

HRB COMPLETION CHECKLIST AND HANDOVER RECEIPT

CHECKLIST — CLIENT FILE

Every reg 40 item with a status, the reg 38 information handover and the recipient's notice

KD-BSA-CL-008 Rev A0

Every item reg 40 requires in or with a completion certificate application, with a status, a reference and an owner — then the reg 38 handover. Reg 38(1): no later than the date the work is completed (or, where reg 45 partial completion applies, the date the part is to be occupied) the client gives the BFLO information and the specified golden thread information to the relevant person, who gives the client a notice acknowledging receipt (reg 38(3)). The declarations are drafted on KD-BSA-G3-007. The evidence gathered at handover is KD-QA-CO-006; the fire and life-safety systems certificate is KD-HO-FS-007 and the O&M manual schedule KD-HO-OM-003 — neither is the reg 38 information set. For building work that is not higher-risk building work, the completion notice and dutyholder statements are KD-BR-CO-003 and KD-BR-DS-004.

The regulations' own wording governs — check regs 38, 40 and 44 and the regulator's current guidance before submitting. The regulator issues a certificate only if satisfied the work is completed and complies, the reg 40(2)(a) to (d) documents are complete and accurate, and the reg 38 information is complete and has been provided (reg 44(1)). This checklist does not decide that.

1 THE APPLICATION

PROJECT REF	BUILDING AND ADDRESS	BSR APPLICATION REF	DATE	CHECKLIST KEPT BY
CLIENT (APPLICANT)	APPLICATION	TARGET SUBMISSION DATE		

2 IN THE APPLICATION — REG 40(1)

WHAT THE REGULATIONS REQUIRE	STATUS	DOCUMENT / REFERENCE / REVISION	OWNER
The client's name, address, telephone number and (if available) email address reg 40(1)(a)			
The same details for the principal contractor (or sole contractor) and the principal designer (or sole or lead designer) reg 40(1)(b)			
A statement that the application is made under reg 40 reg 40(1)(c)			
As-built description: the location of the higher-risk building reg 40(1)(d)(i)			
As-built description: the use or intended use of the building, including of each storey reg 40(1)(d)(ii)			
As-built description: the height of the building, determined by the method in reg 5 of the regulations that describe higher-risk buildings reg 40(1)(d)(iii)			
As-built description: the number of storeys, determined by the method in reg 6 of the regulations that describe higher-risk buildings reg 40(1)(d)(iv)			
As-built description: the number of flats, residential rooms and commercial units reg 40(1)(d)(v)			
As-built description: the provision made for drainage reg 40(1)(d)(vi)			
As-built description: where paragraph H4 of Schedule 1 to the Building Regulations 2010 imposes a requirement, the precautions taken in building over a drain, sewer or disposal main reg 40(1)(d)(vii)			
As-built description: the steps taken to comply with any local enactment that applies reg 40(1)(d)(viii)			
The client's statement that, to the best of its knowledge, the work as built complies with all applicable requirements of the building regulations — KD-BSA-G3-007 section 3 reg 40(1)(e)			
The statement signed by both the client and the relevant person that the reg 38 information has been given and received — section 6 below reg 40(1)(f)			

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From 1 October 2026, where levy information was required with the building control application: the levy liability statement — KD-BSA-G3-007 section 8
reg 40(1)(g)

3 WITH THE APPLICATION — REG 40(2), (3)

WHAT THE REGULATIONS REQUIRE

	STATUS	DOCUMENT / REFERENCE / REVISION	OWNER
A notice stating the date on which the building work was completed — KD-BSA-G3-007 section 2 reg 40(2)(a)			
A plan to a scale of not less than 1:1250 showing the size and position of the building and its relationship to adjoining boundaries; the curtilage boundaries and the size, position and use of every other building in the curtilage; and the width and position of any street on or within the curtilage boundaries reg 40(2)(b)			
Such other plans as are necessary to show that the work complied with all applicable requirements of the building regulations reg 40(2)(c)			
Agreed document: the construction control plan (latest agreed version) reg 40(2)(d)(i)			
Agreed document: the change control plan (latest agreed version) reg 40(2)(d)(ii)			
Agreed document: the mandatory occurrence reporting plan (latest agreed version) reg 40(2)(d)(iii)			
Agreed document: the Building Regulations compliance statement (latest agreed version) reg 40(2)(d)(iv)			
Agreed document: the fire and emergency file (latest agreed version). For work to an existing HRB where reg 12(3) applies, such of these five documents as were approved under reg 15 reg 40(2)(d)(v)			
A copy of the change control log, updated to show all the changes for the project the regulations require to be included reg 40(2)(e)			
A compliance declaration signed by each principal contractor (or sole contractor) — unless already given to the regulator under reg 29 for that part of the work reg 40(2)(f)(i)			
A compliance declaration signed by each principal designer (or sole or lead designer) — unless already given to the regulator under reg 29 for that part of the work reg 40(2)(f)(ii)			
Where a declaration cannot be obtained: the client's statement giving the reasons reg 40(3)			
Where the application is made on the client's behalf: the client's signed statement agreeing to it and confirming the information is correct reg 40(2)(g)			
Where a levy liability statement is included: on or after the day of application, the named client's signed statement that the application was made, and a copy of the levy liability statement, given to the collecting authority, and the regulator told the same day — the authority has 10 working days to respond levy regulations reg 63(3), (4)			
Before applying: a copy of the proposed application and each document to accompany it put in the golden thread facility reg 31(11)			
The regulator's charges for the application paid — its guidance says it will not issue a certificate while charges are overdue BSR guidance			

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4 REG 38 HANDOVER — THE INFORMATION AND WHO RECEIVES IT

THE RELEVANT PERSON (reg 38(5)): where, after the work is completed, the building is not a higher-risk building for the purposes of Part 4 of the Building Safety Act 2022, the responsible person for the building within the meaning of the Regulatory Reform (Fire Safety) Order 2005 art 3; in any other case, the accountable person for the part of the building the work relates to and the responsible person (if any). A building that consists entirely of a hospital or a care home is a higher-risk building for these procedures but is excluded from the Part 4 definition, so the relevant person is the responsible person alone: mark the accountable person entries in sections 4 to 6 N/A. Given no later than the date the work is completed. Not required for work to an existing HRB that is only scheme work, exempt work or reg 10 emergency repairs (reg 38(4)).

ACCOUNTABLE PERSON

RESPONSIBLE PERSON

WHAT THE REGULATIONS REQUIRE

BFLO: where Part B of Schedule 1 to the Building Regulations 2010 imposes a requirement — the fire safety information: information relating to the design and construction of the building and its services, fittings and equipment, the design of any material change of use, and the composition of materials, which will assist the responsible person to operate and maintain the building with reasonable safety
reg 38(5); reg 39(9)

BFLO: where paragraph F1(1) applies — sufficient information about the ventilation system and its maintenance requirements for it to be operated to provide adequate means of ventilation
reg 38(5)

BFLO: where paragraph L1 applies — sufficient information about the building, the fixed building services and their maintenance requirements for the building to be operated to use no more fuel and power than is reasonable
reg 38(5)

BFLO: where paragraph L2 applies — sufficient information about any on-site electricity generation system and its operation and maintenance requirements
reg 38(5)

BFLO: where Part O applies — sufficient information about the provision made under Part O for the systems to be operated to protect against overheating
reg 38(5)

Specified golden thread information: a copy of the completion certificate application and each document reg 40 requires with it — given so as to retain the filing structure, with each index and key, in a format the relevant person can read, keep and update
reg 38(1)(b), (2), (5)

APPLIES?

GIVEN — DATE / FORMAT / LOCATION

GIVEN TO

5 NOTICE ACKNOWLEDGING RECEIPT — GIVEN BY THE RELEVANT PERSON TO THE CLIENT, REG 38(3)

We acknowledge receipt of the specified golden thread information for the work described in section 1, and confirm (tick both, or record below what prevents it):

Accountable person (N/A where the building is not a higher-risk building for Part 4):

☐ (a) we are able to access the information

☐ (b) the information is sufficient to enable us to understand, operate and maintain the building (and the fire safety systems in it) after the building work

PRINTED NAME

ROLE

COMPANY

SIGNATURE

DATE

TIME

Responsible person:

☐ (a) we are able to access the information

☐ (b) the information is sufficient to enable us to understand, operate and maintain the building (and the fire safety systems in it) after the building work

PRINTED NAME

ROLE

COMPANY

SIGNATURE

DATE

TIME

WHERE A CONFIRMATION CANNOT BE GIVEN — WHAT IS MISSING AND WHAT THE CLIENT IS DOING ABOUT IT

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6 STATEMENT BY THE CLIENT AND THE RELEVANT PERSON — REG 40(1)(F)

We confirm that the information to be provided to the relevant person in accordance with reg 38 has been given, and that the relevant person has received the information.

6a SIGNATURES

Client:

PRINTED NAME	ROLE	COMPANY	SIGNATURE	DATE	TIME

Relevant person — accountable person (N/A where there is none):

PRINTED NAME	ROLE	COMPANY	SIGNATURE	DATE	TIME

Relevant person — responsible person (if any):

PRINTED NAME	ROLE	COMPANY	SIGNATURE	DATE	TIME

7 AFTER THE CERTIFICATE — REG 44(9)

When the application is approved, the client ensures the relevant person is sent a copy of the application and each document that went with it, and a copy of the completion certificate.

CERTIFICATE RECEIVED	COPIES SENT TO RELEVANT PERSON	SENT TO	HOW

R REVISION HISTORY

Every revision of this document, and every review that found nothing to change. The revision on the front of this sheet is the one you are holding — check kubitdocs.com for the current one before use.

Rev	Date	Class	What changed	Authorised by
D0	2026-09-12	first-issue	First issue.	— not yet approved —
A0	2026-09-12	review	Approved for issue by the author. Content unchanged from the reviewed draft; the draft status strip is removed. No independent third-party review has been carried out.	Author — director, UK principal contractor, SMSTS. Not an independent review.

Class: first-issue · material (the law, a control, a field or the scope changed — past buyers are notified) · editorial (wording or layout only) · review (checked, nothing changed) · withdrawal. Revision prefix D = draft, not approved and not for sale; A = approved for issue by the person named, on the date shown.