 Building warrant enforcement notices

7.2.1. In the following cases, where local authorities consider it necessary, a 'building warrant enforcement notice' may be served on the relevant person (see 7.2.3). The three cases are:

- that work requiring a warrant has been or is being done without a warrant;
- that work has been or is being done that is not in accordance with a warrant that has been granted; or
- that a limited life building has not been demolished by the expiry of the period for which a warrant has been granted.

Note that work listed in schedule 3 of the building regulations as work not requiring a warrant may have a notice served if the work does not comply with any relevant requirement of the building regulations. This is because such work is only exempt if it does comply.

7.2.2. A building warrant enforcement notice may be required:

- for ongoing work without a warrant, that a building warrant be obtained;
- for completed work without a warrant, that a completion certificate be submitted and the verifiers acceptance obtained;
- for work not carried out in accordance with the warrant, that the work be altered to comply or that an amendment of warrant covering the changes be obtained; or
- for a limited-life building that has not been demolished, that a warrant for the demolition be obtained and the building demolished.

Note that in the case where a completion certificate is required to be submitted, it will be a late submission treated like a warrant application and, unlike a normal building warrant application, there will be time to negotiate changes on site to comply if necessary before acceptance is given.

Note also that Section 27(5) of the Act allows the local authority to suspend the work until the terms of the notice are met. The notice may also specify particular steps that must be taken to comply and that may include the removal of works that are unlikely to comply even after alteration.

7.2.3. The relevant person for the demolition of a limited-life building is the owner. For the other cases the relevant person will be either:

- the owner, tenant or developer doing the work or conversion themselves; or
- the owner, tenant or developer who has employed a builder to do the work for them.

In cases where the above relevant person cannot be found, or no longer has an interest in the building, the notice is served on the current owner.

7.2.4. The notice will specify a date by which these actions must be completed, although it will never be less than 28 days after the notice takes effect. The date of effect must also be specified on the notice. Copies of notices must be sent to the owner and/or occupier of a building if they are not the person receiving the notice. A copy should also be served on any other person with an interest as determined by the local authority.

7.2.5. In some cases, the local authority will specify particular steps that must be taken in complying with the notice. Where work that needs a warrant is being carried out without a warrant or not in accordance with a warrant, the local authority may specify on the notice that work is suspended (other than work for complying with the notice). To comply with the notice a warrant must be obtained, not just applied for, before works may start again.

7.2.6. If, before the completion date specified in the notice, the person on whom it is served applies for a relaxation and informs the local authority of the application, the completion date must be re-specified by the local authority. This date will now be not less than 28 days after the date of the decision on the application for a relaxation.

Note, however, that an appeal does not invalidate a stop notice unless the Sheriff chooses to quash it.

7.2.7. If, by the final specified completion date, the relevant person has not met the requirements of the notice, that person is guilty of an offence. The local authority may then carry out the necessary work to make the work comply and can recover the costs from the person. A local authority entitled to recover its costs may make a charging order in favour of itself and register it in the appropriate land register (see 10.8). Compliance is with the building regulations when the work is done without a warrant and with the notice when the work is done not in accordance with a warrant. This can also apply to cases where a limited life building has not been demolished when specified. A local authority does not need a warrant to do work carried out to enforce a notice but after completion must register a completion certificate.

7.2.8. A local authority may withdraw a notice or waive or relax any requirement of a notice or substitute a later date for completion whenever it sees fit. Such a withdrawal does not, however, preclude the issue of a further notice.

7.2.9. Although verifiers must accept a certificate of design as conclusive of the facts to which it relates when determining the application for warrant, this does not prevent verifiers, when checking work on site, from reporting failures to build in accordance with the warrant. A local authority could then serve a building warrant enforcement notice.

7.2.10. An approved certifier of construction should note that, should they certify work that is not in accordance with the warrant, without an amendment to the warrant being sought, they are committing an offence and placing their client at risk of enforcement action. A certifier should not certify:

- work that is ongoing; or
- work that has been completed by another party without sufficient checks, inspection or tests to ensure compliance with the warrant as finally amended and with building regulations.

7.3 Continuing requirements imposed by verifiers

7.3.1. Under section 22 of the Act, when granting a warrant or accepting a completion certificate, a verifier may impose a continuing requirement. Such a requirement imposes on a building owner a duty that the verifier feels must be fulfilled after the completion of the building to ensure the purposes of the building regulations are not frustrated.

7.3.2. This is not intended to cover matters that always rely on adequate maintenance, such as the operation of lifts or the recoating of woodwork. Nor is it for matters under health and safety or fire precautions legislation, such as testing of alarms. In general, it is also not for matters that involve action on the part of the owner. It is for special cases where the arrangements agreed for complying with the functional standards might be frustrated by uncontrolled changes. A typical example would be acceptance of a moveable platform for cleaning windows subject to a continuing requirement that adequate access and hard surfaces are provided and then kept clear and properly surfaced thereafter.

7.3.3. Such continuing requirements, therefore, relate to activities or actions happening to a building element, not the building element in itself.

7.4 Continuing requirements imposed by Ministers

7.4.1. Section 2 of the Act allows Scottish Ministers to impose continuing requirements on building owners in a different way. Here Ministers can include in the regulations certain matters that apply after the warrant and completion certificate process is complete. Further, the requirements may be imposed on existing buildings, whenever built.

7.4.2. The intent of this regulation is to allow Scottish Ministers to impose continuing requirements nationally. For example, it could be used for assisting with the implementation of certain terms of European Directives.

7.4.3. This form of continuing requirement can only relate to a provision of the regulations which is designated in the Building (Scotland) Regulations 2004 (as amended) as one to which such requirements may apply. At present, only Regulation 17, which covers the maintenance of certain air conditioning system, is so designated.

7.5 Continuing requirement enforcement notice

7.5.1. The local authority for the geographical area in which a project or building is located is responsible for the enforcement of the regulations. This applies irrespective of whoever carried out the verification role. In particular, the local authority has responsibility for enforcing continuing requirements, whether imposed by verifiers or by Scottish Ministers, where building owners have failed in their duty.

7.5.2. The local authority may serve a notice on the owner of a building requiring compliance (see section 26 of the Act for details). Where compliance is not achieved, the owner has committed an offence and the local authority can carry out any necessary works, register a completion certificate and recover costs from the owner. A local authority entitled to recover its costs may make a charging order in favour of itself and register it in the appropriate land register (see 10.8).

7.6 Other offences and enforcement

7.6.1. The notices described in 7.5 are designed to ensure work is done in accordance with the building warrant. There are other enforcement possibilities, relating to the other offences set out in the Act.

7.6.2. In relation to certificates of design, a verifier must accept certificates forming part of an application for warrant as conclusive of the facts to which they relate. If all other matters comply, a warrant must be granted. However, if a verifier considers that a certifier may have committed an offence under section 11(4) of the Act by issuing a false or misleading certificate, the verifier should report the matter to the procurator fiscal service.

7.6.3. Similarly, in relation to certificates of construction, a verifier must accept certificates forming part of a submitted completion certificate as conclusive of the facts to which they relate. If all other matters comply, a completion certificate must be accepted. However, if, after accepting a certificate, a verifier becomes aware that a certifier may have committed an offence under section 19(4) of the Act by issuing a false or misleading certificate, the verifier should report the matter to the procurator fiscal service.

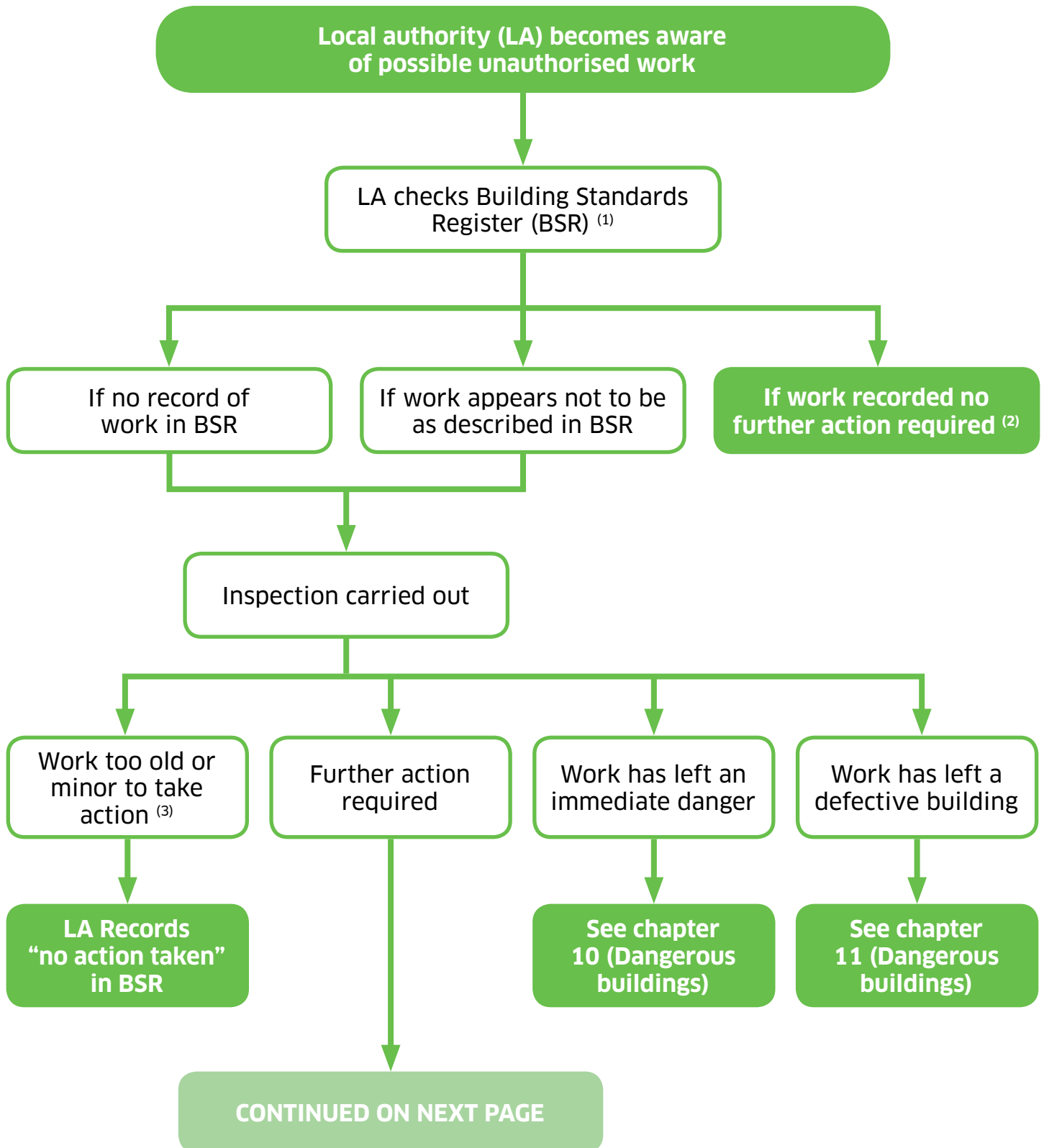
7.6.4. Whenever an approved certifier is reported to the The Crown Office and Procurator Fiscal Service (COPFS), the BSD should also be informed and the relevant Scheme Provider organisation.

7.6.5. If a building is occupied without a completion certificate having been accepted or without permission for temporary occupation having been granted (see section 21 of the Act) the Court may restrain or prevent the occupation or use.

7.6.6. For enforcement related to dangerous or defective buildings, see chapters 10 and 11 respectively.

FIGURE 8 UNAUTHORISED WORK

PROCEDURES APPLYING TO UNAUTHORISED WORK

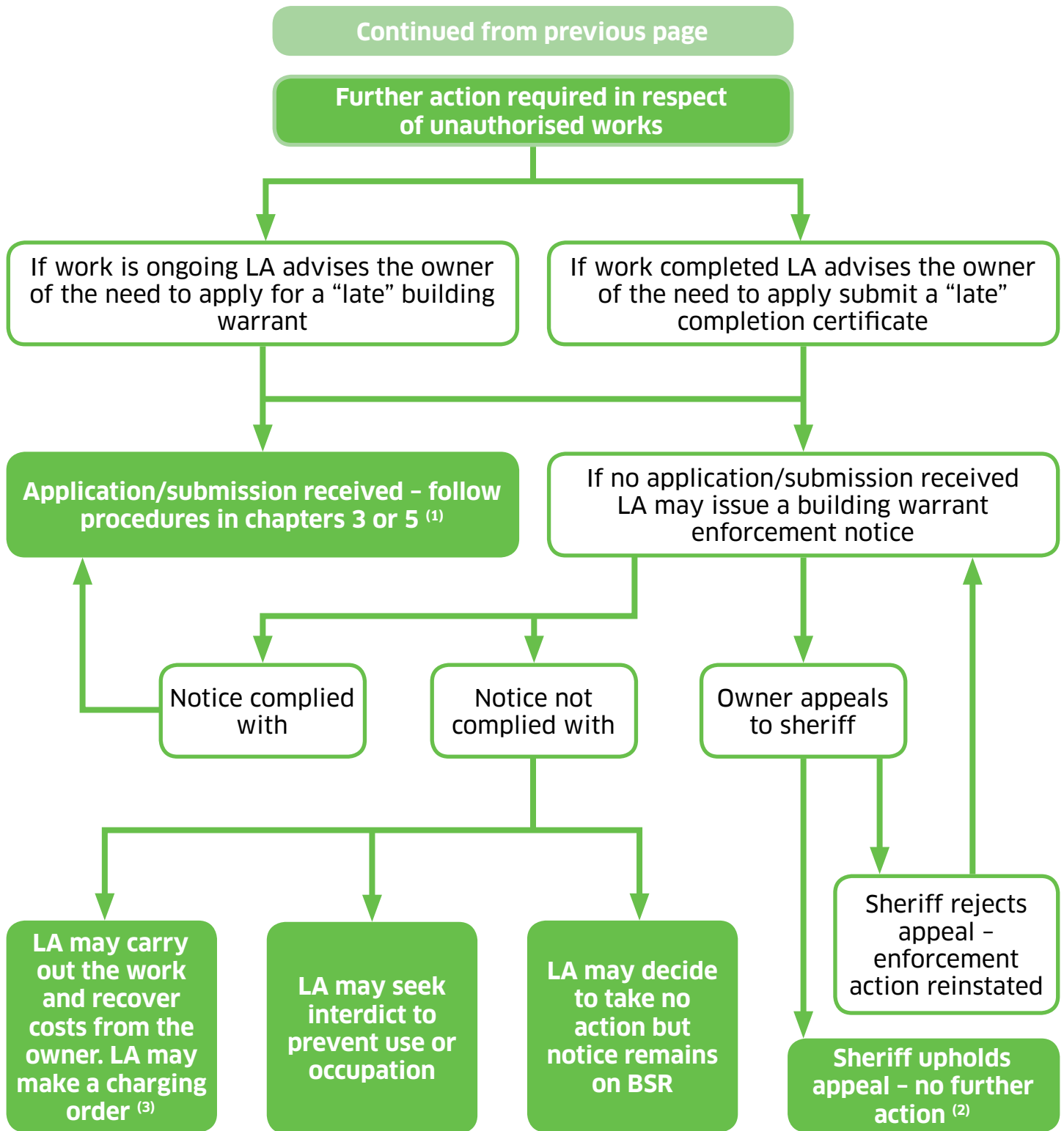


Note

1. LAs would also check register of applications under the 1959 Act for works prior to 1/5/05.
2. Provided the record confirms that work is properly completed.
3. The local authority may offer a 'letter of comfort' scheme for old or minor works. These schemes, where operated, are particularly relevant to the conveyancing process.

FIGURE 9 UNAUTHORISED WORK – CONTINUED

PROCEDURES APPLYING TO UNAUTHORISED WORK



Note

1. Although it is possible to apply for a building warrant after work has commenced or submit a completion certificate without a warrant, an offence will have been committed in both cases.
2. The particulars of the notice should be removed from the Building Standards Register.
3. A local authority entitled to recover its cost may make a charging order in favour of itself and register it in the appropriate land register (see 10.8).

7.7 Consultation and limitations for scheduled monuments, listed buildings etc.

7.7.1. For the purposes of enforcement under the Act, the following are designated as scheduled monuments, listed buildings etc.:

- scheduled ancient monuments;
- listed buildings;
- buildings subject to preservation orders; and
- those buildings in conservation areas subject to control of demolition.

Ancient monuments are those included in the schedule of monuments compiled and maintained under section 1 of the Ancient Monuments and Archaeological Areas Act 1979.

Listed buildings are those included in a list of buildings of special architectural or historic interest compiled or approved under section 1 of the Planning (Listed Buildings and Conservation Areas) (Scotland) Act 1997, preservation orders are under section 3 of that Act and control of demolition is under section 66 of that Act.

7.7.2. Before serving notices on historic buildings as defined in the Act there must be consultation with Scottish Ministers (through Historic Environment Scotland), the planning authority (where this is not the local authority) and anyone else the local authority consider necessary. Where the planning authority is within the same authority there should still be a properly recorded consultation.

7.7.3. The only qualification of this requirement is that, in relation to a dangerous building notice or urgent work needed to remove a danger, consultation is required 'if reasonably practicable'. This is intended to cover problems requiring immediate action; in these instances the relevant authorities should be notified subsequently of any such action.

7.7.4. There is also an important limitation on the notices. Except in an urgent case as described above, the effect of the notices on a person required to do work in relation to any of the enforcement notices is restricted to work that is not inconsistent with any provisions of the legislation designating the historic buildings.

8 BUILDING STANDARDS REGISTER



8.1 Maintenance of records

8.1.1. Section 24 of the Act requires local authorities to keep a Building Standards Register for the geographical area of the authority. It consists of two parts, Part I containing data with Part II containing documents. The information includes:

- applications for warrant and amendments to warrants;
- decisions on the applications;
- submissions of completion certificates;
- decisions on the submissions (acceptance or rejection);
- particulars of energy performance certificates and any statement of sustainability (new buildings only);
- particulars of notices; and
- fire safety design summaries (new and converted non-domestic buildings only).

8.1.2. Part I should contain details of any certificates from approved certifiers of design or construction submitted with warrants and completion certificates, any conditions relating to grants of warrants, any enforcement notices when issued, altered or withdrawn and any continuing requirements imposed by warrant.

8.1.3. Part II of the register should contain:

- copies of warrants and completion certificates, including certificates from approved certifiers of design and construction;
- the principal drawings and specifications;
- any other documents submitted to verifiers for registration in connection with particular projects;
- any copies of energy performance certificates and any statement of sustainability; and
- any copies of fire safety design summaries (new and converted non-domestic buildings only).

Building standards assessments (if introduced) would not be recorded on the register but any notices resulting from an assessment visit would be recorded.

8.1.4. Further to the above requirements, there will also be a need for particulars and copies of any notices issued under the Housing (Scotland) Act 2006. These include works notices issued under Section 30, demolition notices served under Section 33, Houses in Multiple Occupation amenity notices (insofar as they relate to buildings) served under Section 146 and decisions to approve, devise, vary or revoke maintenance plans under Part 1 of the Housing (Scotland) Act 2006.

8.1.5. Part I of the register is electronic, must be available on a website and be kept permanently. The documents in Part II are to be kept for 25 years normally but subject to the following guidance. Details of complex buildings should be kept, ideally until the building is demolished but at least for 50 years. The description 'complex' is intended to cover both occupancy and construction method.

Thus records of large buildings with many different occupants, such as shopping malls or large blocks of flats; or buildings with unusual structures such as pre-stressed concrete structures or suspended roofs, should be kept beyond the 25 year cut-off. The local authority archivist and the building standards manager should agree which records are to be disposed of after 25 years, 50 years or at a later date as agreed. Apart from keeping details of the more important or unusual buildings, local authorities should consider the benefits of keeping certain records for longer periods.

For example, records of drainage layouts, records of contaminated land treatments or records of sites requiring special foundations. Local authorities should develop record keeping to match local circumstances and where changes in local authority boundary occur it is important that relevant information is not lost; authorities should co-operate to transfer the relevant records. The procedure regulations also require registers kept under previous legislation to be retained, although they will contain less detailed information.

8.1.6. To permit useful and accurate searching of the records, it is important to describe the work in a consistent and explicit way. The local authority, when recording applications for the register, should take care to include relevant key words and key descriptors, including the registration numbers of approved certifiers and bodies.

8.1.7. The general information to be contained on the building standards register is set out in the procedure regulations. However, for the web-based Part I of the register, the level of information needs to be consistent and allow local authorities to include additional details as they feel applicable.

At the end of this chapter there are three tables expanding what should be on Part I with data fields for building warrants, completion certificates, notices and other matters such as energy performance certificates, together with an explanation of the data fields.

8.1.8. Local authorities, when publishing or allowing access to information, should ensure that their actions conform to the statutory requirements of the General Data Protection Regulation 2016 and Copyright Designs and Patents Act 1988. Also, any advice from the Information Commissioner's office should be considered. However, in all cases local authorities should refer to their own legal advisers where clarification is required under the Freedom of Information Act, the General Data Protection Regulation 2016 or other legislation, particularly concerning personal details.

8.2 Inspection of records

8.2.1. The building standards register must be kept open for public inspection at all reasonable times. The procedure regulations expand on this requirement by specifying that the basic information and decisions on Part I must be kept in electronic format, accessible online. The drawings, specifications, certificates and other information used to determine the application, such as soil tests, form Part II of the register and must be available for inspection during normal office hours.

8.2.2. Copying of drawings and detailed information in Part II of the register is, however, subject to certain restrictions. For residential buildings (including individual dwellings), copying is limited to anyone with an interest in the building, such as the current (or prospective) owner, occupier or tenant, known as an 'interested party'. Copying is also extended to an 'interested party' of an adjoining building. For other types of building where there is a security concern copying should only be permitted with the written permission of the owner.

8.2.3. Where copying of documents under the terms of the regulations is permitted, copies of documents should be made available on request but at a charge that recovers the local authority's costs. The copy drawings must be clearly stamped indicating that copyright restrictions must be observed.

8.2.4. The local authority may remove documents from Part II of the register if it believes that there are security concerns over the disclosure or copying of such documents. A decision to remove documents from the register would normally be preceded by discussions with the applicant after a security concern had been raised.

8.2.5. Where changes of local authority boundary occur, authorities should co-operate to transfer the relevant records, drawings and information to enable continued access to the information recorded in the register.

Table 2. Building Standards Register

(i) Building Warrant	(ii) Completion Certificate	(iii) Notices
Field Name	Field Name	Field Name
BW Reference Number	CC Reference Number	Notices Reference No
Verifier	Verifier	Earlier File Reference
Earlier File Reference	Earlier File Reference	Legislation
Date Received	Date Received	Notice Date
Date Valid	Date Valid	Notice Effect
Decision	Decision	Revocation Date
Decision Date	Decision Date	Status
Expiry Date	Expiry Date	Relevant Person
Status	-	Owner
Applicant	Relevant Person	Related Completion Certificate Ref
Agent	Agent	Building/Property Address
Owner	Owner	Description
Responsible Surveyor	Responsible Surveyor	Building Regulation Provision
Building/Property Address	Building/Property Address	Relaxation Reference No
Proposed Use of Building	Proposed Use of Building	Direction Reference No
BW Type	-	-
Description	Description	-
Relaxation Reference Number	Relaxation Reference Number	-
Certificate of Design Number	Certificate of Construction Number	-
Design Scheme	Construction Scheme	-

Table 3. Building Standards Register – continued

(iv) Other Matters	(v) Energy Performance Certificates	(vi) Statements of Sustainability
Field Name	Field Name	Field Name
Relevant Reference No	-	-
Earlier File Reference	Earlier File Reference	Earlier File Reference
-	-	-
Verifier	-	-
Related Completion Certificate Ref	-	-
Field Name	Field Name	Field Name
Date Received	EPC date	Statement date
Decision Date	CO ₂ emissions	Level of sustainability
Date of Variation	CO ₂ A - G Rating	-
-	-	-
Building/Property Address	Building/Property Address	Building/Property Address
Current Use of Building	-	-
Building Regulation Provision	-	-
Expiry date	-	-
-	-	-

Table 4. Building Standards Register Part I – explanation of data fields (see 8.1.7)

Verifier	Person(s) appointed under S.7 Building (Scotland) Act 2003 with a principal role to provide an independent check of building warrants
Relevant Person	As described in S.17(10), completion certificates, of the Building (Scotland) Act 2003
Applicant	Person(s) submitting (or on whose behalf is submitted) an application
Agent	Person(s) acting on behalf of others
Owner	Legal owner of property/building
Responsible surveyor	Surveyor dealing with building warrant, completion certificate
File Reference	Unique reference given to each Application, Submission or Notice by the Verifier or Local Authority e.g. 06/00055/BW
Earlier Related File Reference No	Cross reference to the previous related file reference allocated by Verifier e.g. notice, building warrant, completion certificate
Related Completion Certificate Reference	Cross reference to Completion Certificate Reference(s) allocated by Verifier or Local Authority
Building/Property Address	Address of property that is subject of application, or notice/action relates to
Current Use of Building	Description of current main use e.g. Shop Unit
Proposed Use of Building	Description of proposed main use e.g. Dwelling
Building Warrant type	Various: Demolition/Construction/Services/Conversion/Limited Life/Staged
Description	Concise description of proposed works, required operations or other
Building Regulation Provision	Provision of regulations being relaxed under S.3 B(S)A 2003 or relevant to continuing requirements: S.2 & 22 B(S)A 2003
Security Matters	Yes/No identifier
Date Received	Date item/application received for processing
Date Valid	Date Application procedurally accepted
RLX Ref No	Reference identifier forming part of Relaxation as issued by Scottish Ministers B(S)A 2003 Section 3
Certificates of Design Ref No:	Unique number allocated to each valid certificate of design by the Scheme Provider or, in the case of directly appointed certifiers, the Approved Certifier
Design Schemes	Approved design certification scheme e.g. Building Structures
Certificates of Construction Ref No:	Unique number allocated to each valid certificate of construction
Construction Schemes	Approved construction certification scheme e.g. Electrical Installations to BS 7671
Decision	Type of decision - approval/refusal/withdrawn etc.
Decision Date	Actual date of Verifier's approval or refusal etc. of application
Date of Variation	Date variation made
Date of Discharge	Date Continuing Requirement(s) discharged
Legislation	Legislation relating to notice
Notice Date	Date notice/item or action issued to applicant/owner etc.
Expiry Date	Date item expires as determined
Revocation date	Date notice/action revoked as defined in Sections 32 & 148 of Housing (Scotland) Act 2006
Status	Reflection of an application/item standing or progression or outcome
EPC date	Date of issue of the Energy Performance Certificate
CO₂ emissions	Approx. CO ₂ emissions in kg/m ² of floor area at the date of certificate
CO₂ A - G	Rating Graphical indication of CO ₂ emissions over 7 bands labelled A - G
Level of Sustainability	Level of sustainability under Section 7

9 BUILDING STANDARDS ASSESSMENTS



9.1 Purposes of a building standards assessment

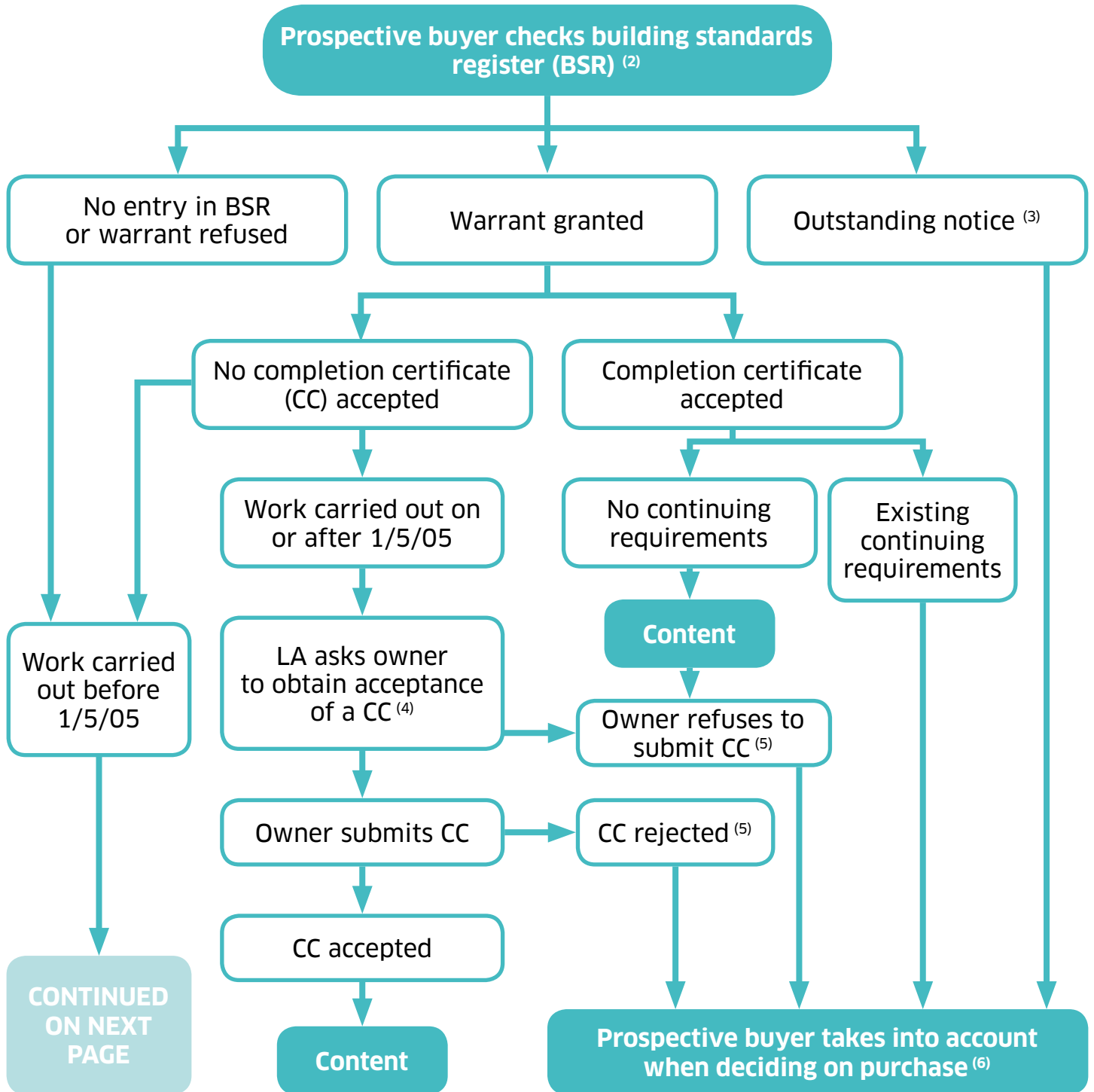
9.1.1. There are currently no plans to bring into force section 6 of the Act. However if it were to be brought into force guidance would be issued. The matters to be provided for include period covered, circumstances, exclusions etc.

9.2 Property transfer

9.2.1. Unless building standard assessments are introduced, the following flowcharts outline the procedures relevant to property transfers.

FIGURE 10 PROPERTY TRANSFERS

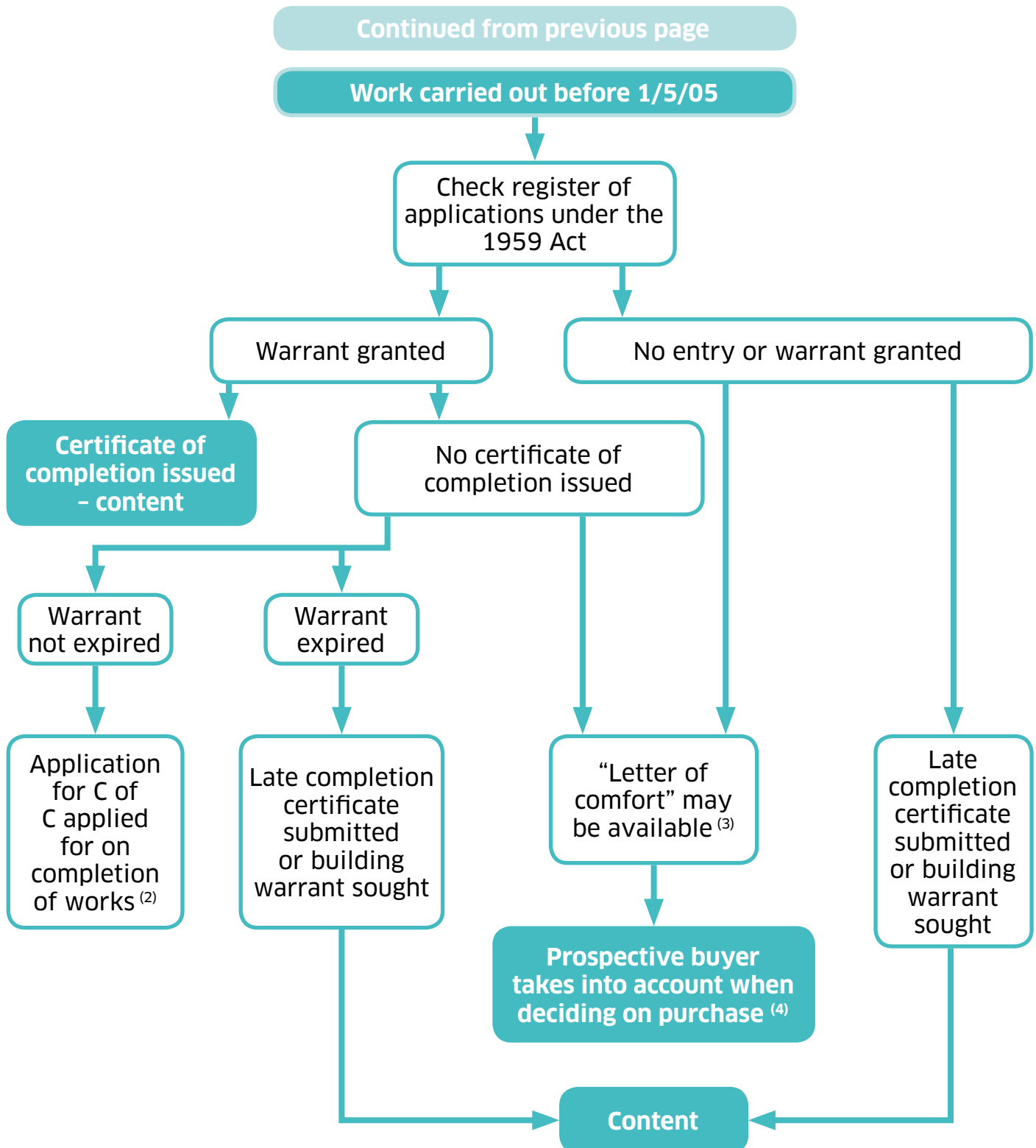
PROCEDURES APPLYING TO PROPERTY TRANSFER⁽¹⁾



- Note**
1. This diagram applies unless section 6 of the Act is brought into force and introduces building standards assessments.
 2. The Building Standards Register only records works carried out on or after 1 May 2005.
 3. For building regulation compliance, continuing requirement enforcement and building warrant enforcement see chapter 7. For dangerous buildings see chapter 10. For defective buildings see chapter 11.
 4. CC - refer to chapter 5 for further information on completion certificate processes.
 5. Local authority may take enforcement action under Section 27 (see 7.2).
 6. Advised to seek professional advice on possible work needed to rectify. New owner may take action to obtain a completion certificate or remove a continuing requirement.

FIGURE 11 PROPERTY TRANSFERS – CONTINUED

PROCEDURES APPLYING TO PROPERTY TRANSFER⁽¹⁾



Note

1. This diagram applies unless section 6 of the Act is brought into force and introduces building standards assessments.
2. The procedures under the Building (Scotland) Act 1959 and associated legislation should be followed.
3. The local authority may offer a "letter of comfort" scheme for older works. These schemes, where operated, are particularly relevant to the conveyancing process.
4. New owner may take action to obtain a completion certificate acceptance.

10 DANGEROUS BUILDINGS



10.1 Introduction

10.1.1. Building owners are responsible for preventing their buildings falling into a dangerous condition. The powers given to local authorities by the Act do not diminish this responsibility but are merely a 'safety net' that must be used to protect the public when it appears to a local authority that, for whatever reason, a building owner has failed in their duty to fulfil this responsibility.

10.1.2. The powers available to the local authority can be applied to any structure that meets the definition of building within the Act. Thus, for example, these powers can be used on a building that has not been subject to the building regulations or the building warrant process (such buildings are detailed in schedules 1 and 3 of the Building (Scotland) Regulations 2004) if that building has fallen into a dangerous state.

10.2 Duty to act

10.2.1. Should a local authority become aware of a building that constitutes a danger to persons in or about the building, to the public generally or to adjacent buildings or places, then it has a duty to act (see section 29 of the Act).

10.2.2. The local authority must carry out such work (including, if necessary, demolition) as it considers necessary to prevent access to the dangerous building and to any adjacent parts of any road or public place which appear to be dangerous because of the state of the building. Any other work considered necessary for the protection of the public and persons or property in places adjacent to the dangerous building must also be carried out. This covers such matters as installing any necessary temporary shoring. Reasonable expenses may be recovered from the owner(s). A local authority entitled to recover its costs may make a charging order in favour of itself and register it in the appropriate land register (see 10.8).

10.2.3. Where the local authority considers that other urgent action is needed to reduce or remove the danger it may, after giving the owner such notice (if any) as the circumstances permit, carry out the necessary work and recover the costs from the owner. Again a local authority is entitled to recover its costs and may make a charging order in favour of itself and register it in the appropriate land register (see 10.8). In most cases, however, the local authority will serve on the owner a notice to do the work (see paragraphs at 10.3 to 10.5). Satisfactory management of dangerous building incidents by local authorities is essentially the result of appropriate risk assessment. Each dangerous building case should be dealt with on its own merits, as the local authority considers necessary.

10.2.4. There are a considerable number of factors which can influence the approach to be taken:

- the nature and/or severity of the danger (structural decay or damage, fire damage, impact damage, missing building safety features, loose parts of building elements or building fixtures, sudden subsidence, etc.);
- the physical proportions and nature of the building (low-rise, medium-rise, high-rise, spire or tower, viaduct, etc.);
- the geographical location (city centre, rural, remote, etc.);
- the location of the danger (internal only, internal but could affect whole building, external affecting curtilage of building, external affecting a public area, ease of accessibility to do the emergency work etc.);
- the extent of the danger (several affected buildings, only one building or part of building affected, several parts of one building element, or just one part etc.);

- the persons at risk from the danger (general public passing by, building occupiers, unauthorised persons frequenting the building etc.);
- the time of year and/or day (school holidays, public holidays, night time, rush hour etc.);
- the building owner(s) (finding the owner(s), the number of owners, the owner's willingness to recognise danger and resolve matters, the financial/construction resources available to the owner etc.);
- the building occupier(s) (the occupier's willingness to recognise danger, need to temporarily rehouse occupiers, disruption to occupier's business etc.);
- the attendance of other statutory bodies at or permanent surveillance of, the dangerous building (police, fire service, security guards, etc.);
- the availability of emergency contractors (demand for other emergency repairs, public holidays etc.);
- the local weather forecast (high winds, flooding, period of calm etc.).

This list is provided to identify the main issues which surround dangerous buildings but is not to be considered as being exhaustive. For example, consideration of the historic status of the building is needed (see paragraph 10.3.1).

10.2.5. It is expected that local authorities will respond immediately to a report of a dangerous building but they will have regard to the information that they are presented with at the time of the report. If a local authority considers that immediate access/entry to a dangerous building is essential due to the severity of the report received or after risk assessment that measures are required, no prior notice need be given to the owner(s) or occupier(s). If access/entry is refused or the property is vacant, an authority may seek a warrant from a sheriff or justice of the peace to enter the premises.

The authority when leaving must secure the premises against unauthorised access to the same degree of security as prior to them gaining access. (It would also be an offence for any person who has gained entry to disclose or make use of any commercially confidential information).

10.3 Establishing the danger and taking action

10.3.1. If the building is of an historic nature (this information can usually be obtained from the planning section of the local authority) consultation must take place with:

- Scottish Ministers (Historic Environment Scotland should be informed);
- the planning authority (particularly where the planning authority is not the local authority, such as in a national park); and
- such other persons as the local authority see fit before serving a notice or carrying out work.

10.3.2. When serving a dangerous building notice or carrying out urgent work under section 29(3) of the Act, the consultation is required only if reasonably practicable. It is however still good practice to limit the action taken in relation to a historic building to the minimum needed to protect the public until the proper consultations have taken place.

10.3.3. In many instances, the danger presented by a building is easily established. Depending on the degree of risk and the simplicity of remedial work it may be possible for the local authority to negotiate a solution with the building owner without taking formal action. For the local authority to consider such an arrangement, it is imperative the owner agrees at once and confirms as appropriate to the local authority that they will immediately arrange to undertake the measures required. The advantage with this approach is an owner should be able to arrange either temporary or permanent solutions in the time it would take an authority to effect only emergency work, using the normal notice procedures etc. However, an owner that fails to achieve the negotiated solution can expect the local authority to take action swiftly.

10.3.4. In some cases the action of the local authority may involve the serving of a dangerous building notice (see paragraphs at 10.4) and no immediate action may be necessary e.g. where the building is unoccupied and adequately isolated from the public. In most instances however some emergency work will be needed to prevent access to the building, for example, security fencing, or to carry out temporary work, for example, shoring, and perhaps permanent work, for example, repairs to reduce/remove the danger. In some cases partial or total demolition work may be done by an authority where this is the only appropriate solution. Reasonable expenses incurred for any such work may be recovered from the building owner(s). A local authority entitled to recover its costs may make a charging order in favour of itself and register it in the appropriate land register (see 10.8).

10.3.5. In some instances the degree of risk cannot be established except by instigating further exploratory work on the building, using either the resources of the local authority or sub-contracting the work to a specialist. Enabling equipment or work will sometimes be necessary and again reasonable expenses incurred for this may be recovered from the building owner(s). Again a local authority is entitled to recover its costs may make a charging order in favour of itself and register it in the appropriate land register (see 10.8). Note that preliminary/investigative work can incur considerable expense where, for example, scaffolding or a mobile access platform is hired. Where possible, such enabling work should be used to remove the danger, whether completely, partially or temporarily, as considered appropriate by the local authority.

10.3.6. Where there is to be a delay in establishing the extent of the danger, it is appropriate for the authority to undertake work to mitigate possible effects, for example, by erecting temporary barriers to restrict access. Again reasonable expenses may be recovered for such emergency work.

10.3.7. Where work is undertaken by a local authority (see 10.2.2 and 10.2.3) no warrant is required. Work undertaken by an owner in response to a notice also does not require a warrant, so a notice can therefore be an advantage in certain circumstances e.g. where a home owner has lost their home through no fault of their own, say in a gas explosion. In all cases, however, the work must be recorded in the building standards register held by the local authority. A local authority must also register a completion certificate when work is complete, even though a warrant was not required.

10.3.8. A notice is not required if the emergency work completely removes the danger with a long-term solution, however, if a part of the building is still dangerous a notice must be served. If the building is merely defective after the emergency work however, a defective building notice may be sufficient (see chapter 11).

10.4 Dangerous building notices

10.4.1. The prescribed form 12 contained within The Building (Forms) (Scotland) Regulations 2005, as amended should be used. In cases where there are multiple owners of a building, each owner or set of joint owners must receive a notice. The notice contains:

- the name and address of the owner;
- the address of the dangerous building;
- a list of any co-owners and their addresses;
- the commencement date for remedial work (appropriate timescale set by authority);
- the completion date for remedial work (appropriate timescale set by authority);
- the dangerous aspects of the building;
- the work necessary to comply with the notice, including any protective works and specialist supervision required and offering options where possible, for example, repair or demolish;
- notes on right of appeal; and
- a warning on the consequences of failing to carry out the stipulated works.

10.4.2. Optional information might be:

- guidance notes for owners receiving a notice, including procedures for obtaining a building warrant if other work is to be done at the same time as the remedial work;
- guidance on the follow-up procedures that will be adopted by the local authority; and
- location plan of the building.

10.4.3. Copy notices must be served on the occupiers of the building if they are not the owner(s).

The local authority must also serve a copy notice on any other person appearing to have an interest in the building. Procedures for serving notices can be found in the Local Government (Scotland) Act 1973.

10.4.4. Where the local authority is the owner or a co-owner of a dangerous building, the notice should be served on the chief executive of the authority, as the representative of the owner.

10.4.5. Consideration should also be given to advising the fire authority of the dangerous building.

This is particularly important where the structure of the building has been weakened to the extent that the building would not behave as expected in a fire situation. Notification is not necessary when the fire authority has been involved in taking any emergency action in connection with the building.

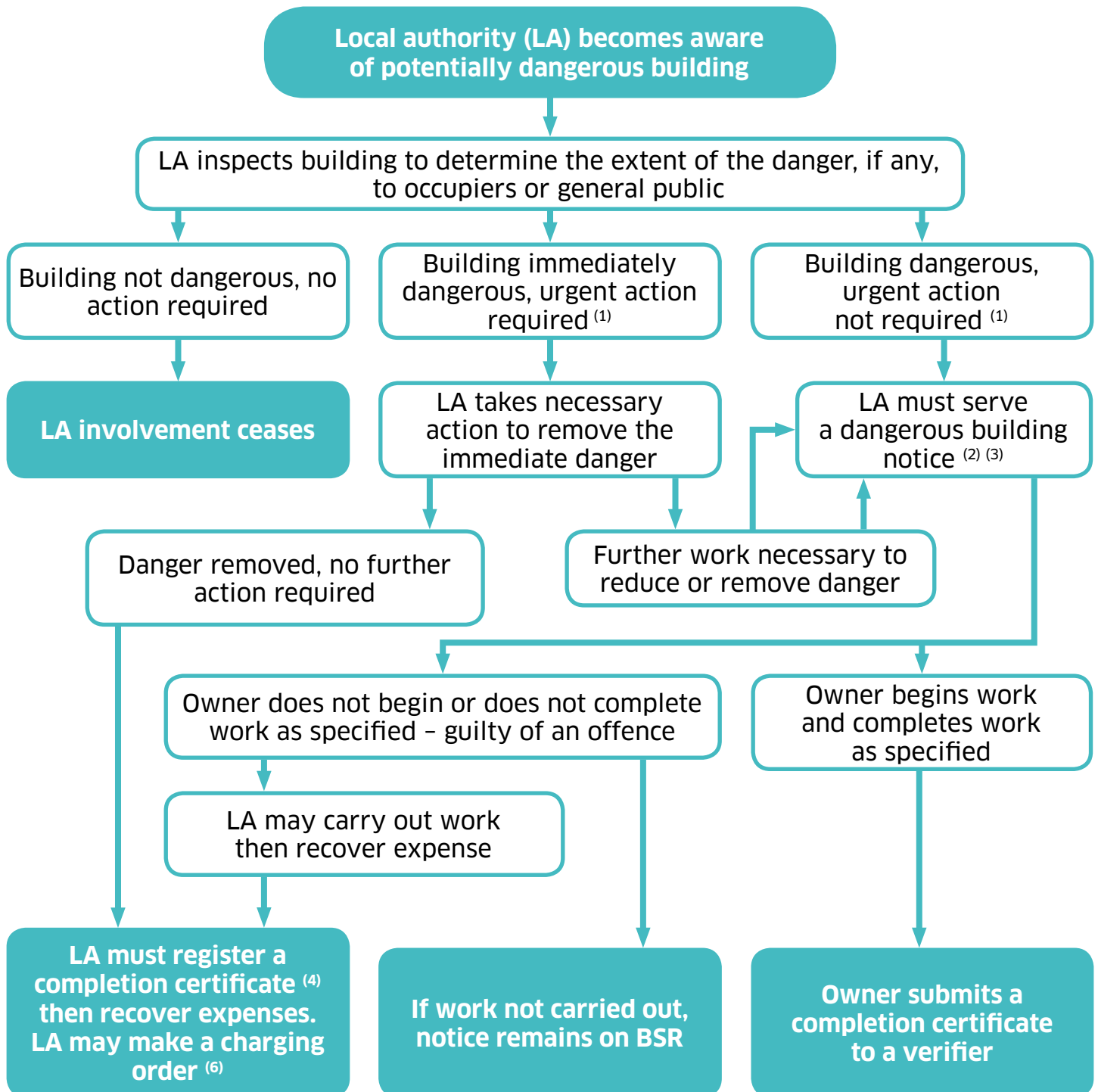
10.4.6. An owner may appeal to the sheriff within 21 days of the date of the notice and this delays the effect of the notice. There is no further right of appeal against the decision of the sheriff.

10.4.7. If circumstances change after a notice has been served, for example, to a situation that requires urgent action, a notice may be withdrawn or any aspect waived or relaxed, allowing the authority to take urgent action. Notice of such a change is required before action only if reasonably practicable.

10.4.8. Although no warrant is required for work specified in the notice it must be recognised that any additional work may require a warrant. On completion, the work and any completion certificate required must be recorded in the building standards register.

FIGURE 12 DANGEROUS BUILDINGS

PROCEDURES RELATING TO A DANGEROUS BUILDING



Note

1. If the building is of an historic nature Historic Environment Scotland, the planning authority and any other persons that the LA thinks fit should be consulted (if time permits).
2. The dangerous building notice is served on the owner of the building and recorded in the building standards register.
3. Owner may appeal to the sheriff against the requirements of the notice.
4. Completion certificate is registered in the building standards register.
5. A local authority may recover reasonable expenses from the owner or by compulsory purchase if the owner cannot be found.
6. A local authority entitled to recover its costs may make a charging order in favour of itself and register it in the appropriate land register (see 10.8).

10.5 Failure to comply with a dangerous building notice

10.5.1. Where an owner has not fulfilled the requirements of a notice, the owner is guilty of an offence. In these circumstances, the local authority can carry out or complete the necessary work and recover from the owner any expenses reasonably incurred. A local authority entitled to recover its costs may make a charging order in favour of itself and register it in the appropriate land register (see 10.8). Most cases should, however, be dealt with to avoid this outcome.

10.5.2. There may be a variety of reasons why failure to comply is likely, particularly where a number of owners are involved. Although a prior notification before serving a notice is no longer required, in many cases it could be useful to indicate the intention to issue a notice. The owners could be given the opportunity to show why the notice might not be reasonable or how they intend to handle the situation. If representations are received, the owners may be invited to a meeting, which could involve building standards surveyors. Anyone with an interest in the dangerous building or adjacent buildings or that is an associate of the building owners, occupiers or other interested persons, should declare that interest at such a meeting.

10.5.3. A meeting is an opportunity to get the owner/mutual owners together to impress upon them both the reasons why action will be taken and that looking after the property is their (joint) responsibility. The meeting may result in a decision to give the owner(s) more time to do the work or the local authority may decide just to issue the notice. The authority may, at any time in the proceedings, withdraw the intention to serve the notice. If a notice is not served, the local authority has the power to issue a future notice.

10.5.4. If the notice, when served, is not complied with, the local authority may decide to carry out the work. The owners should be informed of the date when the contractor will start the work and of any matters that require to be addressed by the owners prior to the start, for example, removal of fittings to allow work to proceed unhindered.

10.5.5. Where the owner of a dangerous building does not occupy the property, the Act (section 40) gives the person on whom the notice was served the right to enter the property for the purpose of compliance with the terms of the notice. This right extends to any surrounding land held in connection with the building. Reasonable notice must be given before exercising this right of entry. Where access is needed to adjoining land owned by others, it will be necessary to negotiate legally such access (this does not affect a local authority's right to enter any property to carry out emergency work).

10.6 Evacuation of dangerous buildings (including notice to remove)

10.6.1. There may be circumstances where it is not possible for the owner or the local authority to carry out emergency works sufficient to enable the occupants of a dangerous building or those of adjacent buildings to remain in occupation. In some instances the nature of the work may prevent the occupiers from remaining in the building, for example, demolition or stabilisation using tied-through scaffolding. Where this occurs the local authority must require the occupants to remove immediately and can apply to the sheriff for a warrant for ejection if the occupants refuse to remove or re-enter the building (see paragraphs 10.6.3 to 10.6.6).

10.6.2. The requirement to remove should be in writing and must state the reason for the requirement and the time by when the occupants must remove from the building. This applies in relation to work arising from a dangerous building notice as well as emergency work. A copy of the notice should be sent to the owner of the building where the owner is not also the occupier.

10.6.3. If an occupant fails to vacate a dangerous building or an adjacent building when required by the local authority, a warrant may be sought from the sheriff for the ejection of the occupant. If the occupant is required to move immediately, the warrant can be applied for at any time. If, however, the notice to remove specifies a time period, the warrant can only be applied for when that time period expires. The application to the sheriff must include a certificate (Form 15 of The Building (Forms) (Scotland) Regulations 2005) confirming that the occupant will be exposed to danger or has the potential to be exposed to danger, as a result of the dangerous building or the work proposed to the dangerous building (including demolition). The sheriff may require the service of a notice in terms of schedule 5(4) of the Act but this is in addition to any notice already served by a local authority in terms of section 42. A copy should be sent to the sheriff.

10.6.4. Where a local authority intends to carry out work to draw a dangerous building notice to a conclusion and they consider that the occupant may be endangered by such work, the sheriff may grant a warrant of ejection. In any other case the sheriff must grant a warrant for the ejection of the occupier within seven days of the application or if a notice is required under schedule 5(4), within seven days of the date of the notice. There is no right of appeal against the sheriff's decision.

10.6.5. Paragraph 8 of schedule 5 advises the sheriff that the information contained in the certificate accompanying the application for a warrant to eject is sufficient evidence of the facts in the certificate. Paragraphs 9 to 11 of the schedule give rights to tenants in relation to maintaining their tenancy agreement and non-payment of rent during the time that they have not been able to occupy the building.

10.6.6. Under section 43, it is an offence for a person who has been evacuated/ejected from a building in accordance with section 42 and/or schedule 5 to thereafter occupy the building. However when the need for occupants to vacate buildings has passed, the local authority must give notice, in writing, that occupation may resume.

10.7 Recovery of costs

10.7.1. A local authority may recover from the owner of a dangerous building any expenses reasonably incurred in carrying out work in relation to the building, except as explained in paragraphs 10.7.2. The normal methods of debt recovery apply, except as explained in paragraphs 10.7.3 and 4. Also from 24 January 2015, when a local authority has carried out such work, a local authority may make a charging order and register it in the appropriate land register to help them recover their expenses (see 10.8 Charging Orders).

10.7.2. Where a demand for payment is made by a local authority in relation to work on a dangerous building, section 44 of the Act may limit the amount payable. It depends on both the interest that the person has in the building and the resources available but is limited to trustees, liquidators etc., as listed in section 44(2)(a). Section 44 also advises that summary application can be made to the sheriff where a person considers that costs incurred or to be incurred by a dangerous building notice should be borne to any degree by another person with an interest in the building. The sheriff may make an order and there is no right of appeal against the sheriff's decision.

10.7.3. A local authority may use section 45 of the Act if it has incurred expense but cannot find the owner to recover the costs. The local authority can seek authorisation from Scottish Ministers, via the BSD, to compulsorily purchase the building and/or its site. The costs not recovered may be offset against the compensation that would normally be payable as a result of compulsory purchase.

10.7.4. Where a dangerous building is demolished by a local authority, section 46 of the Act permits the authority to sell the materials arising from the demolition. The local authority may offset the proceeds of the sale against the sum to be recovered. Any surplus must be accounted for to the owner or any other person having an interest in the building.

10.8 Charging Orders

10.8.1. When a local authority undertakes work in relation to compliance or enforcement, or in relation to a defective or dangerous building, it may recover any expenses reasonably incurred and normal methods of debt recovery apply. The 2003 Act was amended on 24 January 2015 by the Building (Recovery of Expenses) (Scotland) Act 2014 to improve these cost recovery powers and further help local authorities recover their expenses.

10.8.2. The charging order provisions in sections 46A to 46H of the 2003 Act cover work and expenses recoverable by a local authority in relation to a notice served under sections 25-30, or urgent action undertaken on a dangerous building under section 29(3), from 24 January 2015. The notices are a Building regulations compliance notice, a Continuing requirement enforcement notice, a Building warrant enforcement notice, a Defective buildings notice and a Dangerous buildings notice.

The charging order provisions supplement normal methods of debt recovery and allow the local authority to make a charging order and register it in the appropriate land register. This means either registering in the Land Register of Scotland or recording in the Register of Sasines.

A local authority entitled to their recoverable expenses under sections 25-30 (qualifying expenses) are also entitled to the registration and administration fees associated with the charging order and its discharge, and interest at a reasonable rate.

When a local authority makes a charging order it must register it in the appropriate land register.

They must serve a copy of the charging order on the owner(s) of the building concerned and advise them of the effect of the charging order and the right of appeal. The charging order will specify the building concerned and the repayable amount. The local authority can determine the most appropriate number of annual instalments between 5 and 30 and the date for payment of each instalment which, will be set out in the charging order.

Although the charging order sets out annual instalments, the owner can repay the full amount at any time. The local authority may also agree a lower settlement sum with the owner if they choose.

When the outstanding amount has been paid, the local authority must register the discharge of the charging order in the appropriate land register.

An owner can appeal a charging order in the same way as the other decisions and notices in the 2003 Act, that is within 21 days of being made. The local authority can register the charging order immediately they have made it even though it does not come into effect until the 21 day appeal period has passed, or if an appeal is made, the appeal has been determined.

The charging order provisions are also designed to help prevent owners from transferring ownership of their building to avoid their liabilities, and help prevent owners using the appeal mechanism as a stalling tactic. If a new owner acquires right to the building 14 or more days after registration, both the new and former owners will become severally liable.

Standard forms for a charging order and a discharge of a charging order are set out in the Building (Scotland) Act 2003 (Charging Orders) Regulations 2014, together with details of notification of the making of a charging order.

11 DEFECTIVE BUILDINGS

11.1 Defective buildings notice

11.1.1. Where a local authority considers that a building has defects that require to be dealt with to prevent significant deterioration, it can serve a notice on the owner of the building. The Act describes the defects that can be dealt with as those 'which require rectification in order to bring the building into a reasonable state of repair having regard to its age, type and location'. As with dangerous buildings notices, before serving a defective building notice it may be useful to call a meeting if the repairs are likely to be extensive or involve a variety of owners.

11.1.2. A defective buildings notice must specify a date, not less than seven days after service of the notice, by which the owner must have begun the work specified. The work must be completed by a second specified date, which must be not less than 21 days after the specified commencement date. The notice may also specify particular steps which the owner must take in complying with the notice. The issue of a notice must be recorded in the building standards register (see 7.7 for the consultation needed with Historic Environment Scotland on historic buildings). The notice requires the owner to inform the local authority when work is completed and a completion certificate is required whether or not work is done under a warrant.

11.1.3. Should the work be of a nature that does require a warrant, then this must be obtained before the work starts. To facilitate this, if a warrant has been applied for by the commencement date in the notice then a new commencement date is substituted, which is not less than seven days after the verifier considering the warrant has decided the application.

11.1.4. It should be noted that where the local authority issuing the notice is also a verifier, it can require the application for a warrant and subsequent completion certificate to be submitted to them.

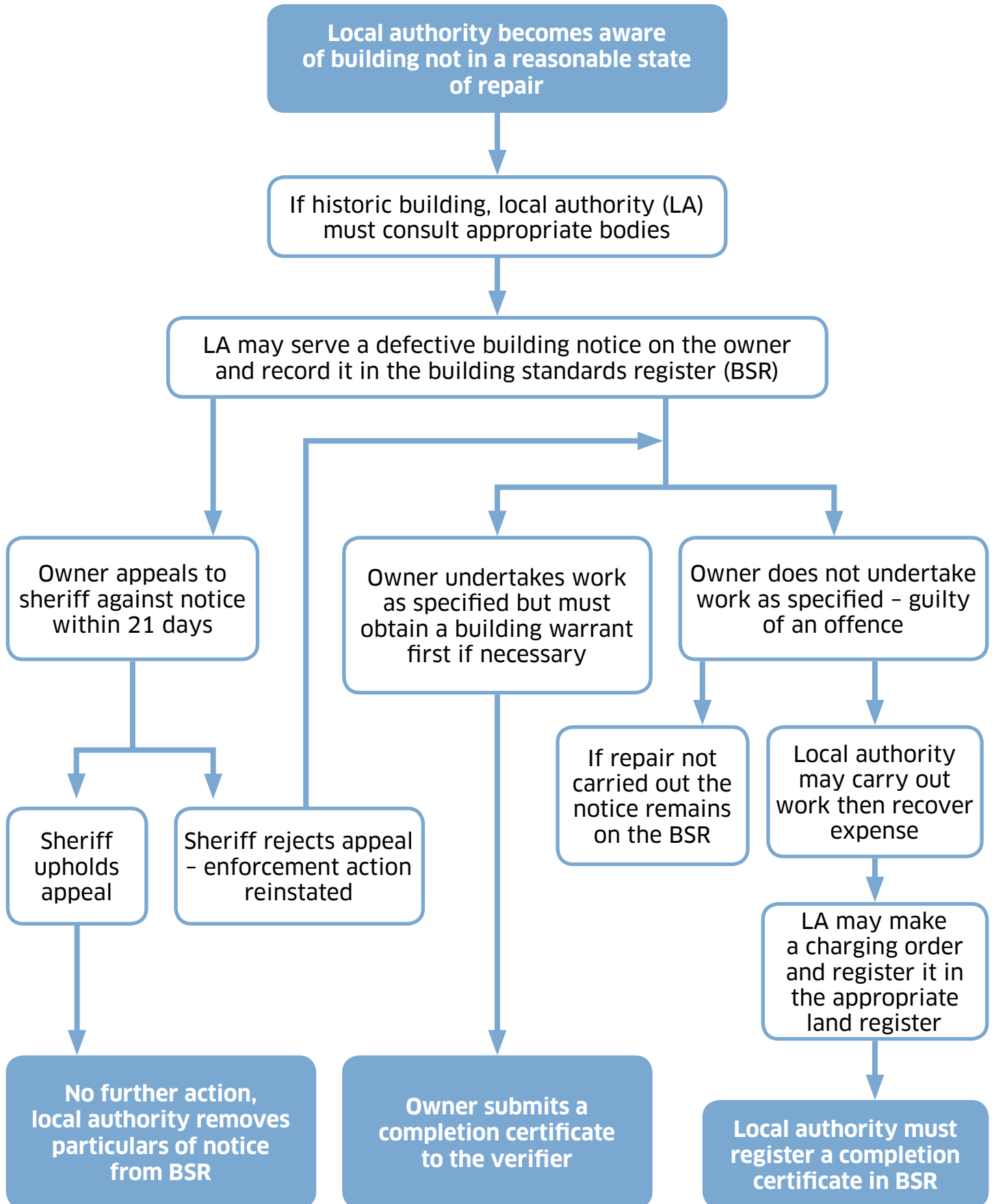
This is to assist in the enforcement of the notice, because if an owner has not begun and completed the work by the specified dates the owner has committed an offence. The local authority also has the power to carry out the work necessary to fulfil the notice and to recover from the owner any expenses reasonably incurred in doing so. A local authority entitled to recover its costs may make a charging order in favour of itself and register it in the appropriate land register (see 10.8). Where the local authority does the work no warrant is required but on completion a completion certificate must be registered in the building standards register.

11.1.5. It should be noted that, although the power to issue notices has been removed from section 87 of the Civic Government (Scotland) Act 1982 by the Building (Scotland) Act 2003, other sub-sections are not repealed. For defective buildings therefore, the existing powers in the 1982 Act to rectify immediately and recover costs by charging order under section 108 remain. The link to entitlement to repairs grant, however, was repealed by the Housing (Scotland) Act 2006.

11.1.6. The local authority has the power to withdraw a defective buildings notice at any time or waive or relax any requirement of the notice or substitute a later date for any date specified for commencement or completion. The withdrawal does not prevent a future notice being issued should the local authority deem it necessary. Where a notice is withdrawn, this should be recorded on the building standards register.

FIGURE 13 DEFECTIVE BUILDINGS

PROCEDURES RELATING TO DEFECTIVE BUILDINGS



12 VERIFIERS



12.1 Appointment of verifiers

12.1.1. Scottish Ministers may appoint individuals or bodies, either public or private, to verify applications for building warrants and completion certificate submissions. At present the only bodies appointed as verifiers are the 32 Scottish local authorities for all work in their own area.

12.1.2. Verifiers are appointed on terms and for a period specified by Scottish Ministers. Whenever the appointment of a verifier is terminated, Scottish Ministers must appoint another verifier to deal with warrant applications and completion certificate submissions still undetermined, including future completion certificate submissions related to warrants previously determined by the verifier.

12.1.3. Should it become necessary, Scottish Ministers may exercise the functions of a verifier.

They may also direct a verifier to refer a warrant application or submission of a completion certificate to them, in the following circumstances:

- the verifier requests Scottish Ministers to deal with the case; or
- Scottish Ministers consider that the verifier is incapable for any reason of exercising the functions of a verifier in this case.

12.1.4. A verifier is not entitled to verify any application in relation to which they have an interest, unless specifically permitted to do so by direction. At present, Scottish Ministers have directed each local authority that it may act as verifier for projects in which the authority has an interest subject to certain conditions. Having an interest in a building is taken to be where the verifier is the owner, tenant or occupier of a building, including any prospective building, or is acting as the developer, or has taken a substantial share in the equity/ownership.

12.1.5. The direction from Scottish Ministers, under schedule 2, paragraph 9 of the Act, also requires local authorities to issue and record in the building standards register a warrant for any such projects as would normally require a warrant.

12.2 Performance criteria for verifiers

12.2.1. Scottish Ministers may give directions to verifiers, of either a general or specific nature, as to how the verifier should carry out their function. These directions may be to a particular verifier, or to some, or to all.

12.2.2. The verification performance framework was updated for 2017 to support the aim of improving the quality, compliance, consistency and predictability of verification activities. The framework has been developed in partnership with all verifiers and builds on the balanced scorecard approach of previous years. The scorecard and performance framework covered three core perspectives, and these have been retained:

- Professional Expertise and Technical Processes
- Quality Customer Experience
- Operational and Financial Efficiency

These are supplemented by three important cross-cutting themes spanning all perspectives – Public Interest, Continuous Improvement and Partnership Working. The framework is supported by a range of key performance outcomes and targets, and further details can be found on the BSD website at <https://www.gov.scot/policies/building-standards/>.

12.3 Auditing of verifiers

12.3.1. The BSD, on behalf of Scottish Ministers, conducts audits of the effectiveness of verifiers, and engages with them throughout the appointment period to discuss progress with continuous improvement actions. The audit has regard to the appointment conditions of the verifier and representations made to the BSD by users of the system. Copies of verifier audit reports can be found on the BSD website at <https://www.gov.scot/policies/building-standards/>.

12.4 Lists of verifiers

12.4.1. Scottish Ministers must keep lists of verifiers available for public inspection at all reasonable times. Details of verifiers can be found on the BSD website at <https://www.gov.scot/policies/building-standards/>.

13 CERTIFIERS



13.1 Appointment of certifiers

13.1.1. Scottish Ministers may appoint individuals or bodies, either public or private, as approved certifiers of design or construction. For full information on certification see the certification handbook, available on the Scottish Government website at <https://www.gov.scot/policies/building-standards/>.

13.1.2. Approved certifiers are directly appointed on specified terms for a period set at appointment. This period may be varied or the appointment terminated for a number of reasons including a breach of any terms of the appointment or a failure to deliver the scheme to published standards.

13.1.3. Scottish Ministers may also approve schemes of design or construction, subject to limitations. Approved schemes are specific to an aspect of design or construction. Further

details regarding the role of scheme providers, certifiers and the appointment and review process is set out within the Certification Handbook.

13.1.4. Details of all current certification schemes are published on the Scottish Government website at <https://www.gov.scot/policies/building-standards/>.

13.2 Certification register

13.2.1. Scottish Ministers must keep lists of approved certifiers available for public inspection at all reasonable times. The online certification register contains details of scheme providers, approved certifiers of design and approved certifiers of construction. It also contains approvals and termination of approval date to aid the checking process. This data is updated on a regular basis by scheme providers.

14 RELATIONSHIPS WITH OTHER AUTHORITIES



14.1 General

14.1.1. At intervals of no more than seven days, each verifier submits (usually electronically) a list of warrant applications to the fire authority, planning authority, environmental health authority, highways authority, Scottish Environment Protection Agency (SEPA), Scottish Water and the council tax valuation assessor. The list contains the description of the work and is a way of sharing information and advising such bodies that building work in which they may have an interest may take place in the future. The bodies may then inspect any warrant applications they wish to see, at a time convenient to the verifier. Any observations or objections that these bodies might have are then given in writing to the applicant, copied to the verifier.

14.1.2. In addition to the above notifications, consultation in particular circumstances is either required or recommended – for details see the entries for the individual authorities. The consultation is on the extent to which the proposal fulfils the requirements of the building standards in schedule 5 of the Building (Scotland) Regulations 2004. For example, where the proposals for access for fire appliances deviate from the guidance in the Technical Handbooks, consultation with the fire authority will help verifiers decide whether the building standard is being met. The verifier may either consult themselves or they may direct the applicant to obtain the views of the relevant consultee. In either case a reasonable time period for receipt of comments should be specified.

Model form R should be used by either applicant or verifier when consulting. Verifiers take account of the opinions expressed by consultees but are not bound to follow them.

14.1.3. It is not expected that either of the above processes should delay the issue of a building warrant. Any requirements of these bodies outwith the scope of the building regulations cannot delay the issue of a warrant, as this must be granted if the requirements of the building regulations are met.

Note, however, that any requirements intimated to the applicant after warrant is granted, that impact on the work approved in the warrant drawings and cause redesign, will mean the applicant must seek an amendment to warrant. The applicant or agent should, therefore, consider the complexity or situation of the project and decide whether to seek advice from the bodies prior to making the application for building warrant (see also 3.6.8).

14.1.4. Where amendments to warrant (including staged warrants) are applied for, verifiers should consult in cases where they consulted on the initial warrant or where the solution does not now follow the Technical Handbooks.

14.1.5. Applicants that elect to propose novel solutions to achieving compliance with the building standards must accept that the verifier may need more time to assess compliance, particularly where consultations have to take place.

14.1.6. When the view of Scottish Ministers is sought appropriate, consultations should already have taken place. If they have not the view may include a requirement to consult. Scottish Ministers will not consult before giving a view (see paragraphs at 4.2).

14.1.7. When considering a relaxation Scottish Ministers will take appropriate advice. Although it is intended that the BSD will include within its staffing individuals with direct experience of the Scottish Fire and Rescue Service (SFRS), relaxations with novel solutions will usually involve consultation with SFRS for the area concerned.

14.2 Scottish Fire and Rescue Service

14.2.1. Consultation with the SFRS is a requirement of the procedure regulations in the circumstances described in the following paragraphs. However, the consultation should not be confused with the SFRS's acceptance or rejection of the fire risk assessment required by the Fire (Scotland) Act 2005.

14.2.2. At application for warrant, verifiers will consult on:

- non-domestic residential buildings;
- non-domestic, non-residential buildings where the design does not follow section 2: Fire of the non-domestic Technical Handbook approved by Scottish Ministers;
- domestic buildings with a storey at a height over 18 metres
- domestic buildings with a storey height over 7.5 metres but not over 18 metres where the design does not follow section 2: Fire of the domestic Technical Handbook approved by Scottish Ministers.

Consultation is also required where there is an application for amendment of warrant where there was consultation on the initial warrant, and where an amendment brings a building into the class of buildings listed above.

14.2.3. Where a completion certificate is submitted for a building where no warrant has been granted, the verifier should consult with the SFRS on those projects where consultation would have occurred if a warrant had been applied for. Once a completion certificate has been accepted this will be recorded in the building standards register held by the local authority.

14.2.4. Where permission is given to occupy a building before the completion certificate is accepted the verifier should inform the SFRS for buildings where the work concerned has been subject to consultation.

14.2.5. Where a verifier intends to impose continuing requirements on a completion certificate which relate to section 2, Fire in the Technical Handbooks then the verifier should consult the SFRS to:

- ensure that any continuing requirement does not duplicate or conflict with any fire legislation; and
- make the SFRS aware of the continuing requirement (if imposed).

14.3 Licensing boards of local authorities

14.3.1. Where the warrant application is for a type of building that will require a licence the applicant should be advised of the need to consult the relevant local authority department. These boards include liquor licensing, Houses in Multiple Occupation licensing, and entertainment licensing. A local authority building standards department will usually advise the licensing board on licensing applications, whether or not a building warrant is necessary or whether a warrant application has been decided or not.

14.3.2. Where a warrant application is for a type of building that will require a license and it appears that the board's permission has not been sought, it is usual for the local authority building standards department to advise both the warrant applicant of the need for this and also to inform the appropriate board of this situation. Note however such dialogue will not delay granting of the building warrant.

14.4 Highways department

14.4.1. Where the warrant application includes an access to a public road, the applicant should be advised of the need to consult the relevant department of the local authority. Matters to obtain permission for include road openings, pavements, crossings, and any temporary occupation of roads during construction.

14.4.2. Consultation requests to the highways department are less common than some of the other consultations in this chapter. The main reason is that highways are usually asked for comments when planning permission is sought. Building warrant applicants are advised, however, to consult highways when roads, road openings, pavements, crossings, etc. are to be constructed and also when any temporary occupation of roads/pavements is proposed during construction and/or demolition. Verifiers will specifically request consultation when work in accordance with the building regulations relies on the occupation or closure of a road to ensure the safety of the public.

14.5 Scottish Environment Protection Agency (SEPA)

14.5.1. SEPA may require an authorisation under the terms of the Water Environment (Controlled Activities) (Scotland) Regulations 2011 for:

- discharges of sewage effluent whether to ground via an infiltration system or to a watercourse; and
- discharges of surface water run-off.

There are various levels of risk based authorisation required and reference to the SEPA document 'A Practical Guide to The Water Environment (Controlled Activities) (Scotland) Regulations [revised guide https://www.sepa.org.uk/media/34761/car_a_practical_guide.pdf]

provides advice. They also have responsibility for regulating sites and activities, including demolition works that affect the environment under the water, waste and pollution prevention and control regimes. Information about this process and their role is provided on SEPA's website.

14.5.2. For information relating to regulations that apply to oil storage tanks serving a building refer to the SEPA website <https://www.sepa.org.uk/regulations/water/pollution-control/oil-storage-in-scotland>

14.5.3. SEPA's general purpose, introduced by the Regulatory Reform Scotland Act 2014, is to protect and improve the environment and, except to the extent it would be inconsistent with that, to contribute to improving the health and wellbeing of the people in Scotland and to achieving sustainable economic growth.

14.6 Scottish Water

14.6.1. Prior to applying for building warrant, an applicant should consult with Scottish Water:

- where a private drain discharges into a public sewer;
- where it is intended that a drain will be vested in Scottish Water;
- on the design and construction of disconnecting manholes and disconnecting chambers; and
- where it is intended to build over sewers.

14.6.2. A verifier will specifically ask for consultation where the requirements of Scottish Water may adversely impact on compliance with the building regulations, for example, a request for attenuation of surface water discharge to a sewer by diminishing the bore of drainage pipes in the direction of flow.

14.7 Planning authorities

14.7.1. Where a warrant application is for work of a type which may require planning permission, a verifier may enquire as to whether this permission has been obtained. Again, such an enquiry will not delay the granting of the warrant.

14.8 Police Scotland

14.8.1. Police Architectural Liaison Officers are available in some areas to give advice on the security aspects of a development. A verifier will specifically ask for consultation where the security requirements of the 'Secure by Design' initiative may adversely impact on compliance with the building regulations, for example, locking of external doors.

14.9 Historic Environment Scotland

14.9.1. Where a warrant application is for work on a building that is designated an historic building in terms of section 35 of the Act, the applicant is advised of the need to obtain any necessary permissions and if necessary consult Historic Environment Scotland. Note that the verifier may wish to check on the historic status of the building.

14.10 Access panels

14.10.1. For any application where there is public access to the building, the verifier may seek opinions from the local access panel on issues relating to access to and within buildings and the provision of facilities for disabled people, in particular if there are difficult issues associated with the conversion or alteration of an existing building.

14.11 Care Inspectorate

14.11.1. Where a warrant application is for a building which will require to be registered by Social Care and Social Work Improvement Scotland (the Care Inspectorate), the applicant should consult the inspectorate.

14.12 Health and Safety Executive

14.12.1. The health, safety and welfare of construction workers and other people with access to construction sites is covered by laws enforced by the Health and Safety Executive (HSE) www.hse.gov.uk/aboutus/index.htm. HSE is responsible for regulation of workplace health, safety and welfare in England, Scotland and Wales (GB). Northern Ireland is regulated by HSENI (HSE Northern Ireland). Everyone controlling work related to a construction project has health and safety responsibilities. Checking that working conditions are healthy and safe before work begins and ensuring that the proposed work is not going to put others at risk requires planning, management, monitoring and co-ordination. This applies whatever the size of the site. The construction section of the HSE website (<http://www.hse.gov.uk/construction/index.htm>) contains information on construction related health and safety matters.

14.12.2. It is important that you know your duties and responsibilities under health and safety law before commencing a project and if you are unsure of these you are advised to consult the HSE website or a suitable professional. The Construction (Design and Management) Regulations 2015 (CDM 2015) place certain legal duties on virtually everyone involved in construction work. Information regarding CDM 2015 can be found on the following link <http://www.hse.gov.uk/construction/index.htm>. The roles and responsibilities under CDM 2015 are completely separate from building standards legislation. The roles under each are illustrated in Table 5 for information purposes.

14.12.3. During work for domestic clients involving extensions, repairs and refurbishment work on private homes, the responsibility for site health and safety defaults to the main contractor, unless a domestic client agrees in writing that the client role can be taken on by designer or principal designer. In short, duration projects involving small businesses, the business client has CDM duties which include the provision of pre-construction information, and appointing competent contractors. The site safety responsibilities remain with the contractor.

14.12.4. It is a requirement of CDM 2015 that all alteration, demolition and dismantling work should be carefully planned and carried out by people who have suitable skills, knowledge and experience to avoid unplanned structural collapse. The role of principal designer under CDM is to plan, manage and co-ordinate the pre-construction stage of the project, including providing support to the client. The law requires clients to provide designers and contractors with relevant information about a building's structure, including stability and structural form and any significant design assumptions, suggested work methods and sequences. The designers and contractors must then use that information to plan, design and carry out the work safely. The construction section of the HSE website contains useful information and advice on safety issues related to demolition and dismantling, including those associated with asbestos removal.

14.12.5. It is important to remember that an approved building warrant does not confer any approvals, tacit or otherwise, under health and safety law.

**Table 5. Comparison of Statutory Roles:
CDM and Building Standards Legislation**

Construction (Design and Management) Regulations 2015	Building (Scotland) Act 2003 and associated regulations/guidance	Notes
<p>Client Any person whom a project is carried out for.</p>	<p>Applicant Person applying for a building warrant, typically an owner, tenant, lease-holder or developer.</p>	<p>Domestic client – duties under CDM are deemed to contractor/principal contractor whereas under the Act the owner (typically this would be the domestic client) is deemed the relevant person and therefore legally responsible for ultimately ensuring compliance with the building regulations.</p>
<p>Domestic client A client for whom a project is being carried out which is not in the course or furtherance of a business of that client. Domestic Client duties are 'deemed' to contractor or principal contractor.</p>	<p>Owner Legal owner of property/building. Ultimately legally responsible for ensuring all work complies with the building regulations.</p> <p>Relevant person Owner, tenant or developer. Where the tenant or developer do not carry out their duties, the owner is then responsible.</p>	
<p>Principal designer The designer appointed under CDM Regs to perform specific duties.</p>	<p>Agent Applicants nominated representative to act on their behalf.</p>	
<p>Designer Any person who prepares or modifies a design or arranges for, or instructs any person to do so. In the course or furtherance of a business.</p>		<p>Typically the designer would act as agent on behalf of the client/applicant/owner.</p>
<p>Principal contractor The contractor appointed under CDM Regs to perform specific duties.</p>	<p>N/A</p>	
<p>Contractor Person who carries out, manages or controls a construction project. In the course or furtherance of a business.</p>		<p>No comparable role specified in building standards legislation.</p>
	<p>Verifier Person(s) appointed under the Building (Scotland) Act 2003 with a principal role to provide an independent check of building warrants. This is the local authority.</p>	

14.13 Other permissions

14.13.1. Before commencing work it may be necessary to obtain other permissions not connected with the building warrant. For example, the waste collection authority may have special requirements for buildings like hospitals or consent from a landlord may be needed where the applicant does not own the building.

14.13.2. It is also important to remember that granting of a warrant does not depend on matters such as whether the applicant owns a property on which work is planned, or whether a mutual wall may be used for support, or whether foundations can be dug that may encroach on another property. Such matters are for applicants to agree through their own legal advisors.

15 FEEDBACK



15.1 To Building Standards Division

15.1.1. Scottish Ministers hope that users of the system and members of the public using buildings will make their views known where it is felt the regulations are either inadequate or too onerous.

Suggestions for improving any aspect of the system will always be given careful consideration. In particular the BSD would like to be informed of:

- conflicts between different standards;
- instances in which apparent defects are blamed on inadequate regulation;
- instances in which a standard is apparently no longer necessary; and
- ways in which an innovative solution is apparently being unnecessarily restricted.

15.1.2. In addition, problems arising between verifiers and certifiers should be reported to BSD. This is not a mechanism for resolution of a particular case but will inform future changes to regulations, standards, guidance and procedures.

15.1.3. If users of the system encounter problems with approved certifiers or approved bodies, they should make their views known to the relevant certification scheme provider, which is required to operate a complaints procedure. If users encounter problems with the scheme provider they should make their views known to BSD.



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