

Compliance Plan Approach – Model Form
Compliance Plan – Verifier Guidance

To be completed by the Verifier (information will normally be required from the applicant/agent and should be requested during the warrant assessment period - Section 4 (3) of the Building (Procedure) (Scotland) Regulations 2004 allows the verifier to require the applicant to submit to them at any stage such further information as they require.)

Part 1: Details

Section A: Project Details

Project Details	
Building Warrant Application Reference	
Project description (eg 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

Local Authority staff				
Role	Name	Title/Job Role	Risk Assessment Protocol undertaken	RAG rating and reason
Case Officer/Surveyor				
Supervisor				

Relevant Person (RP):			
Note: 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	
Name		Name	
Address		Address	
Post code		Post code	
Tel No		Tel No	
E-mail		E-mail	

Owner (if different from applicant)	Architect/Lead Designer (if different from Agent, above)
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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: Procedural Compliance

This section supports compliance with the pre-emptive building warrant approval process to reduce risk of non-compliance and likelihood of enforcement action by the local authority

*RAG: RAG status during project will change as updated, issues resolved etc – at end project before Completion Certificate accepted all RAG should be green

Section C: Consultations

Consultations					
Statutory Consultations & Fire Service Information	Reqd Yes/No	Date Sent	Date Response	Comments/Actions (Including, was feedback from the consultation agreed necessary by verifier, why not consulted, etc?)	*RAG rating and reason
Section 11: Fire Authority Consultation – Fire Authority (at building warrant approval stage)					
Any subsequent amendments/stages					
Section 48: Information to Fire Authority – send copy Acceptance of Completion Certificate)					
Section 49: Fire Service - send Copy any Temp use/occupation cert					
Section 50: Fire Service - send copy any Continuing Requirement if Section 2 related					
Other consultations by project or verifier					
Licensing					
Highways/Roads					
SEPA					
Scottish Water					
Planning					
Police Scotland					
Access Panels					

Care Inspectorate					
Health & Safety Exec					
Any other bodies:					

Section D: Submission Plan (Warrant and Completion)

Building Warrant Submission Plan									
Stages	Description of proposed stage of work	Contractor Designed Portions (CDP) to be included in stage	Proposed Submission Date	Actual Submission Date	Date Approval Required By	Approval Date	Date Stage Work Started	Actions/ Enforcement	*RAG rating and reason
Stage 1									
Stage 2									
<i>(Add additional stages)</i>									

Record of Amendments to Warrant arising							
Verifiers Ref	Description of work to be amended from approval	Reason for amendment to warrant	Submission Date	Amendment to Warrant Approved Date	Have amended works started before approved date	Actions/Enforcement Action	*RAG rating and reason
					No/Yes/Completed		
					No/Yes/Completed		

Planned Project Timescales				
Description	Projected Date	Actual Date	Verifier Comments/Notes	*RAG rating

				and reason
Site start (building warrant approval needed)				
Completion				

Building Occupation/In Use							
Description	Anticipated Submission Date	Submission Date	Date Accepted	Date Building occupied	Compliant (Y/N)	Actions/ Enforcement	*RAG rating and reason
Temporary Use Submission							
Completed Compliance Plan							
Completion Certificate							

Part 3: Compliance Risk Factors Information for Verifier

Section E: Design Compliance Approach

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: Construction Compliance Approach

Relevant Person and Contractor Compliance Assurance Measures			
Description – detail measures to be undertaken by the RP and contractor	In place? (Y/N)	Comments	*RAG rating and reason
<i>eg Quality Planning and Quality Meetings</i>			
<i>eg Contractor Inspection and Test planning</i>			
<i>eg Digital Field Recording systems</i>			

Section G: Certification of Design and Construction

Certification of Design and Construction							
Scheme	Certification to be used (Y/N)	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)	Schedule 1 Items resolved ?
Certification of Design (Building Structures)							
Certification of Design (Energy)							

Certification of Construction (Drainage, Heating and Plumbing)							
Certification of Construction (Electrical Installations to BS 7671)							

Part 4: Verifier – Inspections/Checks & Evidence

This section covers the Key Construction Stages at which the verifier must be notified and should be responded to by the verifier. In response to the construction stage notification the verifier may make a series of checks and/or inspections. This does not preclude other inspections and ad-hoc inspections being made by the verifier during the construction phase. If a planned inspection of check is not carried out as planned, the verifier must record what equivalent reasonable inquiry was undertaken and the outcome.

Section H: Mandatory Minimum Verification Construction Inspection/Check Stages

Planned Verification Construction Inspection Stages							
Key Construction Stages <i>(examples below)</i>	Inspection or Check Information <i>(examples below)</i> Note that cavity barriers must always be included	Notification Date	Inspection or Check Date	As Planned (Y/N)	Equivalent actions carried out to Planned Inspection or Check	Compliance inspection or check successful? (Y/N)	*RAG rating and reason
<i>Commencement</i>	Send commencement to verifier at least seven days prior to starting on site.						
<i>Foundation</i>	Excavation prior to concrete being						

	poured						
<i>Substructure/ drainage</i>	Drain test for full system or Certification of Construction certifiers details						
<i>Superstructure</i>	Structural frame and insulation before plaster board fitted (including wall ties/lateral restraint)						
<i>Superstructure</i>	Compartment walls/ceilings at roof level to ensure complete separation provided						
<i>Superstructure</i>	Separating walls/ceilings prior to installation of suspended ceilings/service cavities						
<i>Superstructure</i>	Fire collars/fire shutters/ service penetrations through walls/floors						
Superstructure/ Completion	Cavity barriers to all required areas including to external wall cladding						

	systems – this is considered a priority area given recent high profile failure						
<i>Completion</i>	Final inspection of each individual unit						
<i>Completion</i>	Testing and integration of alarms and ancillary fire safety equipment including SHEVS						
<i>Pre-completion</i>	Joint inspection with Fire Authority or any other bodies required						
<i>Pre Completion Submission</i>	Do approved plans compare with completed buildings						
<i>Completion</i>	Submit Completion Certificate, completed and fulfilled Compliance Plan and all relevant paperwork. No occupation of building before completion accepted (see notes)						

Section I: Other Significant/Key Verification Inspections and checks (follow-up to planned and ad-hoc)

Unplanned and Significant Verification Inspections and checks (follow-up and ad-hoc)				
Date	Inspection/check	Compliance inspection or check successful?	Date rectified	*RAG rating and reason

Section J: Compliance Evidence and Completion Certificate Submission Documentation Checklist

Compliance Evidence and Completion Certificate Submission Documentation Checklist (*Mark as appropriate)							
Section	Completion Submission Documentation	* Select those that apply	Who will be supplying the documentation	When required by	Received date	*RAG rating and reason	Aligned Uniclass Project Management (PM) code & description (refer to https://uniclass.thenbs.com for the latest source table)
Procedure	Completed Compliance Plan	<input type="checkbox"/>					Project specific 3rd party document
	Form 5 – Completion Submission	<input type="checkbox"/>					Project specific 3rd party document
	Confirmation all amendments to building warrant have been submitted, approved and match building as constructed	<input type="checkbox"/>					Project specific 3rd party document
Structure	Roof Truss Certificate	<input type="checkbox"/>					PM_70_70_74 : Roof truss certificate
	SER Form Q	<input type="checkbox"/>					Project specific 3rd party document
	Wall ties/structural restraint inspection report	<input type="checkbox"/>					PM_70_70_96 : Wall ties and structural restraint inspection report
Fire	Fire detection and alarm Certificate	<input type="checkbox"/>					PM_70_75_31 : Fire alarm test certificate
	Automatic fire suppression	<input type="checkbox"/>					PM_70_80_31 : Fire

	system Commissioning Certificate						suppression system commissioning certificate
	Emergency Lighting Certificate	<input type="checkbox"/>					PM_70_15_25 : Emergency lighting certificate
	Fire/smoke dampers commissioning Certificate	<input type="checkbox"/>					PM_70_30_30 : Fire and smoke damper test certificate
	Smoke ventilation system commissioning Certificate	<input type="checkbox"/>					PM_70_80_79 : Smoke extract and control system commissioning certificate
	Smoke Curtain Drop Test and Commissioning	<input type="checkbox"/>					PM_70_30_79 : Smoke curtain drop test and commissioning certificate
	Intumescent paint/cladding Certificate	<input type="checkbox"/>					PM_70_15_50 : Material fire performance test certificate
	Fire door installation inspection report	<input type="checkbox"/>					PM_70_40_28 : Fire-rated doors installation inspection report
	Fire Rated Glazing and Framing Certificate	<input type="checkbox"/>					PM_70_30_29 : Fire-rated glazing and framing test certificate
	Fire stopping inspection report	<input type="checkbox"/>					PM_70_40_30 : Fire-stopping installation inspection report
	Dry Fire Main Commissioning Certificate	<input type="checkbox"/>					PM_70_80_24 : Dry fire main commissioning certificate
	Fire Safety Design Summary	<input type="checkbox"/>					PM_40_20_30 : Fire safety strategy
Environment	Certificate of Construction (Plumb/Heat/Drain)	<input type="checkbox"/>					Project specific 3rd party document
	Boiler Commission Certificate	<input type="checkbox"/>					PM_70_30_06 : Boiler commissioning certificate
	Gas Safety Information	<input type="checkbox"/>					PM_70_15_34 : Gas installation

							safety certificate
	Unvented Hot Water Competence	<input type="checkbox"/>					PM_70_15_91 : Unvented hot water competence certificate
	MVHR/MEV/dMEV Commissioning Certificate	<input type="checkbox"/>					PM_70_80_94 : Ventilation commissioning certificate
	Scottish Water/SEPA Approval	<input type="checkbox"/>					Project specific 3rd party document
	Drain Test inspection reports	<input type="checkbox"/>					PM_70_40_23 : Drain test inspection report
Safety	Certificate of Construction (Electrics)	<input type="checkbox"/>					Project specific 3rd party document
	Electrical installation test Certificate – BS7671	<input type="checkbox"/>					PM_70_15_27 : Electrical test certificate
	Lift Commissioning Certificate	<input type="checkbox"/>					PM_70_80_46 : Lifts commissioning certificate
	Evidence of Safety Glass Fitted	<input type="checkbox"/>					PM_70_40_75 : Safety glass installation inspection report
Noise	Noise Test Certificate	<input type="checkbox"/>					PM_70_15_01 : Acoustic test certificate
Energy	EPC	<input type="checkbox"/>					PM_80_10_25 : Energy performance certificate
	Air Tightness Test Certificate	<input type="checkbox"/>					PM_70_75_04 : Air leakage test certificate
	Quick start guide (domestic)	<input type="checkbox"/>					PM_70_85_25 : End user operating information
	Logbook information (non-domestic)	<input type="checkbox"/>					PM_70_85_08 : Building logbook
Sustainability	Sustainability Label	<input type="checkbox"/>					PM_30_30_85 : Sustainability information

<i>Add additional as new lines under each section</i>	<i>Provide a description of any other evidence, test reports or documents to be provided to the building standards verifier</i>	<input type="checkbox"/>					<i>Project specific 3rd party document or appropriate Uniclass Project Management (PM) code & description</i>
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