



RIAS-regs

Guidance on the use of Staged Warrants, Schedule 1 and Form Q

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RIAS
The Royal Incorporation
of Architects in Scotland

1. Introduction

The building warrant process and the associated Certification of Design process must be sufficiently flexible to accommodate the realities of construction while still providing the necessary safeguards to public safety.

This guidance is intended to provide Approved Certifiers of Design with options for discharging their responsibilities for certification while still accommodating the needs of their clients for flexibility in the design and construction of the building.

The wording of this document has been jointly agreed between the Building Standards Division (BSD) of the Scottish Government and the two Section 6 – Energy (Domestic and Non-domestic) Scheme Providers.

2. Staged Warrants

Staged building warrants may be used to enable an early site start, by restricting the content of the design included within the early stages of a building warrant application. A Verifier may grant a building warrant with a condition that information on later stages (which will be listed in the building warrant form) is to be provided later. Work cannot progress until an amendment to the building warrant has been obtained for the later stage(s). This will allow such stages, accompanied by the appropriate certification, to pass quickly through the local authority verification process.

A Certificate of Design should always be issued if the stage being applied for includes an element that has a material impact on the energy performance of the building. Typically, a stage 1 building warrant application may comprise drainage, foundations and the ground floor slab. The last of these has a material impact on the thermal performance of the building and the stage 1 building warrant would include details of the construction of the slab, method and type of insulation and its thermal performance.

The wording on the Certificate of Design must match that on the building warrant application and must clearly define, where a staged building warrant has been issued, which stage and which element the Certificate of Design relates to.

Note: A Certificate of Design must either be provided with the initial application for a building warrant or the registration number of the Approved Certifier of Design and their Approved Body included in the building warrant application for the discount to the building warrant application fee to be applied.

3. Schedule 1

Many construction projects include components or systems which are designed by specialist contractors or suppliers often some time after the general layout design of the building has been completed.

This is particularly pertinent in the design of renewable energy systems where the performance of individual components can vary between particular manufacturers, and the performance of the system as a whole may vary depending on site circumstances and the components used.

Clearly such systems have a vital role to play in the overall efficiency of the finalised design, however such details may not be available until a specific contractor or supplier has been identified and / or additional site investigation has been undertaken. There is no doubt however that they fall within the scope of the energy certification process.

Schedule 1 has been introduced to cope with those elements which are included in both full and staged building warrants. Schedule 1 should not be used to describe those elements of the design that are to be covered by later stages. A Certificate of Design may be issued to support the application for amendment to the building warrant for each stage. Each certificate would have its own Schedule 1 covering the items

for that stage to be confirmed as compliant, at a later date. If Schedule 1 is used, a performance specification for the items must be provided with the building warrant application.

A finalisation notice (model Form Q) must be submitted to the verifier once the design has been finalised and compliance has been checked, unless those elements of design are themselves covered by a stage and/or amendment which does not itself require to note them on a Schedule 1. The verifier will validate the Form Q notification in the same way as they validate a Certificate of Design. Only one Form Q should be submitted to the Verifier to wrap-up all of the items regardless of the number of Certificates of Design and Schedules issued. A Completion Certificate cannot be accepted unless the Form Q has been submitted.

Schedule 1 should not be used to describe a fabric element or services installation that is not otherwise adequately shown on the warrant drawings. For example, where it is intended to install a gas boiler, the building warrant application should state the minimum performance required, which areas of the building the system will serve and the nature of the heat emitters to be used (radiators or under floor), etc.

Schedule 1 should be used where design responsibility for a particular fabric element or services installation has an impact on the energy use of the building. For example, where a ground source heat pump (GSHP) is proposed and the performance is dependent on multiple components. This element, together with the performance specification should be included in a Schedule 1. For example:

“GSHP to achieve a coefficient of performance of 300% or greater and provide fully zoned temperature and time control”

The CoP will be the figure and the description of the controls will be used in any compliance calculations and prior to installation the Approved Certifier must assess the actual details provided by the specialist designer / contractor and reassure themselves that they have met this performance criteria.

If this is the case the Certifier of Design must issue a Form Q to the Verifier, as per the template in Appendix B.

If this is not the case then the Verifier should require an amendment to the building warrant, including revised compliance calculations and the inclusion of any additional measures that may be required to demonstrate compliance, such as improved thermal insulation or services installation.

When there are multiple Approved Certifiers of Design on a project there must be an integrated approach to certification. An Approved Certifier of Design for energy design and an Approved Certifier of Design for structural design should discuss their respective designs to ensure compatibility.
Cautionary Note:

Where a Schedule 1 is used it is perhaps worth considering carefully the performance of a Schedule 1 item in demonstrating compliance to avoid the need for an amendment for a system which differs from the stated performance specification but does still allow compliance without other changes.

Key features of the use of a Schedule 1 form:

- The Certificate of Design must be accompanied by a Schedule 1 listing any fabric or system performances which the warrant does not cover in detail
- The building warrant plans accompanying the application must contain a performance specification for any items or details listed in the Schedule 1 to the Certificate of Design
- The Approved Certifier of Design will receive information from the specialist contractor that demonstrates compliance with the performance specification and compatibility with the previously certified design once this is available
- If the design differs from the performance specification but does satisfy the requirements of the regulations, then an application to amend the building warrant must be made

- A building warrant (including the warrant for a stage), granted by a Verifier for an application accompanied by a Certificate of Design described above, should normally be accompanied by a finalisation notice (Form Q) that is to be returned to the Verifier once the Approved Certifier of Design is satisfied regarding the design of the detail
- The notice will be signed by the Approved Certifier of Design and by the Approved Body
- The local authority Verifier will refuse to accept a Completion Certificate unless the notification has been returned.

This procedure should only be used to deal with clearly defined elements where a specialist contractor has an element of design responsibility.

4. Procedure

Step 1: Building Warrant Application

The Approved Certifier of Design issues a Certificate of Design for the building or stage accompanied by a Schedule 1 listing details to be designed later, but which are described in the application by performance specification(s).

Step 2: Building Warrant Approved

The building warrant is accompanied by a Form: “Notification of Finalisation of Design Details”

Step 3: Client Appoints Specialist Contractor

Other work included within building warrant can commence on site.

Step 4: Specialist Design

The specialist contractor supplies the Approved Certifier of Design with the design of those elements included in Schedule 1. The Approved Certifier of Design checks the contractor design for compliance with the performance specification(s) and for consistency with the overall energy design. Any divergence from this would require an amendment to the building warrant.

Step 5: Design Approved

The Approved Certifier of Design approves the specialist design and returns a signed notification (Form Q) to the Verifier. The notification is countersigned by the Certification Coordinator of the Approved Body. Approved Certifiers of Design should retain a copy of the signed notification for audit purposes.

Step 6: Completion

The “Relevant Person” submits a Completion Certificate to the Verifier. Before accepting a Completion Certificate from the building warrant Applicant, the Verifier will check that a notification has been returned relating to any details previously listed in the Schedule 1.

Appendix A - Requirements of the Legislation

A building warrant must be granted if the Verifier is satisfied that nothing in any plan specification or other information submitted with the application indicates that the building when constructed will fail to comply with the regulations. The information to be submitted with the application is detailed in schedule 2 of the Procedure Regulations and, with regard to, energy will include general arrangement drawings showing:

- the layout and dimensions of the building
- all the elements of the fabric construction and its performance (U values etc)
- the nature, fuel source and efficiency of services and systems, identifying which parts of the building(s) they serve
- requirements for the labelling of such systems and services
- details of any post completion tests that are required to be carried out (such as an air pressure test), stating the minimum performance that is to be achieved and who can carry out the test
- confirmation of whether the Accredited Details have been adopted
- the position of any Energy Performance Certificates (EPCs) that may be required and by who they can be produced
- energy calculations, which incorporate the fabric and services attributes noted above

Verifiers have some discretion regarding the level of detail that they require to accompany the application and the Building Standards Division of the Scottish Government has provided guidance, in the Procedural Handbook.

Within this body of information, it is perfectly reasonable to state performance specifications for individual items, where the specific suppliers are unknown as long as those performance specifications are used in the supporting energy calculations. For example:

“new gas boiler to be provided in compliance with (BS references etc) within a minimum efficiency of 85%”

A figure of 85% would be used in any compliance calculations and on completion of the works the Verifier would be able to see from the equipment labelling and by reference to the SEDBUK database if the boiler fitted meets that performance.

If the boiler fitted is of the same general type and exceeds this performance, no further action is required on this point, in order to obtain completion¹. Where a boiler of a lower performance or fuel type is used an amendment to the building warrant with revised calculations is required before the Verifier can accept a Completion Certificate.

¹ The Energy Performance of Buildings (Scotland) Regulations 2008 requires the actual performance of the installed boiler to be used in the calculation required to produce an Energy Performance Certificate.

Appendix B

MODEL FORM Q

NOTICE OF FINALISATION OF DESIGN DETAILS

Building (Procedure) (Scotland) Regulations 2004

Notification of finalisation of design of elements specified in schedules to certificates issued in accordance with regulations 32 and 34

Part A to be completed by approved certifier

I hereby give notice that the detailed design of the elements specified in the schedule to the Certificate of Design number:

relating to building warrant reference number:

has been finalised and is in accordance with the relevant performance specification.

Name of Approved Certifier of Design

Registration number of Approved Certifier of Design

Signed - (Approved Certifier of Design)

Date

Part B to be completed by Approved Body

I confirm that the person signing Part A is an Approved Certifier of design and is a principal in or is employed by this body.

Name of Approved Body

Registration number of Approved Body

Signed - (Certification co-ordinator of Approved Body)

Date
