



Construction
Leadership
Council

Building Control Approval Application for a new Higher-Risk Building (Gateway 2)

Guidance Suite



NOTE 1: This guidance was drafted to support making an application for a Building Control Approval Application for a new Higher-Risk Building (HRB) (Gateway 2). The principles supporting a clear and comprehensive application for Building Control Approval are common for all types of building work. It may, therefore, also be useful for Building Control Approval Applications for work in an existing HRB in particular category A work. Some of the elements may also be relevant for category B work.

NOTE 2: This document contains separate guidance notes. Each of these are version controlled and dated. When updates are carried out, the specific guidance note will receive a new version control number and date.

This guidance suite has been produced in collaboration between the Construction Leadership Council, industry stakeholders and the Building Safety Regulator. It provides the baseline principles to guide those involved in submitting and assessing applications for Building Control Approval for Higher-Risk Buildings (Gateway 2 applications).

This guidance may go further than the minimum you need to do to comply with the law with regard to building safety.

About the Construction Leadership Council

The **Construction Leadership Council** (CLC) brings together all parts of the construction industry and government. Its mission is to provide leadership and coordination to enable the construction sector to improve its performance, benefiting both the private and public sectors. By convening an industry partnership, the CLC provides the means to address short-term and long-term issues that affect the construction sector. The CLC's four strategic priorities are: Building Safety; Net Zero and Biodiversity; People and Skills; and Next Generation Delivery.

The CLC is co-chaired by Minister of State at the Department for Business and Trade and the Department for Energy Security and Net Zero, Sarah Jones MP and Mark Reynolds, Mace Group Executive Chairman. The Deputy Co-Chair is Richard Robinson, AtkinsRéalis, President – Asia, Middle East and Australia.

Directory of Guidance

This document brings together a suite of guidance notes for Building Control Approval Applications for a new Higher-Risk Building (Gateway 2). All guidance notes and wider information are summarised in the table below. Links are provided for all content, and further information can be accessed via the [CLC website](#).

No	Guidance	Description	Pg
01	The Building Safety Regime for a New Higher-Risk Building	Summary process map of the building safety regime process for a Building Control Approval Application for a new Higher-Risk Building.	-
02	Sufficient Level of Design	Approach to the sufficient level of design detail for a Gateway 2 Building Control Approval application.	1
03	Building Control Approval with Requirements	Approach and management of the use of Approval with Requirements for a Gateway 2 Building Control Approval application.	5
04	Application Information Schedule Annex 4A	Baseline design information to be submitted for a Gateway 2 Building Control Approval application. Includes an example schedule.	11
05	Application Project Brief Annex 5A	The use and submission of an Application Project Brief for a Gateway 2 Building Control Approval application. Includes an example project brief.	15
06	Application Document Management and Submission Annex 6A	Best practice for document management and submission to the Building Safety Regulator online portal for a Gateway 2 Building Control Approval application. Includes an example schedule.	19
07	Application Strategy - for a Single Building Staged Application or Applications for a Multi-Building Development Annex 7A	The use and submission of an Application Strategy for a staged building control approval application or applications for multiple buildings within a single development. Includes an example application strategy.	25

Build UK guidance is also available in relation to the [Validation of Applications for Building Control Approval](#).

Left blank intentionally

SUFFICIENT LEVEL OF DESIGN

SUFFICIENT LEVEL OF DESIGN

Guidance Note: 02
Version: 1.0
Date: 21/07/25

SUMMARY

This guidance note outlines how an applicant should approach the sufficient level of design for Building Control Approval for a new Higher-Risk Building.

An applicant seeking Building Control Approval at Gateway 2 must submit a clear and comprehensive application.

An application must demonstrate that the functional regulatory requirements of the Building Regulations can and will be met.

There remains flexibility in the application process to take account of the modern design and construction process of a Higher-Risk Building project.

A Building Control Approval application can seek either:

- Approval; or where appropriate
- Approval with Requirements.

NOTE: This guidance note should be read in conjunction with:

- [CLC Guidance Note 01](#) - The Building Safety Regime for a new HRB
- [CLC Guidance Note 03](#) - Building Control Approval with Requirements
- [CLC Guidance Note 04](#) - Application Information Schedule

Further guidance is also available on the [CLC website](#).

SUFFICIENT LEVEL OF DESIGN

1. INTRODUCTION

- 1.1. Under the new Building Safety Regime for a new Higher-Risk Building (HRB), an applicant must pass through three gateway points: Planning (Gateway 1) (hospitals and care homes are excluded from the definition of a relevant building); Building Control Approval (Gateway 2); and Building Control Completion (Gateway 3). This process is summarised in the [Building Safety Regime for a new Higher-Risk Building](#).
- 1.2. This guidance sets out how an applicant, either the client or someone authorised to act on their behalf, should approach the sufficient level of design detail for Building Control Approval.
- 1.3. The design process is complicated and traditionally on large projects, it takes place over a long period, usually overlapping with the construction process.
- 1.4. Historical issues with the previous Building Control regime included, amongst others, that designs were often lacking in detail to evidence compliance with the functional requirements of the [Building Regulations 2010](#) (as amended), or that the completed design would be compliant.
- 1.5. The new building safety regime for HRBs has brought a fundamental shift in the principles of the Building Control Approval application process. Applicants are required to provide significant design information before construction begins. If done correctly this should not pose a problem to the success of an application.
- 1.6. An applicant should be clear on the level of design information required to provide a robust Building Control Approval application to the Building Safety Regulator (BSR) at Gateway 2, whilst still allowing for flexibility in the modern design and construction process for a HRB.

2. SUFFICIENT LEVEL OF DESIGN DETAIL

- 2.1. An application for Building Control Approval should provide quality detailed information that clearly and comprehensively demonstrates how the design and construction of the HRB will comply with the Building Regulations.
- 2.2. A Building Control Approval application can seek either:
 - **Approval** - Provision of sufficient design of the building to evidence compliance with all applicable functional requirements of the Building Regulations; or where appropriate
 - **Approval with Requirements** - Provision of sufficient design to evidence compliance that the building can and will meet with all applicable functional requirements of the Building Regulations even though certain aspects of the design detail remain outstanding at that time and will be submitted later in accordance with an agreed plan.

SUFFICIENT LEVEL OF DESIGN

- 2.3. **Approval with Requirements** is available for use by the Regulator, where the applicant is seeking Building Control Approval at Gateway 2, where otherwise an application may be rejected. It is the applicant's responsibility to present the items to be considered for Approval with Requirements in a clear and comprehensive proposal (plan) to the BSR for agreement.
- 2.4. Specific CLC guidance is provided on [Building Control Approval with Requirements](#) and the recommended use of an [Application Information Schedule](#).
- 2.5. The baseline to any Approval with Requirements approach is that the **initial Building Control application needs to show sufficient information to allow the BSR to be satisfied** that the finished building can and will comply with the Building Regulations even though certain aspects remain outstanding at that time.
- 2.6. Design sufficiency needs to be taken to a point where performance to the requirements of the functional requirements of the Building Regulations can be confidently confirmed without having to have a particular product specified or absolute final detailed drawings/documents provided. This is eminently possible especially where there are several manufacturer's products that have the relevant tested performance and can be used in the layout and dimensional limits set by the submitted building plans.
- 2.7. Approaching design in this way also aims to ease the regulatory burden on both the applicant and BSR by reducing the need for multiple change records and approvals that would be otherwise required during the construction phase.
- 2.8. If Approval with Requirements for an element or package is granted then it remains the applicant's responsibility to continue to plan, manage and monitor the delivery of any remaining design elements during the construction phase in accordance with the Construction Control Plan.
- 2.9. It is illegal for any work to commence before both a full design is submitted for the specific Requirement and approval is given by the BSR to proceed on that aspect of the work.

End of Note 02

Left blank intentionally

BUILDING CONTROL APPROVAL WITH REQUIREMENTS

BUILDING CONTROL APPROVAL WITH REQUIREMENTS

Guidance Note: 03
Version: 1.0
Date: 21/07/25

SUMMARY

This guidance note outlines how an applicant should approach and manage the use of Approval with Requirements for a Building Control Approval application for a new Higher-Risk Building.

Approval with Requirements can be used for two purposes:

- To enable approval of an application with a minor error or minor omission in design; or
- As a response to an applicant's proposal.

An applicant seeking Approval with Requirements must provide a clear and comprehensive proposal (plan) to the Building Safety Regulator for agreement alongside the main application.

The proposal must demonstrate that the completed building can and will comply with the functional requirements of the Building Regulations, and how and when the information forming the Approval with Requirements elements will be provided.

Where Approval with Requirements is granted, an applicant must plan, manage and monitor the delivery of any remaining design elements.

Construction work is not allowed to commence on any specific element unless a full design is submitted and approved for that element by the Building Safety Regulator.

NOTE: This guidance note should be read in conjunction with:

- [CLC Guidance Note 01](#) - The Building Safety Regime for a new HRB
- [CLC Guidance Note 02](#) - Sufficient Level of Design
- [CLC Guidance Note 04](#) - Application Information Schedule

Further guidance is also available on the [CLC website](#).

BUILDING CONTROL APPROVAL WITH REQUIREMENTS

1. INTRODUCTION

- 1.1. Under the new Building Safety Regime for a new Higher-Risk Building (HRB), an applicant must pass through three gateway points: Planning (Gateway 1) (hospitals and care homes are excluded from the definition of a relevant building); Building Control Approval (Gateway 2); and Building Control Completion (Gateway 3). This process is summarised in the [**Building Safety Regime for a new Higher-Risk Building**](#).
- 1.2. This guidance sets out how an applicant, either the client or someone authorised to act on their behalf, should correctly approach and manage the use of [**Approval with Requirements for a Building Control Approval application \(Gateway 2\)**](#).
- 1.3. Historical issues with the previous building control regime included, amongst others, that designs were often lacking in detail to evidence compliance with the functional requirements of the [**Building Regulations 2010**](#) (as amended), or that the completed design would be compliant.
- 1.4. Under the previous legislative regime, it was possible, under section 16 of the Building Act 1984, to either pass, reject or, subject to the applicant's consent, pass plans with conditions.
- 1.5. Prior to the Grenfell Tower tragedy, Building Control had met the inadequacy of some building designs to demonstrate the functional requirements of the Building Regulations, with the use of the Conditional Approval mechanism to set out conditions which were a list of omissions and solutions.
- 1.6. These 'conditions' at times amounted to providing a specification which is not the role of a regulator. This played into the general misunderstanding that Building Control took responsibility for ensuring compliance and thus led to abdication of that responsibility from elements of the design/construction team.
- 1.7. It was not the legislation that was the problem but the way in which it was used. Hence the mechanism remains.
- 1.8. The new [**Building \(Higher-Risk Buildings Procedures\) \(England\) Regulations 2023**](#) allow for decisions by the Building Safety Regulator (BSR) in respect to applications for Building Control Approval to either be "[**Approval, Rejection or Approval with Requirements**](#)" depending on given circumstances.
- 1.9. [**Approval with Requirements**](#) is available for use by the BSR, where the applicant is seeking Building Control Approval at Gateway 2, where otherwise an application may be rejected. It is the applicant's responsibility to present the items to be considered for Approval with Requirements in a clear and comprehensive proposal (plan) to the BSR for agreement.

BUILDING CONTROL APPROVAL WITH REQUIREMENTS

2. THE PRINCIPLES OF APPROVAL WITH REQUIREMENTS

2.1. A Building Control Approval application (Gateway 2) can seek either:

- **Approval** - Provision of sufficient design of the building to evidence compliance with all applicable functional requirements of the Building Regulations; or where appropriate
- **Approval with Requirements** - Provision of sufficient design to evidence compliance that the building can and will meet with all applicable functional requirements of the Building Regulations even though certain aspects of the design detail remain outstanding at that time and will be submitted later in accordance with an agreed plan.

2.2. Approval with Requirements can be used for two purposes:

- **To enable approval of an application with a minor error or minor omission in design** – Where the application contains a minor error or omission and the BSR is satisfied that it can be dealt with by a simple agreement with the applicant.
- **As a response to an applicant's proposal** – The applicant provides a clear and comprehensive application that demonstrates that the building will comply with the Building Regulations and includes a plan for submission of further Approval with Requirements design, including a timeline for delivery. This Approval with Requirements plan will be set out in the Building Regulations Compliance Statement and appropriately referenced in the Construction Control Plan. The BSR may grant Approval with Requirements if they are satisfied with the plan.

2.3. The baseline to any progressive application process (Approval with Requirements) is that the initial application needs to show suitable and sufficient information to allow the BSR to be satisfied that the finished building can and will comply with the Building Regulations even though certain design aspects remain outstanding at that time.

2.4. When seeking Approval with Requirements it is the applicant's responsibility to prepare and submit with the main application a clear and comprehensive **Approval with Requirements Plan** to the BSR for agreement.

2.5. Approval with Requirements cannot be used to obtain approval to proceed with inadequate design. Such applications will be rejected.

2.6. It is not for the BSR to provide design solutions or set out or manage the applicant's progressive application process.

BUILDING CONTROL APPROVAL WITH REQUIREMENTS

3. BUILDING CONTROL APPLICATION SEEKING APPROVAL WITH REQUIREMENTS

- 3.1. The new building safety regime for HRBs has brought a fundamental shift in the principles of the Building Control Approval process. There should be sufficient design information in the Building Control Approval Application to evidence compliance with the Building Regulations. This means design needs to be programmed for delivery much earlier than has happened in the past.
- 3.2. **Approval with Requirements does provide some flexibility but should be used only when appropriate.** If Approval with Requirements is granted, the corresponding design detail should be submitted for approval as early as possible in the construction phase.
- 3.3. An applicant is required to submit:
- a) The Building Plans (and other documents) which must demonstrate that the performance levels required by both the prescriptive (e.g. Building Regulation 7(2)) and functional / relevant requirements (e.g. the Building Regulations Schedule 1) can and will be met. It is not enough to simply state "We will meet the Regulations".
 - b) All mandatory documents set out in the legislation. CLC guidance on the **Building Safety Regime for a new Higher-Risk Building** provides further information.
 - c) An **Approval with Requirements Plan** which is set out in the Building Regulations Compliance Statement and appropriately referenced in the Construction Control Plan. As a minimum it should detail:
 - Which parts of the design is Approval with Requirements being sought;
 - The reasons why these items are required to be subject to Approval with Requirements;
 - Further design detail information to be issued to demonstrate compliance; and
 - A timetable for when the further specifications/information will be submitted.
- 3.4. The use and submission of an **Application Information Schedule** is recommended. The Schedule provides an easy to navigate information framework aligned with the requirements of Building Regulations (**Schedule 1**).

BUILDING CONTROL APPROVAL WITH REQUIREMENTS

4. MANAGEMENT OF APPROVAL WITH REQUIREMENTS

- 4.1 If Approval with Requirements is granted by the BSR then it is the responsibility of the applicant to continue to plan, manage and monitor the delivery of any remaining design elements during the construction phase in accordance with the Construction Control Plan.
- 4.2 It is essential that both the applicant and BSR understand the status of the Building Control approval at any one time for every aspect of the design and what information still needs to be submitted. The Approval with Requirements plan, including the timeline submitted at the application stage must be followed.
- 4.3 It is illegal for any work to commence on the specific element subject to a Requirement before a full design is submitted and approved by the BSR.
- 4.4 An applicant should contact their BSR case officer for details of how to submit the information necessary to fulfil a Requirement.

End of Note 03

Left blank intentionally

APPLICATION INFORMATION SCHEDULE

APPLICATION INFORMATION SCHEDULE

Guidance Note: 04

Version: 1.0 – 21/07/25

Annex 4A: 1.0 – 21/07/25

SUMMARY

This guidance note outlines the baseline design information to be submitted for a Building Control Approval application for a new Higher-Risk Building.

An applicant must submit a clear and comprehensive application that demonstrates that the functional requirements of the Building Regulations can and will be met.

The use and submission of an Application Information Schedule is recommended. The Schedule provides an easy to navigate information framework aligned with the requirements of the Building Regulations 2010 (Schedule 1).

An example schedule is provided. The schedule lists the baseline design information that should be provided in an application to help achieve the necessary standards for a successful assessment and approval by the Building Safety Regulator.

NOTE: This guidance note should be read in conjunction with:

- [CLC Guidance Note 01](#) – The Building Safety Regime for a new HRB
- [CLC Guidance Note 02](#) – Sufficient Level of Design
- [CLC Guidance Note 03](#) – Building Control Approval with Requirements
- [CLC Guidance Note 06](#) – Application Document Management and Submission

Further guidance is also available on the [CLC website](#).

APPLICATION INFORMATION SCHEDULE

1. INTRODUCTION

- 1.1. Under the new Building Safety Regime for a new Higher-Risk Building (HRB), an applicant must pass through three gateway points: Planning (Gateway 1) (hospitals and care homes are excluded from the definition of a relevant building); Building Control Approval (Gateway 2); and Building Control completion (Gateway 3). This process is summarised in the [**Building Safety Regime for a new Higher-Risk Building**](#).
- 1.2. The applicant, either the client or someone authorised to act on their behalf, should submit and manage a new HRB - Building Control Approval application (Gateway 2) [**online**](#) to the Building Safety Regulator (BSR).
- 1.3. An application for Building Control Approval should provide quality, detailed information that clearly and comprehensively demonstrates how the design and construction of the HRB will comply with the [**Building Regulations 2010**](#) (as amended). This should be done through:
 - **Identifying** - every aspect of the project that requires compliance with Building Regulations, including structural and fire safety.
 - **Clarifying** - which standard, code or approach will be used to demonstrate compliance, with an explanation of why it is the most appropriate.
 - **Justifying** - how the functional requirements have been met, with clear and comprehensible narrative referring to suitably labelled plans and drawings.
- 1.4. Design information for an application should be provided in an easy to navigate framework aligned with the requirements of the Building Regulations ([**Schedule 1**](#)).
- 1.5. This guidance relates to the baseline design information that must be submitted for a Gateway 2 Building Control Approval application.
- 1.6. It is recommended that an applicant uses and submits an [**Application Information Schedule**](#). This is not a required statutory document, but it is a tool that can assist in navigating application information.
- 1.7. The Schedule can provide a clear and logical summary of all the design information submitted. This can support the applicant, either the client or someone authorised to act on their behalf, to submit a comprehensive application. It also aids the BSR and appointed Multi-Disciplinary Team (MDT) to navigate the design information in the application.

APPLICATION INFORMATION SCHEDULE

2. GATEWAY TWO APPLICATION INFORMATION SCHEDULE

- 2.1. An **Application Information Schedule** is recommended to be submitted with the application.
- 2.2. The objectives of the Application Information Schedule are to:
 - Signpost the sub-folders/files to the Approved Documents;
 - Identify the entity responsible for the providing the design;
 - Provide guidance on the sufficiency of the design for a Building Control Approval application and the proposed information that may be provided for Approval with Requirements.
- 2.3. The BSR online application portal now provides for the information to be provided with an application to be uploaded in a folder, sub-folder and file structure at the time of the application.
- 2.4. It is recommended that the applicant should submit the Application Information Schedule as a file in a sub-folder named "**General Application Information**", and upload this sub-folder at the Drawings and Plans stage of the BSR online application portal. CLC guidance on [Application Document Management and Submission](#) provides further information.
- 2.5. [Annex 4A](#) provides an example of an Application Information Schedule.

3. HOW TO USE AN APPLICATION INFORMATION SCHEDULE

- 3.1. An Application Information Schedule provides an easy to navigate information framework aligned with the requirements of Building Regulations ([Schedule 1](#)).
- 3.2. The Schedule is divided into three columns: 1) Approved Documents; 2) Information provided with the application; and 3) Information provided with Approval with Requirements.
- 3.3. It is key that each file listed within both columns 2 and 3 are referenced and allocated to the respective Approved Document.
- 3.4. Each file should be allocated only once to the **primary** Approved Document and not to multiple Approved Documents.
- 3.5. Files can be identified with the File Reference Number and File Title. For example - 2.1.1 (file reference number) Architectural Plans, Sections and Elevations (file title).
- 3.6. It is an applicant's decision on how to name and structure file references and titles.

End of Note 04

Left blank intentionally

APPLICATION PROJECT BRIEF

APPLICATION PROJECT BRIEF

Guidance Note: 05
Version: 1.0 – 21/07/25
Annex 5A: 1.0 – 21/07/25

SUMMARY

This guidance note outlines the importance of providing a clear, concise and informative summary description of the project as part of a Building Control Approval application for a new Higher-Risk Building.

The Building Safety Regulator online application portal requires completion of the Description of Work. This information is used to support the engagement of the appropriate Registered Building Inspector and other Multi-Disciplinary Team (MDT) specialists.

The use and submission of an Application Project Brief is recommended. The Brief includes the Description of Work and the wider context of the essential features and complexity of the building(s).

An example Application Project Brief is provided.

NOTE: This guidance note should be read in conjunction with:

- [CLC Guidance Note 01](#) - The Building Safety Regime for a new HRB
- [CLC Guidance Note 06](#) - Application Document Management and Submission
- [Build UK](#) – Validation of Applications for Building Control Approval

Further guidance is also available on the [CLC website](#).

APPLICATION PROJECT BRIEF

1. INTRODUCTION

- 1.1. Under the new Building Safety Regime for a new Higher-Risk Building (HRB), an applicant must pass through three gateway points: Planning (Gateway 1) (hospitals and care homes are excluded from the definition of a relevant building); Building Control Approval (Gateway 2); and Building Control Completion (Gateway 3). The documents required for a valid application are set out in the [**Building Safety Regime for a new Higher-Risk Building**](#).
- 1.2. The applicant, either the client or someone authorised to act on their behalf, should submit and manage a Building Control Approval application (Gateway 2) [**online**](#) to the Building Safety Regulator (BSR). The documents required for a valid application are set out in [**Build UK - Validation of Applications for Building Control Approval**](#).
- 1.3. The online application portal requires submission of documents and plans, and the completion of a number of text fields, including **Description of Work**. This is a compulsory field requiring a summary (free flow text, maximum 2000 characters) about the proposed project.
- 1.4. The purpose of the Description of Work field is for the provision of a clear and concise summary of the key elements of the development. The BSR uses the Description of Work to identify the correct people with the right skills, knowledge and experience to join the Multi-Disciplinary Team (MDT) for the application i.e. to Local Authorities or Registered Building Control Approvers when sourcing the Registered Building Inspector (RBI) support and other expert resource that may be required in assessing the application. The description text is therefore of significant importance to support the engagement of the appropriate specialist team.
- 1.5. To date, applications through the online portal have included a variety of inputs for the Description of Work, some only provide basic text such as '8 storey residential'. This is not sufficient.
- 1.6. It is recommended that an applicant uses and submits an [**Application Project Brief**](#) with the main application. This guidance outlines a suitable approach.

APPLICATION PROJECT BRIEF

2. APPLICATION PROJECT BRIEF

- 2.1. The **Application Project Brief** is a summary document which provides an easy to navigate clear, concise and informative description of the project.
- 2.2. It allows the MDT to quickly understand the proposed project in a standalone document and provides the Description of Work but also the wider context of the essential features and complexity of the building(s).
- 2.3. The Application Project Brief and should be appropriate to the size and complexity of the project and outline key points including the:
 - Description of Work;
 - Project team;
 - Description of the development;
 - Description of the development programme; and
 - Key information about the building(s).
- 2.4. It should be made clear in the Project Brief, if the application is part of a series of applications for either a wider, multi-building development or a single building staged application. This will allow BSR to allocate work appropriately.
- 2.5. If an application is rejected and then re-submitted, the Project Brief should reference the previous application reference e.g. Rejection Explanation of BCA01234567. This highlights the previous rejection and allows the MDT to focus on rejection reasons addressed in new application.
- 2.6. It is recommended that the applicant should submit the Application Project Brief as a separate file in a sub-folder named "**General Application Information**" and upload this at the Drawings and Plans stage of the BSR online application portal. CLC guidance on [Application Document Management and Submission](#) provides further information.
- 2.7. The Description of Work should also be copied into the online portal text field.
- 2.8. [Annex 5A](#) provides an example Application Project Brief including a Description of Work.

End of Note 05

Left blank intentionally

APPLICATION DOCUMENT MANAGEMENT AND SUBMISSION

APPLICATION DOCUMENT MANAGEMENT AND SUBMISSION

Guidance Note: 06
Version: 1.0 – 21/07/25
Annex 6A: 1.0 – 21/07/25

SUMMARY

This guidance note outlines best practice for document management and submission to the Building Safety Regulator online application portal for a Building Control Approval application (Gateway 2). It includes the:

- principles of good document management;
- use of folder and sub-folder structures;
- use of file naming conventions; and
- submission of other recommended documents including an Application Folder structure and Contents Schedule and Application Information Schedule.

An example of an Application Folder Structure and Contents Schedule is provided.

NOTE: This guidance note should be read in conjunction with:

- [CLC Guidance Note 01](#) - The Building Safety Regime for a new HRB
- [CLC Guidance Note 03](#) - Building Control Approval with Requirements
- [CLC Guidance Note 04](#) - Application Information Schedule
- [Build UK](#) - Validation of Applications for Building Control Approval

Further guidance is also available on the [CLC website](#).

APPLICATION DOCUMENT MANAGEMENT AND SUBMISSION

1. INTRODUCTION

- 1.1. Under the new Building Safety Regime for a new Higher-Risk Building (HRB), an applicant must pass through three gateway points: Planning (Gateway 1) (hospitals and care homes are excluded from the definition of a relevant building); Building Control Approval (Gateway 2); and Building Control Completion (Gateway 3). This process is summarised in the [Building Safety Regime for a new Higher-Risk Building](#).
- 1.2. The applicant, either the client or someone authorised to act on their behalf, should submit and manage a new HRB - Building Control Approval application (Gateway 2) [online](#) to the Building Safety Regulator (BSR). This requires submission of an application and supporting documents (and plans). The documents required for a valid application are set out in [Build UK - Validation of Applications for Building Control Approval](#).
- 1.3. Clear and logical document organisation within the application submission not only contributes to a clear and comprehensive application but provides an easy to navigate framework for the BSR and their Multi-Disciplinary Teams (MDTs) to assess compliance.
- 1.4. This guidance note outlines best practice for document management and submission for a Building Control Approval application.

2. PRINCIPLES

- 2.1. Information for an application should be provided in an easy to navigate framework aligned with the relevant legislation.
- 2.2. The document structure should set out a clear hierarchy of folders, sub-folders and files.
- 2.3. A clear naming convention for folders, sub-folders and files should be followed.
- 2.4. Submitting more documents than is needed will not mean that the application is better, in fact it may lead to the need for a longer assessment process.

3. USE OF FOLDER AND SUB-FOLDER STRUCTURES

- 3.1. The BSR online application portal has been updated with a new functionality, to allow applicants to submit documents in a folder structure. This offers greater flexibility on presentation of the application and allows related documents to be clustered.
- 3.2. Within the portal, an applicant is prompted to upload the Accompanying Documents as files into separate pre-set folders.

APPLICATION DOCUMENT MANAGEMENT AND SUBMISSION

- 3.3. At the **Drawings and Plans** stage on the portal, an applicant is now able to upload sub-folders. Sub-folders should be created on an applicant's own system and simply uploaded when requested by the portal.
- 3.4. The number of sub-folders should be proportionate but there are no constraints on sub-folder creation or the number of files within each sub-folder.
- 3.5. **Annex 6A** provides an example folder and sub-folder structure that may be used through an **Application Folder Structure and Contents Schedule**.
- 3.6. Sub-folders can be any size but should only contain PDFs. Other file types cannot be uploaded.
- 3.7. Sub-folder names should only use letters, numbers, spaces, hyphens and underscores. Do not use special characters.

4. FILE NAMING CONVENTIONS

- 4.1. A file reference should be clearly identifiable.
- 4.2. A file must be:
 - PDF format;
 - Smaller than 1GB; and
 - Named using only letters, numbers, spaces, hyphens and underscores. Do not use special characters.
- 4.3. Use a clear file title describing what a document or plan relates to. The aim is to avoid a file needing to be opened to identify what it is.
- 4.4. If a document is referred to in legislation, then use this exact wording as a clear file name (e.g. Target Emissions Rating).
- 4.5. Non-statutory recommended documents (e.g. Application Project Brief) should also be clearly titled.
- 4.6. Typical file names that should be used are:

File Titles - Statutory Documents	File Titles - Non-Statutory Documents
Site Plan	Application Folder Structure and Contents Schedule
Drawings and Plans	Application Information Schedule
Competence Declaration	Application Project Brief
Construction Control Plan	Application Strategy
Change Control Plan	
Mandatory Occurrence Reporting Plan	
Building Regulations Compliance Statement	
Fire and Emergency File	
Partial Completion Strategy	
Client Authorisation Statement	

APPLICATION DOCUMENT MANAGEMENT AND SUBMISSION

5. NON-STATUTORY RECOMMENDED DOCUMENTS

- 5.1. The CLC guidance suite recommends a number of additional documents that can be used and submitted to support an application:
- Application Folder Structure and Contents Schedule;
 - Application Information Schedule;
 - Application Project Brief; and
 - Application Strategy.
- 5.2. An applicant can submit these files in a sub-folder titled “**General Application Information**” and upload these at the Drawings and Plans stage of the BSR online application portal.

6. APPLICATION FOLDER STRUCTURE AND CONTENTS SCHEDULE

- 6.1. An **Application Folder Structure and Contents Schedule** is a recommended file to be submitted with the application.
- 6.2. The aim of the Schedule is to set out the overall structure of the application into folders, sub-folders and files. This will enable the BSR and MDT to navigate and easily locate all the information submitted.
- 6.3. It is recommended that the applicant should submit this file in a sub-folder named “**General Application Information**” and upload this at the Drawings and Plans stage of the BSR online application portal.
- 6.4. **Annex 6A** provides an example of an Application Folder Structure and Contents Schedule that may be used. (The Schedule size and complexity will be project specific).

7. APPLICATION INFORMATION SCHEDULE

- 7.1. An **Application Information Schedule** is a recommended file to be submitted.
- 7.2. The objectives of the Application Information Schedule are to:
- Signpost the sub-folders/files to the Approved Documents;
 - Identify the entity responsible for providing the design;
 - Provide guidance on the sufficiency of the design for a Building Control Approval application and the proposed information that may be provided for Approval with Requirements.

APPLICATION DOCUMENT MANAGEMENT AND SUBMISSION

- 7.3. It is recommended that the applicant should submit this file in a sub-folder named “**General Application Information**” and upload this at the Drawings and Plans stage of the BSR portal.
- 7.4. Further guidance is provided in the CLC guidance note [Application Information Schedule](#).

8. SUBMITTING A REQUEST FOR FURTHER INFORMATION

- 8.1. On receipt of a Request for Further Information (RFI), an applicant should follow specific instructions on how to provide and submit the information. This information will not be re-submitted through the online portal.
- 8.2. An updated **Application Folder Structure and Contents Schedule** must be provided with any new files submitted. It should highlight the:
- New file or a file which has been amended;
 - New revision(s); and
 - New or existing sub-folder(s) that the file would relate to.
- 8.3. This tracking of updated or new information is imperative to allow the BSR to distribute this to the correct MDT members.

9. LINKED APPLICATIONS

- 9.1. Where an application is linked to another in any way, these should be cross-referenced using application reference numbers.

10. REJECTED APPLICATIONS

- 10.1. If an application is rejected, the new application should reference the rejected application reference number e.g. Application name – Resubmission of BCA01234567.

End of Note 06

Left blank intentionally

APPLICATION STRATEGY - FOR A SINGLE BUILDING STAGED APPLICATION OR APPLICATIONS FOR A MULTI-BUILDING DEVELOPMENT

APPLICATION STRATEGY - FOR A SINGLE BUILDING STAGED APPLICATION OR APPLICATIONS FOR A MULTI-BUILDING DEVELOPMENT

Guidance Note: 07
Version: 1.0 – 21/07/25
Annex 7A: 1.0 – 21/07/25

SUMMARY

This guidance note outlines the use of an Application Strategy for either a single building staged Building Control Approval application or applications for a multi-building development.

Early engagement with the Building Safety Regulator on these types of applications is recommended. An Application Strategy can be submitted as part of this engagement.

There is no prescribed timeframe for contacting the Regulator or the submission of an Application Strategy. It is recommended that this is no shorter than 6 months prior to the application date.

This proactive engagement approach by the applicant provides oversight and comprehension of the proposed complex project, along with a considered approach in line with the Building Control Approval process.

The Building Safety Regulator will use the Strategy to inform engagement on the staged/multiple application(s), understand the pipeline of work and allocate resources appropriately.

An example Application Strategy is provided.

NOTE: This guidance note should be read in conjunction with:

- [CLC Guidance Note 01](#) - The Building Safety Regime for a new HRB
- [CLC Guidance Note 06](#) – Application Document Management and Submission

Further guidance is also available on the [CLC website](#).

APPLICATION STRATEGY - FOR A SINGLE BUILDING STAGED APPLICATION OR APPLICATIONS FOR A MULTI-BUILDING DEVELOPMENT

1. INTRODUCTION

- 1.1. Under the new Building Safety Regime for a new Higher-Risk Building (HRB), an applicant must pass through three gateway points: Planning (Gateway 1) (hospitals and care homes are excluded from the definition of a relevant building); Building Control Approval (Gateway 2); and Building Control completion (Gateway 3). This process is summarised in the [Building Safety Regime for a new Higher-Risk Building](#).
- 1.2. The applicant, either the client or someone authorised to act on their behalf, should submit and manage a new HRB - Building Control Approval application (Gateway 2) [online](#) to the Building Safety Regulator (BSR).
- 1.3. For complex projects that involve a building with multiple connected parts, an applicant may apply for a **staged application**. A staged application is when the building work is divided into different stages, allowing for a phased approval process by the BSR. Each stage:
 - is treated and assessed as if it were an application for a separate building;
 - must not start until the BSR approves the work; and
 - can start or finish on the same date, or different dates, as other stages.
- 1.4. This approach will also be useful for a complex project involving multiple buildings.
- 1.5. An applicant is recommended to contact the BSR before submitting a staged application or multiple building applications. An **Application Strategy** can be submitted as part of this engagement and this guidance outlines a suitable approach.
- 1.6. The Application Strategy relates to the overarching application approach and is not to be used to explain the design principles or design approach to the application.

2. APPLICATION STRATEGY

- 2.1. The Application Strategy is a summary document outlining the overarching Building Control Approval application approach for a proposed complex project, including a timeline. Where a project is proposing a partial completion strategy this should also be included within the document.
- 2.2. This proactive engagement approach by the applicant provides oversight and comprehension of the proposed complex project, along with a considered overarching staged application approach in line with the Building Control Approval process.

APPLICATION STRATEGY - FOR A SINGLE BUILDING STAGED APPLICATION OR APPLICATIONS FOR A MULTI-BUILDING DEVELOPMENT

- 2.3. The Application Strategy informs engagement by the BSR, providing awareness of forthcoming applications, the complexity of a project and proposed approach to be taken by the applicant.
- 2.4. [**Annex 7A**](#) provides an example Application Strategy.
- 2.5. For multi-building developments an applicant should use a consistent name for the project with an identifier for each application (i.e. Greenwood Park, Building 3 of 6) to ensure future sequential referencing of applications by the applicant and BSR.
- 2.6. Early engagement is recommended however there is no prescribed timeframe for contacting the BSR or the submission of an Application Strategy. Some applicants may benefit from contacting the BSR prior to Planning Gateway 1, others may choose to engage 6-12 months prior to a Building Control Approval application (Gateway 2).
- 2.7. To discuss a staged application or multiple applications, an applicant should contact the BSR via the [**online contact form**](#). The BSR will ask for details of the application proposal as part of arranging a pre-application meeting. The use and submission of an Application Strategy is recommended to provide the appropriate details.
- 2.8. For continuity the Application Strategy can also be submitted in the BSR online application portal in a sub-folder named "**General Application Information**" and uploaded at the Drawings and Plans stage of the BSR online application portal. CLC guidance on [**Application Document Management and Submission**](#) provides further information.
- 2.9. When an applicant starts a Building Control Approval application using the online service, they will be prompted to confirm it is a staged application. If 'yes' is selected then further information will be required. Details of the procedures to be followed and the information required for a staged application can be found on [**GOV.UK**](#).

End of Note 07

Left blank intentional

The Construction Leadership Council would like to express their thanks for the contributions made to the development of this guidance under the leadership of David McCulloch (CIC and Balfour Beatty) and Martin Taylor (LABC) by: AHMM Architects (RIBA, CONIAC), Barratt Redrow plc (HBF), Berkeley Group (CLC), Building Safety Regulator, Buckley Gray Yeoman (ATLG), Clarion Housing (G15), Department for Business and Trade, L&G Group (G15), Quintain (BUILD UK), Siderise (CPA), Sisk (BUILD UK), Totus Digital and Vistry Group (HBF) for their invaluable insight and technical contributions.

This guidance suite has been provided in memory of Lindsay McGibbon who worked tirelessly to improve building safety in the construction industry and contributed to the early development of the guidance.

Disclaimer: This publication has been issued by the Construction Leadership Council (CLC) for general information only and is not intended to provide advice or guidance on specific issues or projects. The CLC accepts no liability for any loss or damage incurred by any person as a result of reliance on this guidance. If you require advice on a specific issue or project, you should seek your own competent professional advice.

If you have any comments or feedback on this guidance note, please e-mail the [**Construction Leadership Council**](#)



Construction
Leadership
Council

www.constructionleadershipcouncil.co.uk

**c/o Department for Business and Trade
Old Admiralty Building, Admiralty Place, London, SW1A 2DY**

Email: construction.enquiries@businessandtrade.gov.uk