Preparation of a building warrant application – paper submission (v13)

INTRODUCTION

This document is for general guidance only. The guidance applies to paper-based applications for building warrants and amendments. If you are applying electronically via the eBuilding Standards portal, please refer to the document ‘Preparing a building warrant application – electronic submission’.

We want to help you complete your building warrant application and to avoid delays. Delays can occur if the application form is not completed correctly, or an incorrect fee is submitted, or if there is insufficient information in the submitted details for the proposed works.

Unless you are familiar with the Building Regulations, and can draw accurate plans to scale, it is strongly recommended that you engage the services of a suitably qualified professional to act as your agent, and who will prepare your building warrant application.

The guide contains the following sections:

1. Applications form, fees and discounts
2. Plans, drawings and specification
3. Number of sets of plans, drawings and specification to be submitted
4. Colouring of plans and drawings
5. What your application needs to detail
6. How we process your application
7. When your building warrant is granted
8. Data protection
9. Checklist for a building warrant application submission

1. APPLICATIONS FORM, FEES AND DISCOUNTS

1.1 Application form

There are three main types of applications that can be submitted for approval under the Building Regulations. The form you require can be downloaded from our website.
1.2 Fees and discounts

A fee is required for each building warrant application. The building warrant fees are set by the Scottish Government.

Discounts are applied to the building warrant fee if you choose to submit certificates for either of the two schemes approved by the Scottish Government.

For details on how to calculate the fee for your building warrant application, and details of discounts that may apply, please refer to the ‘Certification and discounts’ section on our website.

2. PLANS, DRAWINGS AND SPECIFICATION

2.1 Plans and drawings

All plans and drawings should follow this general guidance:

- All plans should be drawn to the same standard and with the detail typically provided in architects’ drawings.
- Plans should be drawn to a suitable scale and the scale clearly shown on each plan.
- Each plan should have its own reference number. There is no need to sign plans.
- Text should be legible, with a font size that can be easily read (typically not less than 8 point font size).
- A key should be provided for all symbols used on submitted plans.
- Plans and drawings of the existing situation of the building(s) should be submitted.
- Plans and drawings of the proposed situation of the building(s) should be submitted.
- The existing and proposed use of the building(s) and of all individual areas on plans should be stated, for example store, bedroom 3, new family room.
- All proposed building elements should be fully dimensioned, for example 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, and protective barriers.

2.2 Location plan

The location plan should show at a scale not less than 1:2500 (1:1250 is preferred):

- the position of the site (clearly outlined),
• the location of the site in relation to the nearest main road junction, and
• a north point.

2.3 Block plan

The block plan should show at a scale of not less than 1:1250 (1:500 is preferred):

• the size and position of the building(s) in relation to neighbouring buildings,
• the position, width and level of any road, court or footway adjoining or giving access to the building(s).
• the boundaries with adjacent land in different occupation,
• any notional boundaries needed to check compliance with the Building Regulations, and
• a north point.

2.4 Floor plans, elevations and sections

The floor plans, elevations and sections should:

• be drawn to a scale of not less than 1:100 (1:50 is preferred). For complex constructions, we may ask you to submit larger-scale drawings, to show greater detail.

The sections should:

• for existing situations, show the interface between new and existing constructions.
• for new build, be longitudinally and transversely through the building(s).

The elevations should:

• show all relevant existing and proposed elevations of the building(s).

2.5 Enlarged details

The enlarged details should:

• be drawn to a scale of 1:5, 1:10 or 1:20, as appropriate.

2.6 Specification

The specification should provide full details of the proposed work.

The specification should include the following notes:

1) All new works are to be in accordance with The Building (Scotland) Regulations 2004 and all current amendments.
2) All new works, products and processes are to be in accordance with the relevant British Standards and manufacturers’ guidance.
   (By adding this note, you will not need to list individual British Standards and associated part and date details within your submission).
3. NUMBER OF SETS OF PLANS, DRAWINGS AND SPECIFICATION TO BE SUBMITTED

When your building warrant application is approved, three sets of the approved plans, drawings and the specification for the works are required as follows:

1) **Set 1** is used to assess your application and, once approved, is kept by Midlothian Building Standards for use during inspections on site.
2) Approved **set 2** is returned to you with your building warrant. This is the set you should use to cost and manage the work on site.
3) Approved **set 3** is sent to the Scottish Assessors Association, who may use the details to re-assess the rateable value and council tax for the property.

When initially submitting your application, **one set of plans and the specification is sufficient**. You will be asked for sets 2 and 3 when your building warrant is due to be approved, following any revisions of the plans and specification.

4. COLOURING OF PLANS AND DRAWINGS

4.1 Colouring for erecting a new build

Where no existing building is involved, **black and white colouring is acceptable** for sets 1, 2 and 3.

4.2 Colouring for extending, altering or converting existing building(s)

For extending, altering or converting existing building(s), the colouring should be as follows:

<table>
<thead>
<tr>
<th>Set</th>
<th>To be traditionally coloured</th>
<th>Kept by Midlothian Building Standards</th>
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</thead>
<tbody>
<tr>
<td>Set 1</td>
<td></td>
<td></td>
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<tr>
<td>Set 2</td>
<td>May either be coloured, or black and white</td>
<td>Issued to the applicant or agent</td>
</tr>
<tr>
<td>Set 3</td>
<td>May either be coloured, or black and white</td>
<td>Submitted to the Scottish Assessors Association</td>
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</tbody>
</table>

Colouring is used on plans, elevations, cross sections and details to distinguish proposed new works from the existing situation. Traditional colouring also helps to readily distinguish different types of materials, and helps speed up the inspection process.

**Only new works should be traditionally coloured**, typically as follows:

<table>
<thead>
<tr>
<th>Traditional colouring</th>
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<tbody>
<tr>
<td>Concrete/blockwork</td>
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<tr>
<td>Insulation</td>
</tr>
<tr>
<td>Wood/timber</td>
</tr>
<tr>
<td>Glazing</td>
</tr>
<tr>
<td>Drainage/pipework</td>
</tr>
<tr>
<td>Brickwork</td>
</tr>
<tr>
<td>Render/roughcast</td>
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<tr>
<td>Roofing slates/tiles</td>
</tr>
<tr>
<td>Drainage - foul water</td>
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<tr>
<td>Drainage - storm water</td>
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<tr>
<td>Removals</td>
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</tbody>
</table>

Block yellow colouring is **insufficient** to differentiate between existing and proposed works. Only for self-contained extensions, consisting entirely of new works, is block yellow colouring acceptable. All existing parts/elements are to be shown in black and white (uncoloured).
5. WHAT YOUR APPLICATION NEEDS TO DETAIL

The plans, drawings, specification and supporting information we need to assess your building warrant application depend on which type of works you propose to undertake:

5.1 Erect a new building
5.2 Extend, alter or convert an existing building, or providing services, fittings or equipment
5.3 Demolish an existing building
5.4 Amend a building warrant

5.1 Erect a new building

<table>
<thead>
<tr>
<th>Checklist for building warrant application to erect a new building</th>
<th>Check</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Location plan (see 2.2)</td>
<td>☐</td>
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<tr>
<td>2. Block plan (see 2.3)</td>
<td>☐</td>
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<tr>
<td>3. General arrangement drawings:</td>
<td></td>
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<tr>
<td>a) a plan of the foundations (see 2.4)</td>
<td>☐</td>
</tr>
<tr>
<td>b) a plan of each floor (see 2.4)</td>
<td>☐</td>
</tr>
<tr>
<td>c) a plan of the roof (see 2.4)</td>
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<tr>
<td>d) sections through the building (see 2.4)</td>
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<tr>
<td>e) an elevation of each relevant face of the building (see 2.4)</td>
<td>☐</td>
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<tr>
<td>f) specification for proposed works (see 2.6)</td>
<td>☐</td>
</tr>
<tr>
<td>4. Specific details to be included:</td>
<td></td>
</tr>
<tr>
<td>a) The level of the site of the building, lowest floor, and adjacent ground (including any road), all in relation to one another and to a fixed reference (datum) point.</td>
<td>☐</td>
</tr>
<tr>
<td>b) The position, materials, construction and dimensions of:</td>
<td></td>
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<tr>
<td>1) foundations</td>
<td>☐</td>
</tr>
<tr>
<td>2) floors (to include specific type and thicknesses of insulating materials)</td>
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<tr>
<td>3) walls (to include specific type and thicknesses of insulating materials)</td>
<td>☐</td>
</tr>
<tr>
<td>4) roofs (to include specific type and thicknesses of insulating materials)</td>
<td>☐</td>
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<tr>
<td>5) windows (including opening area and direction of opening)</td>
<td>☐</td>
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<tr>
<td>6) doors (including direction of opening)</td>
<td>☐</td>
</tr>
<tr>
<td>7) chimneys and flues</td>
<td>☐</td>
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<tr>
<td>8) ventilators and ventilation ducts</td>
<td>☐</td>
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<tr>
<td>9) stairs, landings and balconies</td>
<td>☐</td>
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<tr>
<td>10) protective barriers</td>
<td>☐</td>
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<tr>
<td>c) Details of construction, including any frame and the size and position of reinforcing material.</td>
<td>☐</td>
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<tr>
<td>d) Details of how loading and strength have been calculated.</td>
<td>☐</td>
</tr>
<tr>
<td>Structural calculations are not required if a Certificate of Design (Structural Engineers Registration, or SER, certificate) is provided.</td>
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</tr>
<tr>
<td>e) Details of compartment and separating walls and floors, and details of fire-stopping.</td>
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<tr>
<td>f) The position, materials and dimensions, including gauge or weight, of any damp-proof course or other moisture barrier.</td>
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<tr>
<td>g) The position of any sanitary facility or other built-in equipment.</td>
<td>☐</td>
</tr>
<tr>
<td>h) The position, materials, dimensions and form of any drainage or ventilation pipe, including:</td>
<td>☐</td>
</tr>
<tr>
<td>• the line, depth and inclination and means of ventilation of every drain, and</td>
<td>☐</td>
</tr>
<tr>
<td>• the relationship to any sewer, sewage treatment works or other outlet that the drains discharge to.</td>
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</tr>
<tr>
<td>i) The position, materials, dimensions and form of any traps, manholes and access openings.</td>
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<tr>
<td>j) Details indicating site safety measures, such as protected works, clearing of footpaths and securing unoccupied and partially completed buildings.</td>
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<tr>
<td>k) The position and dimensions of any lift well, lift car, machine room and platform lift.</td>
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<tr>
<td>l) Available fire escape routes, including dimensions.</td>
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</tbody>
</table>
m) The position of any ground hydrants, fire mains, and fire-appliance access.

n) Any other information we may need to allow us to consider the application, such as ground condition and fire engineering reports.

o) Any supplementary information required to meet the upper levels of sustainability.

5. Additional details for buildings having sleeping accommodation:
   a) the position and number of socket outlets and smoke alarms in dwellings,
   b) the position of automatic fire detection in residential buildings,
   c) the position of automatic life safety fire suppression systems in residential care buildings.

Please note that this list is not exhaustive and we may require additional details and information to check compliance with the Building Regulations.

In addition to the items detailed in this checklist, your building warrant application should contain sufficient supporting information about your proposed design and construction. The supporting information may include information from these sources:

Checklist for supporting information (where applicable)

1. Structural engineer’s information:
   • Under the Scottish Government’s Approved Scheme, a Certificate of Design for Structure, (called an SER certificate, via Structural Engineers Registration Ltd.), and structural drawings, OR
   • Structural calculations and structural drawings.
   Full details are presented in our guidance leaflet ‘Structural information to accompany a building warrant application’, which can be downloaded from our web site.

2. Site investigation (S.I.) report - any new site for development or large extension should be supported with a site investigate report detailing the nature of the ground, the building loadings, and a ground contamination report, to include recommendations for any remedial work required.

3. Radon Risk report - Midlothian has been identified by the Health Protection Agency (HPA) as an area having radon gas potential. You are required to provide confirmation by means of a radon risk report that the ground is not deemed a ‘radon affected area’ and that no protective work is required. Alternatively, you are required to provide details of protective measures required. Note that for a small fee, a radon risk report can be obtained through the HPA radon website.
   • www.UKradon.org

4. Ventilation and daylighting schedule - detailing the extent of ventilation and daylighting provided in the proposed design.

5. Ground condition test reports, such as porosity tests and associated soakaway design details, where applicable.

6. U-value calculations, or manufacturers’ literature, to determine the energy performance of all elements in the insulation envelope, including the proposed walls, floors and roof constructions.

7. Energy performance information:
   • Under the Scottish Government’s Approved Scheme, a Certificate of Design for Energy, and an energy assessment calculation in the form of a SAP (Standard Assessment Procedure, for new domestic buildings), or SBEM (Simplified Building Energy Model, for certain new non-domestic buildings).
   OR
   • An energy assessment calculation in the form of a SAP, or SBEM (for certain new non-domestic buildings).

8. Product literature for installations such as boilers, stoves and flues, etc.

Please note that this list is not exhaustive and we may require additional details and information to check compliance with the Building Regulations.
5.2 Extend, alter or convert an existing building, or providing services, fittings or equipment

Checklist for building warrant application to extend, alter or convert an existing building, or providing services, fittings or equipment

Check
1. The same plans, drawings, specification and supporting information as detailed above in ‘5.1 Erect a new building’, but only to the extent needed to show that the building will, after extending, altering, converting or providing services, fittings or equipment, meet the building regulations.

2. An assessment of the existing structure by a structural engineer may be required if the proposed work relies on it to meet the building regulations, for example, if loads change significantly as a result of the proposed work.

5.3 Demolish an existing building

Checklist for building warrant application to demolish

Check
1. Location plan (see 3.2)

2. Block or site plan (see 3.3)

3. A statement describing the method of demolishing the building and suitable protective measures to ensure the safety of the general public.

4. A statement describing the construction of the building to be demolished. This may be a section of the building to be demolished. In some cases photographs of the existing, or original as-built drawings, may provide enough information.

5. Recommend contacting Planning Section at Midlothian Council (telephone 0131 271 3302), to agree how best to maintain biodiversity for individual species such as bats. Please note that no response regarding biodiversity is required by Building Standards for warrant approval.

Please note that this list is not exhaustive and we may require additional details and information to check compliance with the Building Regulations.

5.4 Amend a building warrant

Checklist for application to amend a building warrant

Check
1. The same plans, drawings, specification and supporting information as detailed above in ‘5.1 Erect a new building’, but only to the extent needed to show the changes from the approved warrant.

2. If the amendment is to cover work that was certified under the approved warrant with a Certificate of Design, you will need to provide us with an amendment certificate for the changes.

6. HOW WE PROCESS YOUR APPLICATION

6.1 Acknowledgement of your application

Once we have received and registered your building warrant application, we will write to acknowledge receipt. In our acknowledgement letter, we will:

- provide you with a unique reference number for your application,
- confirm that your application details have been recorded on the Building Standards Register, as required by the Building (Scotland) Act 2003, and
- detail the target date for a response to your application.
If you have appointed an agent to deal with your application on your behalf, after we acknowledge your application, we will then deal directly with your agent.

You can check the status of your application at any time using the online Building Standards Register, which is available on our website.
6.2 Assessing your applications

A simplified version of how your building warrant application is processed is:

Submit building warrant application

Application is assessed for compliance

If application needs revision, a first report is issued

Applicant or agent responds to first report by submitting revisions

If application complies, a building warrant is granted

Revisions are assessed for compliance

If application needs further revision, a subsequent report is issued

Applicant or agent responds to subsequent report by submitting revisions

Application is refused if not granted within 9 months

Applicant may appeal refusal decision to the sheriff

Key:

Action by applicant or agent

Action by Midlothian Building Standards

Note: Full procedural details are presented in The Scottish Building Standards Procedural Handbook
6.3 How long will it take to obtain a building warrant?

The national target for issuing a first technical response, or a building warrant if applicable, to a building warrant application is **20 working days** from receiving a valid application and fee.

We aim to assess your application as quickly as our workload permits. Our performance typically meets and improves upon the national target for a first response.

The time taken to gain a building warrant varies depending on the size and complexity of the proposal work, the quality of the plans and information submitted, and the number and complexity of revisions required to show compliance with the Building Regulations.

- If your initial application fully complies with the Building Regulations, a building warrant will be issued.

- If your application does not meet the Building Regulations, a first report detailing the revisions required will be prepared and issued. **Please note that most building warrant applications receive a first report and therefore the time taken to obtain a building warrant may be considerably longer than 20 working days.**

- If your response to our first report requires further revisions, we will issue an additional report. This process continues until the work in your application is shown to fully comply with the Building Regulations or the application is refused.

7. WHEN YOUR BUILDING WARRANT IS GRANTED

Once your building warrant application is approved, we will issue your building warrant to you or your agent.

The building warrant pack we will issue will contain the following documents:

1) Your building warrant, **which is valid for three years from the date of approval.**

2) Stamp approved plans and specification for the work detailed in your building warrant. You should use the approved plans and specification for:
   
   a) costing your project, and  
   b) supervising and checking the work on site.

3) A Start of works notice, to be used to inform us when you plan to start the work.

4) A Construction Compliance Notification Plan (CCNP), detailing the site-based inspections required for your project.

The receipt of a building warrant does not remove your responsibilities for gaining other approvals and permissions that may be required to undertake the work. Please refer to the ‘Starting building work’ section on our website.
Please note that you are committing an offence if you start work before the building warrant is approved. Once we have approved your building warrant, and after you have obtained any other consents or permits, the work can begin.

It is very important that you are aware that Midlothian Building Standards is not responsible for checking the quality of work done or supervising the builders employed. Supervision of the building work is your responsibility, or of the suitably qualified person or group you appoint to oversee the work on your behalf.

8. CHECKLIST FOR A BUILDING WARRANT APPLICATION SUBMISSION

When you or your agent are ready to send us your application, please make sure to include:

<table>
<thead>
<tr>
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<th>Check</th>
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<tbody>
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<td>a)</td>
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<td>c)</td>
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If you require further assistance, please contact us on 0131 271 3350.