

# Building Standards

## Guidance Leaflet

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[www.midlothian.gov.uk/buildingstandards](http://www.midlothian.gov.uk/buildingstandards)

## Preparing 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.

Form name	Use	File download name
<b>Application for Building Warrant</b>	To be used for works to erect, alter, convert, extend, provide services, fittings or equipment, or demolish a building.	Application for Building Warrant (pdf) Also see: Guidance on completing Application for Building Warrant (pdf)
<b>Completion Certificate where no warrant obtained - Submission</b>	To be used where work requiring building warrant approval has been carried out without a warrant.	Completion Certificate where no warrant obtained – Submission (pdf)
<b>Application for Amendment of Building Warrant</b>	To be used to show any changes from an approved building warrant.	Amendment of Building Warrant (pdf)

## 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:

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

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:

<b>Traditional colouring</b>	
Concrete/blockwork	Green
Insulation	Purple
Wood/timber	Yellow
Glazing	Light blue
Drainage/pipework	Blue
Brickwork	Red
Render/roughcast	Purple
Roofing slates/tiles	Grey
Drainage - foul water	Red
Drainage - storm water	Blue
Removals	Red dotted line and explanatory text

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

Checklist for building warrant application to erect a new building	Check
1. Location plan (see 2.2)	<input type="checkbox"/>
2. Block plan (see 2.3)	<input type="checkbox"/>
3. General arrangement drawings:	
a) a plan of the foundations (see 2.4)	<input type="checkbox"/>
b) a plan of each floor (see 2.4)	<input type="checkbox"/>
c) a plan of the roof (see 2.4)	<input type="checkbox"/>
d) sections through the building (see 2.4)	<input type="checkbox"/>
e) an elevation of each relevant face of the building (see 2.4)	<input type="checkbox"/>
f) specification for proposed works (see 2.6)	<input type="checkbox"/>
4. Specific details to be included:	
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.	<input type="checkbox"/>
b) The position, materials, construction and dimensions of:	
1) foundations	<input type="checkbox"/>
2) floors (to include specific type and thicknesses of insulating materials)	<input type="checkbox"/>
3) walls (to include specific type and thicknesses of insulating materials)	<input type="checkbox"/>
4) roofs (to include specific type and thicknesses of insulating materials)	<input type="checkbox"/>
5) windows (including opening area and direction of opening)	<input type="checkbox"/>
6) doors (including direction of opening)	<input type="checkbox"/>
7) chimneys and flues	<input type="checkbox"/>
8) ventilators and ventilation ducts	<input type="checkbox"/>
9) stairs, landings and balconies	<input type="checkbox"/>
10) protective barriers	<input type="checkbox"/>
c) Details of construction, including any frame and the size and position of reinforcing material.	<input type="checkbox"/>
d) Details of how loading and strength have been calculated. <i>Structural calculations are not required if a Certificate of Design (Structural Engineers Registration, or SER, certificate) is provided.</i>	<input type="checkbox"/>
e) Details of compartment and separating walls and floors, and details of fire-stopping.	<input type="checkbox"/>
f) The position, materials and dimensions, including gauge or weight, of any damp-proof course or other moisture barrier.	<input type="checkbox"/>
g) The position of any sanitary facility or other built-in equipment.	<input type="checkbox"/>
h) The position, materials, dimensions and form of any drainage or ventilation pipe, including: <ul style="list-style-type: none"><li>• the line, depth and inclination and means of ventilation of every drain, and</li><li>• the relationship to any sewer, sewage treatment works or other outlet that the drains discharge to.</li></ul>	<input type="checkbox"/>
i) The position, materials, dimensions and form of any traps, manholes and access openings.	<input type="checkbox"/>
j) Details indicating site safety measures, such as protected works, clearing of footpaths and securing unoccupied and partially completed buildings.	<input type="checkbox"/>
k) The position and dimensions of any lift well, lift car, machine room and platform lift.	<input type="checkbox"/>
l) Available fire escape routes, including dimensions.	<input type="checkbox"/>

m) The position of any ground hydrants, fire mains, and fire-appliance access.	<input type="checkbox"/>
n) Any other information we may need to allow us to consider the application, such as ground condition and fire engineering reports.	<input type="checkbox"/>
o) Any supplementary information required to meet the upper levels of sustainability.	<input type="checkbox"/>
5. Additional details for buildings having sleeping accommodation:	
a) the position and number of socket outlets and smoke alarms in dwellings,	<input type="checkbox"/>
b) the position of automatic fire detection in residential buildings, and	<input type="checkbox"/>
c) the position of automatic life safety fire suppression systems in residential care buildings.	<input type="checkbox"/>

*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)	Check
1. Structural engineer's information: <ul style="list-style-type: none"> <li>• 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, <b>OR</b></li> <li>• Structural calculations and structural drawings.</li> </ul> <small>Full details are presented in our guidance leaflet 'Structural information to accompany a building warrant application', which can be downloaded from our web site.</small>	<input type="checkbox"/>
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.	<input type="checkbox"/>
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. <ul style="list-style-type: none"> <li>• <a href="http://www.UKradon.org">www.UKradon.org</a></li> </ul>	<input type="checkbox"/>
4. Ventilation and daylighting schedule - detailing the extent of ventilation and daylighting provided in the proposed design.	<input type="checkbox"/>
5. Ground condition test reports, such as porosity tests and associated soakaway design details, where applicable.	<input type="checkbox"/>
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.	<input type="checkbox"/>
7. Energy performance information: <ul style="list-style-type: none"> <li>• 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). <b>OR</b></li> <li>• An energy assessment calculation in the form of a SAP, or SBEM (for certain new non-domestic buildings).</li> </ul>	<input type="checkbox"/>
8. Product literature for installations such as boilers, stoves and flues, etc.	<input type="checkbox"/>

*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', <b>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.</b>	<input type="checkbox"/>
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.	<input type="checkbox"/>

## 5.3 Demolish an existing building

Checklist for building warrant application to demolish	Check
1. Location plan (see 3.2)	<input type="checkbox"/>
2. Block or site plan (see 3.3)	<input type="checkbox"/>
3. A statement describing the method of demolishing the building and suitable protective measures to ensure the safety of the general public.	<input type="checkbox"/>
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.	<input type="checkbox"/>
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.	<input type="checkbox"/>

*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', <b>but only to the extent needed to show the changes from the approved warrant.</b>	<input type="checkbox"/>
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.	<input type="checkbox"/>

## 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.

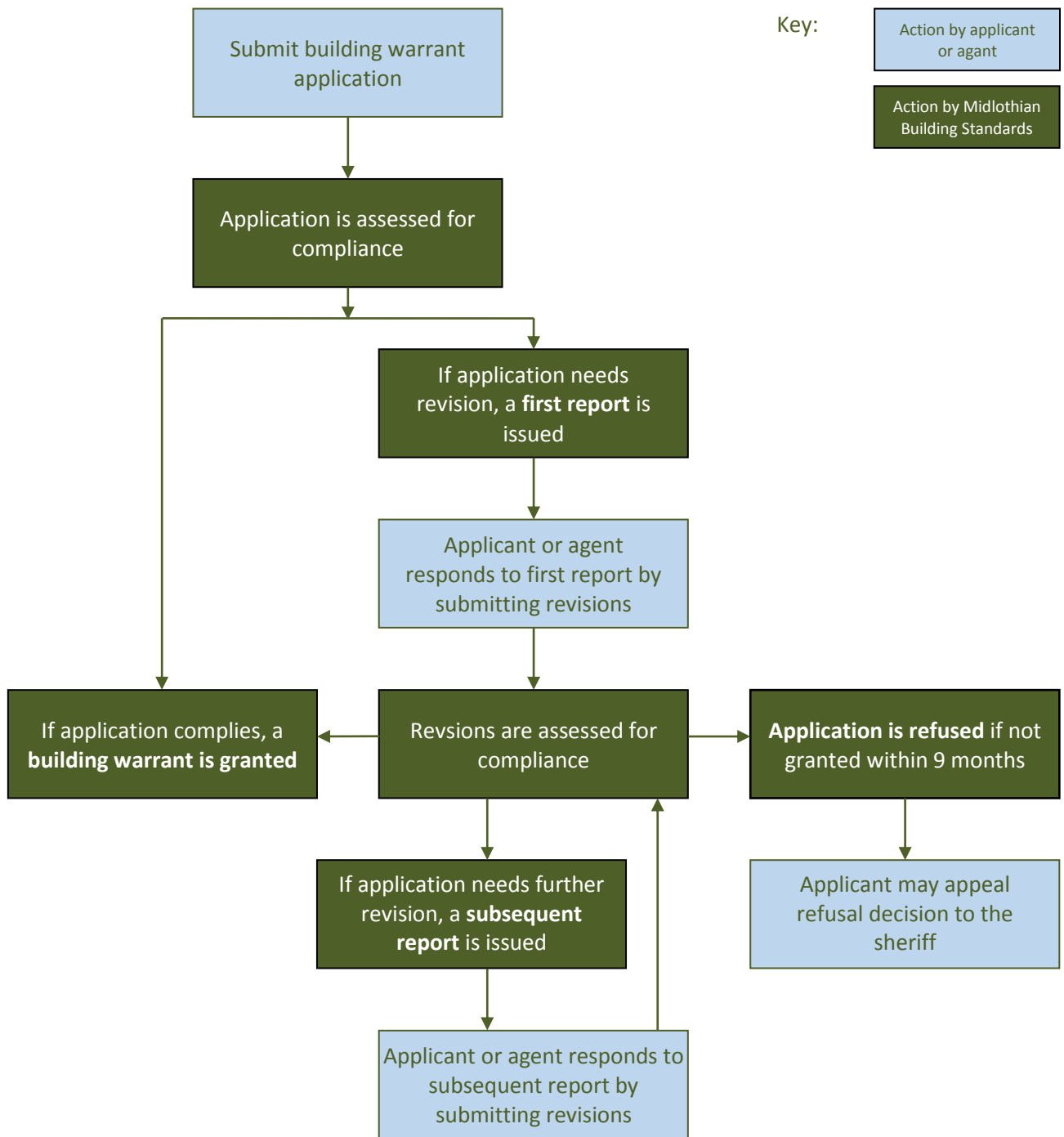
If you have appointed an agent to deal with your application on your behalf, after we acknowledge your application, we will then deal directly with your agent.

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:



Note: Full procedural details of 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:

	<b>Check</b>
a) A completed application form	<input type="checkbox"/>
b) The correct fee	<input type="checkbox"/>
c) Plans, drawings and specification, as described in these notes	<input type="checkbox"/>
d) Supporting information, as described in these notes	<input type="checkbox"/>

**If you require further assistance, please contact us on 0131 271 3350.**