

**Compliance Plan Approach – Model Form
PreWarrant Compliance and Procedural Form - Verifiers Guidance**

To be completed as far as possible by the Verifier through discussion at the prewarrant meeting (note that through agreement it may be initially completed by the applicant/agent/relevant person and returned to the verifier prior to prewarrant engagement).

Part 1: Details

Section A: Project Details

Project Details	
Building Warrant Pre-Application Reference	
Project description (e.g., erection of a school)	
Address of building/site	
Post Code (if known)	
Does the Verifier have an interest in this project?	YES/NO (delete as appropriate - schedule 2 paragraph 9 of the BS Act 2003, and the Building Standards Operating Framework has confirmed that verifiers must operate to ensure that there is no conflict of interest between operation as a Verifier and any other activities they undertake (corporately and individual staff). Verifiers must assess and record such risks and record activities and measures put in place to demonstrate that any conflict of interest is resolved.
Actions to be put in place to demonstrate that any conflict of interest is resolved.	

Section B: Details of Responsible Persons

Relevant Person (RP): usually the owner, tenant or a developer who is having the work carried out

It is an offence if the RP knowingly submits a completion certificate that contains a statement that is false or misleading. It is also an offence to recklessly submit a completion certificate containing a statement which is false or misleading.

Name		Organisation and position	
Address			
Post code			
Tel No			
E-mail			

Applicant		Duly Authorised Agent for the building warrant application	
Name		Name	
Address		Address	
Post code		Post code	
Tel No		Tel No	
E-mail		E-mail	

Owner (if different from applicant)		Lead Designer (if different from Agent, above)	
Name		Name	
Address		Address	
Post code		Post code	
Tel No		Tel No	
E-mail		E-mail	

Structural Engineer		Fire Engineer	
Name		Name	
Address		Address	
Post code		Post code	
Tel No		Tel No	
E-mail		E-mail	

Main Contractor		Other Professionals/Consultants <i>(add multiples if required)</i>	
Name		Name	
Address		Address	
Post code		Post code	
Tel No		Tel No	
E-mail		E-mail	

Part 2: Compliance Approach

Section C: Details of Previous Discussions

Record of any earlier Verifier Discussion(s) prior to the introduction of Verifiers Guidance to Support Implementation of Phase 1 of CP Approach		
Date(s) of Meeting(s)	Subject(s)	Outcome(s)

Section D: Supporting information

Level of detailed information included for pre-application meeting	
Information Provided e.g., drawings and supporting compliance information	

Section E: Approach to Compliance

Identify the approach to compliance with the building regulations		
Building Standards	Technical Handbooks	Alternative approach/details of basis of design - detail alternative approach to compliance being adopted (including relaxation/Ministerial view)
Section 1 - Structure		
Section 2 - Fire		
Section 3 - Environment		
Section 4 - Safety		
Section 5 - Noise		
Section 6 - Energy		
Section 7 - Sustainability		

Section F: Submission Plan

Building Warrant Submission Plan					
Stage	Description of proposed stage of work	Contractor Designed Portions (CDP) to be included in stage	Proposed Submission Date	Date approval required to enable start of works	Verifier comments (acceptance or rejection of proposed stages) (agree or vary)
Stage 1					
Stage 2					
<i>Insert rows as required</i>					

Completion Certificate					
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Section G: Certification of Design and Construction

Certification of Design and Construction							
Scheme	Certification to be used (Y/N)	Alignment with proposed BW stage (eg what stage will certification be submitted)	Certifier	Certifier's registration Number	Approved Body	Approved Body's Registration Number	Further Details (e.g., Schedule 1 items if using a Certifier of Design Building Structure)
Certification of Design (Building Structures)							
Certification of Design (Energy)							
Certification of Construction (Drainage, Heating and							

Plumbing)							
Certification of Construction (Electrical Installations to BS 7671)							

Section H: High Risk Compliance Elements

High Risk Compliance Elements	
This will inform the inspection and documentation requirements for the project and should be identified through a discussion between the verifier and applicant/agent/relevant person, with potential mitigation measures explored and recorded.	
Identified high risk compliance element in the design and construction of the building	Mitigation measures - could be specific to a risk or general risk reduction methods

Section I: Consultations, Reports, and other Consents

Consultations, Reports, and other Consents
These may be statutory, recommended or necessary to inform the building design and can also have an impact of the building warrant approval timescales

Consultations or consents	Statutory or Recommended Consultation (S or R)	Verifier or applicant to carry out consultation ?	Comments & Notes
Scottish Fire and Rescue Service			
Fire Engineering 3 rd Party Check (by verifier)			
Scottish Water			
SEPA			
Contaminated Land			
Other(s) Consultation(s)			
Other Reports not included above List reports as submitted			
Report Name	Description	Comments & Notes	

Section J: Customer Agreement

Customer Agreement	
Customer Agreement required Y/N	

Section K: Completion Certificate Submission

Completion Certificate Submission
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	Full name (and contact details if not included above)	Confirmation of duty
Who will sign the completion certificate submission?		The applicant/agent/relevant person has been made aware that the signatory of the completion certificate declaration will certify that the building work as completed complies with the approved building warrant and the building regulations. <input type="checkbox"/>
The Relevant Person must submit the completion certificate as required by legislation. Provide details.		The applicant/agent/relevant person has been made aware that Relevant Person will commit an offence under the Building (Scotland) Act 2003 by knowingly, or recklessly, submitting a completion certificate which contains a false or misleading statement. <input type="checkbox"/>

Part 3: Supervision and Evidence

This section details how compliance inspections and evidence will be recorded to demonstrate compliance with the approved building warrant plans and details and show that the relevant person's legal requirement to control the work on site and deliver a compliant building is being met i.e. full documentation of all compliance inspections and tests being made by the contractor or on behalf of the owner. These inspections and checks will extend beyond those required by the verifier and should be passed to the building owner for their records to support building compliance and operation of the building in use.

Provide details of any site recording system being used: i.e., Snagmaster/BIM 360/Hollow wall, Scottish Futures Trust Standard Information Management Plan (SIMP) etc. and how access to the system will be arranged/authorised for verifiers access.

This information will also inform the verifiers consideration of their checks, inspections, and other evidence to be submitted and also evidences to the local authority in their statutory role that the relevant person can competently submit the completion certificate in due course and in line with legislative requirements.

Note: It is the RPs responsibility to submit the completion certificate. It is an offence if the RP knowingly submits a completion certificate that contains a statement that is false or misleading. It is also an offence to recklessly submit a completion certificate containing a statement which is false or misleading.

Section L: Contractors Inspection and Evidence

Contractor Construction Compliance Inspection and Evidence Documentation

Item	Details	Verifier's Comments
Recording and monitoring systems to be used		
Details of (or attach) the site inspections and testing plan to be carried out by the contractor		
Inspection and supervision records to be made available to the verifier on request. Describe how this will be achieved		
Detail any other contractor's compliance evidence to be available to verifier		

Section M: Other Inspection and Evidence

Other Construction Compliance Inspection and Evidence Documentation		
Item	Details	Verifier's Comments
Details of site inspection or testing to be carried out beyond the contractor eg Clerk of Works or Passivhaus Certifiers		

Inspection and supervision records to be made available to the verifier. Describe how this will be achieved		
Detail any other compliance evidence to be available to verifier		