



ENGLISH HERITAGE

PPS5: Planning for the Historic Environment PRACTICE GUIDE

REVISION NOTE

June 2012

On 27 March 2012, the Government published the National Planning Policy Framework (NPPF).

The NPPF supersedes Planning Policy Statement 5: Planning for the Historic Environment (PPS5) as Government Policy on the management of change to the Historic Environment in England.

Please note, the PPS5 Practice Guide remains a valid and Government endorsed document pending the results of a review of guidance supporting national planning policy. The references to PPS5 policies in this document are obviously now redundant, but the policies in the NPPF are very similar and the intent is the same, so the Practice Guide remains almost entirely relevant and useful in the application of the NPPF.

For further enquiries, please email policy@english-heritage.org.uk

www.english-heritage.org.uk



Planning shapes the places where people live and work and the country we live in. It plays a key role in supporting the Government's wider economic, social and environmental objectives and for sustainable communities.

PPS5 Planning for the Historic Environment: Historic Environment Planning Practice Guide

Temporary cover – designed version to follow

The text within this document is the final government-endorsed version.

March 2010

Department for Communities and Local Government
Eland House
Bressenden Place
London SW1E 5DU

Telephone: 0303 444 0000
Website: www.communities.gov.uk

Department for Culture, Media and Sport
2-4 Cockspur St
London SW1Y 5DH

General enquiries 020 7211 6200
Email: enquiries@culture.gov.uk
Website: www.culture.gov.uk

English Heritage
1 Waterhouse Square
138-142
Holborn
London EC1N2ST

Telephone: 0870 333 1181
Textphone: 01793 414878
E-mail: customers@english-heritage.org.uk
Website: www.english-heritage.org.uk

© *Crown Copyright*, 2010

Copyright in the typographical arrangement rests with the Crown.

This publication, excluding logos, may be reproduced free of charge in any format or medium for research, private study or for internal circulation within an organisation. This is subject to it being reproduced accurately and not used in a misleading context. The material must be acknowledged as Crown copyright and the title of the publication specified.

If you require this publication in an alternative format please email
alternativeformats@communities.gsi.gov.uk
Communities and Local Government Publications
Tel: 0300 123 1124
Fax: 0300 123 1125
Email: product@communities.gsi.gov.uk

Online via the English Heritage website www.english-heritage.org.uk

March 2010

PPS5: Planning for the Historic Environment: Historic Environment Planning Practice Guide

CONTENTS

1. Introduction

2. The Government Objectives: Planning for the Historic Environment

3. Heritage Assets and Significance

Designated assets

HE1: Heritage assets and climate change

Improving energy performance

Large-scale energy generation and other infrastructure

4. Plan-making Policies HE 2 to HE5

HE2: Evidence base for plan-making

Gathering the evidence

Historic Environment Records

Using the evidence

HE3: Regional and local planning approaches

Quality of place

Economic vitality and sustainable communities

Historic landscapes

Regional planning approach

Local planning approach

Design policies

Accessibility and enjoyment

HE4: Permitted development and Article 4 directions

HE5: Monitoring indicators

5. Development Management HE6 to HE12

Assessing the significance of a heritage asset

Desk based assessment

On-site evaluation

Pre-application discussions and assessment

Heritage partnership agreements

HE6: Information requirements for applications for consent affecting heritage assets

HE7: Policy principles guiding the determination of applications for consent relating to all heritage assets

Identifying the heritage assets affected

Assessing the application

Using appropriate expertise

Expert advice: general points

Weighing-up the proposals

Heritage benefits

New development: design in context

Condition of the asset and deliberate neglect and damage

HE8: Additional policy principle guiding the consideration of applications for consent relating to heritage assets that are not covered by policy HE9

HE9: Additional policy principles guiding the consideration of applications for consent relating to designated heritage assets

Alterations to realise the optimum viable use of an asset

Substantial harm, demolition or destruction

Marketing to demonstrate redundancy

Public or charitable interest and support for assets under threat
World Heritage Sites and Outstanding Universal Value
Archaeology
Human remains
Minerals extraction
Archaeological and historic interest
Non-designated sites of archaeological interest
Statutory decision-making requirements

HE10: Additional policy principles guiding the consideration of applications for development affecting the setting of a designated heritage asset

Understanding setting and its contribution to significance
Assessing the implications of change affecting setting

HE11: Enabling development

HE12: Policy principles guiding the recording of information related to heritage assets

Information generated through plan-making and decision-making
Recording and furthering understanding
Content of a written scheme of investigation
Reporting, publication and archiving
Public engagement
Conditions and planning agreements
New discoveries during work

6. Further Guidance on Making Changes to Heritage Assets

Repair
Restoration
Addition and alteration
Works for research alone

Annex 1: Further Sources of Evidence for Understanding Significance

1. INTRODUCTION

1. The purpose of this guide is to assist local authorities, owners, applicants and other interested parties in implementing *Planning Policy Statement 5 (Planning for the Historic Environment)* and to help in the interpretation of policies within the PPS.

2. This practice guidance supports the implementation of national policy, but does not constitute a statement of Government policy itself, nor does it seek to prescribe a single methodology or particular data sources. Alternative approaches may be equally acceptable, provided they are compliant with the national policies and objectives, clearly justified, transparently presented and robustly evidenced. As a guide to interpreting how policy should be applied, this practice guidance may also be material to individual planning and heritage consent decisions.

3. English Heritage and other professional and expert bodies provide additional information and advice on a wide range of topics to help those who care for the historic environment. Where particularly relevant, sources of such advice are cross-referenced in the text.

2. GOVERNMENT OBJECTIVES: PLANNING FOR THE HISTORIC ENVIRONMENT

4. The historic environment is a rich and diverse part of England's cultural heritage. It takes in all aspects of the environment as a whole that have been shaped through human activity. The value of the historic environment, and the contribution it makes to our cultural, social and economic life, is set out in *The Government's Statement on the Historic Environment for England 2010*,

That the value of the historic environment is recognised by all who have the power to shape it; that Government gives it proper recognition and that it is managed intelligently and in a way that fully realises its contribution to the economic, social and cultural life of the nation.

5. The historic environment provides a tangible link with our past and contributes to our sense of national, local and community identity. It also provides the character and distinctiveness that is so important to a positive sense of place. It can support the regeneration and sustainable economic and social development of our communities. It can assist in the delivery of housing, education and community cohesion aims. It is a key part of England's tourism offer. Through all this it enhances the quality of our daily lives.

6. People care about and want to conserve those elements of the historic environment that hold heritage value for them. Once they are lost, they cannot be replaced. People also want the historic environment to be a living and integral part of their local scene.

That requires proactive and intelligent management of heritage assets. Sometimes change will be desirable to facilitate viable uses that can provide for their long term conservation.

7. The historic environment can also be a positive force for change. Some of the most successful regeneration schemes have used the historic environment as a key inspiration for the delivery of dramatic physical and economic transformation.

8. The PPS sets out the Government's objectives for the historic environment and the rationale for its conservation. It recognises the unique place the historic environment holds in England's cultural heritage and the multiple ways it supports and contributes to the economy, society and daily life. The PPS also identifies the historic environment as a non-renewable resource. Its fragile and finite nature is a particularly important consideration in planning. Conserving this resource for future generations accords with the principles of sustainable development. Government places a priority on its conservation and has set out tests to ensure that any damage or loss is permitted only where it is properly justified.

9. These objectives for the historic environment are also reflected in *Planning Policy Statement 1: Delivering Sustainable Development*, ODPM (2005) (PPS1), which says that,

... planning should facilitate and promote sustainable and inclusive patterns of urban and rural development by [amongst other things] protecting and enhancing the natural and historic environment, the quality and character of countryside, and existing communities.

3. HERITAGE ASSETS AND SIGNIFICANCE

10. A key feature of the PPS is its holistic approach to the historic environment. The elements of the historic environment that are worthy of consideration in planning matters are called 'heritage assets'. This term embraces all manner of features, including: buildings, parks and gardens, standing, buried and submerged remains, areas, sites and landscapes, whether designated or not and whether or not capable of designation.

11. The difference between a heritage asset and other components of the environment is that a heritage asset holds meaning for society over and above its functional utility. It is this heritage significance that justifies a degree of protection in planning decisions. The aim of the policies within the PPS is to conserve these assets, for the benefit of this and future generations. This is done by supporting their maintenance and by requiring that change to them is managed in ways that sustain and where appropriate enhances their heritage significance.

12. Significance is a key term within the PPS policies. Along with 'historic environment' and 'heritage asset', it is defined in the annex to the PPS. It is used as a catch-all term to sum-up the qualities that make an otherwise ordinary place a heritage asset. The significance of a heritage asset is the sum of its architectural, historic, artistic or archaeological interest.

13. World Heritage Sites, Scheduled Monuments, Listed Buildings, Protected Wreck Sites, Registered Parks and Gardens, Registered Battlefields and conservation areas are all heritage assets. The process of designation has identified them as having a level of significance that justifies special protection measures.

14. The basic criterion for listing a building is that it must hold special historic or architectural interest. For a monument to be scheduled it must be nationally important by reason of its historic, architectural, artistic, traditional or archaeological interest. Parks and gardens and battlefields may be registered if they are of special historic interest. Conservation areas will be designated if they are of special historic or architectural interest, the character and appearance of which it is desirable to preserve or enhance. All of these criteria have two components: the nature of the interest or significance that defines the designation and the relative importance of that interest or significance. Significance, as defined in the PPS, encompasses all of the different interests that might be grounds for designating a heritage asset. The principles of selection for both listed buildings and scheduled monuments are published by DCMS.

15. In addition to the national and statutory designations, local authorities may formally identify heritage assets that are important to the area, for example through local listing as part of the plan-making process. The process of deciding planning permissions, listed building or conservation area consents may also lead to the recognition that a heritage asset has a significance that merits some degree of protection. Though lacking the statutory protection of other designations, formal identification by the local authority through these processes is material in planning decisions. Local authorities will hold evidence of a wide range of non-designated heritage assets in their areas through the information held on their Historic Environment Records.

16. National Parks, the Broads and Areas of Outstanding Natural Beauty are designated to conserve both the natural environment and cultural heritage of these areas. The policies in the PPS apply to the historic environment of these landscapes.

17. Applications will have a greater likelihood of success and better decisions will be made when applicants and local planning authorities assess and understand the particular nature of the significance of an asset, the extent of the asset's fabric to which the significance relates and the level of importance of that significance.

18. Assessment of this kind is not new. For example, an assessment of the special historic or architectural interest of a listed building or the character and appearance of a conservation area, carried out for many years as part of the process of designation and prior to considering a consent application, is an assessment of its significance.

19. The reason why society places a value on heritage assets beyond their mere utility has been explored by English Heritage at a more philosophical level in *Conservation Principles* (2008). (All English Heritage publications referenced in this document are available from the English Heritage website (www.english-heritage.org.uk) or the guidance library of the Historic Environment Local Management (HELM) website (www.HELM.org.uk). *Conservation Principles* identifies four types of heritage value that an asset may hold: aesthetic, communal, historic and evidential value. This is simply another way of analysing its significance. Heritage values can help in deciding the most efficient and effective way of managing the heritage asset so as to sustain its overall value to society.

20. Nothing in the PPS changes the existing legal framework for the designation of scheduled monuments, listed buildings, conservation areas, registered parks and gardens or protected wrecks. Existing law also sets out the basis on which scheduled monument consent, listed building consent, conservation area consent or licences to deal with protected wrecks may be required. Again, nothing in the PPS changes those requirements and the interpretation of the words and phrases used. Whilst PPS5 covers planning decisions concerning scheduled monuments, it does not cover scheduled monument consent. The Government's policies on the granting of scheduled monument consent are published by DCMS.

Designated Assets

World Heritage Sites are inscribed by the UNESCO World Heritage Committee for their Outstanding Universal Value.

Scheduled monuments are designated under the Ancient Monuments and Archaeological Areas Act 1979 by the Secretary of State for their national importance.

Listed buildings are designated under the Planning (Listed Buildings and Conservation Areas) Act 1990 by the Secretary of State for their special architectural or historic interest.

Protected wreck sites are designated by order under the Protected Wrecks Act 1973 for their historical, architectural or artistic importance.

Conservation areas are designated under the Planning (Listed Buildings and Conservation Areas) Act 1990, primarily by local authorities, for their special architectural or historic interest the character or appearance of which it is desirable to preserve or enhance.

Registered parks and gardens are designated by English Heritage under the Historic Buildings and Ancient Monuments Act 1953 for their special historic interest.

Registered battlefields are designated by English Heritage on a non-statutory basis.

Policy HE1: Heritage assets and climate change

21. The historic environment has an important role to play in addressing climate change. The retention and reuse of heritage assets avoids the material and energy costs of new development. Many older settlements reflect good practice in sustainable urban design. They have compact layouts; co-locate employment, residential, retail and leisure uses; and, are usually near to transport nodes. The historic environment can inform and inspire the best modern, sustainable development.

22. By taking a narrow and rigid view of what makes a building or development sustainable, opportunities may well be missed to adapt and enhance what is already there. In considering development proposals, local authorities will find it useful to take into account the embodied energy within existing buildings and the whole-life costs of any new scheme or proposed alterations. The creative adaptation of heritage assets can dramatically reduce the whole-life energy costs and waste impacts that would result from demolition and replacement, even where the proposed development would in itself be of an acceptable standard in terms of energy performance. The adaptation of heritage assets need not be more expensive or difficult than replacement. It is quite possible that the recycling of existing buildings at a site may cut the overall financial cost of development and even save time.

23. Local planning authorities are encouraged to keep abreast of up-to-date information on the efficiency and sustainability of historic buildings and the best means of improving their performance. They may find it helpful to identify exemplars that can be shared with potential applicants to increase the likelihood of more sustainable proposals being put forward.

24. To achieve the Government's objectives for both climate change and the historic environment, local planning authorities may find it useful to consider the following, in addition to the policies within the PPS:

1. Producing supplementary planning documents that set out ways in which heritage assets in their area can be modified to improve their environmental performance without compromising their significance.
2. Preparing plan policies for particular assets or asset types to manage conflicts between the conservation of the historic environment and the mitigation of climate change in their area.
3. When preparing policies, taking account of the positive role the historic environment can play in delivering wider sustainability objectives.
4. Celebrating best practice through Local Development Framework Annual Monitoring Reviews.

5. Encouraging improved standards, for example through design and conservation award schemes.
6. Identifying particular assets or asset types that may be threatened by environmental change triggered by climate change, e.g. increased flood risk at low-lying archaeological sites.
7. Considering producing appraisals of any assets at risk to highlight trends or underlying problems so as to inform policy decisions.

Improving energy performance

25. Where the ongoing energy performance of a building is unsatisfactory, there will almost always be some scope for suitable adaptations to be made without harm to the asset's significance. This will involve careful consideration of the most appropriate options for insulation, power use and power generation. Intrusive interventions, such as the external mounting of microgeneration technology, can harm the significance of a heritage asset. Where such interventions are proposed, a temporary, reversible installation will generally be preferable to one that causes irrevocable harm to an asset's significance. Local planning authorities are encouraged to support home owners and developers to find solutions that minimise or avoid harm to an asset's significance while delivering improved energy performance or generation. Detailed advice on how heritage assets can be adapted to new technologies or materials without harming their significance is available from English Heritage.

Large-scale energy generation and other infrastructure

26. Proposals for large-scale schemes, such as wind farms, that have a positive role to play in the mitigation of climate change and the delivery of energy security, but which may impact on the significance of a heritage asset, such as a historic landscape, should be carefully considered by the developer and planning authority with a view to minimising or eliminating the impact on the asset. Ideally the proposals should be discussed at the pre-application stage to establish an acceptable balance between the necessity for measures that meet the challenge of climate change and the importance of conserving the significance of the asset. Some local planning authorities may find it useful to prepare specific policies for the handling of proposals for wind farms or other renewable energy infrastructure in their area.

4. PLAN-MAKING POLICIES HE2 to HE5

Policy HE2: Evidence base for plan making

Gathering the evidence

27. Our understanding of the historic environment is continually evolving in response to new information that is generated by owners, developers, researchers, local planning authorities, community groups and other organisations. In collecting and collating the evidence base for plan-making local planning authorities are advised to:

1. Make full use of the information contained in the relevant HER.
2. Bear in mind that some asset types are not currently well-recorded. For example, the *Register of Parks and Gardens of Historic Interest in England* is thought to represent around two thirds of sites potentially deserving inclusion.
3. Consult the data held by County Record Offices; local museums, libraries and archives; the National Monuments Record; published syntheses; regional research frameworks; and, the Land Registry. (A detailed list of potential data sources is available at Annex 1).
4. Consult any existing strategies and frameworks that may provide useful survey information (e.g. urban design frameworks and conservation area appraisals).
5. Consider, particularly for rural environments, the relevance of wider environmental data available from other sources such as MAGIC (www.magic.gov.uk).
6. Compile a dataset of the internationally and nationally designated heritage assets in their area.
7. Consider if there are any parts of their area that are worthy of designation as a conservation area. Local planning authorities are obliged under section 69 of the Planning (Listed Buildings and Conservation Areas) Act 1990 to consider this from time to time.
8. Consider compiling a 'local list' of heritage assets in partnership with the local community and on the basis of objective criteria of heritage interest that have been tested through public consultation. The type of assets included in such a list may be as varied as those designated at the national level. Information on these assets can be included in the relevant HER. Further advice on compiling local lists is available from English Heritage.
9. Identify areas and/or sites of potential archaeological interest, as these can be particularly sensitive to change.
10. Consider how established methods of environmental appraisal might contribute to a better understanding of the asset in question and its wider context. These can vary from large-scale historic landscape characterisations, to more detailed, local conservation area appraisals, Village Design Statements, area assessment studies and intensive urban surveys. Historic characterisation might also be used in sensitivity studies and in the development of green infrastructure strategies. Further guidance on characterisation and area assessment is available from English Heritage.
11. Where the evidence base is weak, local planning authorities may find it useful to commission research from appropriately qualified and experienced experts to supplement existing information.

Historic Environment Records

28. All local authorities have access to a Historic Environment Record (HER). HERs will usually provide the core of information needed for plan-making and individual planning decisions. HERs are information services that aim to provide comprehensive access and regularly updated resources relating to the historic environment of a defined geographical area for public benefit and use. They consist of databases linked to a Geographic Information System (GIS), together with associated reference collections and are managed by dedicated staff. HERs are unique repositories of, and signposts to, information relating to landscapes, buildings, sites and artefacts spanning from the Palaeolithic period to modern times. Their content complements and enriches the collections of museums, archives and libraries, and underpins the work of historic environment services in local authorities to identify, record, protect, conserve and interpret the historic environment designation and planning decisions. DCMS intends to publish guidance for local authorities on the maintenance of HERs.

29. Although it is not a replacement for direct consultation with HERs and other evidence sources, the Heritage Gateway is a portal that provides cross-searchable online access to records of designated heritage assets, local HERs and many other sources of historic information (www.heritagegateway.org.uk).

Using the evidence

30. The evidence base will be needed:

1. For sustainability appraisals, Strategic Environmental Assessment and testing the soundness of regional and local planning documents.
2. To understand how areas have developed their character.
3. To assess an area's capacity for change, including the size and rate.
4. To identify where there may be opportunities to utilise the historic environment to achieve economic vitality and sustainable communities (by virtue of the factors in HE3.1).
5. To ensure that the historic environment resource is not inadvertently diminished by ill-informed development.
6. To identify where there are heritage assets at risk that need to be targeted in planning or regeneration proposals.
7. To assess the need for site, asset type or area specific policies for the conservation and enjoyment of the historic environment (without repeating the policies in the PPS).

31. A good evidence base will lead to robust plans and minimise the risk of challenge. Local planning authorities can use the same evidence for the Local Development Framework, the Sustainable Community Strategies and Local Area Agreements to

strengthen links between these documents and minimise duplication. It is best to store the data in GIS form so that it can be used by others for related purposes.

32. English Heritage is a statutory consultee for development plans and their related sustainability appraisals or Strategic Environmental Assessments. As well as providing comment on individual plans, appraisals and assessments, English Heritage also produces generic guidance on current approaches to planning. Further relevant advice and guidance on data collection is available from professional bodies and institutes and other standard setting organisations, such as the British Standards Institute.

Policy HE3: Regional and local planning approaches

33. The role of the development plan, including the core strategy, is to set out specific positive and proactive policies for the area that will lead to the objectives of the PPS being achieved (HE3.1). This may mean, for example, that particular land use or design policies are applied to certain areas, sites or categories of asset so as to manage threats to conservation, encourage the optimum viable use and proactively exploit the value of the heritage assets.

Quality of place

34. The Government's strategy for improving quality of place, *World Class Places*, CLG (2009), recognises the essential role of the historic environment in providing character and a sense of identity to an area. Heritage assets can inform and inspire place-making. Recognising how the design, materials and pattern of land use of the built environment provide character and definition to a locality can enable local planning authorities to better understand the appropriateness of proposed development.

35. Heritage assets can play a key role in regeneration. English Heritage's *Constructive Conservation in Practice* (2008) gives many examples of schemes where the creative redevelopment of brown-field sites has generated economic prosperity, provided new homes and public spaces, and ensured the long term conservation of heritage assets.

36. High quality places also bring wider community benefits, such as better health and education outcomes, reduced levels of crime, and improvements in community cohesion and social inclusion. Heritage assets play a key role in defining place and in building local pride. They can have a totemic value to a community, provide local focal points and can offer spaces for recreation or for people to meet.

Economic vitality and sustainable communities

37. Policy HE3.1 sets out the contribution the historic environment can make in establishing and maintaining economic vitality and sustainable communities. Local

planning authorities will need to consider these when preparing the core strategy and development documents. In preparing these documents local planning authorities might also find it helpful to consider:

1. The social value of heritage assets to the community.
2. The potential for heritage-led regeneration.
3. The wider public benefits of the conservation of historic landscapes, parks and gardens. For example, in providing opportunities for recreation, the preservation of natural habitats and improved environmental quality.
4. The potential for heritage assets to improve quality of life and sense of place.
5. Creating opportunities for the optimum viable re-use of heritage assets at risk.
6. The role of traditional building materials and patterns of land use in local distinctiveness.
7. How heritage assets contribute to the attractiveness of streets and public spaces and how this contribution might be enhanced by, for example, reducing street clutter.
8. How to increase accessibility to and participation in the historic environment.
9. The economic potential of heritage assets.
10. The possible impacts of heritage tourism on the historic environment and wider community.
11. Opportunities to increase housing supply or meet other priorities by re-using and adapting heritage assets.
12. Ways that new development might complement and enhance existing settlements and heritage assets.

Historic landscapes

38. The European Landscape Convention (ELC) defines landscape as 'an area perceived by people whose character is the result of the action and interaction of natural and/or human factors'. It established the need to develop landscape policies dedicated to the protection, management and planning of urban and rural landscapes. English Heritage has published an action plan for the implementation of the ELC.

39. Historic landscapes have been shaped by human activity. They vary widely in character and include designated sites and areas such as World Heritage Sites, conservation areas, Registered Parks and Gardens, Registered Battlefields and heritage coasts, but also places like new towns, historic orchards and canals that may be locally recognised for their significance. Areas of Outstanding Natural Beauty and National Parks are designated to conserve our most significant natural and historic landscapes.

40. There may be a number of quite different landscapes within plan boundaries. For example, the North York Moors local development framework identifies nine landscape character types within the National Park, each with distinctive features. Landscapes can be particularly sensitive to inappropriate development and local planning authorities may find it advantageous to have policies that identify and seek to conserve the historic landscapes within their plan boundaries; so as to support the delivery of sustainable development while underpinning conservation objectives. Landscape characterisation can help with this by providing an objective framework for defining areas that share common natural and man-made features, which are thus likely to benefit from a unified planning approach. West Berkshire Council has developed a dataset of 92 detailed Historic Environment Character Zones nested within 20 broader Historic Environment Character Areas. This framework is informing the plan-making process in the authority.

Regional planning approach

41. Regional planning bodies will be assisted in understanding the heritage significance in their area through the following:

1. High-level historic characterisation studies and landscape character assessment that define sub-regional landscape character areas and areas of particular environmental sensitivity that are unique or threatened. Further guidance on landscape characterisation is available from Natural England and English Heritage.
2. Urban characterisation or similar studies created to inform the assessment of the capacity of settlements for growth or regeneration.
3. Other historic environment data already collected by county, metropolitan district, National Park or unitary authorities in the area.
4. Regional historic environment strategies, produced by the relevant regional Historic Environment Forum, and research frameworks where they exist.
5. Research commissioned to supplement the regional evidence base where it is insufficient to inform proper plan-making in accordance with the PPS.

42. HE3.3 recognises that some individual heritage assets may have regional significance. World Heritage Sites, National Parks and Areas of Outstanding Natural Beauty are likely to require formal policy recognition in regional and sub-regional strategies. While detailed policies for the conservation of such assets would also be expected to feature in local development frameworks, their scale and importance to the economy and cultural heritage merit policy consideration at a regional level.

Local planning approach

43. In drawing up the core strategy and other development plan documents, the key considerations will be:

1. Whether the quality and comprehensiveness of the available evidence base is sufficient for devising a positive and proactive strategy for the historic environment in the area. If not, further studies may need to be commissioned, such as a review of conservation areas, individual conservation area appraisals, management plans, historic landscape characterisation, urban characterisation and/or sensitivity studies, to cover discrete areas, or inform development options for particular sites. Guidance on conservation area reviews and appraisals is available from the HELM website.
2. Setting out a description of the general character of an area or place, why it is important and how heritage assets create or contribute to this.
3. Developing a clear view of what needs to be achieved in relation to the historic environment in the area and considering how this can be delivered through the core strategy
4. Whether specific area policies covering the conservation of particular heritage assets or categories of heritage asset are needed over and above those in national and regional policy in order to properly conserve and utilise heritage assets of the type found in the locality, given the threats and opportunities that exist there.
5. The possible need for Area Action Plans to address heritage-related planning issues in regeneration areas and/or supplementary planning documents to cover more detailed conservation issues such as extensions and alterations in conservation areas.
6. The extent to which threats will fall outside of planning consideration. Article 4 directions may assist by removing relevant permitted development rights. Policies within other areas of local authority responsibility, such as highways, may need to be aligned with the strategy for the management of the historic environment.

Design policies

44. Local development framework policies on design can set out the local planning authority's views on the importance of new development having a good relationship with the surrounding historic environment. These will need to reflect the policies on design and setting within both PPS5 (HE7.4, HE7.5, HE9.5, and HE10) and PPS1. By encouraging applicants to consider both how existing valued heritage assets can inform high quality design that is inspired by its local context and how the best contemporary design can fit comfortably into its surroundings, the local planning authority can help deliver sustainable communities and places that residents value highly. It is important to recognise that new development that relates well to its surroundings is likely to last longer before its replacement is considered and therefore make a greater contribution to sustainability. Local planning authorities are encouraged to seek well-conceived and inspirational design that is founded on a full understanding of local context.

Accessibility and enjoyment

45. Local planning authorities are encouraged to set out a positive and proactive strategy for increasing opportunities for the enjoyment of the historic environment by all members of the local and wider community, with particular consideration being given to socially excluded groups. English Heritage has produced guidance on increasing participation in the historic environment, including: *Easy Access to the Historic Environment* (2004), *Easy Access to the Historic Landscapes* (2005). Removing physical and perceived barriers to access can be crucial to increasing participation. There will almost always be scope to provide improved access for all without compromising the significance of a heritage asset. The requirements of the Disability Discrimination Act must be taken into account in any event.

Policy HE4: Permitted development and Article 4 directions

46. The Town and Country Planning Act (General Permitted Development) Order 1995 (GPDO) sets out permitted development rights for certain minor forms of development - i.e. development that may be legitimately undertaken without the need to gain specific planning consent. Where the exercise of permitted development rights causes, or may cause, a specific local problem, local authorities can in the circumstances set out in HE4.1 consider restricting permitted development rights by making directions under article 4 of the GPDO. Revisions to the process by which article 4 directions are made are scheduled for April 2010.

47. Removing permitted development rights will have the effect of increasing the regulation to which developers are subject, and increases the administrative work of the local authority (who will have to consider applications for development that was formerly permitted). In some circumstances it may also mean the authority is liable to pay compensation where a developer has suffered a loss directly attributable to the restriction. Directions will need to be fully and properly justified in accordance with national policy. Further guidance is available from English Heritage.

48. Conservation area appraisals can be particularly helpful for informing local planning authorities about adverse impacts on conservation areas that could be addressed through the issuing of an article 4 direction.

49. The GPDO restricts some permitted development in and around some specific heritage assets, such as World Heritage Sites, listed buildings and conservation areas. As these limitations are generalised for the whole country, consideration will still need to be given to the degree to which strategies and policies for specific assets in specific locations may have their effectiveness reduced by permitted development.

Policy HE5: Monitoring indicators

50. Plans with clear and measurable historic environment objectives and targets are likely to deliver more effective outcomes. Monitoring these outcomes can have the beneficial effects of:

1. Improving future plans and strategies.
2. Identifying where Article 4 directions may be needed.
3. Highlighting where supplementary planning documents may help.
4. Highlighting where development outside of planning control, such as highways, is compromising the strategic objectives.

51. Possible indicators include the numbers of imposed planning conditions that require mitigation or recording; trends shown by condition surveys of local authority-owned assets; and, changes in the appearance and 'health' of the historic environment. Local authorities may wish to consider formulating a local heritage indicator for inclusion within their Local Area Agreement.

52. Heritage at Risk information is an effective means of assessing whether protection policies are achieving success. It allows local planning authorities to use trend data to assess whether their historic environment policies are helping to reduce the number of designated heritage assets under threat. More than two thirds of local authorities have collected at least some Heritage at Risk data. Where appropriate and available, Heritage at Risk data can be included in the annual review of the Local Development Framework. Further information on the Heritage at Risk initiative is available from English Heritage.

5. DEVELOPMENT MANAGEMENT HE6 to HE12

53. This section provides generic guidance on decision-making in response to a planning, listed building consent or conservation area consent application for change that affects the historic environment. The decision-making policies in the PPS apply to all such applications and the term 'applications for consent' is to be construed accordingly whether the proposals requiring consent are 'development' or not. It is generally preferable for both the applicant and the planning authority if related applications for planning permission and for listed building or conservation area consent are considered at the same time. More detailed advice on common proposals for change to particular types of heritage asset follows in Section 6.

Assessing the significance of a heritage asset

54. Heritage assets may be affected by direct physical change or by change in their setting. Being able to properly assess the nature, extent and importance of the significance of a heritage asset and the contribution of its setting is very important to an applicant in order to conceive of and design a successful development and to the local planning authority in order to make decisions in line with the objectives of the PPS and the development plan.

55. Understanding the *nature of the significance* is important as it is vital to understanding the best means of conservation. A modern building of high architectural interest will have quite different sensitivities from an archaeological site where the interest arises from the possibility of human remains being buried there.

56. Understanding the *extent of the fabric* that holds that interest is also important because this can, among other things, lead to a better understanding of how adaptable the asset may be and therefore improve viability and the prospects for long term conservation.

57. Understanding the *level of importance* of that interest is important as it provides the essential guide to how protectively the policies should be applied. This is fundamental to decision-making where there is unavoidable conflict with other planning objectives.

58. In accordance with HE6.1, an applicant will need to undertake an assessment of significance to an extent necessary to understand the potential impact (positive or negative) of the proposal and to a level of thoroughness proportionate to the relative importance of the asset whose fabric or setting is affected. Given the obvious burden of the process, local planning authorities will need to be careful to only ask the applicant for what is genuinely needed to satisfy the policy requirement. Although there is no limit on the sources of information that might be consulted or the exercises that might be carried out to fulfil that requirement, the most common steps an applicant might take are as follows. The first three steps will be undertaken in almost every case.

1. Check the development plan, main local and national records including the relevant Historic Environment Record, statutory and local lists, the Heritage Gateway, the NMR, and other relevant sources of information that would provide an understanding of the history of the place and the value the asset holds for society.
2. Examine the asset and its setting.
3. Consider whether the nature of the affected significance requires an expert assessment to gain the necessary level of understanding.
4. Consider whether there are any special techniques that need to be employed because of the type of asset.
5. Seek advice on the best means of assessing the nature and extent of any archaeological interest e.g. geophysical survey, physical appraisal of visible structures and/or trial trenching for buried remains.
6. Consider, in the case of certain buildings whether physical intervention, such as the removal of plaster, may be needed to reveal important details hidden behind later additions and alterations.
7. Carry out additional assessment where the initial research has established an architectural, historic, artistic and/or archaeological interest but the extent, nature or importance of which needs to be established more clearly before safe decisions can be made about change to the site. This may require a desk-based assessment and/or on-site evaluation. Such may be necessary

for all types of asset, including buildings, areas and wreck sites, where understanding of the asset's history and significance is incomplete. Where applicants are to commission assessment or evaluation they are advised to discuss the scope of the work with the local planning authority in advance and to agree a written scheme of investigation, if necessary, before commencement.

8. Consider, and if necessary confirm, whether any investigative work may itself require planning permission or other consent.

59. Engagement with the relevant local authority specialists can be particularly helpful in developing an understanding of significance and in identifying the level of information needed to support an application. It can also be helpful to consult national amenity societies and groups or individuals (such as local civic and historical societies) with relevant links to the site and its past. Conservation area advisory committees offer advice to the local authority on policy and casework matters and can be particularly valuable sources of local knowledge. The local authority can advise on the existence of conservation or design advisory committees or panels.

60. The values that a place holds for some communities may not be obvious from expert advice or research alone. Where a heritage asset may have, for example, a cultural or faith interest to a particular community, it is important to consult them as they may have views and information that would add to the understanding of the asset's significance (HE7.3).

Desk-based assessment

61. Desk-based assessment is an assessment only of existing information, such as that contained in the main national and local records; topographic, cartographic, and other historical sources; site-specific information e.g. existing soil engineers' reports of ground conditions and contamination reports; geophysical and geotechnical surveys; and existing and proposed site plans. Further guidance is available, for example, the Landscape Design Trust's *Parks and Gardens: a Researcher's Guide to Documentary Sources for Designed Landscapes*, (2006). The aim is to assemble the available information about the architectural, historic, artistic and/or archaeological interest of the site and to assess what, if any, further expert investigation and on-site evaluation may be needed.

On-site evaluation

62. Where a desk-based assessment does not provide sufficient evidence for confident prediction of the impact of the proposal, it may be necessary to establish the extent, nature and importance of the asset's significance through on-site evaluation. This may be achieved through a number of techniques, some of which may potentially be harmful to the asset and will need careful consideration. These include ground-penetrating radar, trial-trenching, test-pitting, field-walking, x-ray and other forms of remote-sensing, geo-archaeological borehole investigation, opening-up and building analysis and

recording. The local authority can provide advice on professional standards and practices and the need for any permissions or consents. For scheduled monuments applicants will need to consider whether scheduled monument consent is required for field evaluation. Advice can be sought from English Heritage. The Institute for Archaeologists has published standards and guidance for both desk based assessment and on site evaluation. Evaluation is normally a rapid operation. It is designed to inform the decision-making process.

Pre-application discussions and assessment

63. PPS1 says that local planning authorities and applicants should consider the benefits of early engagement in pre-application discussions. Early engagement is particularly beneficial for proposals with the potential to impact on heritage assets or their setting. Pre-application discussions can increase the probability of a successful application and development outcome and in some cases may substantially reduce the burden of the consent process or even eliminate it entirely.

64. Understanding the significance of affected heritage assets is vital to a successful scheme – one that proposes the optimum viable use to a design that takes advantage of the asset's significance while also conserving it. Early engagement can lead to an agreed understanding of the nature, extent and importance of the significance of the asset or assets affected by a proposal, and identify the likely impacts on their significance before the details of the scheme are firmed up. It can also help parties to understand how the heritage asset or assets might make a positive contribution to the proposed development and how their incorporation within the design may fulfil wider planning objectives.

65. Pre-application discussions can be critical for large-scale development schemes but even applicants with small-scale domestic proposals can benefit from early engagement with the local planning authority, for example by agreeing in advance what evidence will be required to support their application.

66. When engaging in pre-application discussions, parties may find it helpful to consider:

1. Whether it is appropriate to involve third parties, such as the local community, statutory consultees and amenity societies, in discussions.
2. How to handle commercially sensitive material.
3. How to record the evidence produced for potential future use, for example in plan-making or academic research.

Heritage partnership agreements

67. There is no obligation on an owner or local planning authority to enter into a Heritage Partnership Agreement, but they have been demonstrated to offer significant advantages for both owners and local planning authorities, particularly when dealing with large heritage assets or groups of assets. The agreement sets out an understanding of the significance of the heritage asset or assets and in particular what is *not* of special interest in listed buildings (i.e. those parts that can be altered without detriment to their significance). Once the agreement is in place, it can reduce the number of occasions when listed building consent is required and thereby save the owner and local authority time and money. Heritage partnership agreements can also be useful for other substantial assets or groups of assets such as large or related scheduled monuments, parks and gardens, battlefields and historic landscapes or areas containing a mix of related assets. Reaching an agreed and fuller understanding of significance will reduce areas of doubt or confusion, aid better management and increase the prospect of success for a consent application where it is still required.

POLICY HE6: Information requirements for applications for consent affecting heritage assets

68. The PPS requires all applicants to provide a level of information that is proportionate to the significance of the asset and the potential impact upon that significance of the proposals. For example, for a substantial demolition it is reasonable to expect the applicant to provide detailed information on the asset as a whole and a thorough explanation of the impact. An application for a minor alteration to part of the asset is likely only to require detailed information on the affected part of the asset, along with a brief explanation of how the impacts relate to the significance of the asset as a whole. Advice on what English Heritage might expect when considering an application referred to it is available in *A Charter for English Heritage Planning and Development Advisory Services*, English Heritage (2009). The information requirements for planning permissions in particular are explained in the Government's *Development Management Policy Annex on Information Requirements* (2010) and associated *Guidance on Information Requirements and Validation* (2010). Both of these documents are available on the CLG website.

69. These requirements apply whether a Design and Access Statement is required or not. Where one is required the assessment of significance and impact should be set out in the Design and Access Statement as part of the explanation and justification for the design approach. Section 6 of the Government's *Guidance on Information Requirements and Validation* (2010) contains further information about Design and Access Statements.

Policy HE7: Policy principles guiding the determination of applications for consent relating to all heritage assets

Identifying the heritage assets affected

70. Where the fabric of a heritage asset is physically affected by a proposed development, the identification of the asset is straightforward. However, heritage assets

may also be affected by development within their setting. An asset's setting may be affected by a scheme at some distance from the site itself. Further guidance on the extent and importance of setting is given later under policy HE10.

Assessing the application

71. The description of significance and the accompanying assessment of impact on that significance provided with the application ought to provide the information necessary to enable the local planning authority to make a decision on the application in good time. An application should not be validated unless it contains sufficient information to assess the impacts (HE6.3). However, consultation responses and the site visit may identify further areas where information or expert advice may be reasonably required. Matters of subjective judgement and areas of doubt may need independent verification. If an application is validated, but is subsequently found to be deficient either in the depth or extent of the description of significance and the impacts, the local planning authority has the power under article 24 (7) of the Town and Country Planning (General Development Procedure) Order 1995 to require further information from the applicant.

72. If the information provided, the site visit and the local planning authority's own assessment work (if any) confirm that the significance of an asset is sufficiently understood then the impact of the proposals on that significance ought to be clear. A proposal may harm or enhance the significance of a heritage asset or it may be neutral. It may have a combination of those effects. More detailed guidance on the impact of development on significance in common situations is contained in Section 6.

Using appropriate expertise

73. Compliance with the PPS policies requires local planning authorities to use expert advice to inform their decision-making where the need to understand the particular significance of a heritage asset and any proposed impact demands it. This may be from in-house experts, experts available through agreement with other authorities, or professional consultants. This advice may be complemented by advice from heritage amenity societies, including the National Amenity Societies.

Expert advice: general points

74. Local planning authorities, developers and other stakeholders with an interest in the historic environment will often find it useful and/or necessary to seek the advice of appropriately qualified and experienced individuals or organisations. This may be, for example: to inform the plan-making process, to provide advice on the significance of a heritage asset, or to undertake an archaeological survey.

75. There are several established registers that can be used to identify appropriately qualified individuals or organisations. Though not exhaustive, the list below may be helpful:

1. The Institute for Archaeologists (IfA) has a register of organisations for historic environment practices. The IfA requires their members to meet defined levels of competency.
2. The Institute of Historic Building Conservation (IHBC) website provides links to several registers of specialist individuals and organisations. The IHBC requires their members to meet defined levels of competency
3. The Institute for Conservation (ICON) operates a register of accredited conservator-restorers.
4. The Royal Institution of Chartered Surveyors maintains a register of accredited building conservation members.
5. The Institute for Civil Engineers and the Institute for Structural Engineers operate a joint register of engineers who have demonstrated to their peers that they are capable of producing and implementing a conservation scheme to the required standard.
6. Accon Ltd operates a register of architects accredited in building conservation.

Weighing-up the proposals

76. The PPS sets out the approach local planning authorities are to take when determining whether to grant planning permission or other consents for a proposal that affects the significance of a heritage asset. The key to sound decision-making is the identification and understanding of the differing, and perhaps conflicting, heritage impacts accruing from the proposals and how they are to be weighed against both each other and any other material planning considerations that would arise as a result of the development proceeding.

77. Finding the optimum viable use for an asset may require the local planning authority to apply other development control policies flexibly and imaginatively to achieve long-term conservation. For example to realise the benefits of bringing an abandoned listed building on the Heritage at Risk register back into viable use it may be necessary to make an exception to a policy that restricts residential use on employment land.

78. Local authorities are advised to take into account the likely longevity of any public benefits claimed for a proposed scheme. Speculative, ill-conceived or short-term projects will not compare so favourably when considering an irreversible harm to the significance of a heritage asset.

Heritage benefits

79. There are a number of potential heritage benefits that could weigh in favour of a proposed scheme:

1. It sustains or enhances the significance of a heritage asset and the contribution of its setting.
2. It reduces or removes risks to a heritage asset.
3. It secures the optimum viable use of a heritage asset in support of its long term conservation.
4. It makes a positive contribution to economic vitality and sustainable communities.
5. It is an appropriate design for its context and makes a positive contribution to the appearance, character, quality and local distinctiveness of the historic environment.
6. It better reveals the significance of a heritage asset and therefore enhances our enjoyment of it and the sense of place.

New development: design in context

80. Policies HE7.5, HE9.5 and HE10 require attention to the extent to which the design of new development contributes positively to the character, distinctiveness and significance of the historic environment. A successful scheme will be one whose design has taken account of the following characteristics of the surroundings, where appropriate:

1. The significance of nearby assets and the contribution of their setting.
2. The general character and distinctiveness of the local buildings, spaces, public realm and the landscape.
3. Landmarks and other features that are key to a sense of place.
4. The diversity or uniformity in style, construction, materials, detailing, decoration and period of existing buildings and spaces.
5. The topography.
6. Views into and from the site and its surroundings.
7. Green landscaping.
8. The current and historic uses in the area and the urban grain.

Some or all of these factors may influence the scale, height, massing, alignment, materials and proposed use in any successful design.

81. Detailed guidance on design and the historic environment is available from English Heritage and CABI. For example: *Building in Context: New Development in Historic*

Areas (2001); *Guidance on Tall Buildings* (2007); and the *Building in Context Toolkit* (2006).

Condition of the asset and deliberate neglect and damage

82. There is no obligation on an owner to maintain a heritage asset, but Government does not wish to encourage deliberate neglect or damage in the hope it will assist an owner in obtaining consent. The local planning authority will often need to take into account the condition of the asset in its decisions, particularly when considering viability. A dilapidated asset is less viable than one in good repair because the cost of repair will be incurred before it can be used. Where a heritage asset has been deliberately neglected and/or damaged in the hope of obtaining consent, the local planning authority, when considering whether to grant that consent, needs to disregard the deteriorated state of the asset (HE7.6). Local planning authorities may need to consider exercising their repair and compulsory purchase powers to remedy such deliberate neglect.

Policy HE8: Additional policy principle guiding the consideration of applications for consent relating to heritage assets that are not covered by policy HE9

83. Some non-designated assets, such as buildings of good local character or sites of archaeological interest, are of heritage significance but not at a level that would pass the threshold for national designation. Such assets can, singularly and collectively, make an important, positive contribution to the environment. The desirability of conserving them and the contribution their setting may make to their significance is a material consideration, but individually less of a priority than for designated assets or their equivalents (HE8.1). The requirements for recording and understanding any such assets that are to be lost (set out in HE12) apply to these assets just as they do to designated assets, although the requirement imposed upon any permission will need to be proportionate to the nature and lower level of the asset's significance.

84. On larger projects there may be a thorough process of pre-application discussion that extends to evaluation of the impacts on the historic environment, including sites of archaeological interest. In such cases, the PPS presumes that local authorities will take such steps as are necessary to be confident that they have identified all non-designated heritage assets at this stage (HE8.1). The existence of non-designated heritage assets may still come to light later (perhaps only as a result of formal consultation on an application) but the risk of this occurring can be minimised.

Policy HE9: Additional policy principles guiding the consideration of applications for consent relating to designated heritage assets

85. HE9.1 sets out the presumption in favour of the conservation of designated assets. Any harmful impact on the significance of a designated asset needs to be justified on the grounds set out in HE9.2 (substantial harm or total loss) or HE9.4 (less than substantial harm).

86. Not all designated assets are of equal significance or sensitivity to change. Some Grade II listed buildings and conservation areas will be particularly important or sensitive to change, while others may be more capable of accommodating it. For example, a modest fisherman's cottage may have been listed precisely because it is a rare, unaltered survival of a particular type of dwelling and any changes could potentially jeopardise its significance. A heritage asset may be capable of practical use in theory, but be so important and sensitive to change that alterations to accommodate a viable use would lead to an unacceptable loss of significance.

87. Where a proposal causes minor harm there will still be a loss of value to society caused by that harm. This is a loss of public benefit that needs to be weighed against any other public benefits the proposal will bring, including, possibly, the conservation benefit of the proposal being part of realising the optimal viable use of the asset. Flexibility and imagination in the design process is crucial to minimising conflict. Some works may seem individually to be of little importance but can cumulatively be destructive of a heritage asset's significance.

Alterations to realise the optimum viable use of an asset

88. Proposals for the development of a heritage asset will ideally be for its optimum viable use. By their nature, some heritage assets have limited or even no economic end use. A scheduled monument in a rural area may preclude any use of the land other than as pasture, whereas a listed building may potentially have a variety of alternative uses such as residential, commercial or leisure.

89. It is important that any use is viable, not just for the owner but also for the future conservation of the asset. Viable uses will fund future maintenance. It is obviously desirable to avoid successive harmful changes carried out in the interests of successive speculative and failed uses. If there are a range of alternative ways in which an asset could viably be used, the optimum use is the one that causes the least harm to the significance of the asset, not just through necessary initial changes but also as a result of subsequent wear and tear and likely future changes. The optimum viable use is not necessarily the most profitable one. It might be the original use, but that may no longer be economically viable or even the most compatible with the long-term conservation of the asset.

90. Harmful development may sometimes be justified in the interests of realising the optimum viable use of an asset, notwithstanding the loss of significance caused, provided that the harm is minimised.

Substantial harm, demolition or destruction

91. Where substantial harm to, or total loss of, the asset's significance is proposed a case can be made on the grounds that it is necessary to allow a proposal that offers substantial public benefits. For the loss to be necessary there will be no other reasonable means of delivering similar public benefits, for example through different design or development of an appropriate alternative site.

92. Alternatively a case can be made for such serious harm or loss on the grounds that the designated heritage asset is genuinely redundant itself and it is preventing all reasonable uses of the site in which it sits. Even where the asset is genuinely redundant, it will often be the case that it can be worked round or incorporated into new development so that the wider site can remain in active use.

93. Keeping land in active use is a public benefit. It will be very rare that a decision has to be made between keeping a designated heritage asset and returning the site to active use but in such cases a balance still has to be struck between the loss to society of the significance of the designated asset and the benefits of returning the site to use. Loss of the highest graded assets will only be on wholly exceptional grounds.

94. Given the irreversibility of any such decision, the demolition or destruction of a designated heritage asset on these grounds is very much a last resort after every option to secure a viable future for the asset has been exhausted. The fact that particular applicants or their advisers cannot conceive of a viable use for the asset does not mean that there is no such use.

95. Some buildings are deemed designated as listed buildings by being fixed to the principal building or by being within its curtilage and pre-dating 1948. Whether alteration or demolition of such buildings amounts to substantial harm to the designated heritage asset (i.e. the listed building together with its curtilage and attached buildings) needs considering carefully. These buildings may on occasion be of limited individual or group value.

Marketing to demonstrate redundancy

96. No-one is obliged to sell their property. The purpose of marketing (as required by Policy HE9.3) is to demonstrate that no viable use for the asset can be found. The aim is to reach all potential buyers who may be willing to find a use for the site that still provides for its conservation to some degree. If such a purchaser comes forward there is no need to sell to them, but redundancy will not have been demonstrated. To ensure that those marketing efforts have been genuine and given the best chance of succeeding, local planning authorities may consider the following aspects of the campaign in order to judge its merits. Expert advice may be needed to properly judge these matters.

1. **The timing of the marketing.** Policy HE9.3 requires that there is clear evidence that no viable use can be found in the 'medium term'. Under poor market conditions the applicant may be advised to 'mothball' the asset until conditions have improved to the point when a negative response can be reasonably ascribed to a genuine lack of interest in the asset itself rather than to market conditions.
2. **The period and means of marketing.** These will be set to give the best chance of reaching all categories of potential purchaser.
3. **The asking price.** A price that does not fairly reflect the market value of the heritage asset will deter enquiries. To adequately test the market the price may need to be low or even zero.
4. **Condition of the site and deliberate neglect.** The condition of the site needs to be reflected in the asking price. Deterioration from deliberate neglect of the asset in the hope of obtaining consent has to be ignored (HE7.6). If the cost of making-good the deterioration from deliberate neglect is greater than any value the site may have had without the neglect, the applicant will be unable to demonstrate that the asset would not have been viable in the assumed condition that policy HE7.6 requires.
5. **The extent of the land included and nature of the interest being marketed.** The land being offered needs to be sufficient to provide necessary infrastructure and if a lease rather than freehold is offered and it is too short or has otherwise onerous terms genuine interest may be deterred.

Public or charitable interest and support for assets under threat

97. Where there is no interest in the general market, reasonable endeavours have to be made to find a public or charitable organisation to take on the asset or to find grant-funding that may pay for its continued conservation. This might include approaching the local authority, English Heritage, the Heritage Lottery Fund, the Architectural Heritage Fund (who maintain a list of possible alternative sources of funding), charitable foundations, national and local amenity societies and preservation trusts.

World Heritage Sites and Outstanding Universal Value

98. World Heritage Sites are nominated by the Government for inscription onto the UNESCO World Heritage List on account of their Outstanding Universal Value (OUV), authenticity and integrity. CLG Circular 07/09: *Protection of World Heritage Sites* and accompanying English Heritage guidance sets out the roles and responsibilities of local planning authorities in protecting, promoting, interpreting, sustainably using and conserving World Heritage Sites and their OUV and settings, which may include buffer zones as appropriate. The UNESCO-approved Statement of OUV of a World Heritage Site includes the inscription criteria, an assessment of authenticity and integrity and detail of those attributes that make up the asset's OUV. The Statement of OUV is a critical resource for local planning authorities in plan-making and reaching decisions relating to the significance of World Heritage Sites. Many OUV attributes will fall within the scope of this PPS's definition of significance, but some may not, such as the natural

interest in the Dorset and East Devon Coast World Heritage Site. Circular 07/09 requires local planning authorities to place due weight upon the need to protect all aspects of the OUV when planning decisions are made.

Archaeology

99. Sites, places and buildings having, or suspected of having, archaeological interest can be particularly sensitive to development. Sometimes even very minor works can irrevocably damage the interests of a future investigation of the site. In such cases the applicant and local planning authority will need to:

1. Properly understand the nature, relative importance and physical extent of the archaeological interest in these sites through a desk-based assessment, field evaluation, basic appraisal or recording of the asset, as required.
2. Consider proposed uses that are benign to the conservation of the asset's significance.
3. Seek to eradicate or minimise impact through design (for example, foundations that span sensitive areas rather than penetrate them).

Human remains

100. There are important, additional legal requirements that apply where development or on-site evaluation may affect human remains and it is advisable to follow established professional guidelines. Further guidance on compliance with burials legislation is available from the Ministry of Justice and English Heritage.

Minerals extraction

101. Archaeological interest is often of particular importance in proposals for minerals extraction. The Minerals and Historic Environment Forum has published Mineral Extraction and Archaeology: a Practice Guide (2008) to provide guidance on minerals planning and archaeology.

Archaeological and historic interest

102. The historic environment is an essential source of evidence for furthering the understanding of our past.

103. If there is a belief that investigating an asset further might reveal more about our past, it is said to have an archaeological interest. The PPS draws a distinction between this sort of interest in an asset and a historic interest. For the purposes of the PPS a

historic interest in a heritage asset is an interest in what is already known about past lives and events that may be illustrated by or associated with the asset.

104. The reason for drawing the distinction is to offer appropriate protection and management of the asset. Caring for an asset that has a historic interest, but no substantial archaeological interest, will be relatively straightforward as our existing knowledge of the asset will guide how it can be managed in order to sustain its significance.

105. However, if the asset is, for example, a bare field that has never been investigated, but which is suspected to contain important remains, or an apparently ordinary building, that is believed to contain a hidden medieval frame, the task of managing it is different. In these circumstances it is the interests of a future expert archaeological investigation that need protecting. The prospects for that investigation may be harmed even by a minor disturbance of the soil or the modern brick skin. The context in which any archaeological evidence is found is crucial to furthering understanding.

106. When an asset has an archaeological interest, conservation decisions will be aimed at sustaining the asset, or the relevant part of it, in a condition that would best suit the prospects of a future expert investigation. Any activity that impairs the prospects of a future archaeological investigation therefore harms the significance of the asset. This can make some assets, or parts of them, very sensitive to change. Expert advice will often be needed to identify those sensitivities and assess how they can be worked around.

107. Many heritage assets have a significance that is a combination of historic, architectural, artistic and archaeological interest. However, some will hold only an archaeological interest, in that nothing substantial may be known about the site and yet there is a credible expectation that investigation may yield something of strong enough interest to justify some level of protection.

108. The archaeological interest of an asset can remain even after apparently thorough investigation. As techniques and the understanding of our past improve, a previously investigated asset may be revisited to see what further can be learned.

Non-designated sites of archaeological interest

109. Some non-designated assets of archaeological interest, such as the buried remains of Roman Winchester, are known to be of at least equivalent importance to this and future generations as many places that are designated. There may be practical or policy reasons why a particular site has not been designated or it may be that the law does not recognise that particular form of asset. Their relative importance nevertheless means that they are treated as if they are designated assets and are therefore subject to the policies in HE9.1 to HE9.4 and HE10 (HE9.6). The principles of selection for

scheduled monuments, published by DCMS, address the reasons why some nationally important monuments may not be scheduled.

Statutory decision-making requirements

110. In accordance with section 38(6) of the Planning and Compulsory Purchase Act 2004, the determination of planning applications must be made in accordance with the development plan unless material considerations indicate otherwise. The PPS policies are material considerations to planning applications that affect heritage assets, either by proposing direct change to them or by development within their setting. This statutory provision does not apply to listed building and conservation area consents, but the public benefits of any proposal that are relevant to the application of the relevant policies in HE9.2 and HE9.4 in respect of such consent decisions are likely to be closely aligned with the objectives of the development plan.

111. In respect of decisions concerning listed buildings and conservation areas, there are legal provisions that impinge upon decision-making that must be taken into account and which therefore overlap with the decision-making policies of the PPS:

- (i) in considering whether to grant planning permission for development that affects a listed building or its setting or whether to grant listed building consent, the local planning authority shall have special regard to the desirability of preserving a listed building or its setting or any features of special architectural or historic interest which it possesses (Sections 16(2) and 66(1) of the Planning (Listed Buildings and Conservation Areas) Act 1990); and,
- (ii) in considering whether to grant planning permission with respect to any buildings or other land in a conservation area, the local planning authority shall pay special attention to the desirability of preserving or enhancing the character or appearance of that area (Section 72 of the Planning (Listed Buildings and Conservation Areas) Act 1990).

112. Where there are proposals that will or may affect the marine environment (up to mean high water spring tide), local planning authorities are advised to have regard to the Marine Policy Statement and Marine Plans drawn up under the Marine and Coastal Access Act 2009.

POLICY HE10: Additional policy principles guiding the consideration of applications for development affecting the setting of a designated heritage asset

Understanding setting and its contribution to significance

113. Setting is the surroundings in which an asset is experienced. All heritage assets have a setting, irrespective of the form in which they survive and whether they are designated or not. Elements of a setting may make a positive or negative contribution to the significance of an asset, may affect the ability to appreciate that significance, or may be neutral.

114. The extent and importance of setting is often expressed by reference to visual considerations. Although views of or from an asset will play an important part, the way in which we experience an asset in its setting is also influenced by other environmental factors such as noise, dust and vibration; by spatial associations; and, by our understanding of the historic relationship between places. For example, buildings that are in close proximity but not visible from each other may have a historic or aesthetic connection that amplifies the experience of the significance of each. They would be considered to be within one another's setting.

115. Setting will, therefore, generally be more extensive than curtilage and its perceived extent may change as an asset and its surroundings evolve or as understanding of the asset improves.

116. The setting of a heritage asset can enhance its significance whether or not it was designed to do so. The formal parkland around a country house and the fortuitously developed multi-period townscape around a medieval church may both contribute to the significance.

117. The contribution that setting makes to the significance does not depend on there being public rights or an ability to access or experience that setting. This will vary over time and according to circumstance. Nevertheless, proper evaluation of the effect of change within the setting of a heritage asset will usually need to consider the implications, if any, for public appreciation of its significance.

Assessing the implications of change affecting setting

118. Change, including development, can sustain, enhance or better reveal the significance of an asset as well as detract from it or leave it unaltered. For the purposes of spatial planning, any development or change capable of affecting the significance of a heritage asset or people's experience of it can be considered as falling within its setting. Where the significance and appreciation of an asset have been compromised by inappropriate changes within its setting in the past it may be possible to enhance the setting by reversing those changes.

119. Understanding the significance of a heritage asset will enable the contribution made by its setting to be understood. This will be the starting point for any proper evaluation of the implications of development affecting setting. The effect on the significance of an asset can then be considered and weighed-up following the principles

set out in policies HE 7, 8 and 9. While this consideration is perhaps most likely to address the addition or removal of a visual intrusion, other factors such as noise or traffic activity and historic relationships may also need to be considered.

120. When assessing any application for development within the setting of a heritage asset, local planning authorities may need to consider the implications of cumulative change and the fact that developments that materially detract from the asset's significance may also damage its economic viability now, or in the future, thereby threatening its ongoing conservation.

121. The design of a development affecting the setting of a heritage asset may play an important part in determining its impact. The contribution of setting to the historic significance of an asset can be sustained or enhanced if new buildings are carefully designed to respect their setting by virtue of their scale, proportion, height, massing, alignment and use of materials. This does not mean that new buildings have to copy their older neighbours in detail, but rather that they should together form a harmonious group.

122. A proper assessment of the impact on setting will take into account, and be proportionate to, the significance of the asset and the degree to which proposed changes enhance or detract from that significance and the ability to appreciate it.

123. English Heritage is preparing detailed guidance on understanding the setting of heritage assets and assessing the impact of any changes affecting them and on how to assess heritage significance within views.

124. Transport proposals can affect the setting of heritage assets and highways authorities are advised to consult with the local planning authority in such circumstances.

Policy HE11: Enabling development

125. Enabling development is the means of securing the long-term future of a heritage asset when conservation through development in compliance with policy cannot do so. Detailed guidance on how the applicant might make an enabling development application and on how a local planning authority can ensure the policy requirements are fully tested is set out in English Heritage's guidance on enabling development.

POLICY HE12: Policy principles guiding the recording of information related to heritage assets

126. The historic environment is one of the primary sources of evidence of our history. There is a great deal of valuable knowledge still to be gained from it. Safeguarding this

new knowledge and making it widely accessible is an important exercise of general public benefit.

127. Many heritage assets, including buildings and below-ground remains have the potential to yield new evidence about past human activity through expert investigation. Although we may learn a lot from an investigation undertaken today, the knowledge is not a substitute for the heritage asset itself. Records cannot deliver the sensory experience and understanding of context provided by the original heritage asset. Records reflect the outlook, technical capabilities and circumstances that prevailed at the time they were made. Techniques and understanding evolve and future investigations may ask different questions, or employ alternative approaches, to reveal deeper insights. For this reason, the best sources of information and understanding of our past are always the heritage assets themselves. The ability to investigate and record a heritage asset is therefore not a factor in deciding whether consent for its destruction should be given (policy HE12.1). However, there will be some assets that are under threat from natural processes such as organic material deposits at risk from desiccation where an early investigation may be desirable.

Information generated through plan-making and decision-making

128. Work in putting together the regional and local development framework, from the core strategy through to supplementary planning documents on specific issues, will often generate new evidence of the state and significance of the historic environment. Documents, such as historic landscape characterisations, sustainability studies, strategic environmental assessments, conservation area appraisals, studies supporting supplementary planning documents and local listing assessments, will often contain new evidence. Compliance with the policy in HE12.2 requires that local planning authorities collect this information and make it publicly available, including through the historic environment record. The information can be invaluable in improving plan-making and decision-making in the future and is of significant public benefit in furthering the understanding of our surroundings and our past.

129. Similarly, HE12.2 requires local planning authorities to capture the same information as is generated through the decision-making process. Information generated by applicants and local planning authorities about the significance of impacted heritage assets can contain new evidence or a convenient collation of existing evidence that would be very useful to the planning process and interesting to the general public. Copyright in the information may need to be considered.

Recording and furthering understanding

130. Where development will lead to loss of a material part of the significance of a heritage asset, policy HE12.3 requires local planning authorities to ensure that developers take advantage of the opportunity to advance our understanding of the past before the asset or the relevant part is irretrievably lost. As this is the only opportunity to do this it is important that:

1. Any investigation, including recording and sampling, is carried out to professional standards and to an appropriate level of detail proportionate to the asset's likely significance, by an organisation or individual with appropriate expertise.
2. The resultant records, artefacts and samples are analysed and where necessary conserved.
3. The understanding gained is made publicly available.
4. An archive is created, and deposited for future research.

131. The steps to be taken by the developer to achieve these aims can be controlled through a written scheme of investigation, usually drafted by the applicant. The local planning authority can advise as to what the Scheme should cover. Conditions can then be applied to the consent or a Section 106 Agreement entered into to secure the implementation of the written scheme of investigation.

132. To satisfy itself that a written scheme of investigation is proportionate, satisfactory and appropriate to the significance of the asset being investigated, the local planning authority can check it meets national standards and guidance. The Institute for Archaeologists has published standards and guidance on archaeological investigation of the ground, standing remains and buildings (www.archaeologists.net). English Heritage has published guidance on building recording, see *Understanding Historic Buildings: a guide to good recording practice* (2006). Local authority archaeological advisers may have additional, locally specific guidance.

133. In many cases of more minor loss where there is no archaeological interest, appropriate recording may amount to no more than deposition of the plans showing the alteration with the HER.

Content of a written scheme of investigation

134. Where a written scheme of investigation is to be provided, it may include the following. Advice on what is proportionate and appropriate in any given case can be sought from the local planning authority's historic environment advisers.

Background information and context

This information could be extracted from the application documents.

1. A summary of the planning background and the reason for the project, including any relevant planning conditions or obligations.

2. A summary of information from existing sources and of the results of any pre-decision-making research and investigations.
3. A description of the asset or assets in question (focusing especially on those parts that will be altered, damaged or destroyed by the proposed change).
4. An assessment of the significance of the asset in its wider historical and geographical context (focusing especially on those parts of the asset that will be altered, damaged or destroyed by the proposed change).
5. A summary of how any loss of significance will be mitigated/provided for by the project.

Proposals for the investigation and publication of the results

6. A statement of the research questions which will guide the investigation and their relation to regional and national research frameworks.
7. Where appropriate, a statement of how the local community and other interested parties will be informed about and engage with the investigation.
8. Proposals for site investigation prior to works commencing (particularly for excavation) and/or investigation in co-ordination with site works, such as analysis of building fabric revealed as stripping-out or demolition is underway.
9. Proposals for assessment and analysis of the results, with proposals from the investigating expert for an appropriate level of publication and dissemination of the results dependent on what is found.
10. Proposals for the preparation and publication of a suitable report on the investigation, its results and the advancement in understanding that those results bring.
11. A statement of the methods to be adopted and an explanation of how these link to, and seek to fulfil, the research aims of the investigation.
12. Provision for the submission of a report to the HER summarising the investigation and how its results have been disseminated.
13. Provision for the deposition of the records of the investigation, including drawings, photographs, surveys, artefacts and samples, in an appropriate archive, museum or other depository. The Institute for Archaeologists publishes standards and guidance for the creation, compilation, transfer and deposition of archaeological archives. Advice is also available from the Museums, Libraries and Archives Council, the Museums Association and individual museums and archives.

Operational matters

14. The proposed resourcing of the investigation, excluding commercially sensitive information.
15. An indicative timetable for the completion of each of the stages of the investigation.

16. A statement of the experience and expertise of the investigating body and of the key members of staff who will be responsible for the investigation.
17. A commitment to complying with relevant professional standards, for example those set by the Institute of Archaeologists or the Institute of Historic Building Conservation, to ensure the quality and consistency of the results.
18. Consideration of any wildlife issues that may have implications for the investigation, such as the presence of protected species.

Reporting, publication and archiving

135. Policy HE12.3 requires the outcome of a written scheme of investigation to be published as a report detailing the findings of the investigation. To achieve this end:

1. The best means of publication to reach target audiences, dependent upon the nature of the findings, needs to be identified.
2. The written scheme will need to make provision for an appropriate form of publication once the investigation is complete.
3. For important sites, full publication will be required of all necessary detail to an appropriate and proportionate level in books and archaeological, architectural or historical journals. Other forms of dissemination, particularly through the web, may also be used.
4. The general structure, length and format of the report will be agreed beforehand.

136. Deposition of copies of reports and site summaries with the HER is vital in providing an evidence base that can be called on by applicants for future development and by planners when drawing up plans and making decisions.

137. Securing the archive of an investigation - which may include written records, measured drawings, photographs, artefacts, samples, and environmental evidence - will facilitate future research. New techniques may be developed that can be applied to old discoveries. Advances in science, such as DNA analysis, can throw a new light on the past. Compliance with HE12.3 requires the information gathered as a result of recording (e.g. archaeological excavation, building recording etc) to be preserved and made publicly accessible. Local planning authorities are advised to ensure that the compilation, deposition and appropriate conservation of the material, digital and documentary archive in a museum, or other publicly accessible repository willing and capable of preserving it, forms an integral part of any recording project.

Public engagement

138. Where appropriate and possible, local planning authorities and the developer are advised to consider the benefits of making the investigative works open to and interpreted for the public and to include that as part of the written scheme of

investigation. The understanding gained from investigations will be of interest and value to local communities, special interest groups, schools, and others. The results may contribute to a deeper sense of place and community identity. The process of investigation and recording, such as dismantling a building, or excavating a site, can be of public interest in its own right and the discovery of new knowledge and understanding about their locality's history is valued by local communities. Community groups may be able to help. Opportunities for public engagement could, for example, include providing viewing platforms and interpretation panels, open days, public talks and online forums as well as coverage in local media. Once analysed, the results and the knowledge gained may be communicated through displays, exhibitions and popular publications and might inform site design and public art.

Conditions and planning agreements

139. The key considerations for conditions and agreements are likely to be:

1. The importance of relating the requirements and obligations to a finalised written scheme of investigation.
2. The sequence of events for the investigation and recording, ensuring they take place at the right time in order to properly and confidently plan the development and reap the best results.
3. How to secure the quality of the final report, for example, by stipulating the particular expertise required.
4. Whether it is appropriate to require completion of some or all parts of the scheme by a condition precedent or a Section 106 planning agreement. For example a condition precedent may require that no development takes place or that the finished development may not be beneficially occupied until the written scheme of investigation is complete.

140. To secure effective implementation after the decision is made it will be important to finalise the content of the written scheme of investigation prior to determination. This will ensure that the developer is fully aware of the extent of the commitment before implementing the consent. A condition requiring implementation of a written scheme of investigation will be effective if it can be worded in the negative i.e. that no works pursuant to the consent are to be commenced or the development beneficially occupied before a relevant part or the whole of the written scheme of investigation is carried out (a 'condition precedent'). If part of the written scheme of investigation is likely to be completed after the development it may be more appropriate to require a planning obligation under a s106 Agreement. Further general guidance on the use of conditions and planning obligations is provided by CLG.

New discoveries during work

141. In the rare circumstances where, as a result of implementing a consent, a new asset is discovered or the significance of an existing asset is amplified in a way that

could not reasonably have been foreseen at the time of the application, the local planning authority is advised to work with the developer to seek a solution that protects the significance of the new discovery, so far as is practical, within the existing scheme. The importance of the discovery will have a bearing on the extent to which the local planning authority may wish to require modifications to the proposals. New evidence may require a local planning authority to consider reviewing its decision. English Heritage wishes to be informed if the discoveries are likely to merit designation. Discoveries of treasure or human remains will need to be reported in accordance with the relevant legislation. Developers may wish to incorporate the potential for unexpected discoveries into their risk-management strategies.

6. FURTHER GUIDANCE ON MAKING CHANGES TO HERITAGE ASSETS

142. This section illustrates the application of the policies set out in PPS5 in determining applications for planning permission, listed building and conservation area consent. The examples given are not a substitute for the process of understanding the particular significance of the affected assets and the impact upon that significance in each case. Each heritage asset and group of heritage assets has its own characteristics that are usually related to an original or subsequent function. These can include orientation, layout, plan-form, setting, materials, the disposition of openings, external detailing (with larger assets or groups of assets this might include street furniture) and internal fittings.

143. The limits imposed by the structure and features of the asset are an important consideration, as is an understanding of the significance of individual elements, derived both from the physical evidence and documentary sources.

144. There are various legal requirements that buildings have to comply with, such as Building Regulations and the Disability Discrimination Act. Sometimes the best means of conserving a heritage asset will seem to conflict with the requirements of such regimes. Local planning authorities are encouraged to consider imaginative ways of avoiding such conflict. Where conflict is unavoidable, such regimes generally allow for some flexibility so that a balance can be struck.

145. Where change is proposed to a heritage asset, it can usually be characterised as:

1. **Repair;**
2. **Restoration;**
3. **Addition and alteration**, either singly or in combination; and
4. **Works for research alone.**

146. The way of dealing with these types of intervention are considered for each of the following categories of heritage asset:

1. **Buildings and other structures;**
2. **Standing remains** including earthworks;
3. **Buried remains and marine sites**, including evidence of past environmental change, landscapes now submerged in rivers, estuaries and coastal areas to the low-water mark;
4. **Large heritage assets** including conservation areas, formal or informal landscapes at all scales, clusters of scheduled monuments and World Heritage Sites where the whole is greater than the sum of the parts.

Some heritage assets may fall into more than one category.

Repair

General points

147. With the exception of repairs to scheduled monuments, which will almost always need consent, minor repairs are unlikely to require planning permission or listed building consent (where relevant) if the works are carried out using the same materials and techniques and they do not affect the significance of the asset. The local planning authority will be able to advise.

148. Good conservation of heritage assets is founded on appropriate routine management and maintenance. Such an approach will minimise the need for larger repairs or other interventions and will usually represent the most economical way of sustaining an asset.

Buildings and other structures

149. Original materials normally only need to be replaced when they have failed in their structural purpose. Repairing by re-using materials to match the original in substance, texture, quality and colour, helps maintain authenticity, ensures the repair is technically and visually compatible, minimises the use of new resources and reduces waste. However, alternative approaches may be appropriate if it can be demonstrated that the technique will not cause long-term damage to the asset and results in less overall loss of original fabric and significance. An example may be the use of resin or steel reinforcements to stabilise structural timbers without loss of historic fabric. Repairs to a listed building may require consent. One would expect that the loss of historic fabric following repairs, and alteration, would be proportionate to the nature of the works.

150. Even when undertaking repair, care is needed to maintain the integrity of the asset. Some repair techniques, such as the use of cement-based mortars in place of softer lime, will affect the integrity of the existing building and cause permanent damage

to the historic fabric, as well as being visually unsympathetic. Repointing of historic mortar will normally leave the significance of the asset unaffected, provided the original mix and appearance is copied but care is often needed not to affect subtle changes in pointing. A change in the character of the pointing, or painting exposed surfaces including concrete, can be visually and physically damaging and is likely to require listed building consent, as may a change in external paint colour.

151. The removal of hard renders may cause more damage to the significance of the building than retention. In modern buildings cement render may be the original finish, and in such cases it is appropriate for it to be retained and matched when repaired. Features such as tool marks, carpenters' marks, smoke blackening, decorative painting, pargetting or sgraffito work are always damaged by sand-blasting and sometimes by painting or other cleaning, as is exposed timber. Such treatments are unlikely to be considered as repairs and would normally require listed building consent.

152. Doors and windows are frequently key to the significance of a building. Change is therefore advisable only where the original is beyond repair, it minimises the loss of historic fabric and matches the original in detail. Secondary glazing is usually more appropriate than double-glazing where the window itself is of significance. As with the building as a whole, it is more appropriate to deal with timber decay and similar threats by addressing the cause of the decay rather than treating the symptoms, but where remedial works are shown to be necessary, minimum interference to achieve reasonable long term stability is the most sustainable approach.

153. Even the most minor repairs can sometimes have an impact on the archaeological interest of a heritage asset and may reveal new information relating to the significance of that asset. The recording of evidence revealed by such works may therefore be appropriate.

Standing remains

154. Beyond routine maintenance, required repairs are unlikely to be more than the addition of visually unobtrusive elements to give longer term protection, such as rough-racking or the soft capping of walls with turf, or a shelter coat of limewash or lead flashings, that can mitigate the effects of weathering and be replaced relatively regularly without affecting the earlier elements.

Buried remains, including marine sites

155. Repairs may be required as part of a general management regime, but care will be needed to ensure that they do not cause damage to the significance of the asset (particularly its archaeological interest).

Large heritage assets

156. The general principles apply. Carefully planned and phased repair programmes may assist in the long-term management of such assets by spreading costs and reducing the chances of unexpected works becoming urgently necessary.

157. In respect of parks and gardens, repair will generally be part of ongoing management of the land. Maintenance is essential to conserve the original fabric in good order and to safeguard design intentions. Breaks in maintenance may lead to failure of elements and necessitate repairs or sometimes restoration. Accurate repair following decay is likely to be justified as a means of perpetuating the design if there is sufficient record of that design to inform the repair and if the elements (trees, plants or other parts of the fabric) and the techniques used are close and high quality matches to the original. For battlefields, which are generally managed agricultural land, repair is likely to take the form of small-scale interventions e.g. maintaining walls, hedges or fences.

Restoration

General points

158. Restoration of a listed building requires its alteration and is almost always likely to need listed building consent and may require planning permission. The local planning authority will be able to advise potential applicants.

159. Restoration may range from small-scale work to reinstate missing elements of decoration, such as the reinstatement of sections of ornamental plasterwork to a known design, to large schemes to restore the former appearance of buildings with the addition of major missing elements such as a missing wing. Previous repairs may be historically important, and may provide useful information about the structure of the building, as will the recording of any features revealed by the work. New work can be distinguished by discreet dating or other subtle means. Overt methods of distinction, such as tooling of stonework, setting back a new face from the old, or other similar techniques, are unlikely to be sympathetic.

160. Restoration is likely to be acceptable if:

1. The significance of the elements that would be restored decisively outweigh the significance of those that would be lost.
2. The work proposed is justified by compelling evidence of the evolution of the heritage asset, and is executed in accordance with that evidence.
3. The form in which the heritage asset currently exists is not the result of a historically-significant event.
4. The work proposed respects previous forms of the heritage asset.

5. No archaeological interest is lost if the restoration work could later be confused with the original fabric.
6. The maintenance implications of the proposed restoration are considered to be sustainable.

161. Restoration works are those that are intended to reveal or recover something of significance that has been eroded, obscured or previously removed. In some cases, restoration can thus be said to enhance significance. However, additions and changes in response to the changing needs of owners and occupants over time may themselves be a key part of the asset's significance.

162. In determining whether restoration is appropriate following catastrophic damage (e.g. from fire or flood) the practicability of restoration should be established by an assessment of remaining significance. Where the significance relates to a design concept or a particular event rather than held directly in the original fabric of the asset, restoration or replication is more likely to be acceptable.

Buildings

163. Restoration involving the stripping-off of later layers of work or abrasive cleaning is only likely to be acceptable where it can be shown that:

1. The later layers are not of significance in themselves.
2. They are damaging the original and other significant fabric.
3. By their removal there would be an enhancement to the significance of the building that outweighs the loss of the later addition.

164. Stripping off finishes such as plaster to expose rubble, brick or timber-framed walls never intended to be seen is likely to have an adverse effect on the building's significance through the loss of historic materials and original finishes and harm to the aesthetic. Where it is proposed to remove more modern coverings that are harmful to the significance or the integrity of the building, appropriate materials will need to be introduced to ensure an authentic and/or suitably detailed finish is achieved, for example using mock jointing, or lining out, where there is evidence of the original finish. If there is any doubt as to the authentic finish, it is better to create a simple finish rather than one with speculative decoration. Sometimes early framing or finishes were covered up because they were in a poor state and unacceptable loss of original fabric may result from works to make the earlier surface visually acceptable.

165. Replacement of one material by another, for example on roofs, may result in a loss of significance and will in those cases need clear justification. Therefore, while the replacement of an inappropriate and non-original material is likely to be easily justified, more justification will be needed for changes from one type of thatch, slate or tile to another. For thatch, for example, preserving the covering on multi-layered roofs,

particularly where the bottom layer is smoke-blackened, is likely to be necessary in order to maintain the historic and archaeological significance of the building. Only the top coat may need to be replaced. Following the type and form of thatch traditional to the region with local ways of detailing eaves, ridges and verges will sustain the building's significance. English Heritage has published specific guidance on thatching: *Thatch and Thatching: A Guidance Note* (English Heritage, 2000).

166. Many building types have much published information on appropriate restoration techniques. Timber-framed buildings, for example, have been well-researched and appropriate conservation approaches have been shown to work very well while minimising loss of original fabric and structural integrity. Secondary elements, such as the infilling of timber frames, are of value and their retention will maintain the integrity of the whole building. The reuse of original materials whenever possible will meet conservation and other sustainability objectives.

167. The legibility of names on war memorials is important and their re-cutting and/or re-painting in an appropriate manner are likely to be acceptable. For other inscriptions, conservation rather than restoration may be preferred, where the original script is significant.

168. If convincing evidence is available it may be appropriate to take opportunities to reinstate missing architectural details, such as balustrades and cornices or missing elements of a decorative scheme, using traditional methods and materials.

Standing remains

169. Restoration, as opposed to repair, may be appropriate where there is compelling evidence of the former state of the structure and demonstrable benefits to the significance of the standing remains would result. By weighing the merits against any harm caused, including to the archaeological interest, the acceptability of such an approach can be established.

170. The local planning authority will need to carefully balance the long-term benefits of bringing a ruined structure back into use with the impact on significance of the direct damage to the fabric that might result from restoration.

171. Restoration of elements to benefit the ongoing management and conservation of earthworks, such as infilling gaps in earth mounds, vegetation clearance or dealing with the effects of burrowing animals may be justified.

Buried remains including marine sites

172. Restoration of buried remains is unlikely to be acceptable. If the remains still form a structure (perhaps in the form of foundations), work to remove the soil overburden and expose the remains may be justified, but will need to be balanced against the likely

threat to the sustainability and archaeological interest of the asset. Leaving the site undisturbed is usually the preferred solution. Where the goal is to illustrate the past or educate, interpretation panels that illustrate the site's significance could provide a more appropriate solution.

173. For marine sites, repair and restoration for wreck structures are unlikely to form a significant part of their management, but stabilisation and erosion protection strategies may be appropriate to sustain their integrity and could be included in the Marine Plans that will be developed by the Marine Management Organisation under the Marine and Coastal Access Act (2009). Heritage Partnership Agreements may also be of assistance to ensure the long-term future of the site is understood and, so far as is practicable, managed in the best interest of its conservation.

Large assets

174. An inconsistency of approach to repair and restoration because of different ownership, spatially or over time, or in methods and techniques may result in a loss of significance by obscuring the historic or aesthetic connection between elements within the asset and affect the evidential value of the asset as a whole. It may be possible to achieve consistency through a heritage partnership agreement.

175. The spaces between the buildings within an area asset may be important and may be consciously designed (such as a town square); have developed over a period of time (such as parkland surrounding a country house); or, be the space between similar assets with some other link, such as a variety of earthworks on downland. Restoration of individual elements within a group of assets is more likely to enhance the group if the effect on the other assets has been considered from the outset. Restoration of a designed space is more likely to meet the PPS criteria, especially where there is public benefit, for example in the re-creation of the historic street pattern, including widths of streets and plots and heights of buildings and storeys, following the removal of a later development that was unsympathetic to the urban grain. The case for restoration will be stronger where it can be shown that the restoration improves the appreciation of the space and the settings of the assets that are linked to it.

176. Restoration may be acceptable in historic parks and gardens where the original design has been obscured despite regular maintenance, and where it is possible to establish the original design through research and investigative work, and the work does not diminish the significance of the asset.

177. The significance of historic battlefields will usually result from evidential and associative value that depends on the ability to appreciate the location, topography and setting of the site. Restoration may involve removing later additions and features, or reinstating known earlier features. The sensitivity of any archaeological interest in the site will be important when considering whether any restoration is appropriate.

Addition and alteration

General points

178. The main issues to consider in proposals for additions to heritage assets, including new development in conservation areas, are proportion, height, massing, bulk, use of materials, use, relationship with adjacent assets, alignment and treatment of setting. Replicating a particular style may be less important, though there are circumstances when it may be appropriate. It would not normally be acceptable for new work to dominate the original asset or its setting in either scale, material or as a result of its siting. **Assessment of an asset's significance and its relationship to its setting will usually suggest the forms of extension that might be appropriate.**

179. The fabric will always be an important part of the asset's significance. Retention of as much historic fabric as possible is therefore a fundamental part of any good alteration or conversion, together with the use of appropriate materials and methods of repair. It is not appropriate to sacrifice old work simply to accommodate the new.

180. The junction between new work and the existing fabric needs particular attention, both for its impact on the significance of the existing asset and the impact on the contribution of its setting. Where possible it is preferable for new work to be reversible, so that changes can be undone without harm to historic fabric. However, reversibility alone does not justify alteration. If alteration is justified on other grounds then reversible alteration is preferable to non-reversible. New openings need to be considered in the context of the architectural and historic significance of that part of the asset. Where new work or additions make elements with significance redundant, such as doors or decorative features, there is likely to be less impact on the asset's aesthetic, historic or evidential value if they are left in place.

Buildings and structures

181. When a building is adapted for new uses, its form as well as its external and internal features may impose constraints. Some degree of compromise in use may assist in retaining significance. For example, headroom may be restricted and daylight levels may be lower than usually expected.

182. The plan form of a building is frequently one of its most important characteristics and internal partitions, staircases (whether decorated or plain, principal or secondary) and other features are likely to form part of its significance. Indeed they may be its most significant feature. Proposals to remove or modify internal arrangements, including the insertion of new openings or extension underground, will be subject to the same considerations of impact on significance (particularly architectural interest) as for externally visible alterations.

183. The sub-division of buildings, such as threshing barns and churches, that are significant for their open interiors, impressive proportions and long sight lines, may have a considerable impact on significance. In these circumstances the use of pods or other design devices that allow the entirety of the space to be read may be appropriate.

184. The introduction of new floors into a building or removal of historic floors and ceilings may have a considerable impact on an asset's significance. Certain asset types, such as large industrial buildings, are generally more capable of accepting such changes without unacceptable loss of significance

185. The insertion of new elements such as doors and windows, (including dormers and roof lights to bring roof spaces into more intensive use) is quite likely to adversely affect the building's significance. Harm might be avoided if roof lights are located on less prominent roof slopes. New elements may be more acceptable if account is taken of the character of the building, the roofline and significant fabric. Rooflights may be more appropriate in agricultural and industrial buildings than dormers. In some circumstances the unbroken line of a roof may be an important contributor to its significance.

186. New features added to a building are less likely to have an impact on the significance if they follow the character of the building. Thus in a barn conversion new doors and windows are more likely to be acceptable if they are agricultural rather than domestic in character, with the relationship of new glazing to the wall plane reflecting that of the existing and, where large door openings are to be glazed, with the former doors retained or replicated so that they can be closed.

187. Small-scale features, inside and out, such as historic painting schemes, ornamental plasterwork, carpenters' and masons' marks, chimney breasts and stacks, inscriptions and signs, will frequently contribute strongly to a building's significance and removing or obscuring them is likely to affect the asset's significance.

188. Extant flooring materials will often be of interest in themselves. Additional care is needed on lower floors to ensure that archaeological interest below the finished surface is not adversely affected by proposed works.

189. Although some works of up-grading, such as new kitchens and bathroom units, are unlikely to need consent, new services, both internal and external can have a considerable, and often cumulative, effect on the appearance of a building and can affect significance. The impact of necessary services can be minimised by avoiding damage to decorative features by carefully routeing and finishing and by use of materials appropriate to the relevant period, such as cast iron for gutters and down-pipes for many Georgian and Victorian buildings.

190. Removal of, and change to, historic shopfronts may damage the significance of both the building and the wider conservation area, as may the introduction of new shopfronts to historic buildings where there are none at present. All elements of new

shopfronts (stall-risers, glazing, doors, fascias etc.) may affect the significance of the building it is located in and the wider street setting. External steel roller shutters are unlikely to be suitable for historic shopfronts. Laminated glass and internal chain-link screens are likely to be more appropriate alternatives in most instances.

191. Where the proposal involves a change of use, particularly to single or multiple residential units, local planning authorities may consider that the impact on the building and its setting of potential future permitted development, such as conservatories, garden sheds and other structures associated with residential use, make the change of use proposal unacceptable in principle. Conditions preventing or limiting such future permitted development may make the change of use proposal acceptable.

192. Buildings will often have an important established and historic relationship with the landscaping that exists or used to exist around them. Proposals to alter or renew the landscaping are more likely to be acceptable if the design is based on a sound and well-researched understanding of the building's relationship with its setting, both now and in the past.

Standing remains and buried remains including marine sites

193. New work and alterations are likely to be rare. There may be cases where a new structure enables the long-term care of the original asset or its interpretation and conservation, or where alterations may assist the long-term conservation of the asset. Works other than those of a minor nature are likely to be acceptable only where they would be in the best long-term interests of the conservation of the remains, or, there are other important planning justifications. Any additions or alterations to marine sites or sites affecting the marine area must be made in accordance with the Marine Policy Statement and relevant Marine Plan.

Large assets

194. The same principles will apply, where appropriate, as those set out for buildings, standing remains, buried remains, marine sites and landscapes. The retention and restoration of surfacing and street furniture sometimes makes a very positive contribution to the character and appearance of a conservation area. Quality of place can be enhanced where opportunities are taken for the re-introduction of missing elements in adjacent areas, if there is historical evidence for them. The local tradition in scale, texture, colour and laying patterns will inform appropriate new paving, with the traditional relationship between footways and carriageways retained.

195. The varying degrees of sensitivity to change within landscapes can normally be identified and incorporated into alterations and additions in ways that will enhance the asset's significance. Some landscapes will be so sensitive that the degree of alteration or addition possible without loss of significance may be very limited, particularly where there is a consistently high level of archaeological interest or architectural consistency.

Works for research alone

196. A research investigation involving intrusive works to an asset requiring permission or consent may be proposed as a stand-alone project and not merely as an exercise in investigating an asset that will be lost or altered for other reasons. It may be justified if there will be a public benefit gained if the investigation results in an increased understanding of our past and this will be maximised if it is well planned, executed and the results properly publicised and disseminated. Guidance on how to secure the best results from an investigation is set out above. For further information see *Understanding Historic Buildings: Policy and Guidance for Local Planning Authorities*, English Heritage (2008).

197. Any intrusive investigation may reduce the significance of an asset and impair the available resource for future archaeological investigation. It may also affect the historic and aesthetic values of the asset. Factors worthy of consideration when looking at the balance of the public benefit from the investigation and that loss of significance include:

1. whether at least part of the investigation can be achieved using non-destructive techniques;
2. whether the understanding sought could be found elsewhere, perhaps from another site where destruction is inevitable;
3. the likelihood of the investigation yielding critical evidence to our understanding of the past; and,
4. the predicted rate of environmental decay of the asset.

Metal-detecting on a scheduled monument for any reason requires a licence and intrusive investigation for research purposes will require scheduled monument consent. Further guidance is published by DCMS and advice can be sought from English Heritage.

Annex 1

Further sources of evidence for understanding significance

Listed below is a selection of sources of information that may be a useful starting point for local planning authorities, developers and other stakeholders with an interest in planning for the historic environment:

General information, national and regional data sets:

1. Heritage Counts is the annual review of the state of the historic environment in England published by English Heritage: www.heritagecounts.org.uk
2. The National Monuments Record Centre, Swindon, houses the national archive of England's heritage: www.pastscape.org.uk and www.english-heritage.org.uk
3. National Mapping Programme undertakes analysis and mapping of archaeological information on aerial photographs across England: www.english-heritage.org.uk
4. The Images of England archive comprises more than 240,000 photographs of listed buildings alongside the statutory list description: www.imagesofengland.org.uk
5. The Heritage Gateway is a portal that provides cross-searchable online access to records of designated heritage assets, local HERs and many other sources of historic information: www.heritagegateway.org.uk
6. Set up by English Heritage, the Historic Environment Local Management (HELM) website provides accessible information, training and guidance to decision makers in local authorities, regional agencies and national organisations whose actions affect the historic environment: www.helm.org.uk
7. MAGIC is a web-based interactive map that brings together information on key environmental schemes and designations. MAGIC website: www.magic.gov.uk
8. Listed Buildings Online is the Lists of Buildings of special architectural and historic interest online: www.english-heritage.org.uk

9. English Heritage's Heritage at Risk records and the annual Heritage at Risk register details heritage assets facing the greatest pressures and threats: www.english-heritage.org.uk
10. Countryside Quality Counts project provides a systematic assessment of how the countryside is changing: <http://www.countryside-quality-counts.org.uk>
11. The Taking Part Survey collects data about engagement and non-engagement in culture, leisure and sport: www.culture.gov.uk
12. The Portable Antiquities Scheme is a voluntary scheme to record archaeological objects found by members of the public in England and Wales: www.finds.org.uk
13. The Joint Committee of National Amenity Societies brings together key voluntary sector organisations established with the express purpose of preserving the art and architecture of past centuries and promoting the appreciation of such buildings and the cultures that produced them: www.jcnas.org.uk
14. National special interest databases, e.g. the UK National Inventory of War Memorials www.ukniwm.org.uk
15. The Land Registry registers title to land and records dealings (for example, sales and mortgages) with registered land: www.landregistry.org.uk
16. English Heritage provides advice on historic landscape characterisation and other forms of landscape and area assessment, for example conservation area appraisals: www.english-heritage.org.uk
17. The Archaeological Data Service (ADS) provides a gateway to a range of historic environment information sources e.g. the HEIRNET register of Historic Environment Information Resources: <http://ads.ahds.ac.uk>

Regional / county / local data sets:

Local authority resources

18. Local authorities offer a wide variety of relevant sources of data for assessing significance, including: Historic Environment Records; county/unitary historic landscape characterisation studies; extensive and intensive urban surveys; Heritage at Risk registers, including the Buildings at Risk register for Grade II listed buildings and buildings of local historic/architectural interest; details of conservation areas along with relevant appraisals and management plans; data

from other local characterisation initiatives and area assessments; local lists of buildings, parks and gardens, and other heritage assets; and the records of local archives and libraries.

Third sector and other local resources

19. Local groups and organisations can be a very useful source of information. Local museums (including their catalogues); heritage centres; local history and archaeology societies, such as the Greater London Industrial Archaeological Society www.glias.org.uk; local special interest groups; and civic amenity societies can all be potential sources of data for the assessment of significance.

If you would like this document in a different format, please contact
our Customer Services department:
Telephone: 0870 333 1181
Fax: 01793 414926
Textphone: 01793 414878
E-mail: customers@english-heritage.org.uk