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ASSOCIATION OF  
LOCAL GOVERNMENT  
ARCHAEOLOGICAL OFFICERS

**ANALYSIS AND RECORDING  
FOR THE CONSERVATION  
AND CONTROL OF WORKS  
TO HISTORIC BUILDINGS**

Advice to Local Authorities and Applicants



1997

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# Association of Local Government Archaeological Officers 1997

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This paper was compiled by David Baker (Bedfordshire) and Bob Meeson (Staffordshire) with the assistance of David Haigh (South Gloucestershire), Robina McNeil (Greater Manchester), Carol Rosier (Oxfordshire) and Simon Timms (Devon).

Thanks are due to many people who provided material and responded to consultations. Particularly helpful discussions took place with colleagues in the Royal Commission on the Historical Monuments of England, English Heritage (Kate Clark), the Association of Conservation Officers (Bob Kindred), the Institute of Field Archaeologists (Jason Wood), and the Council for British Archaeology (Carol Pyrah). The views expressed, however, are not necessarily those of ALGAO, its members or the consultees, and the compilers accept responsibility for any residual errors. Much of this paper refers to Planning Policy Guidance Notes (PPGs) which apply only in England, but the principles are considered to have a wider general relevance.

**Comments are welcome** and should be sent to:

Association of Local Government Archaeological Officers  
c/o Planning Department, Essex County Council, County Hall, Chelmsford, Essex CM1 1LF.

Further single copies of this paper and of *Model briefs and specifications for archaeological assessments and field evaluations* (Association of County Archaeological Officers, 1993) can be obtained by sending an A4 sized SAE to the above address. Multiple copy orders will be charged at £2.50 per copy including post & packing.

**ISBN 0 9510695 2 7**

## Preface

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Understanding a historic building is the first step towards decisions about management, repair, and alteration. Without adequate information, such decisions may be ill-founded, damaging, and open to challenge. By identifying architectural, historic and archaeological interest, the analysis of fabric and structure contributes to successful conservation, which carefully balances the significance of the building, the owner's requirements and appropriate techniques.

Buildings analysts and archaeologists involved in the conservation of standing structures welcomed the emphasis of PPG 15 (*Planning and the Historic Environment*, 1994) on the need for adequate information about the implications of applications for listed building consent. PPG 16 (*Archaeology and Planning*, 1990) had already confirmed similar requirements to inform negotiations about planning decisions and mitigation strategies.

The Association of County Archaeological Officers (ACAO) responded to PPG16 by publishing *Model briefs and specifications for archaeological assessments and field evaluations* (MBS), as more detailed guidance on devising requirements to produce that information. In 1993 it met an accepted need of archaeological conservation and was able to draw upon working experience of principles and procedures. PPG15's advocacy of a comprehensive approach to the conservation of the historic environment has reinforced the desirability of a version of MBS for the planning context of buildings analysis and recording.

Consultations on successive drafts of this paper highlighted the need for dialogue and a sharing of concepts and approaches between the disciplines involved in the care of structures, sites and areas. Archaeological principles can be adopted for buildings analysis; long-term care of the historic

built environment can benefit from the approach to documentation developed by local Sites and Monuments Records (SMRs). It is also important to recognise there are different roles and perspectives - owner of building, agent, architect, consultant, local planning or conservation officer, architectural historian, buildings analyst and archaeologist.

As its title suggests, this paper focuses upon requirements for the 'control of works', when local government becomes formally involved with proposals for development. At that stage, conservation officers have to consider whether an application contains sufficient information to be determined. Because they find so many proposals are inadequate, usually due to the absence of preliminary discussions, there is a need for guidance on what local authorities ought to expect and how it can be obtained.

The progressive sequence of **appraisal - assessment - evaluation** can be usefully selected and adapted for individual cases. It can also help clarify which cases require what kind of analysis and recording, whether prior to determination, or in satisfaction of a condition attached to a consent. (Similar general considerations apply to the control of works under Faculty Jurisdiction but exempt from listed building controls: their special characteristics need separate and more detailed treatment).

This paper is the product of continuing discussions on current issues between archaeological and conservation officers, recorders and analysts of buildings and others involved in planning procedures. Increasing experience will undoubtedly take these matters still further forward. In that spirit this paper is therefore offered as a consultative draft in the hope that it will stimulate future revisions and other publications.

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31 March 1997

## Summary

**The successful conservation, repair and alteration of historic buildings relies upon an adequately documented understanding of what is to be changed. Information required for planning applications can be obtained through investigations economically tailored to each case, using a progressive sequence of appraisal, assessment and evaluation. Buildings analysis and recording needed before or during works can be secured by attaching suitable conditions to planning consents. The local planning authority is able to control the process by issuing or approving briefs and specifications for such work. Its results can feed back into the conservation process through contributing to the compilation of buildings dossiers and local records systems.**

*The cover design includes:*

- *part of a section of the gatehouse (felling date 1591-2) at West Bromwich Manor (Sandwell), reproduced with the permission of S R Jones*
- *part of a fabric analysis based on rectified photography and observations during a watching brief at Tamworth Castle lodge (Staffordshire).*

# ANALYSIS AND RECORDING FOR THE CONSERVATION AND CONTROL OF WORKS TO HISTORIC BUILDINGS

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## ***Terminology***

***'Historic building'*** refers to any building of historic significance, including those

- *statutorily listed as having special architectural or historic interest*
- *contributing to the character of a conservation area*
- *identified as of national or local importance within the statutory planning framework (vide PPG15, 6.16; PPG16, B,16; RIBA 1992 - Context of Use).*

A *'buildings analyst'* combines the disciplines of architectural history and the archaeology of structures in order to interpret buildings.

# 1 Introduction

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1.1 Historic buildings are irreplaceable and informative survivals from the past. Their useful existence can be prolonged by adaptation to alternative uses and by repairing or replacing original fabric; these actions may need listed building consent or planning approval. PPG16 and PPG15 stress that, in order to be conserved successfully, historic sites, buildings and areas must first be understood. The Department of National Heritage urges that "reliable and comprehensive inventories and records" should underpin responsibilities for conserving archaeological sites and monuments, historic buildings and conservation areas (DNH 1995).

1.2 This paper considers three principles affecting historic buildings in the day-to-day planning process, as reflected in legislation and guidance: extracts of which are in Appendix A.

- Decisions about proposed repairs and alterations must be informed by a documented understanding of historic character and appearance, sufficient to take the implications fully into account.
- During repairs and alterations the need may arise to record information - often previously hidden - which adds to understanding of the building and is relevant to the works in progress.
- When the loss of particular features, or demolition of the whole building, is considered to be unavoidable, usually as a result of a development proposal, a record may need to be made; its purpose is to benefit understanding and future management of that type of building, and to improve appreciation of the historic environment.

1.3 Buildings analysis is an essential technique for acquiring adequately documented understanding. It uses a combination of architectural and archaeological skills, including knowledge of form, function, context, style, character, detailing, construction and materials.

1.4 Buildings analysis can inform conservation of historic fabric and design of schemes. It can increase owners' awareness of their buildings' value and significance. It can help identify matters to be taken into account when considering alterations, including the requirements of the local authority and the management of building work.

1.5 Applicants may need to provide information

- with an application, about the **potential impact** of proposals upon the special interest of buildings and their settings;
- on the results of agreed **initial opening up works** to indicate the acceptability of proposed alterations or the need for further repairs;
- as a condition of receiving consent, in the form of **records** of fabric or important aspects before removal, especially in the case of demolition.

1.6 In order to carry out their responsibilities, local planning authorities must have access to specialist expertise which can provide

- for **development plan preparation**, a comprehensive awareness of the historic environment, as the basis for strategic and local policies, and Conservation Area character studies;
- for **development control generally**, a comprehensive awareness of historic areas and buildings whose quality and positive contribution to the historic environment and local character makes them potential site-specific constraints;
- for **handling casework**, the ability to define information requirements and relevant analytical procedures;
- for **monitoring works in progress**, an understanding of historic fabric and structure, to ensure compliance with what has been permitted.

## 2 Requirements for information about the implications of proposals

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2.1 In order to determine an application for listed building consent or planning permission (with any appropriate conditions) local planning authorities must have at least a minimum level of sufficiently accurate drawings, written statements, photographs and other information to understand

- the location and type of proposal;
- the significance of affected fabric and structure as **existing**;
- the exact nature of the **proposals** and their likely effects on the special interest of the building and its setting.

More details are given in Appendix B below; PPG 15 paragraph B3 refers (Appendix A).

2.2 It is always reasonable to expect sufficient information to determine the application by reference to the building as existing and the effect of the proposed works upon it. This means a fully worked out proposal submitted in a suitable form and with enough detail for proper verification by the conservation officer.

2.3 In many cases of relatively minor works which do not affect the architectural or archaeological integrity of the fabric, the investigative processes described below do not apply. Even when more information is needed, the extent, type and detail that can reasonably be required will often amount to less than a full understanding of the whole building as an historic structure.

2.4 Further information may be required in a small proportion of cases, where works are extensive, the building is graded II\* or I, or the local authority considers the proposal might have detrimental effects. This can include written and illustrated statements about the significance of the building, the effects of the proposals on it and the justification for them. How far this goes will be determined by the needs of the individual case, and is discussed in the next section. Specialists such as architectural historians and buildings

archaeologists may contribute to such analyses.

2.5 Experience shows that the quality and speed of planning decisions are improved by ensuring that adequate information has been incorporated into applications before they are officially registered.

- (a) Applicants' agents should consult the local planning authority informally about documentation at an early stage. They need to be aware that inadequate information can be a reason for declining to register an application, or for refusing permission, or can lead to a condition requiring the production and approval of more details before works can start.
- (b) Conservation officers should be able to scrutinise applications for listed building consent prior to registration in order to check them for basic adequacy of information. Registration implies the application is capable of being processed because it sets a clock running towards decision, linked to time-based performance targets. These can make it difficult to halt processing in order to improve the standard of information to the level that should have been supplied at the outset.

2.6 The information required in individual cases is a matter for the professional judgement of the applicant's agent and the conservation officer advising the local planning authority. At present, too few applicants' agents are qualified and experienced conservation professionals who understand local authority requirements for special information and the role of buildings analysis in scheme design. Conservation officers cannot provide it because they have to form an independent judgement on the application, so when more detailed information is required, local authorities must be able to explain as early as possible (perhaps in a short written brief) what is needed and why, and how it can be obtained.

### 3 Appraisal, assessment and evaluation

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3.1 The most effective way to develop a scheme is first to obtain an understanding of the building's historic interest in the context of broad client objectives, and then to draw up proposals for listed building consent based upon that understanding. If proposals are submitted with insufficient information, timetables and budgets can be upset by the often difficult process of identifying unforeseen impacts and negotiating amendments. Local planning authorities therefore need a framework for helping applicants to produce sufficient information with applications for them to be determined taking proper account of the building's character and the effect of the proposed works. Similarly, applicants need assurance that they are not being asked to provide for more investigation of the building than their proposals actually justify.

3.2 Archaeologists use a progressive sequence of **appraisal, assessment and evaluation**. This staged approach is a good way of dealing with unknown factors, whether below the ground or in standing structures. Demands for information can be restricted to what the case requires, moving to the next stage only if the output from the previous one is insufficient. Stages can be merged in cases where it is obvious from the outset that all will be needed.

3.3 An **appraisal** is a rapid inspection of the building, its listing description and relevant data held in any local records systems for historic buildings. Its purpose is to identify whether clarifying the impact of proposed works of repair, alteration or demolition requires more information than is immediately available. In most cases of minor works to unlisted and Grade II listed buildings, if the applicant has understood the building sufficiently, and the application conforms to normal requirements for information, a site inspection by the conservation officer will confirm that nothing further is needed.

3.4 If appraisal identifies the need for more documentation, it can be obtained through a 'desktop' **assessment**. This is a thorough review of all existing information which also aims to identify any gaps. It can involve:

- reviewing all readily available written information and illustrations of the building (or its type), broadly characterising its identity and development;
- demonstrating a detailed understanding of the historical significance of the part(s) affected in relation to the whole building through precise and informatively annotated 'as existing' drawings and / or photographs;
- indicating the appropriateness of the proposals in the light of this information;
- indicating the need for any further documentary, architectural or archaeological work, specialist investigatory techniques, and opening-up to inform decisions on treatment of hidden fabric.

3.5 Requirements for even more information will affect only the minority of cases involving major or complex works to particularly sensitive buildings. Evaluation seeks to improve the level of understanding by investigating primary sources, building analysis and recording. It can involve

- original documentary research using primary sources including old maps, pictures, illustrations and photographs;
- preparation of measured 'as existing' drawings of the affected parts of a building, showing their relationship to the whole;
- preparation of a phased analysis of the building, when appropriate illustrated with three-dimensional drawings;
- preliminary opening up works to inform proposed works (agreed in advance with the local planning authority);
- trial excavations to identify the archaeological implications of ground disturbance during repairs, such as underpinning, levelling of historic floor surfaces, french drains, and the footprint of extensions in sensitive areas;
- a detailed schedule of likely impacts with suggestions for mitigation which may include further analysis or recording, before or during the works.

3.6 The larger the scope of works, and the more complex and sensitive the building, the greater will be the need for professional and specialist teamwork in the collection of information, the preparation of proposals, and their implementation. This can be usefully focused through the preparation of a Conservation Plan or similar management document, which a local planning

authority ought normally to expect to see with major applications for listed building consent. The Conservation Plan places the significance of the building in the context of the planning policy framework and owner requirements so as to develop a conservation policy and strategy (see Appendix F).

## 4 Information and recording requirements during the progress of works

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4.1 Even if an application for listed building consent contains sufficient detail to be determined, further analysis and recording may be required during the progress of works. Paragraph B 10 of PPG 15 explains how permission can be granted subject to the 'later approval of details'. Such recording can be secured by the use of a negative condition (see section 6 below).

4.2 Building recording associated with initial opening-up works is done to document the nature and condition of underlying structures.

*Investigative work on historic buildings* (English Heritage 1994) contains helpful advice on procedural and legal matters. Such recording can produce

- an 'as found' record for annotation to agree necessary repairs and alteration;
- documentation of what will otherwise be hidden, adding to understanding of the building, and facilitating future diagnosis for maintenance and repair.

4.3 The local planning authority will need to identify clearly those aspects of the proposed works which have prompted the condition to be attached, together with what information will be required in order to make a decision on the outstanding matters. If the condition requires agreement of a scheme of observation and recording, this should include reference to the particular techniques appropriate to the individual case.

4.4 Works of repair, even on a like-for-like basis, can affect architectural or archaeological integrity. In listed buildings these will probably need consent for reasons that character is affected, so a condition requiring recording might be attached. A standard procedure in well-organised conservation schemes, whether for repair or alteration, is to create routinely a record of work executed, using properly prepared 'as existing' drawings as a basis.

## 5 Recording requirements in advance of demolition

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5.1 When the demolition of a historic building cannot be avoided, some recording ought to be carried out, however apparently plain or vernacular its character. The same applies to partial demolition and major conversion works having a major impact upon evidence of character or function, such as in farm and industrial buildings. Recording to an approved written brief or specification can be the subject of a negative planning condition.

5.2 A new survey of a building would not be necessary if sufficiently accurate and detailed existing records had been identified at the pre-consent stages. Consistency with the recording standards described in Appendix D would be a good test of adequacy.

5.3 The local planning authority must give notice of proposals for demolition of a listed building to the Royal Commission on the Historical

Monuments of England who must be allowed access for recording. Limited resources dictate RCHME's selection of building types and recording levels within its own national priorities, ranging from a photographic record to a full survey. Consequently, local authorities cannot assume that RCHME will be able to ensure fully appropriate recording, which may have to be secured through a condition akin to that advised in PPG15 (paragraph 3.23); similarly, applicants must not assume that notifying RCHME amounts to compliance with such a condition. Coordination between the local planning authority, RCHME, and the applicant is therefore important.

5.4 There is scope for securing the recording of the archaeological interest of unlisted historic buildings outside Conservation Areas by using a similar negative condition. Paragraphs 4 and 16 of PPG 16 refer.

## 6 The use of conditions to secure recording work

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6.1 The main reasons for imposing recording conditions on a planning or listed building consent are

- to secure a record of historic fabric in advance of alteration, destruction or concealment;
- to ensure that historic fabric discovered in the course of works informs their further progress.

6.2 A clear distinction should be maintained between recording to inform an application and assist its determination by the local planning authority, and recording that might be required as a consequence of granting consent. It is illogical and unacceptable to grant listed building consent on condition that assessment or evaluation is carried out if such work had in fact been needed to provide information to help make that decision. On the other hand, a few cases may demand a step-by-step approach to implementation, controlled by conditions. The first of these would be recording and including opening up fabric where appropriate) as the basis for formulating a schedule of works to be

approved by the local planning authority.

6.3 Draft model conditions are set out in Appendix C. There are two types:

- (a) requiring the agreement of an appropriate 'scheme of recording', with a timetable for its implementation, before and / or during the works
- (b) requiring access for a watching brief to identify and record any features of interest discovered during works.

It is stressed that these are only models. PPG 15 and PPG 16 provide a context, but it is also desirable to have support from policies in approved local plans or supplementary planning guidance. Adaptation to the circumstances of a particular case will need careful scrutiny to ensure that they are capable of withstanding legal challenge.

6.4 PPG 15 (paragraph 3.23) makes it clear

that local authorities should not give consent for works in return for recording programmes financed by applicants; nor should applicants be granted consent simply because they have arranged building recording. However, when it has been agreed on general grounds that there is an over-riding case for altering or demolishing a listed building or a structure of archaeological and / or architectural significance, the loss can be mitigated by ensuring that an adequate record is obtained.

6.5 The '**scheme of recording**' condition places the responsibility upon the applicant. This should be positively presented as an integral part of the conservation process, providing documentation to improve the quality of a scheme and benefit care of the building, and not as an adverse penalty for affecting heritage. Requirements should be kept to the minimum through a focused specification, which will also help the condition pass the legal tests of necessity, relevance, enforceability, precision and reasonableness. Recording should be treated as eligible works for the purposes of grant-aid.

6.6 The '**scheme of recording**' condition is the appropriate response in most cases where there is a known or likely recording need. These include what are loosely described as 'watching briefs', where the scope of works justifies a buildings analyst working as part of the project team, recording on demand and feeding information back into the process through the project architect. In cases of less certain need, security with flexibility can be provided by carefully explained conditions backed by contingency funding, not to be activated unless shown to be required. In cases where the results of such recording might significantly alter the scope of the proposed works,

it may be appropriate for the local planning authority to reserve such matters for later determination.

6.7 In contrast, the **access** condition leaves the responsibility for identifying and carrying out any necessary recording to someone other than the applicant. The test of its use is the ability to make secure arrangements: there is no justification for using an access condition if what has to be achieved still needs definition through an agreed scheme of recording. Cases of good professional practice where a conservation architect undertakes to make contingency arrangements for recording present no difficulties. However, with many small-scale works, the agent may not be an architect and the builder may not be accustomed to recording: planning officers will have to judge whether the importance of the building and the risk of unexpected discoveries together justify a more formalised watching-brief type '**scheme of recording**', for which the applicant would be responsible.

6.8 If it is considered unreasonable to expect an owner undertaking minor works to arrange for recording, this may be facilitated in areas where in-house staff are able to undertake small-scale watching briefs as part of their public service work. Otherwise, appropriately experienced buildings analysts from the voluntary sector, such as retired architects belonging to local amenity societies, might be available. The local planning authority will need to satisfy itself that recorders are competent and experienced in the type of building, and able to produce proper reports. The increasing professionalisation of buildings analysis and the growing use of competitive tendering to let contracts may require conservation officers to consider the practical and ethical implications of involving volunteers.

## 7 Briefs and specifications for recording work

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7.1 Information requirements to be satisfied by buildings analysis and recording must be clearly defined, whether the work is intended to help determine a planning application, or satisfy a condition attached to a consent. Clarity is usually obtained through a **brief** describing the need for the work and its scope; this acts as the basis for a detailed **specification** of the records required and the techniques for producing them.

7.2 The brief and the specification must pass the test of fitness for purpose, by defining the work and identifying techniques comprehensively, but not asking for work that goes beyond the terms of planning guidance. Their drafting ought to reflect that the recording work may be carried out on a contract subject to competitive tendering, and must be capable of being monitored. Depending upon scale and complexity, the brief and specification may be separate documents or combined as one.

7.3 Briefs and specifications must be issued or agreed by the conservation officer, after taking any necessary specialist advice. Cases involving

ground disturbance may require documentation prepared or approved jointly by conservation and archaeological officers.

7.4 Pressures of work may make it difficult for many conservation officers to prepare these documents and monitor their implementation. This, and the relative infrequency of cases requiring significant levels of analysis and recording, may justify occasional use of a specialist consultant by the local planning authority. In more complex cases an applicant ought to employ a specialist consultant or a buildings analyst to prepare documentation for approval by the conservation officer after a preliminary discussion about scope and methods. In simpler cases, standard guidance about information requirements issued by the local planning authority may provide an adequate framework (see Appendix B).

7.5 Guidelines for the preparation of briefs and specifications suitable for full-scale pre-consent evaluations and major post-consent recording in mitigation are set out in Appendix D.

## 8 Reasonable requirements and expectations

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8.1 The purpose of buildings analysis is to convey understanding of historical development and current condition through investigation and recording. The last two sections of this paper consider the broader context of research into the historic environment and the documentation of its conservation. Work done through the planning process is limited to what can reasonably be required by the needs of the case, but episodes of planning-led recording can contribute cumulatively to the understanding of individual buildings, types of buildings and areas of townscape.

8.2 In the planning context, the objectives of the task, as much as the complexity of the subject, determine the level of detail, methods and techniques. These objectives must always be explicitly defined in order to indicate the scope and reliability of the information that is obtained, and to minimise costs. More extensive work may be academically desirable but cannot be required unless justified as essential for planning purposes. In the final analysis, if a properly advised local planning authority considers proposals will not affect character and appearance adversely, it does not matter how far the applicant's agent has actually understood the building.

8.3 It is reasonable to expect that certain competences and a range of skills will be engaged upon schemes and buildings of any complexity; these will securely underpin the local planning authority's legitimate requirements for information, formulated by conservation officers who recognise historic fabric and construction as a source of history. These expectations include a multi-disciplinary team-based approach, with the architect calling upon engineers, architectural historians,

archaeologists and other specialists as required. It is equally reasonable to expect that an archaeological contractor undertaking building recording will have a competent understanding of architectural and constructional history, be aware of when further specialists ought to be involved, and know when to feed results into the project as it progresses.

8.4 The buildings analysis and recording that is undertaken will be led by planning requirements and informed by academic and technical standards, not *vice-versa*. Thus those who come to buildings analysis from either archaeology or architecture need to bear in mind that

- an overall appreciation of the nature of a building and the likely impacts of a proposal can in most cases be rapidly obtained and succinctly expressed by an experienced buildings analyst, without undertaking detailed recording;
- the scope of planning-related work need not be significantly increased by the requirement for good quality survey drawings, relating the affected parts) of the building to the whole; these will also benefit other professions in the project team;
- conveying the required level of understanding about proposals for works to historic buildings means using an appropriate level of annotation; detailed recording requires accurate measured drawings sensitive to the character and appearance of what is being depicted. This contrasts with the indicative outline drawings that too often accompany planning applications, inaccurately measured, squared-up and under-annotated.

## 9 Documentation and records systems

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9.1 Most historic buildings retain their value and usefulness through sustainable adaptations to serve the needs of successive owners. Recording to inform the planning process may be limited, but each episode of works produces documentation of potential benefit to the continuing process of maintenance, repair and adaptation. Architects and surveyors forming their own views about the nature of a building, its conservation needs and the potential impacts of client requirements, can be helped by knowing what has previously been discovered, in order to avoid pitfalls and duplicated work. Historic buildings benefit from a system of regular inspection and repair, as exemplified by quinquennial inspections of parish churches.

9.2 Two aspects of documentation can be considered, dossiers for individual buildings, and records systems for buildings generally. There is a need to derIDE standards and approaches to which aware owners and local authorities can aspire, in the hope that the obvious benefits will eventually make them more widely acceptable.

9.3 The principle of the 'log-book' is already familiar. There is a need to promote regular inspections for listed buildings, at least those listed Grade I and II\*, perhaps initially secured in association with grant-aided works; these would review basic condition surveys informed by an outline analysis of structural development.

9.4 As many domestic listed buildings change hands relatively often, there are clear advantages in systematic documentation. It can more firmly engage owners' interest, taking them beyond an initial attraction to the charm of antiquity towards an understanding of those characteristics whose conservation retains or enhances historical and architectural interest. It might also help reduce some of the avoidable uncertainties which beset bargaining at the point of sale.

9.5 There is scope for joint institutional action,

also involving national specialist and local general amenity societies, to devise a record format which would encourage the collection of basic information and the storage of new material accumulating from cycles of maintenance, repair and adaptation. The idea would however have to be taken forward carefully with wide consultation and discussion, helping owners recognise and engage with an obvious need. It must not be capable of misinterpretation either as conservation authoritarianism or as driven by solely by professional interest in increasing the range and quantity of available work.

9.6 In practice, of course, relatively few people will want, or be able, to start off such log books by making the initial collection of available documentation, and even fewer would be prepared to commission a basic analytical record. Most owners and others need to be able to refer to systems of documentation for the historic environment maintained by public authorities for a wider range of purposes.

9.7 From the late 1960s, local authorities have been developing Sites and Monuments Records (SMRs), as archives for sites, landscapes, and, in some cases, historic buildings. These repositories of accumulating information about archaeological identity and management are separate from frequently culled planning applications systems. SMRs have become the first point of reference for specialist archaeological conservation planning officers, and increasingly for the pre-application enquirer. They have stimulated the development of archaeological conservation and the definition of information requirements in the planning process, which formally recognises their role. They are at a critical stage of development, with the opportunities afforded by Geographical Information Systems for linking databases with map-based information, and for relating heritage with other environmental data-sets.

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9.8 Similar systems for historic buildings, maintained separately, or jointly within an SMR, can help conservation officers and the process of building conservation. A maintained archive would include extensive records, analytical reports deriving from intensive surveys, and management information about what the planning process has permitted or prevented: all would be available to inform the future management of the building. Some issues for consideration in their development are discussed in Appendix F.

9.9 Records systems for historic buildings also have the potential to help future academic analysis, even though what is recorded through each episode of planning control may have limited value unless it can be related to a reasonable level of understanding about the whole building. Not having (or being

able to demand) that general level of understanding is no reason for not doing recording necessary for planning purposes. The documentation requirements of conservation management have their own validity, as well as the potential for contributing to future opportunities for detailed analysis.

9.10 A long term view must be taken. If historic buildings are sufficiently important nationally to qualify for statutory protection and grant -aid, then they ought to be appropriately documented in accessible archives. If our stated wish to conserve and sustain our stock of historic buildings is serious, then we have to devise the means of securing a higher and more consistent level of supporting information, without adding significantly to costs and controls.

## APPENDIX A

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### LEGISLATIVE BACKGROUND AND GOVERNMENT GUIDANCE

#### **Planning (Listed Buildings and Conservation Areas) Act 1990**

The principal Act states (paragraphs 10.2.1, 10.2.2) that applications for listed building consent 'shall be ... in such form as the authority may require and shall contain

- (a) sufficient particulars to identify the building to which it relates, including a plan
- (b) such other plans and drawings as are necessary to describe the works which are the subject of the application; and
- (c) such other particulars as may be required by the authority'.

#### **Departments of the Environment and National Heritage**

##### **Planning Policy Guidance Note 15**

##### **'Planning and the Historic Environment' (1994)**

*PPG 15: Planning and the Historic Environment* was issued in September 1994. It 'provides a full statement of Government policies for the identification and protection of historic buildings, conservation areas, and other elements of the historic environment...' Though it is complementary to *PPGI6: Archaeology and Planning, 1990*, for the first time it provides government guidance upon the archaeological factors which may be taken into account before and/or during works which affect the fabric of standing historic buildings and groups of buildings. Extracts from PPG 15 are set out below.

'It is fundamental to the Government's policies for environmental stewardship that there should be effective protection for all aspects of the historic environment'. (1.1) 'The objective of planning processes should be to reconcile the need for economic growth with the need to protect the natural and historic environment.' (1.2) 'We must ensure that the means are available to identify what is special in the historic environment ... and when proposals for new development come forward, to assess their impact on the historic environment and give it full weight, alongside other considerations.' (1.3) 'Local authorities should ensure that they can call upon sufficient specialist conservation advice ... to inform their decision making and to assist owners and other members of the public.' (1.6)

'The Secretary of State attaches particular importance to early consultation with the local planning authority on development proposals which would affect historic ... structures ... and ... listed buildings.' Local planning authorities 'should expect developers to assess the likely impact of their proposals on the special interest of the site or structure in question, and to provide such written information or drawings as may be required to understand the significance of a site or structure before an application is determined' (2.11).

'Some historic buildings are scheduled ancient monuments, and many which are not scheduled are either of intrinsic archaeological interest or stand on ground which contains archaeological remains. It is important in such cases that there should be appropriate assessment of the archaeological implications of development proposals before applications are determined;

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and that, where permission is to be granted, authorities should consider whether adequate arrangements have been made for recording remains that would be lost in the course of works for which permission is being sought...' (2.15).

'Applicants for listed building consent must be able to justify their proposals. They will need to show why works which would affect the character of a listed building are desirable or necessary. They should provide the local planning authority with full information, to enable them to assess the likely impact of their proposals on the special architectural or historic interest of the building and on its setting' (3.4).

PPG 15 covers listed buildings, and also 'buildings which are valued for their contribution to the local scene, or for local historical associations'. 'It is also open to local planning authorities to draw up lists of locally important buildings, and to formulate local plan policies for their protection, through normal development control procedures' (6.16).

'The Act empowers an authority to seek such particulars as it requires and an authority should certainly seek any particulars necessary to ensure that it has a full understanding of the impact of a proposal on the character of the building in question. An authority should not accept an application for consideration until it has sufficient information to provide such understanding.' (Annex B3)

'... sufficient particulars. ... should normally mean measured drawings of all floor plans and external or internal elevations affected by the work proposed. There should be two sets of such drawings showing the structure before the work and the altered structure or new development to replace it after the proposed work. The inclusion of photographs can be particularly helpful. . . ' (Annex B3)

'The Authority must always be satisfied that it has adequate information to assess the effects of proposed works on the listed building before granting consent: the extent of the work, the method to be used, and the materials involved are all important. However, Section 17(2) of the Act permits authorities to impose conditions requiring the subsequent approval of specified details of the works ... ' (B10).

### **Alterations and extensions**

'In judging the effect of any alteration or extension it is essential to have assessed the elements that make up the special interest of the building in question. They may comprise not only obvious visual features such as a decorative facade or, internally, staircases or decorated plaster ceilings, but the spaces and layout of the building and the archaeological or technological interest of the surviving structure and surfaces. These elements are often just as important in simple vernacular and functional buildings as in grander architecture' (3.12).

'Achieving a proper balance between the special interest of a listed building and proposals for alterations or extensions ... should always be based upon specialist expertise ... a better solution may be possible ... if an architect can respect the structural limitations of a building and abandon conventional design solutions in favour of a more imaginative approach' (3.14)

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'The more clearly the special architectural or historic interest that justifies designation is defined and recorded, the sounder will be the basis for local plan policies and development control decisions...' (4.4 - referring to Conservation Areas but equally applicable to listed and important unlisted buildings).

'Alterations should be based on a proper understanding of the structure'. 'Information about the history and development of a building will be of value when considering proposed alterations ... there may be documentary information, such as early photographs, drawings, written descriptions or other documents relating to its construction or use'. In considering 'the reinstatement of lost or destroyed elements ... there should always be adequate information confirming the detailed historical authenticity of the work proposed' (C3-6).

### **Demolition and recording**

RCHME must be notified of all proposals to demolish listed buildings, and allowed access to buildings which it wishes to record (3.22, A. 10-1 1). In addition, 'local planning authorities should also consider, in all cases of alteration or demolition, whether it would be appropriate to make it a condition of consent that applicants arrange suitable programmes of recording of features that would be destroyed in the course of the works for which consent is being sought. Authorities should not, however, require applicants to finance such programmes in return for the granting of consent. Nor should applicants expect to be granted consent merely because they have arranged suitable programmes...' (3.23).

'Hidden features of interest are sometimes revealed during works of alteration, especially in older or larger buildings: chimney pieces, fireplaces, early windows and doors, panelling, wattle-and-daub partitions and even wall-paintings may come to light. Applicants for listed building consent should be made aware of this possibility and should seek the advice of the local planning authority when such things are found. If there is any likelihood that hidden features will be revealed, the local planning authority should attach an appropriate condition to the listed building consent to ensure their retention or proper recording, or should require exploratory opening up, with listed building consent as necessary, before considering consent for the main works' (3.24).

### **Department of the Environment Planning Policy Guidance Note 16, 'Archaeology and Planning' (1990)**

This contains several statements relevant to the archaeology of standing structures.

'Today's archaeological landscape is the product of human activity over thousands of years. It ranges through settlements and remains of every period, from the camps of the early hunter-gatherers 400,000 years ago to remains of early 20th century activities. It includes places of worship, defence installations, burial grounds, farms and fields, and sites of manufacture (4)'.

'... unscheduled archaeological remains of more local importance may also be identified in development plans as particularly worthy of preservation.' (16).

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Paragraphs 19-22 contain the basis for the sequence of appraisal, assessment and evaluation, and emphasise the responsibility of the applicant for ensuring that proposals are properly documented. Paragraphs 24-30 deal with arrangements for post-consent recording in mitigation of impact, including the use of suitable planning conditions.

## **Department of National Heritage Local Government Reorganisation: Guidance to Local Authorities on Conservation of the Historic Environment (1995)**

Though originally intended for new authorities, this is relevant to all. Extracts include:

'The foundation of all preservation and management policies, as well as the baseline for monitoring related environmental change, is the resource inventory, a comprehensive database of the sites, features and areas of archaeological and historic interest within the locality. This database has an important role at a strategic level and should be a major contributor to state of the environment reports. It should also provide documentary support for development control and a valuable educational resource (8).'

The integration of 'the SMR and Historic Buildings Record ... into a single database underpinning the functions of a heritage group collectively responsible for archaeology, historic buildings and conservation areas ... is a development to be encouraged (10).'

Clear conservation policy should be set out in structure and unitary development plans (part 1), 'based on constraints derived from the resource inventory (14)'. Local plans and unitary development plans (part 2) should include development control policies citing 'measures to protect, enhance, and preserve archaeological sites and their settings, and ... assess proposals for a change of use of particular types of historic buildings... (14).'

'New authorities are asked to ensure ... that they have formalised and effective access to all fields of conservation advice provided by appropriately qualified and experienced staff, supported by reliable and comprehensive inventories and records...(16b).'

## **Development in the historic environment - an English Heritage guide to policy, procedure and good practice (June 1995)**

This useful 12-page pamphlet does not aim to paraphrase PPG15 and PPG16; rather, it attempts 'to frame guidelines for a sensitive and often complex process and to offer even-handed advice to the principal parties involved.' Particularly relevant sections include: 'the professional team' (4.1), 'the developer's responsibilities' (4.2), 'understanding the site and/or building' (4.3), 'listed buildings and specialist advisers' (4.5), 'consultation' (5.1), 'adequacy of application information' (5.3) and 'necessary recording' (6.3). There is a good one-page summary on the back cover.

## APPEND IX B

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### INFORMATION REQUIRED TO SUPPORT APPLICATIONS AFFECTING HISTORIC BUILDINGS

The quality of information supplied with applications to local planning authorities needs to be improved so that negotiations on matters of substance can proceed with minimal preliminary clarification. If there has been no informal early consultation, the request for application forms provides the first opportunity to supplement normal guidance on standard requirements with more specialised information. This must be applicable to a wide range of cases, taking into account how applicants manage their projects as well as the regulatory role of the local planning authority.

The following paragraphs, drawing upon notes from Westminster City Council and English Heritage, are aimed at the majority of proposals, which are limited in scope and affecting Grade II buildings. More complex or sensitive schemes may require the procedures of assessment and evaluation outlined elsewhere in this paper. They are a minimal model which local planning authorities may find helpful as a basis for preparing their own version.

### *INFORMATION REQUIREMENTS IN APPLICATIONS FOR LISTED BUILDING CONSENT*

#### *Introduction*

A properly documented application describes the **existing situation** and how the **proposals** will change it. It has enough clear detail about what is intended for a full understanding by the local council and those whom it must consult. Local council staff can discuss a proposal but cannot prepare the application. Applicants uncertain about any requirements are strongly advised to consult or employ an architect or surveyor with proven conservation experience. Insufficient information to explain and justify proposals can cause misunderstandings and delays in obtaining permission.

There are several ways of conveying information so that it is sufficiently clear and detailed, and what is chosen will depend upon the type and complexity of the case.

- **Maps and plans** should be at an appropriate metric scale: for plans, section and elevations, 1:50 is usually adequate, but doors, windows and other decorative features such as railings may require 1 :20; particularly important details may need to be half or full size. Drawings need to be accurate, and appropriately detailed and annotated according to their subject, so they should be prepared by a qualified building professional who will know how to convey information to someone who has not seen the site. These, and any **perspective drawings** and **reconstructions** which a few proposals may need, must be cross-referenced to maps and plans.
- Well-chosen dated **photographs** can be helpful, but they should supplement rather than replace what can only be properly shown on accurate and detailed drawings.
- Written material should describe matters that cannot be covered pictorially, such as the architectural significance of the building, the justification for the proposals, and any conservation method statements.

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## ***Context***

In all planning applications the basic context must be shown by describing:

- the location of the development site in relation to the surrounding area (map at 1: 1250 or 1:2500): the site should be edged in red and any other neighbouring land with the same ownership in blue;
- how the proposal relates to the site and buildings on or near it (plan at 1:200 or 1:500);
- the type of proposed development, its general form and characteristics (written).

## ***As Existing***

'As existing' information about the historic feature(s) affected will cover:

- whether it is a listed building, Conservation Area, park or garden, or archaeological site;
- its location and extent; whether it is on the development site, adjacent or in its setting;
- its particular aspects or elements affected by the proposals, for buildings shown in drawings of floor plans, elevations and sections as relevant, at scale 1:50 or 1: 100. If only a small part of the building or site is affected by the proposal, detailed plans of that part should be provided together with a general plan showing its location.

It should include information about the significance of what the proposals will affect:

- for *listed buildings and structures in their curtilages*: their archaeological, architectural and historic interest. In small-scale cases, a recent list description may be sufficient.
- for *the settings of listed buildings*: views of and from the listed building; the architectural and historic interest, character and appearance of its context.
- for *Conservation Areas*: the parts affected, including a description of their architectural and historic interest, character and appearance.
- for *archaeological sites*: the results of any appraisal, assessment and evaluation. Archaeological interest may be in above-ground structures as well as below ground.

## ***Proposals***

The application must show how the proposals will affect the character and appearance of the historic elements, clearly, fully and with precise dimensions for important details.

- Copies of good 'as existing' drawings can be amended to show what is retained, removed or altered.
- Changes not easily indicated pictorially can be shown by annotating drawings or providing separate written descriptions or schedules of works covering conservation methods, materials, and treatment of boundaries.

Applications to change the use of an historic building must show any consequential effects on the character and appearance of the building; most local planning authorities will reject or not determine an application which omits that information. Changes may need justifying in terms of the viability of existing and proposed uses and technical or economic constraints on the use of the building. Full justification will be required for proposals to demolish.

## APPENDIX C

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### DRAFTS FOR PLANNING CONDITIONS

These models draw upon examples already in use for listed building consents and planning permissions. They will need to be tailored to the particular case and then checked that they satisfy the legal tests of necessity, relevance, enforceability, precision and reasonableness.

**Scheme of recording** (which can include a watching brief)

(Single stage version)

No site works / development shall be undertaken until the implementation of an appropriate programme of building recording and analysis has been agreed in writing with the local planning authority, to be carried out by a specialist acceptable to the local planning authority and in accordance with an agreed written brief and specification.

***Reason.** As the (building / fabric) is of architectural/historic / archaeological significance the specified records are required (to inform works/ mitigate impact).*

(Multi-stage version)

A No site works / development shall be undertaken until the applicant has secured the implementation of an archaeological study of (all / a specified part of) the building in accordance with a written brief approved by the local planning authority and submitted the results for the written approval of the local planning authority.

***Reason.** To ensure that archaeological material and evidence of significance is examined in order to protect the character of the listed building and for the purpose of drawing up a schedule of works (of repair / reinstatement / alteration).*

B No site works / development shall be undertaken until a schedule of works (of repair / reinstatement / alteration), including detailed plans, has been submitted to and been approved in writing by the local planning authority. This schedule should be based upon recommendations made following the archaeological study referred to in Condition A, and the development shall be carried out in accordance with the approved schedule and plans.

***Reason.** To protect the character of the listed building.*

C If hitherto unknown evidence of historic character that would be affected by the works hereby permitted is discovered, an appropriate record together with recommendations for dealing with it in the context of the scheme, shall be submitted for written approval by the local planning authority.

***Reason.** To protect the character of the listed building*

### Access

Access shall be allowed at any reasonable time for a buildings analyst approved / nominated by the local planning authority to maintain a watching brief on the works hereby permitted.

***Reason.** To record any features of architectural/historic / archaeological interest which might be exposed during the course of works.*

## APPENDIX D

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### GUIDELINES ON PREPARING BRIEFS AND SPECIFICATIONS

These guidelines are primarily relevant to the minority of cases requiring

- formal assessments or full-scale evaluations prior to the determination of applications for listed building consent;
- recording or specialist investigations as a condition of a consent.

Some categories of historic buildings are particularly vulnerable to the loss of important features which can provide significant information. Conversions of industrial and agricultural buildings often result in the loss of evidence of the processes which they were built to house: many are unlisted or on 'local importance' lists. Derelict domestic buildings, some of them used for agricultural storage, may contain features that might not be retained but which are worthy of recording.

There is a need to accumulate experience and case histories of examples where full records have been made, together with demonstrations of the benefits brought to schemes of reuse.

#### Briefs

A brief prepared or approved by a conservation officer following an appraisal of the building and the planning application, and with any appropriate advice from an archaeological officer, will need to contain some or all of the following elements, depending upon the circumstances of the case.

1 Non-technical summary

This will be suitable for copying to non-specialist colleagues or clients. It will describe the reasons why the work is required and the nature of the works. It will also indicate their relationship to the planning process and how the planning authority expects to monitor their effectiveness.

2 Purpose

The purpose should be clearly defined in non-specialist terms. It may include one or more of the following:

- to meet statutory requirements in connection with a planning or listed building application;
- to define and evaluate historical/architectural/archaeological significance; to guide the nature and extent of proposed works;
- to record significant fabric to be removed or hidden during works;
- to inform decisions to be made during an agreed scheme of works;
- to produce a record in mitigation of partial or wholesale demolition.

3 Site location and building identification

These will be identified on a map extract at an appropriate scale, with an 8-figure grid reference given. The current use of the building and any known constraints upon the required recording will also be identified.

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- 4 Planning background  
This will describe the scope of the works which are the subject of the application. Planning history will be referred to where relevant. PPG 15 and *lor* PPG 16 may be cited as appropriate. Any need for scheduled monument consent, listed building consent, or other consents required in order to carry out recording work specified in accordance with this brief will be indicated.
  - 5 Description of building  
For an *assessment* this section will summarise what is known of the building as a result of the preliminary appraisal. For an *evaluation* it will summarise the results of any previous assessment and *I* or appraisal.
  - 6 Requirement for work  
This will indicate in general terms why an *assessment*, *evaluation*, or record is required, whether
    - to enable the applicant to take account of historic buildings or archaeological considerations at the design stage;
    - to enable the local planning authority to make an informed and reasonable decision on a planning or listed building consent application;
    - to ensure adequate mitigation measures.
  - 7 Reference to relevant recording and drawing methodologies  
This will indicate the need for appropriate techniques to be used for the work, selecting from or referring to a check-list similar to that in Specifications below.
  - 8 Reference to methods of report preparation and dissemination  
This will indicate in what format the results should be made available to whom, including, as appropriate, archive copies for local and national record systems.
  - 9 Monitoring arrangements  
This will indicate the arrangements made on behalf of the local authority for monitoring the detail of the specification and the works based upon it to ensure conformity with the brief.
  - 10 Reference to other legislative requirements and administrative arrangements  
This will indicate any other requirements which must be satisfied as part of the programme of work. These may include conditions by other bodies (eg English Heritage) in connection with any offers of grant.

Further information can be obtained from the *Standard and Guidance for the Archaeological Investigation and Recording of Standing Buildings or Structures* published by the Institute of Field Archaeologists in 1996.

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## Specifications

Specifications are intended to be detailed, precise, and capable of both measurement and monitoring. Each survey is unique, being tailored to the character of the building(s) and the purpose of the work. This appendix offers general guidelines; those unfamiliar with building recording are recommended to seek specialist assistance in the preparation of specifications.

The product of a building survey depends upon its purpose. Drawings prepared to inform a conservation scheme will differ from records obtained in mitigation of a proposed development. The aim of all building recording is to document understanding.

The specifications of the level and nature of the required record will take account of

- the reasons and purpose as defined in the brief;
- the character of the building(s);
- the impact of the proposed works;
- the appropriate level of detail.

### **The character of the building(s)**

The extent and level of recording works will need to reflect the architectural quality, structural complexity, and chronological development of the subject.

### **The impact of the proposed works**

The extent, type and level of recording will be influenced by the likely impact of the proposed works upon the building fabric and the site. In cases of demolition, and when a substantial part of the structure will be dismantled, it will usually be necessary to record the context of the affected fabric to a level and extent which will enable its relationship to the whole building to be properly understood. Minor works that replace fabric need appropriate recording when cumulatively they might erode potential to understand the building in the future.

### **The level of understanding required**

The purpose of the survey, the character of the building(s), and the impact of the proposed works will be considered in tandem to establish the level of understanding communicated by the records. Specifications will generally include a requirement that the survey will convey understanding of the plan form and its development, fabric and construction, fixtures and fittings, and the date or period of each phase of construction. A full understanding, when required, will normally depend upon reference to secondary and *I* or primary sources.

Proposals should be designed with a proper understanding of the level of recording appropriate to the case, and the techniques that can obtain it: this is the best insurance against an appeal that the requirements are unreasonable. There can be no set formulae: the unthinking prescription of administrative menus can lead to difficulties. Nevertheless, some non-prescriptive guidance is necessary as a basis for selection and amendment by conservation and archaeological officers in each particular case.

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## The content of the submitted drawings, surveyor report

Drawing conventions should be based upon those given in RCHME's *Recording Historic Buildings. a descriptive specification.*

*Location plan:* scale not less than 1: 1250. When only a partial record is appropriate the area or extent of the survey should be specified; when several buildings are involved, they should be individually identified on this plan.

*Ground floor plan.* The scale will depend upon the purpose of the record and the size and complexity of the subject. For most buildings the scale should be not less than 1:50, but for very large ones a general plan could be at a scale of 1: 100 or less.

*Upper floor plans,* where appropriate, at the same scale as the ground-floor planes).

*Basement, cellar or undercroft plans* where appropriate. Where relevant, a record of *machinery, fixtures or fittings* may be specified, together with a schematic flow diagram showing their functions and sequence of processes.

*Sections and/or elevations* as appropriate to the purpose and circumstances.

*Scale drawings* at 1 :20 or larger may be necessary to satisfy particular requirements, as for example to record panelling, wall- and roof framing, complex phased stone walls (normally at 1 :20), architectural fixtures and fittings. Drawings of such details as timber mouldings may require a scale of 1: 10 or larger.

*Monochrome and 1 or colour photographs,* specifying the extent and type of coverage.

*Written details* may be required, as annotations to drawings or as a separate report.

*Analysis and / or sampling* of materials might be warranted, as for example when the survival of early decorative paintwork is suspected.

*Tree-ring dating* by a specialist sub-contractor might add precision to typologically dated fabric in appropriate circumstances.

*Ground-based remote sensing recording* is an archaeological technique which can sometimes throw light on the context for surviving upstanding structures.

When warranted and approved, *salvage, conservation and deposit* of building materials, archaeological artefacts and architectural fittings.

Relevant *Health and Safety requirements* should be included in the specifications, along with the need for any appropriate risk assessment.

### Secondary and documentary sources

For all **appraisals** and most **assessments** pressure of time and the test of reasonableness is likely to preclude extensive searches of documentary material. For these levels of investigation the local planning authority might reasonably expect reference to be made to any listed building description(s), published sources, readily available maps, photographs and prints. Printed sources would include the relevant volume of *The Buildings of England* (pevsner), local histories and trade directories. Typological comparisons might usefully be sought from general books on particular categories of building.

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Reference to primary sources can reasonably be expected for the evaluation of major proposals, and as part of major schemes of work upon buildings of particular architectural, historical or archaeological importance. Documentation varies according to region and type of building, but qualified buildings analysts might be expected to have considered the availability and relevance of such material as

- tithe and enclosure maps and awards
- record books of church rates, poor rates, highway rates
- hearth tax, window tax and land tax records
- title deeds (subject to access)
- manorial court rolls (including copyhold tenure records)
- leases and tenement agreements
- biographical/genealogical records of owners / occupiers
- wills and inventories
- early engravings, photographs and other illustrative material.

## **Monitoring**

Arrangements to monitor the progress and effectiveness of the recording will be stated; this is to ensure conformity to the brief and the proper execution of the specifications. Any proposed charge for monitoring should be stated to enable the contractor or client to make financial provision.

## **Format, submission and deposition**

Timescale should be indicated, particularly for development control deadlines.

Requirements to conform to established local record systems or formats should be specified. When the submitted drawings and photographs are to be supplemented with a descriptive or analytical report, its content and format should be specified.

Required archive material should be submitted in a durable medium to an appropriate repository within a specified timescale. Arrangements should be made as appropriate for the recording archive to be deposited in the SMR, the County Record Office and the National Monuments Record of RCHME. Artefacts and building fragments derived from archaeological work ought to be deposited in a registered museum with sufficient documentation to ensure linkage with the main buildings record.

In exceptional cases, the subject of the survey might warrant publication; any agreed measures should be included in the specifications. This might apply, for example, in rare instances of wholesale or partial loss of fabric of national academic potential or architectural importance.

## APPENDIX E

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### TYPES OF SURVEY

Recording required as part of the control of works to historic buildings needs to be seen within the wider context of approaches to survey, which can be undertaken at various levels, broadly divided into **extensive** and **intensive**.

**Extensive survey** seeks limited but consistent understanding; the subject may be a large group of buildings in a single class, such as parish churches or model farms, or all buildings of a certain type or age within a defined geographical area. Its purpose is generally descriptive, to provide an awareness of what survives, often for a maintained database, so that appropriate action, perhaps including more intensive analysis, can be undertaken in response to future needs for management or study. Extensive surveys may be undertaken for a variety of reasons, including to supplement such basic records as the listed building descriptions, to increase understanding and awareness of the cultural resource generally, to inform the prioritisation of limited resources, or to contribute to conservation area characterisation studies and forward planning. They are particularly important for regionally distinctive building types or particular types such as industrial buildings. There is the need to define standards for extensive survey: issues include how far it is desirable to go beyond the introductory summary in the descriptive notes with the statutory list entries, and how the wide range of rural and urban buildings can best be taken into account.

Local authorities should ensure they have a level of extensive awareness adequate for assessing buildings and cases of potential sensitivity and dealing with the needs of specific cases. Where this is lacking they should use specialist consultants with a proven track record.

**Intensive analysis** usually focuses upon all or part of one building, or a small group. It seeks a thorough understanding achieved by means of processes which produce a detailed record. It can be undertaken to increase knowledge of the subject, to inform the conservation process, or to make a record of what has to be replaced or removed.

## APPENDIX F

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### SOME RELATED ISSUES

Discussions in course of preparing this publication drew attention to some issues worth further consideration in the light of accumulating experience with the guidance in PPG 15 and its wider implications for historical conservation.

#### 1 The role of historical conservation specialists in the planning process

Discussions with conservation officer colleagues on drafts of this document highlighted issues of staffing arrangements. In some local authorities these do not seem to be satisfactory in terms of either PPG 15's guidance or that issued for new local authorities by DNH in August 1995. This is usually due to financial constraints, but sometimes there appears to be a lack of understanding about roles and tasks. Similar considerations can affect archaeological officers, so there may be value in reiterating some basic points.

- (a) The conservation of the local historic environment requires a specialist service comprising trained and experienced expertise supported by maintained information systems.
- (b) The value of such a service is greatly enhanced by team-working, amongst built environment conservation specialists and between wider ranges of environmental specialists. Positive networking arrangements can be useful for authorities with only one specialist, between staff in adjacent district / unitary authorities, and between the two tiers.
- (c) A specialist conservation service needs to be in-house rather than put out to commercial consultancy, so that it benefits from the detachment and objectivity of the planning service, and is able to build up the place-specific depth of knowledge and experience that is fundamental to the long-term conservation of the historic environment.
- (d) Specialist conservation input to the planning process must be made at the appropriate places, times, and levels. Locally, it is best provided as a 'seamless' service, for work on development plans, development control, environmental enhancement, special projects and the activities of other departments; it needs to be called upon for preliminary enquiries or first thoughts, through the main stages of an activity, to the monitoring of compliance or performance. Especially if the skills reside in a relatively junior officer in one part of a department, they need to be strategically managed so that they can contribute to the full range of departmental tasks.

#### 2 The development of local records systems for historic buildings

The stocking of records systems might commence with the integration of listed building descriptions into local databases for ease of retrieval and interrogation, as has been done centrally through the recent computerisation of the 'Greenback' lists.

Enhancement would have to be an incremental and opportunistic process, given the

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amount of work needed to obtain a consistent extensive record for the historic buildings in an area. It would help to discover how much recording of what type has been carried out, by the RCHME in its county inventories and more recent thematic studies, and by local groups and specialist societies. Existing coverage could be extended through the work of buildings analysts attached to architectural practices or archaeology units, offering a recording service to standards agreed between the main professional bodies. Some owners of historic buildings now commission such work. Arrangements would be needed to ensure security of information in publicly accessible systems in relation to buildings that were sensitive by reason of their use or contents.

Records systems are currently at a critical stage of potential development. RCHME is producing a Data Standard for records systems concerned with aspects of the historic environment (MIDAS) in an attempt to minimise incompatibilities between systems. Commercial packages are being promoted to local authorities, linking scanned-in pictures with textual information and / or a database. There is a serious risk of incompatibilities between the systems of different localities, and even between systems for archaeology (SMRs) and historic buildings. A major opportunity briefly exists for the two national bodies, English Heritage and RCHME, to collaborate in the development of model software that can simply and efficiently meet the needs of local authorities while also conforming to national standards of management information and data handling.

### 3 Preserving records of buildings: archives for data storage and publication

The output from 'traditional' archaeological recording required by the planning process goes in several directions. The report goes to the client. Notes, abstracts, or more extended academic treatments may be published as appropriate in a range of local or national periodicals. The ordered 'archive' of field records and finds goes to a registered museum organised to pre-arranged standards. The SMR gets at least a fully referenced abstract, and often a copy of the report itself. The NMR, or at least its Index of Excavations, gets an abstract.

Equivalent arrangements for building recording exist only patchily and exceptionally. They seem unlikely to develop without much greater collaboration between the relevant functions within the tiers of local government and at the national level. Locally, there is a shared historic environmental interest between

- **County Record Offices**, curating and indexing documentary survivals;
- **Museums**, curating 'ex -situ' artefacts and providing registers of them;
- **Archaeological Planning Officers** and **Conservation Officers**, actually or potentially curating 'in-situ' survivals and records systems for them;
- some locally-based **archaeology services or Units** who have their own databases on excavated artefacts and recorded structures.

The failure so far to establish widespread stable and useful networks between these interests is the product of a combination of under-resourcing, insufficient professional communication and tensions between departments and tiers. Scarcity of resources is a major obstacle to taking matters forward, but electronic improvements could facilitate

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mutually advantageous partnerships based on agreed standards and procedures of data storage and exchange.

#### 4 Conservation Plans

Conservation Plans are a relatively new concept, deriving from international conservation standards and procedures, but they bring together processes long familiar in all kinds of historic conservation work. They are mostly relevant to major buildings and extensive projects, rather than to the generality of Grade II buildings, but they are a good vehicle for articulating the guidance in PPG 15 and PPG 16, especially in relation to the information requirements discussed in this paper. They can be an important part of applications to the Heritage Lottery Fund. How they can most helpfully be applied to various levels of conservation work, making processes more effective and accountable rather than increasing procedural complexity, is a matter for careful consideration by the interested professions. These comments draw upon notes in preparation by English Heritage.

Conservation Plans derive their potential strength from combining an **assessment of significance** (from which they start) with a **strategic framework for future use and care**. Whilst their preparation may be prompted by particular repairs or sets of proposals, they are intended as basic long-term documentation, flexible, and capable of being developed as circumstances change. Their preparation may require several professional skills, and bring together several different groups and interests.

A Conservation Plan might have five main sections, following an introduction which explains

- why it needs to be devised or reviewed / updated;
- how it relates to issues arising from previous studies;
- what are its general aims.

1 What do we know about the building / site?

This is an analysis and interpretation based on the assessment of existing information together with further investigation or evaluation as needed. It uses documentary and architectural history, architectural and archaeological analysis. Within the particular circumstances of the case and the scope of investigation it provides an understanding of how the building / site and its documentation have developed to their 'as existing' state.

2 What is the significance of the building / site?

Using the understanding already gained, this provides an interpretative statement of context and significance in terms of location, period and type, covering the whole and individually identifiable elements. It makes judgements about intrinsic worth and value for enhancement or adverse impact upon character and appearance. The reasoning behind the judgements is indicated to facilitate future review in the light of further information.

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3 What are the opportunities and constraints ?

This assembles a framework for developing a Conservation Strategy for the building / site, usually from three elements:

- the owner's situation and requirements;
- the statutory framework for the kind of building / site, in terms of national and local designations, planning policies and statutory systems of control;
- a survey to identify the physical condition of the building / site and any requirements for maintenance or repair

4 A conservation policy for the building / site

This is a short general framework policy statement with in-built review procedures, covering matters such as physical conservation, appropriate uses, public access, security, constraints on future development and change, control of future investigation and intervention. This needs to be capable of agreement by the owner, the local planning authority and (for Grade I and II\* buildings and scheduled ancient monuments) English Heritage, subject to the detailed consideration of specific proposals through the statutory mechanisms.

5 Forward Strategy

These represent the first tranche of proposals, whose consideration will often have prompted the preparation of a Conservation Plan. In the context of the conservation policy it sets out the steps by which objectives can be achieved, including the assembly of a professional team, the development of outline proposals, consultations, grant applications, statutory procedures and time-tabling.

# BIBLIOGRAPHY

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## Primary legislation

Town and Country Planning Act 1990  
Planning (Listed Buildings and Conservation Areas) Act 1990

## Regulations and Orders

Town and Country Planning Act General Regulations 1988  
Town and Country Planning (Development Plan) Regulations 1991  
Planning (Listed Buildings and Conservation Areas) Regulations 1990

## Planning Policy Guidance Notes

Planning Policy Guidance Note 12: Development Plans and Regional Planning  
Guidance, DoE 1992  
Planning Policy Guidance Note 15: Planning and the Historic Environment, DoE / DNH 1994  
Planning Policy Guidance Note 16: Archaeology and Planning, DoE 1990

## Other advice and publications

Kerr, James Semple 1990. *The Conservation Plan*. (National Trust of New South Wales Australia)

Royal Institute of British Architects et al 1992. *Historic Buildings: Repairs and Conservation Work, Alternative Schedule of Services*.

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RCHME 1996. *Recording historic buildings: a descriptive specification* (3rd edn).

English Heritage / English Nature / Countryside Commission 1996. *Conservation Policies in Local Plans*.

RCHME 1996. *Recording Threatened Historic Buildings - a joint responsibility*.

Association of Conservation Officers' *Newsletter* No 12, November 1996. Extracts from useful guidance notes for applicants issued by Westminster City Council.

## SELECTED CONTACT ADDRESSES

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Ancient Monuments Society  
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Victorian Society  
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0181-994 1019

It may assist the satisfactory processing of applications on which English Heritage and the amenity societies (titles above in bold) need to be consulted, for the local planning authority to encourage early informal consultation with those organisations. (PPGI5, para 2.11) In some cases they may be able to help with otherwise scarce specialist expertise.

## NOTES

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