



ALGAO:England

ALGAO:ENGLAND CASEWORK SURVEY 2011-14 SUMMARY REPORT

Executive Summary

This report is an initial summary of the responses to a questionnaire survey of ALGAO members undertaken by ALGAO:England to gather statistics on planning casework in 2011-14. It follows on from earlier annual surveys of casework data, 2003 -2010/11. Although this survey does not ask for figures show on the staffing levels across member services, these can be taken from the ALGAO:England State of Services Survey 2014 which show the number of FTE staff in Local Authority archaeological services continues to fall rapidly with at total FTE equivalent of 300.52 staff in post compared to 385.25 in 2010-11.

The headline information from the survey is

- *the return rate for 2011-14 has been lower than in previous years but still represent a substantial proportion (80-90%) of the number of planning applications dealt with in this period*
- *despite a fall in the total estimated number of planning applications, the number of those with archaeological implications has increased by 1.8%, and the number of those recommended for pre-determination field evaluation has risen by 37%*
- *the number of WSI's issued and approved has risen by 6.7% since 2010-11*
- *there has been a considerable rise in the number of pre-application consultations, from 7,394 to 15,493 (using the data from the same respondents in 2010 and 2013). More analysis of the information provided for 2011-13 needs to be carried out to see if this has been an annual trend*
- *although there has been a significant decrease in the number of FTE staff (385.25 FTE in 2010 to 332.01 FTE in 2013), the levels of work have not fallen*

Acknowledgement: ALGAO would like to thank English Heritage for their support for the funding of the survey and the production of the report.

INTRODUCTION

In 2014 the Association technically had 83 members (there were no current contacts for Lincoln City Council, Birmingham City Council, Sandwell Metropolitan Borough Council and North East Lincolnshire). This compared to 92 members in 2010-11.

A total of 51 completed questionnaires for 2011-14 data were received (c.62%). Although this is less than in 2010/11 the majority of responses received were from the authorities with the largest caseloads and therefore represent a substantial proportion (80-90%) of the number of planning applications dealt with in this period (see Q3).

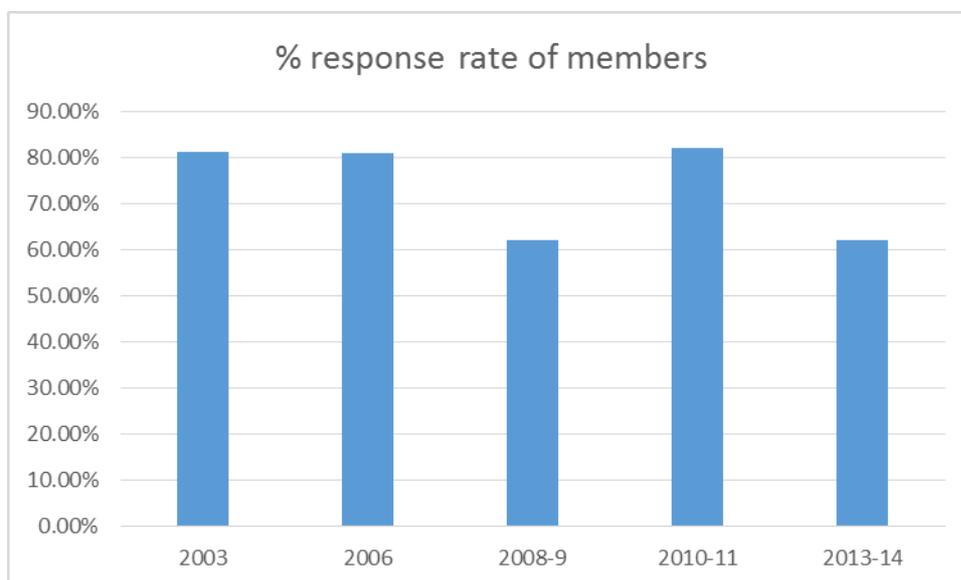
The larger authorities were specifically targeted in follow-up messages and telephone calls to those that had not responded with the objective of achieving the target of authorities dealing with 90% of the total number of planning applications.

Although the survey covered 2011 to 2014, the data provided in the first two years was not as complete as that for 2013-14 so the results in this headline report reflect the responses for the most recent year.

A copy of the survey is in Annex 1.

Comparison between the answers to questions in the current survey and those of earlier surveys

Due to the variance in the responses provided by individuals for 2011-12, 2012-13 and 2013-14 it is not possible to make meaningful national comparisons between 2011-12 and 2012-13 and the previous survey period of 2010-11, although some regional comparisons may prove to be possible. Initial national comparisons have therefore been made between the 2013-14 data and that recorded in 2010-11. These comparisons have also taken into account variations between 2010-11 and 2013-14 in the set of local authorities that have responded. Comparison data has therefore been made between like for like responses on each individual authority.



GENERAL INFORMATION

**Q2. Total number of planning applications submitted for the local authorities advised
District/Borough/Unitary and/or County Matter**

The returns cover a total of 257 authorities advised of the total of 353 in England. A list of the Local Authorities who responded is included in Annex 2.

These cover

- 35 Unitary
- 23 County
- 3 District
- 1 National Agency
- 1 London Borough
- 1 City
- 3 National Parks

Q4-6. Number of major planning applications, applications accompanied by an EIA, and pre-application consultation

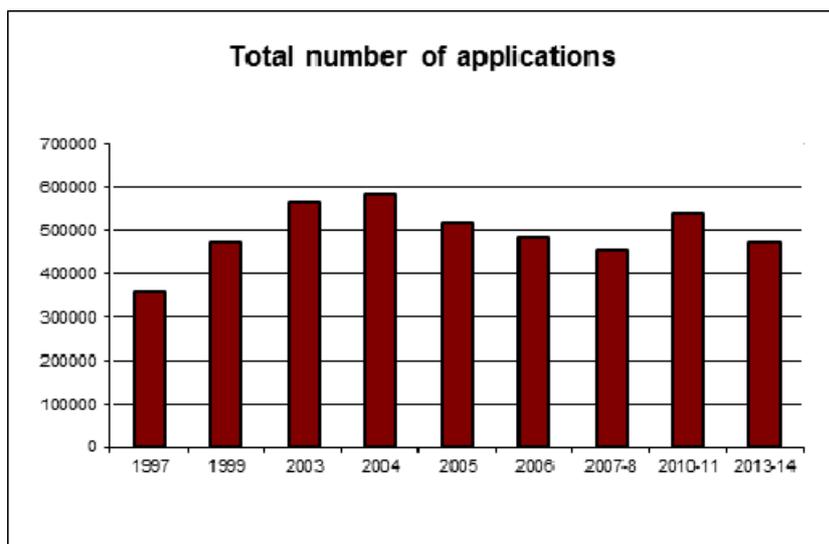
Of the 51 responses received, 6 did not provide a figure for the total number of planning applications. Based on the 45 that did, a total of 329,454 planning applications were received in 2013-14.

Comparing the figures for the same 45 authorities in 2010-11, there were 390,321 planning applications received then, approximately 18.5% more.

On this basis it can be estimated that the number of planning applications for the 6 who did not provide a figure would be in the region of 98,529 (18% more than 83,147 shown in the 2010-11 returns and assuming that there has been no major variation in the numbers) taking the estimated total number of planning applications dealt with by the responding authorities to 427,983.

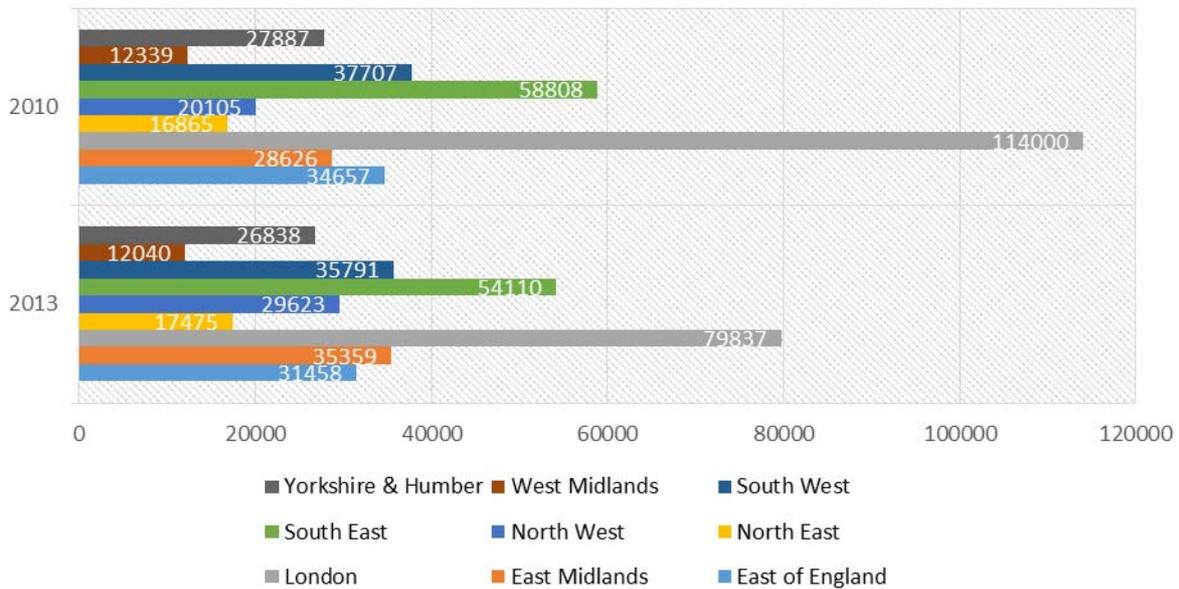
For England total number of planning applications for the year to March 2014 was 473,100. (DCLG reports www.gov.uk/government/uploads/system/uploads/attachment_data/file/329996/140619_Planning_Applications_January_to_March_2014_England_-_final.pdf)

The overall percentage representation from ALGAO responses of the total number of planning applications is 70% from those who had included this figure in their response. It could be considered that this was 90% if this included the estimates for the 6 non-responders.



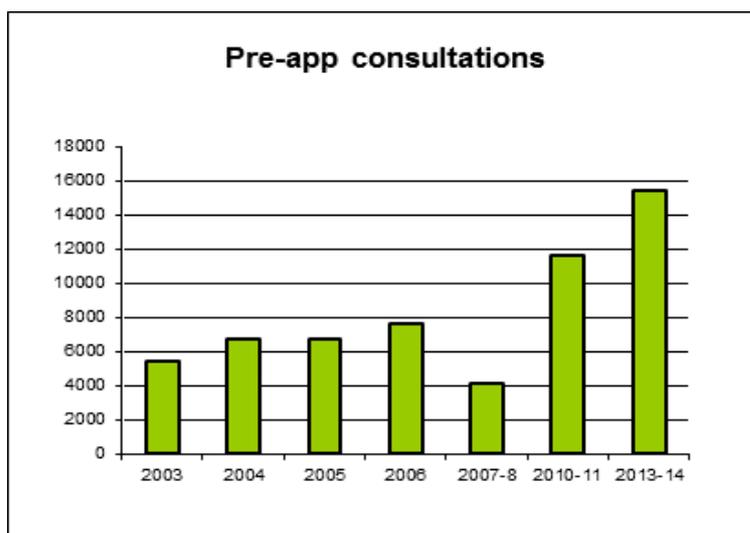
Looking at this on a regional basis for the authorities that gave a total figure for 2010 and 2013, there has been a noticeable decrease in the total number of planning applications in London, the South East, the South West and the East of England. In comparison the North West and East Midlands show an increase in the total number of planning applications received from 2010 to 2013. The numbers for Yorkshire and Humber, West Midlands and the North East have remained fairly similar.

Variance in the total no of planning applications per region from 2010-11 to 2013

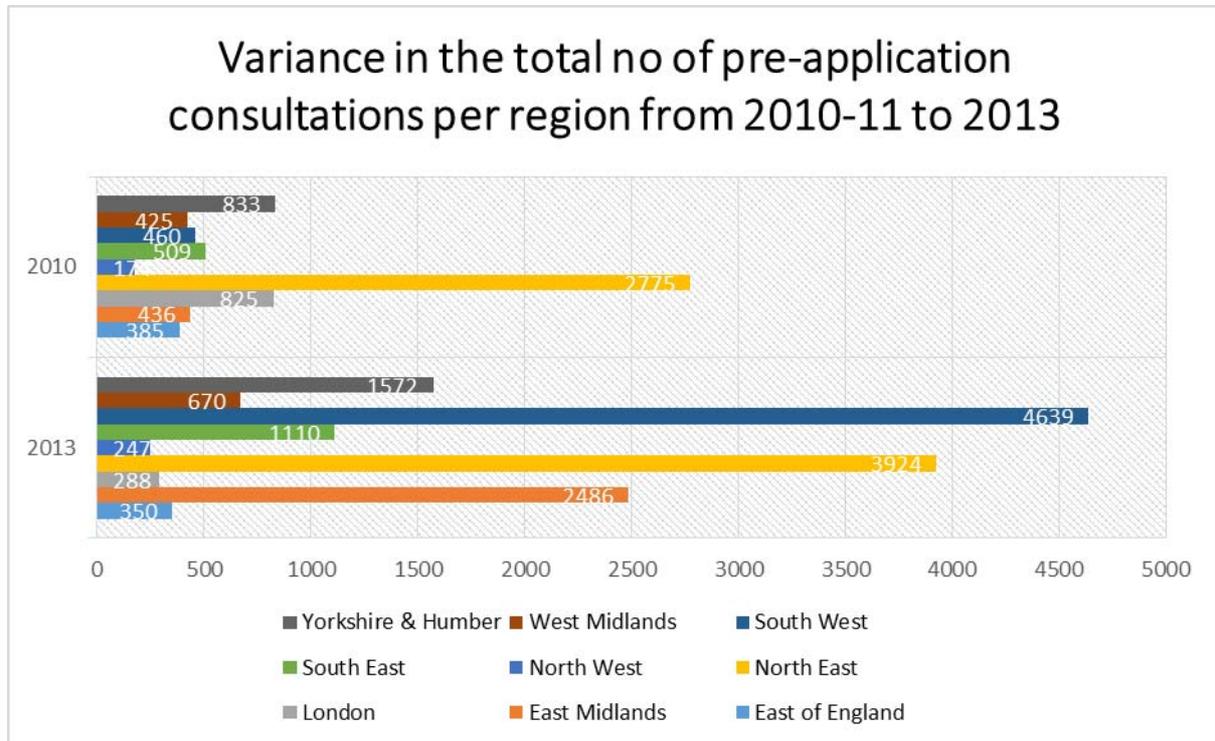


From the 51 respondents, for 2013-14

- 36 reported a total of 5,869 major planning applications compared to 7,084 for the same respondents in 2010-11. Of these 36, six were unable to provide a recorded figure for this question
- 33 reported a total of 495 were accompanied by an EIA. Of these 33, eleven were unable to provide a recorded figure for this question. The total recorded for 2010-11 from the same respondents was 660.
- 41 recorded a total of 16,026 pre-application consultations. Five of these 41 were unable to provide a recorded figure for this question. The total recorded for 2010-11 from the same respondents was 7,400. The total from all respondents in 2010-11 was 11,606.



Again, looking at this on a regional basis for the authorities that gave a total figure for 2010 and 2013, there has been a significant increase in the total number of pre-application consultations in Yorkshire and Humber, the North East, the South East, and the East Midlands. Only London and the North West have shown a reduction in the number of applications.



The increase in the number of planning applications and pre-application consultations has mainly come about due to the requirements of the National Planning Policy Framework introduced in 2012. Additionally there may be some local variations that also have an impact in the number of applications eg land banking, lack of local plans etc but the main driver is the NPPF.

Q7 – 12. SCREENING AND APPRAISAL

42 (87%) of the 48 respondents to these questions screened weekly planning lists.

In response to whether they made use of hazard or constraint mapping for the historic environment 24 (48%) said yes, 14 (28%) said no and 12 (24%) said sometimes.

42 individuals gave data on the number of detailed appraisals of planning applications which were carried out against the HER. The total number given for 2013-14 was 28,877

Q13 & 14. Validating applications

In response to whether archaeology is one of the criteria used in validation by the LPA, 8 (16%) said yes, 17 (35%) said no and 24 (49%) said sometimes. In terms of whether respondents had a role in the process of validating applications, 2 (4%) said yes, 34 (69%) said no and 13 (27%) sometimes.

Those who answered yes were asked to explain how this worked. Responses included

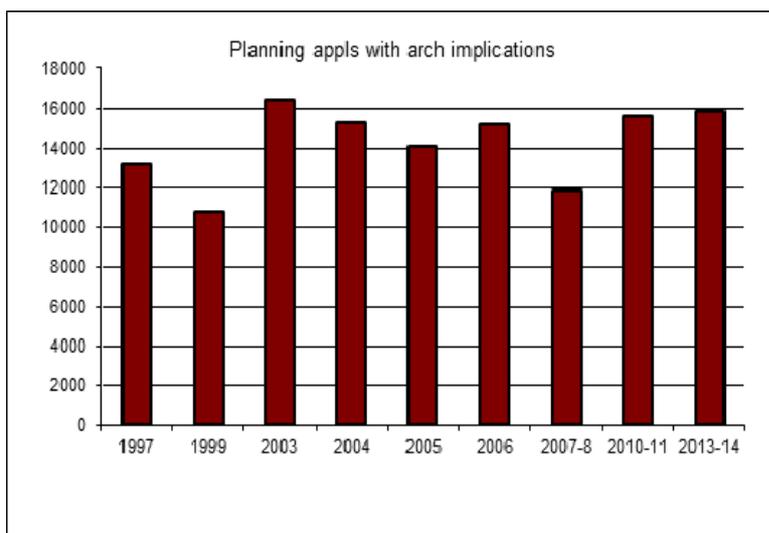
- *Archaeology is included in a number of Area Action Plans and Local Plans, with defined areas of archaeological interest. We are consulted on validation of applications within these areas that do not contain a heritage statement.*

- *Only when specific pre-app has been provide by us formally and through the LPA – then we may recommend that an application will require certain documentation in order to be validated*
- *Contact with local planning officers*
- *Districts are provided with a copy of the HER monument layer in GIS and encouraged to consult us if planning cases lie within or near to polygons.*
- *Some LPAs have 'heritage statement' or similar on their list of local validation criteria (for those sites with a heritage interest). Others have decided not to include as it isn't needed in every case. The validation process is done by planning technical support staff and would generally involve checking that a document is present rather than assessing its relevance or quality – this tends to be addressed at the planning consultation stage.*
- *Very limited, occasionally asked about validation by technical services, but usually will pick up on any shortcomings once application is registered*
- *We respond when the planners ask us*
- *I will advise that applications with an archaeological concern cannot be validated unless a DBA and sometimes an evaluation is provided in support of the application.*
- *Usually done on a case by case basis. Planning case officer will ring to ask if supporting information on archaeology is required prior to validation. Usually on major applications where we have had pre-application discussions.*
- *LPA's use constraint mapping to trigger consultation of HE on applications within those constraint areas. HE may cite in correspondence to LPA and others.*

Q16. Number of planning applications with archaeological implications

47 of 51 returns provided figures for this question. The total number with archaeological implications was 11,164 (compared to 10,969 from same individual responses in 2010-11) showing an increase of 1.8% in the number being received from these individual authorities.

The graph below shows the increase in the total number of planning applications with archaeological applications, applying this percentage figure to the total recorded in 2010-11.



This is the single most important question as it the best (and only realistically obtainable) measure of the impact of development proposals on archaeology. As such it is one of the half dozen most important national and regional statistics for the archaeology sector. It (the ALGAO national figure) is quoted in the Government Planning Practice Guide.

It is also a vital local benchmark figure that can (and has in the recent past) be used for advocacy when services are reduced, cut or disappear completely. Conversely, it has been much more difficult to make the case for services that have been cut in the absence of this figure.

Taking the total number of planning applications recorded in Q4 and looking at the percentage of those with archaeological implications (NB there is a difference in the no of respondents from Q4 to Q16 of 2) these have increase as follows

	Total no of planning apps	Total apps with archaeological implications	% of total apps with archaeological implications
2013-14	329,454	11,164	3.38%
2010-11	390,321	10,969	2.81%

Q17-20. Number of proposals that have been recommended for pre-determination field evaluation

43 of the 51 gave figures for this question, totalling 1,544 compared to 1,130 from the same individual responses in 2010-11. A rise of approximately 37%

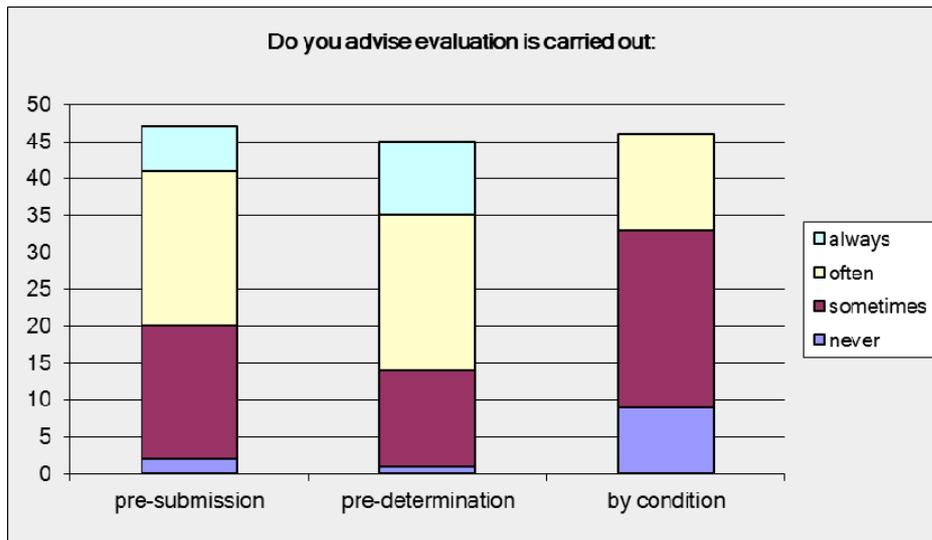
Of these

- o Below ground archaeology - 32 members recorded a total of 1,367 recommendations for below ground archaeology
- o Historic Buildings: 24 members recorded a total of 146 recommendations
- o Other: 13 members recorded a total of 96. These covered palaeo-environmental assessments, DBA's, geotechnical monitoring, geophysical survey and in-situ preservation

Q21. Advice on evaluation

Respondents were then asked whether they advised that evaluation was carried out. Of the 47 who answered this question the responses were:

Answer Options	always	often	sometimes	never	Total
pre-submission	6	21	18	2	47
pre-determination	10	21	13	1	45
by condition	0	13	24	9	46

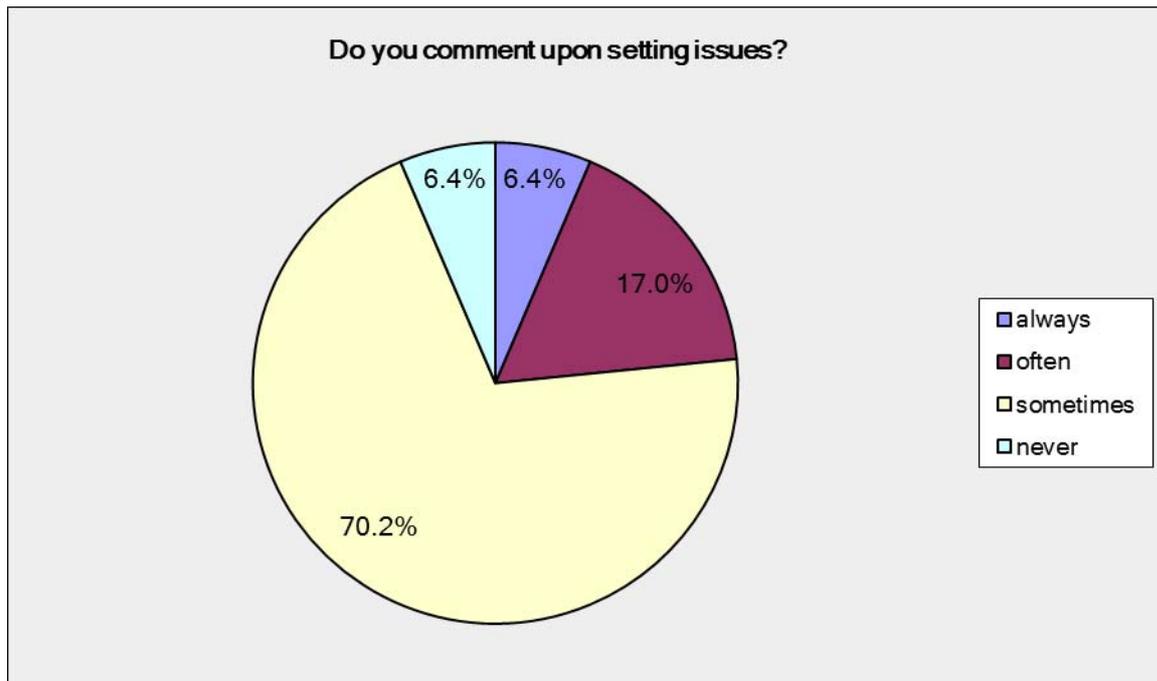


23 provided further comments on this which included

- *There are occasions where we strongly advise that mitigation works are preceded by an investigation to help with the administration/costing of the mitigation scheme, but it is not a formal requirement, nor is it a formal evaluation, as impact on the historic environment has already been determined, and a mitigation scheme derived*
- *By condition only by use of a generic condition which allows for input from consultants/contractors in formulating the most appropriate scheme once eg details of construction methodology are available. This is a part of the sliding scale only really relevant to smaller schemes in areas of slightly unknown potential*
- *our advice is not always taken*
- *Very rarely planning officers put an evaluation condition on but since NPPF this is very rare.*
- *As the area is almost entirely developed, there are relatively few sites that do not already have a building on them. This limits the number of sites where it is possible to carry out fieldwork prior to determination.*
- *Each application is looked at on a site by site basis.*
- *Most planning consultations do not have a statement on archaeological interest. When we appraise this and feel that the archaeological potential is likely to be of local or county significance then we are happy to recommend evaluation (and desk based assessment) as part of the planning condition*
- *Greenfield sites and sites on Hadrian's Wall are always evaluated before planning decision. Sites within the urban core particularly those with a building on already are often conditioned because the existing building has to be demolished to allow the evaluation to take place.*

Q22. Commenting on setting

When asked if they commented upon setting issues, 46 responded to this question with 3 (6.5%) always commenting, 8 (17%) often commenting, 33 (70%) sometimes commenting and 3 (6.5%) never commenting.



Q23. Number of planning applications where a condition was recommended for below ground archaeology

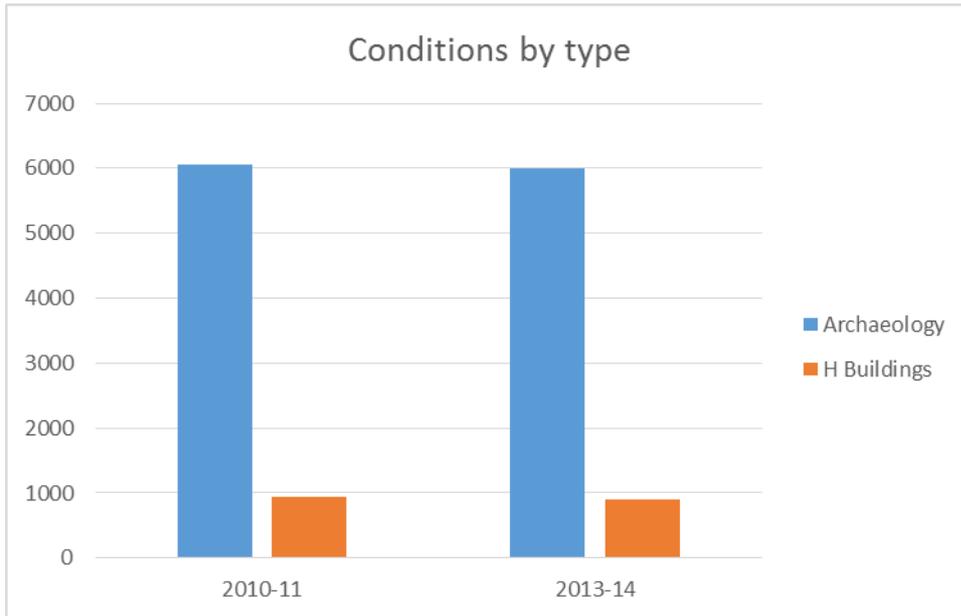
43 of 51 responded to this question with one response noting that the specific data for this was not recorded.

The total number of planning applications where a condition was recommended for below ground archaeology was 5,995 (compared to 6,058 from same individual responses in 2010-11)

Q24. Number of planning applications where a condition was recommended for historic building recording

39 of 51 responded to this question with three reporting that the data was not available and one noting that this was recorded by a different department.

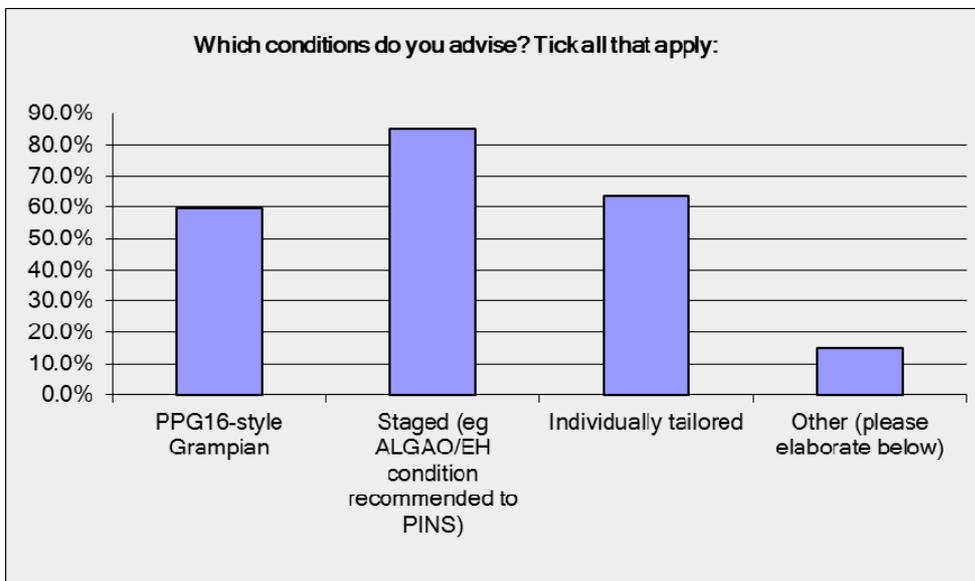
The total number where a condition was recommended for historic building recording was 903 (933 from same individual responses in 2010-11)



Q25. Advising on conditions by type

When asked which conditions they advise on, the percentage of 47 responders ticked any of the following that applied

- PPG16-style Grampian = 28
- Staged (eg ALGAO/EH condition recommended to PINS) = 41
- Individually tailored = 31
- Other = 7



Further details on the other conditions advised on included

- *We have bespoke conditions produced in consultation with the District and County Councils planning and legal department.*
- *Use of the Grampian condition is petering out; we know this is something we need to work on!*
- *we use a stage recommendation which is slightly different to the ALGAO/EH PINS condition but it covers the same issues and on our planners advice is more sound for use in enforce-*

ment issues. However, the different LPAs we give advice to choose to 'tweak' it for themselves, some have 3 stages, some 4, and some 5, but all cover WSI, on site work, post-ex and archiving

- Historic Landscape Survey
- Staged but different to that recommended by ALGAO/EH to PINS
- fencing in advance of development to avoid unwitting damage

BRIEFS AND SPECIFICATIONS

Q26 & 27. Issuing and/or approving briefs/project and specifications

47 of the 51 responses answered these questions.

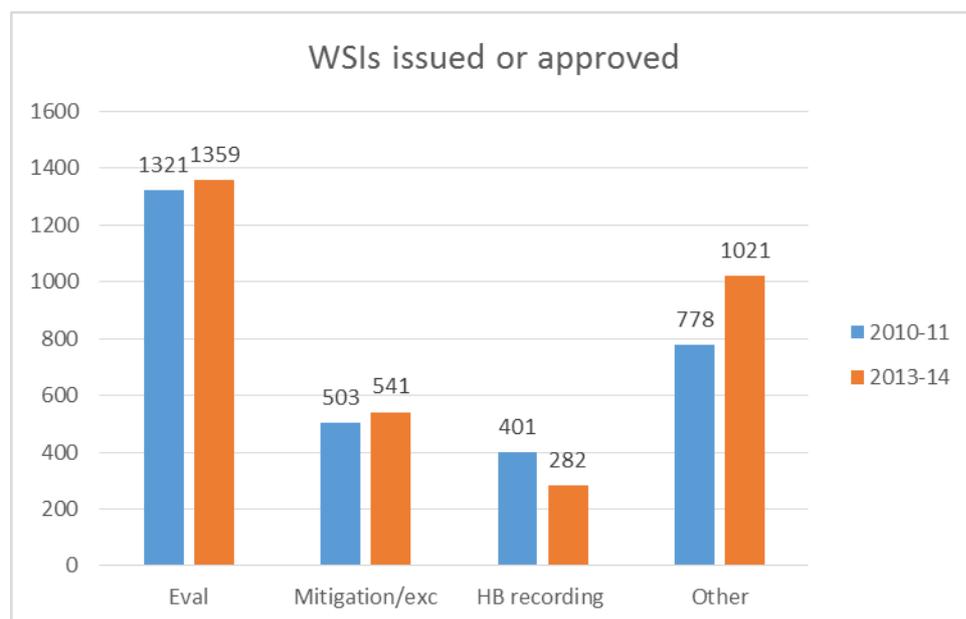
- 38 (79%) said they issued briefs/project and 30 (70%) approved them
- 17 (40%) said they issued specifications and 45 (94%) approved them

Q28. Number of WSIs issued or approved.

38 of 51 responded to this question. The total number of written schemes of investigation issued or approved by these respondents was 3,203 compared to 3,003 in 2010-11, and increase of 6.7%

This breaks down to

- Evaluation = 1,359 (1,321 in 2010-11)
- Mitigation = 541 (503 in 2010-11)
- Historic building = 282 (401 in 2010-11)
- Other = 1,021 (778 in 2010-11)



PLANNING APPEALS AND PUBLIC INQUIRIES

Q29. Number of known instances for which archaeology was an issue by being a reason for refusal because the presence of remains requiring preservation *in situ*

38 of 51 provided figures for the number of known instances for which archaeology was an issue by being a reason for refusal because the presence of remains requiring preservation *in situ*, with two saying this data was not recorded separately. The total number given was 10.

Q30. Number of known instances for which archaeology was an issue by being a reason for refusal because the applicant's failure to provide the results of an evaluation

38 of 51 provided figure for the number of known instances for which archaeology was an issue by being a reason for refusal because the applicant's failure to provide the results of an evaluation, again with two stating that this data was not recorded separately. The total number given was 33.

Q31. Number of known instances for which archaeology was an issue by being a reason for refusal because of other reasons

31 of 51 provided figure for the number of known instances for which archaeology was an issue by being a reason for refusal because of other reasons. For this question three stated that this data was not recorded separately. The total number recorded was 20.

Q32. Number of appeals where historic environment was an issue

Several members either gave no response to this question or noted that the figure was not known/not recorded.

- Written exchange = 26 provided some response (5 noting that this was not known or not recorded). 15 gave a 0 figure, with the remaining 6 gave a total of 7 instances.
- Appeal hearing = 21 provided some response (5 noting that this was not known or not recorded). 13 gave a 0 figure, with the remaining 3 gave a total of 4 instances.
- Public inquiry = 26 provided some response (5 noting that this was not known or not recorded). 18 gave a 0 figure, with the remaining 3 gave a total of 4 instances.

The responses recorded totals of 12 positive and 3 negative outcomes (with one overturned in the high court for HE reasons).

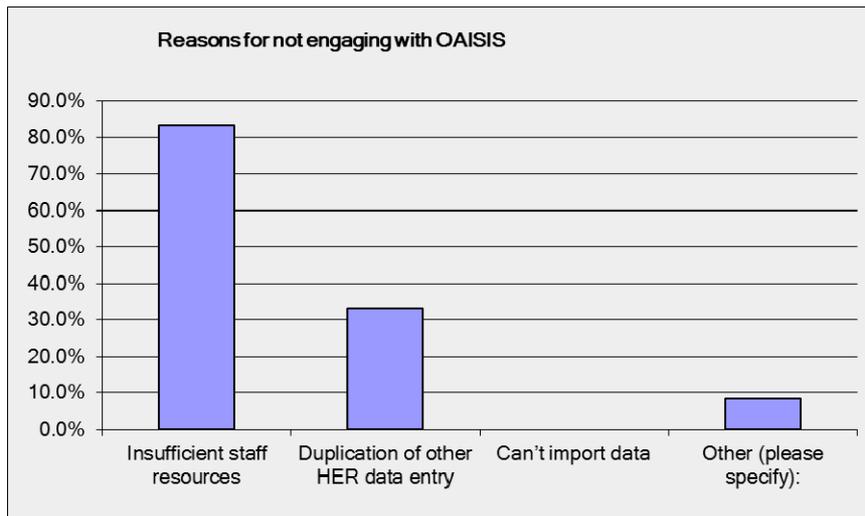
Examples of appeal decisions

22 members stated that they would be willing to provide details of appeal decisions to the ALGAO Planning and Legislation Committee to be made available to ALGAO members on the website. (Some no responses may just reflect a lack of appeal examples in this year rather than in principle objection).

OASIS AND ARCHIVING (Q39-46)

Q39. LA engagement with OASIS

47 of 51 answered this question. 34 (71%) engaged with OASIS, and increase of 6% from the 2010-11 survey. 10 (21%) did sometimes, compared to 19% in 2010-11, and 4 (8%) did not, compared to 15% in 2010-11. Of those who did not say yes to this, the reason for not engaging were



Two comments were

- *I tend to have a blitz on OASIS validation once a year*
- *quality of data from Oasis*

When asked about including a clause about OASIS in WSI's, 43 (90%) now did, again an increase from 82% of responses in 2010-11. 2 respondents did not include a clause in their WSI's and 3 sometimes did.

Q42. Requiring a repository for the archive to be identified as part of a WSI

46 (96%) of responses said they required a repository for the archive to be identified as part of the WSI with 1 saying sometimes requesting this and 1 not requiring a repository to be identified.

45 of the 51 responses received identified 115 collecting areas. The total number for member services varied from 0 to 12, though almost half recorded that they have only one collecting area.

12 (26%) of responders identified that there were 'black holes' in their area where no repository is regularly collecting archaeological archives (1 did not know the answer to this). Of these

- 2 stated that 100% of their area falls into these 'black holes'
- 3 were between 80-99%
- 2 were between 50-79%
- 2 were between 26-49%
- 2 were 25% or less (with one noting that this was archaeologically rich)

The comments made on the implications of this were

- *Currently archives are held by the contracting units, pending a Norfolk Museums Service decision on additional storage.*
- *Units store the archives. We have issued guidelines for uploading the digital archive to ADS. We also have an HLF bid for a new store to be completed in the next few years.*
- *A frightening number of archives inappropriately stored in contractors' offices. We have tried to engage with the museums over a joint Notts Derbys archive project, but cuts and change in political direction meant nothing came of it. It's a crisis in abeyance.*
- *Reading Museum has stopped taking archives from our other 4 UAs, and there is no other provision, which means any archives generated from c. Jan 2011 onwards are still with contractors. There will be a resolution at some stage but c. 4 years' worth of archives will be at risk of underfunding not allowing proper preparation for deposition, and it is likely that the final result will be a piecemeal solution with a lack of accessibility*

- *Archives being kept by contractors. Lack of public benefit*
- *A considerable backlog of archives (approx. 50?) is now held by various field units...*
- *At present contractors and others are asked to retain the archive until a countywide solution can be found.*
- *Currently there is a backlog of archives awaiting deposition. We are currently having to look at alternative locations to deposit archives for this area.*
- *This position has developed since LGR in Cheshire in 2009. No major archives have needed to be deposited since this time, but measures are being put in place so that neighbouring museums (within Cheshire) may accept material, but this probably won't cover the whole area.*
- *This is a recent difficulty and the impact hard to gauge but it will lead to more selective retention and loss of some finds assemblages/archives*
- *Some archaeological units hold material that they cannot present to a museum for long-term storage. We hope that large archaeological archives will not be created in some areas, as there will be nowhere for them to be permanently stored. Tullie House Museum at Carlisle take some material that is not from their area.*
- *We suspect we have black holes, but the limited service requested of us by our Districts means that we are not able to be involved with post-determination issues, which means we are not aware of what archiving arrangements (if any) are being made, so we cannot monitor this. Our impression is that archives are not being deposited and are being retained by contractors or returned to the landowners.*

POLICY AND GUIDANCE

Q47. Use of Minerals Historic Environment Forum guidance

68% (30 of 44) members said that they used the Minerals Historic Environment Forum guidance. In the case of seven of these the guidance is not applicable to them as they do not deal with minerals. Individual comments on why the guidance wasn't used by those it is relevant to included

- *In our opinion, this is not fit for purpose – it does not put enough emphasis on the need for good evaluation, and puts quarry companies at unnecessary financial risk.*
- *It's useful to refer to. But is a bit weak and vague. Would benefit from some good case studies.*
- *NPPF, Local Plan policy and general IfA Standards are sufficient and clearer.*
- *The practice guide is out-of-date (eg, references to PPG16, the Regional Spatial Strategy, Local Development Frameworks, EIA Regulations 1999)*
- *The account of the planning system within the guidance is highly questionable, in particular the expectation that areas of higher and lower archaeological potential can be always identified from the outset in Strategic Plans, and that the archaeological curator can provide such information to underpin a Strategic Plan*
- *We do not agree with the assumption in the guide that aerial photographic information alone will be able to predict archaeological potential. In our county much of the evidence relating to prehistoric, Roman and early medieval settlement and activity is obscured from view by later agricultural soils, and will not be visible as crop-marks*
- *We do not agree that 'further evaluation work' should be secured by means of a planning condition, since such information needs to be provided in advance of the determination of any planning application. This aspect of the guidance does not accord with planning policy (both at the time the guidance was issued and currently)*
- *The guide says very little about the process of post-excavation assessment and reporting.*

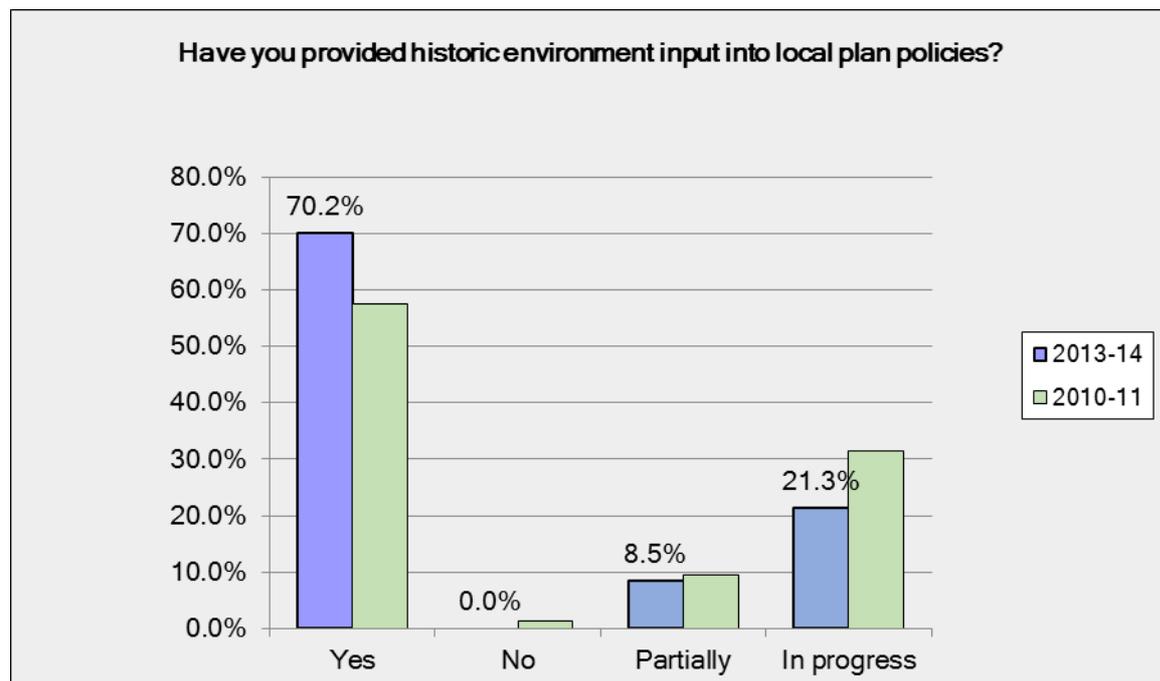
Q49. Use of IfA Standard and guidance for archaeological advice by historic environment services.

85% (39 of 46) members said that they referred to the IfA Standard and guidance for archaeological advice by historic environment services. Those who didn't made the following comments

- *It is for others to use to make sure we are compliant. The standards follow those by which we have always operated.*
- *Guidance is pretty generic*
- *We provided advice during drafting - hopefully the guidance now sets out clearly what a service such as ours does, for those who are uncertain...*
- *I've not yet found a use for it*
- *We are aware of it but don't use it on a day to day basis. More for reference as needed*
- *However, because of the situation we are in because of the limited service requested by the Districts, we are unable to fulfil the requirements of the S&G.*
- *Robust local policy and national guidance*
- *Not a member*

Q51. HE input into local plan policies

Of the 51 responses 47 answered this question. 34 (70%) stated that they had provided input, 4 (8.5%) had done so partially, and 10 (21%) stated that this was in progress. No responses stated that they had not provided input. This has increased from 2010-11 where only 58% said that they provided input.



Q52 & 53. Robustness of policies

Of the 51 responses 47 answered this question. 21 (44%) stated that they felt that their local plans had a robust historic environment evidence base (compared to 30% in 2010-11), 26 (54%) were of the opinion that this was partially the case (53% in 2010-11), and 1 (2%) felt that they did not (17% in 2010-11).

Of the 47, 45% felt that their local plans had robust policies (25% in 2010-11), or that the HE was well integrated into other policies, with 55% recording that this was partially the case. None were of the opinion that this was not the case.

Q54. Areas of archaeological potential/significance

Of the 51 responses, again 47 answered this question. Of these 25 recorded that they have defined areas of archaeological potential/significance or similar; 23 stated no.

Five members provided examples of good practice.

- **Peterborough City Council:** City Centre Development Plan www.peterborough.gov.uk/planning_and_building/planning_policy/planning_policy_framework/development_plan_documents/city_centre_plan.aspx
- **Nottinghamshire County Council:** Muskham Splodge - no url available yet
- **Suffolk County Council:** Bury St Edmunds Vision 2031 www.westsuffolk.gov.uk/planning/Planning_Policies/local_plans/upload/1-Bury-St-Edmunds-Vision-2031.pdf
- **West Berkshire Archaeology Service:** The West Berkshire Historic Environment Characterisation Zoning project (HECZ). <http://info.westberks.gov.uk/index.aspx?articleid=30418> and example of a document <http://info.westberks.gov.uk/CHttpHandler.ashx?id=23599&p=0>
- **Northamptonshire County Council:** West Northamptonshire Joint Core Strategy Local Plan (Part 1) www.westnorthamptonshirejpu.org/gf2.ti/f/278178/14087653.1/PDF/-/JCS_Adopted_All_Corrected_With_Covers.pdf?bcsi_scan_9eae6dc6cc4b0eb5=46Ww6wVEHz+XTwQhuY0AAaCyA7UPAAAAAN0+oGg==:1_1

Q56. Training provision for LPAs in historic environment issues

Of the 51 responses, again 47 answered this question. 30% stated that they undertake training for LPAs in historic environment issues (compared to 25% in 2010-11), 55% stated that they do so sometimes, but 15% do not (11% in 2010-11).

Q57. Producing advisory/guidance notes/standards on the historic environment

Of the 47 respondents, 38% do provide advisory/guidance notes on the historic environment, 38% do so sometimes, and 23% do not.

Q58. Supplementary Planning Document (SPD) for historic environment

Of the 51 responses, again 47 answered this question. 9% recorded that they have an SPD for the historic environment; the rest (91%) do not.

Of those who stated no, two noted that these were in process or planned, and one that they would like to but their Policy Team not keen and management agree that there are no resources to do this

Of the yes responses 5 provided a copy/link.

- **Kent County Council:**
 - Dover Heritage Strategy <http://www.dover.gov.uk/Planning/Conservation/Heritage-Strategy.aspx>
 - Tunbridge Wells SPD on Local Heritage Assets http://www.tunbridgewells.gov.uk/_data/assets/pdf_file/0016/44026/List-of-Local-Heritage-Assets_adopted-2012.pdf

- We have also managed the production of a masterplan for the Western Heights fortifications in Dover which we anticipate will soon be adopted as a SPD by Dover District Council. <http://www.dover.gov.uk/Planning/Planning-Policy/Consultations--News.aspx>
- In the past we produced supplementary planning guidance on historic towns for the Kent and Medway Structure Plan. Even though the Structure Plan no longer applies several LPA Local Plans have referred to the guidance and recommended its use. http://archaeologydataservice.ac.uk/archives/view/kent_eus_2006/
- **Tees Archaeology:** [http://www.stockton.gov.uk/documents/ert/planning/spatialplanning/conservation/conser-
vationhistori.pdf&rct=j&frm=1&q=&esrc=s&sa=U&ei=p2OuVNbVN8z-
Uo3Ugcgl&ved=0CBQQFjAA&usg=AFQjCNEp_VjeMrlxphqqi3UN3avs_C73Hw](http://www.stockton.gov.uk/documents/ert/planning/spatialplanning/conservation/conser-
vationhistori.pdf&rct=j&frm=1&q=&esrc=s&sa=U&ei=p2OuVNbVN8z-
Uo3Ugcgl&ved=0CBQQFjAA&usg=AFQjCNEp_VjeMrlxphqqi3UN3avs_C73Hw)
- **Tyne and Wear:** [www.newcastle.gov.uk/planning-and-buildings/planning-
policy/supplementary-planning-documents/archaeology-and-development-spd](http://www.newcastle.gov.uk/planning-and-buildings/planning-
policy/supplementary-planning-documents/archaeology-and-development-spd)

ANNEX 1 – COPY OF SURVEY

**Planning Survey
Questions for
Financial Years 2011-12, 2012-13, 2013-14**

Please note that this questionnaire is looking only for planning-related information.

The number of survey responses from recent surveys has been low, so if you do not have actual figures, please provide a best estimate, and indicate that this is an estimated response with an 'E'. Estimated figures are better than none!

It is important for ALGAO to have this survey information so that it can promote the cause of the undesignated historic environment in its advocacy at a national level. Experience has shown that the ALGAO planning casework surveys provide the only reliable data for the sector on the impact of development on undesignated archaeology. The results of previous surveys have also been used and quoted by Government (e.g. in the current NPPG) to help make the case for undesignated archaeology.

We would be grateful if all questions could be answered – or at least attempted - for all three years of the survey. However, in order to reduce the length of the survey it has been decided that some questions - where it is not so important to have trend data - will only require figures for 2013-14.

There is space for comments/queries at the end of the questionnaire, so if you have anything further you would like to add, either about particular questions or answers, your feedback will be welcome to help us to tailor/clarify future questionnaires.

SECTION 1: GENERAL INFORMATION

1. Name of service/organisation and ALGAO member authority

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2. Please state the number of, and list, Local Planning Authorities that your service provided advice to during the financial year surveyed (this should cover 2011-2014):

Number of Authorities: Names:
--

3. Total number of planning applications submitted for the local authorities advised District/Borough/Unitary and/or County Matter
 (NB this is ALL applications, regardless of archaeological implications, and inclusive of those applications which may apply to Q4 below)

2011-12	2012-13	2013-14

4. Number of major planning applications (2013-14 only)
For definition of major application see:
<http://www.legislation.gov.uk/ukxi/2010/2184/article/2/made>
5. Number of applications accompanied by an EIA (2013-14 only)
6. Number of pre-application consultations (2013-14 only)

SECTION 2: SCREENING AND APPRAISAL

This section distinguishes between initial screening of applications including the use of hazard/constraint mapping (Qs 7-11) and more detailed appraisal of the HER (Q 12)

7. Do you screen weekly planning lists? YES/NO
8. If YES, how many planning applications are checked against the HER using limited information, eg the NGR? (2013-14 only)

The assumption being that this may lead to no further action being taken, or additional details being obtained (cf question 8 below).

9. If NO, how are applications with archaeological implications identified?

eg. Do you see all applications, do you have hazard maps, do you have certain criteria such as size of development area or type of application?

10. Do you or your LPAs make use of hazard or constraint mapping for the historic environment?
YES/NO/SOMETIMES

11. Please describe briefly how these work?

12. Number of detailed appraisals of planning applications carried out against the HER:

Include here those applications where plans of the proposals are available (eg downloaded from LPA websites, as opposed to where limited details from a weekly list, eg NGR, are available from screening a weekly list (cf. 8) above)).

2011-12	2012-13	2013-14

SECTION 3: VALIDATION

13. Is archaeology one of the criteria used in validation by your LPAs?

YES/NO/SOMETIMES

14. Do you have a role in the process of validating applications?

YES/NO/SOMETIMES

15. If YES to 15 above, please describe how this operates in practice:

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16. Question 16. *We would like if possible figures for each of the three years to be included separately for each LPA that your service provides advice for. This is because the figure (together with the total number of applications) is the single most important measure of the impact of development on the archaeological resource. It therefore provides a crucial benchmark for advocacy should the ALGAO service be cut, or should the LPA pull out of an SLA/look for alternative sources of advice. We acknowledge that this will be an onerous task for some, but would request that the individual figures are recorded for at least 2013-14.*

Having the figure for each LPA also means that this important measure for archaeology would be able to be used alongside data for Listed Building applications which it is proposed that IHBC will record for each LPA. The sector and Government would therefore have more holistic data on the impact of development on the

Number of planning applications with archaeological implications:

This should include all proposals for which assessment or mitigation recommendations were made.

2011-12 per LPA	2012-13 per LPA	2013-14 per LPA

17. Number of development proposals for which you have recommended a pre-determination field evaluation:

Where below-ground and historic building assessment have been recommended for the same application, please count separately.

2011-12	2012-13	2013-14

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18. Below-ground archaeology

2011-12	2012-13	2013-14

19. Historic buildings

2011-12	2012-13	2013-14

20. Other (please specify type(s))

2011-12	2012-13	2013-14

21. Do you advise evaluation is carried out:

a) pre-submission ALWAYS, OFTEN, SOMETIMES, NEVER

b) pre-determination ALWAYS, OFTEN, SOMETIMES, NEVER

c) by condition ALWAYS, OFTEN, SOMETIMES, NEVER

any further comments

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22. Do you comment upon setting issues?

ALWAYS, OFTEN, SOMETIMES, NEVER

23. Number of planning applications where a condition was recommended for below-ground archaeology

2011-12	2012-13	2013-14

24. Number of planning applications where a condition was recommended for historic building recording

2011-12	2012-13	2013-14

Advice on historic buildings has been included to obtain an overview of which services are providing such advice and how frequent it is. Where below-ground and historic building assessment have been recommended for the same application, please count separately.

25. Which conditions do you advise? Tick all that apply:

- a) PPG16-style Grampian
- b) Staged (eg ALGAO/EH condition recommended to PINS)
- c) Individually tailored
- d) Other (please elaborate below)

SECTION 4: BRIEFS AND SPECIFICATIONS

- | | | |
|--|---------------|-----------------|
| | Issue? | Approve? |
| 26. Do you issue and/or approve briefs/project outlines? | YES/NO | YES/NO |
| 27. Do you issue and/or approve specifications? | YES/NO | YES/NO |

For definitions see: http://www.archaeologists.net/sites/default/files/node-files/ifa_standards_appendices.pdf.)

28. (2013-14 only) Number of written schemes of investigation (WSIs) issued or approved for:

- Evaluation
- Mitigation recording (eg. excavation)

Historic building recording

Other (please specify below, eg WB only)

NB Q28 above refers to briefs, specifications and WSIs issued and/or approved by historic environment services. The split questions are to obtain figures on the number and proportion of full excavation briefs - as opposed to evaluation. The question on historic buildings should include WSIs which also have below-ground archaeological investigation included within them. It would be useful if the number of these could also be indicated to avoid double counting.

SECTION 5: PLANNING APPEALS AND PUBLIC INQUIRIES

29. Number of known instances for which archaeology was an issue by being a reason for refusal because the presence of remains requiring preservation *in situ*

2011-12	2012-13	2013-14

30. Number of known instances for which archaeology was an issue by being a reason for refusal because the applicant's failure to provide the results of an evaluation

2011-12	2012-13	2013-14

31. Number of known instances for which archaeology was an issue by being a reason for refusal because of other reasons (please specify, eg setting)

2011-12	2012-13	2013-14

32. Number of appeals/inquiries where HE was an issue.

2011-12	2012-13	2013-14

33. Written exchange

2011-12	2012-13	2013-14

34. Appeal hearing

2011-12	2012-13	2013-14

35. Public Inquiry

2011-12	2012-13	2013-14

36. How many positive outcomes?

2011-12	2012-13	2013-14

37. Negative outcomes?

2011-12	2012-13	2013-14

38. Would you be willing to provide details of appeal decisions to the ALGAO Planning & Legislation Committee to add to our collection of examples, to be made available to ALGAO members on the ALGAO website?

YES/NO

SECTION 6: OASIS AND ARCHIVING

OASIS (<http://www.oasis.ac.uk>)

39. Does your local authority engage with OASIS? YES/NO/SOMETIMES

40. If not, can you tick one or more of the following reasons:

Insufficient staff resources

Duplication of other HER data entry

Can't import data

Other (please specify):

41. Do you include a clause relating to 'OASIS' in your WSIs or those you approve?

YES/NO/SOMETIMES

Archaeological Archiving

42. Do you require a repository for the archive to be identified as part of a WSI?
YES/NO/SOMETIMES

43. How many collecting areas fall into your area?

(details on http://archaeologydataservice.ac.uk/archives/view/sma_map/)

44. Are there 'black holes', i.e. areas where no repository is regularly collecting archaeological archives? ("regularly" is taken here to mean will accept all archives prepared to a standard without selection).

YES/NO/DON'T KNOW

45. If YES to 44 above, roughly what % of your area falls into these black holes?

46. What is the impact of this?

SECTION 7: POLICY AND GUIDANCE

47. Do you use the Minerals Historic Environment Forum guidance?

YES/NO

48. If not, why not?

49. Do you use the IfA Standard and guidance for archaeological advice by historic environment services?

YES/NO

50. If not, why not?

51. Have you provided historic environment input into local plan policies?

YES/NO/PARTIALLY/IN PROGRESS

52. Do you feel your local plans have a robust historic environment evidence base?

YES/NO/PARTIALLY

53. Do you feel your local plans have robust historic environment policies, or that the historic environment is well integrated into other policies?

YES, NO, PARTIALLY

54. Do you have defined areas of archaeological potential/significance or similar?

YES/NO

55. Please cite specific examples of good practice re such areas, including an online URL if possible:

56. Do you undertake training for LPAs in historic environment issues?

YES/NO/SOMETIMES

57. Do you produce advisory/guidance notes/standards on the historic environment?

YES/NO/SOMETIMES

Please give further details

58. Do you have an SPD for the historic environment?

YES/NO

59. If so, please provide a URL to the online version, if available.

Space for any comments or queries about this questionnaire or additional comments about your answers:

Please cite the question reference number before each comment.

Questionnaire completed by:

Date:

Thank you for completing this survey. Your time is much appreciated.

ANNEX 2
LIST OF RESPONDING AUTHORITIES

	East of England	Type
1	Bedford Borough Council	Unitary
2	Cambridgeshire County Council	County
3	Essex County Council	County
4	Norfolk County Council	County
5	Peterborough City Council	Unitary
6	City and District of St Albans	District
7	Suffolk County Council	County
	East Midlands	
8	Derbyshire County Council:	County
9	Leicester City	Unitary
10	Lincolnshire County Council	County
11	Northamptonshire County Council:	County
12	Nottinghamshire County Council:	County
13	Peak District National Park:	National Park
	London	
14	Greater London:	National Agency
15	Southwark Council:	London Borough
	North East	
16	Durham County Council:	County
17	Newcastle City Council and Tyne & Wear:	5 Unitary authorities
18	Northumberland County Council:	County
19	Tees Archaeology (Hartlepool and Stockton-on-Tees):	2 Unitary authorities
	North West	
20	Cheshire (Cheshire West and Chester/Cheshire East):	Unitary
21	Cumbria County Council:	County
22	Greater Manchester:	Unitary
23	Lancashire County Council:	County
	South East	
24	East Berkshire (Bracknell Forest, Reading, Slough, Windsor and Maidenhead and Wokingham unitary authorities (Berkshire Archaeology)):	5 Unitary authorities
25	West Berkshire Council:	Unitary
26	Buckinghamshire County Council:	County
27	East Sussex County Council:	County
28	Hampshire County Council:	County
29	Isle of Wight Council:	Unitary
30	Kent County Council:	County
31	Milton Keynes Council:	Unitary
32	New Forest National Park:	National Park
33	Oxford City Council:	City (non unitary)
34	Oxfordshire County Council:	County

35	Winchester City Council:	District
	South West	
36	Cornwall Council:	Unitary
37	Devon County Council:	County
38	Dorset County Council:	County
39	Gloucester City:	District
40	Gloucestershire County Council:	County
41	Somerset County Council:	County
42	Torbay Council:	Unitary
43	Wiltshire Council:	Unitary
	West Midlands	
44	Herefordshire Council:	Unitary
45	Shropshire Council:	Unitary
46	Worcestershire County Council:	County
	Yorkshire & Humber	
47	North Yorkshire County Council:	County
48	South Yorkshire:	4 Unitary authorities
49	West Yorkshire Archaeology Service:	5 Unitary authorities
50	City of York Council:	Unitary
51	Yorkshire Dales National Park:	National Park