

National and Local Checklist Guidance for Applications for Listed Building Consent

All applications must be accompanied by two copies unless submitted electronically, together with the appropriate fee. All submitted plans must incorporate a drawing number and title (revised plans submitted must include suffixes and specify the nature of the revision).

This note is for guidance only and the Council welcomes pre-application discussions, particularly for more complicated applications, to help ensure that the right information is submitted.

National Requirements

1. Application Form

The completed application form should be signed and dated including a clear and concise description of the proposed development. Only one Certificate of Ownership should be signed. A signature is not required on electronic submissions.

Guidance - Certificate of Ownership

Certificate A - If you are the sole owner of all the land relating to the application sign and date Certificate A. (If the foundations of the proposal encroach onto and/or the gutters overhang your neighbours land this Certificate should not be used and Certificate B should be completed instead).

Certificate B - If the applicant does not own the entire site and the owner of the part of the site is known

Certificate C or D - If not all or any of the owners of the site are known.

2. Site Location Plan

This is to enable the Local Planning Authority, consultees and the public to identify the property. The site location plan (ordnance survey based) drawn typically at a scale of 1:1250 or 1:2500 but wherever possible the plan should be scaled to fit onto A4 or A3 size paper. Plans should identify sufficient roads and/or buildings on land adjoining the application site to ensure that the exact location of the application site is clear.

The application site must be edged clearly with a red line (the red line should include all land necessary to carry out the proposed development, for example, land required for access to the site from a public highway, visibility splays, landscaping, car parking and open areas around buildings). A blue line must be drawn around any other land owned by the applicant.

We will accept any location plans downloaded from the Planning Portal website www.planningportal.gov.uk and plans can also be obtained from Penrith Library.

3. Block Plan

The block plan must be drawn at an identified standard metric scale (preferably at 1:200 or 1:500) and must accurately show:

- The direction of North
- The proposed development in relation to the site boundaries and other existing buildings on the site

The following must also be provided, unless these would **not** influence or be affected by the proposed development:

- All the buildings, roads and footpaths on land adjoining the site including access arrangements
- The position of all trees on the site, and those on adjacent land
- The extent and type of any hard surfacing
- Boundary treatment including walls or fencing where proposed
- The number of existing and proposed car parking spaces
- All public rights of way crossing or adjoining the site

4. Existing and Proposed Elevations

We require existing and proposed elevation plans for all elevations which will be visually altered as part of the development. These should be drawn to a scale of 1:50 or 1:100 and show clearly the proposed works in relation to what is already there. All sides of the proposal must be shown and these should indicate, where possible, the proposed building materials together with the style, materials and finish of windows and doors.

5. Existing and Proposed Floor Plans

We require existing and proposed floor plans for each floor if the proposed development directly links to that floor, and for roof extensions a plan of the existing floor below will be required. These should be drawn at a scale of 1:50 or 1:100, and show clearly the proposed works in relation to what is already there. All rooms must be clearly annotated for both existing and proposed floor plans.

6. Existing and Proposed Site Levels and Section Drawings

We require existing and proposed site levels and section drawings where a proposal involves a change in ground level(s). These should be drawn at a scale of 1:50 or 1:100 showing a cross section(s) through the proposed building(s).

On sloping sites, full information is required concerning alterations to levels, the way in which a proposal sits within the site and, in particular, the levels between existing and proposed buildings. The drawings may take the form of contours, spot levels, or be cross or long sections as appropriate.

7. Design and Access Statement

A Design and Access Statement is required for all major development and applications for listed building consent. If the site is located within a Conservation Area or World

Heritage Site, a Design and Access Statement will be required for the following development:

- Residential Development (1 or more dwellings)
- Extension to an existing building exceeding 100m²
- Erection of a new building exceeding 100m².

Further guidance can be found in our Design and Access Statement Guidance Note.

Appendix 1 - Design and Access Statement Guidance Note

Local Requirements

9. Heritage Asset Statement

A Heritage Asset Statement is required for all applications affecting a Heritage Asset. Heritage Assets include designated assets such as Listed Buildings, Conservation Areas, Scheduled Ancient Monuments, Historic Parks, Gardens and Battlefields, as well as those non-designated heritage assets of local architectural, historic, archaeological or artistic significance identified by the Local Authority in any local list of urban and rural sites or buildings which form part of the area's locally distinctive character.

A Heritage Asset Statement should contain a Statement of Significance and an Impact Assessment. The Statement of Significance must contain a description of the significance of all of the particular parts of the asset that will be affected by the proposal, along with, where relevant, an assessment of the contribution that the setting of the asset makes to that significance. The Impact Assessment should identify the affect that your proposals will have on the significance of the asset.

Appendix 2 - Guidance on Heritage Asset Statements

10. Structural Survey/Method Statement

A Structural Survey will be required for applications which involve the substantial demolition, structural alteration or conversion of heritage assets. A Structural Survey will also be required for the conversion of barns in open countryside for housing or employment uses.

The survey should be produced by a registered structural engineer or other qualified person.

11. Archaeological Evaluation and Impact Statement

An Archaeological Evaluation and Impact Statement will be required if an application is likely to affect a site of historical or archaeological importance.

An assessment should include existing information about the site and supporting information may include plans showing historic features that may exist on or adjacent to the application site including listed buildings and structures, historic parks and gardens, and historic battlefields.

Appendix 1 - Guidance Note - Design and Access Statements

When is a Design and Access Statement Required?

A Design and Access Statement is required for all major development and applications for listed building consent. If the site is located within a Conservation Area or World Heritage Site, a Design and Access Statement will be required for the following development:

- Residential Development (1 or more dwellings)
- Extension to an existing building exceeding 100m²
- Erection of a new building exceeding 100m².

What is a Design and Access Statement?

A design and access statement should explain the design thinking behind a planning application and include a written description and justification of the application. It should show the applicant has thought carefully about how everyone, including disabled people, older people and very young children will be able to use the places they want to build. Photos, maps and drawings can be included and may enhance the statement, the statement should not be overly complicated and avoid jargon or overly technical language, it will be available for everyone to see along with the rest of the application. The statement should not be too long, the length should be determined by the complexity of the application, for small applications only a paragraph may be required, larger developments will need a more in-depth statement.

Why is a statement required?

The purpose of the statement is to explain and justify the design and assess principles and concepts on which a development proposal is based, and how these will be reflected in individual aspects of the scheme.

The legislation requires that the statement must provide information about:

- the design principles and concepts that have been applied to the development; and
- how issues relating to access to the development have been dealt with.

What to include in the statement

The statement should cover both the design principle and concepts that have been applied to the proposed development and how issues relating to access to the development have been dealt with.

There are five main points to consider, explain and justify for the development:

- Amount - for residential development this is the number of proposed units, for other applications this means the floor space for each proposed use.
- Layout - the way in which buildings, routes and open spaces (both private and public) are provided, placed and orientated to each other and buildings surrounding the development.

- Scale - the height, width and length of a building in relation to its surroundings.
- Landscaping - the treatment of private and public spaces to enhance or protect the amenities of the site and the area in which it is situated through hard and soft landscaping measures. Statements should also explain how landscaping will be maintained.
- Appearance - the aspect of the place or building that determines the visual impression it makes, including the external build form of the development, its architecture, materials, decoration, lighting, colour and texture.

The statement needs to include two potential aspects of access:

- Vehicular and transport links - why the access points and routes have been chosen, and how the site responds to road layout and public transport provision
- Inclusive access - how everyone can get to and move through the place on equal terms regardless of age, disability, ethnicity or social grouping.

If a planning application is being submitted in parallel with an application for listed building consent, a single, combined statement should address the requirements for both. The combined statement should address the elements required in relation to a planning application in the normal way and the additional requirements in relation to listed building consent.

Appendix 2 - Guidance Note - Heritage Asset Statements

Heritage Asset Statements are required when the proposed development might affect an archaeological site or historic building. The requirement for Heritage Statements is included in the National Planning Policy Framework (the NPPF).

The NPPF sets out planning policies on the conservation of the historic environment.

Paragraph 128 of the National Planning Policy Framework states that:

“In determining applications, local planning authorities should require an applicant to describe the significance of any heritage assets affected, including any contribution made by their setting. The level of detail should be proportionate to the assets’ importance and no more than is sufficient to understand the potential impact of the proposal on their significance. As a minimum the relevant historic environment record should have been consulted and the heritage assets assessed using appropriate expertise where necessary. Where a site on which development is proposed includes or has the potential to include heritage assets with archaeological interest, local planning authorities should require developers to submit an appropriate desk-based assessment and, where necessary, a field evaluation.”

To meet the requirements of national planning policy we will expect applications affecting heritage assets to be accompanied by a heritage statement before we will consider the application.

When is a Heritage Asset Statement required?

To ensure the requirements of the NPPF are met, we will require that a Heritage Statement is submitted **before** we validate applications the following types of application:

- Applications for listed building consent
- Applications within the curtilage of a listed building
- Applications in Conservation Areas (including planning applications)
- Applications affecting Scheduled Ancient Monuments²
- Applications affecting a Registered Park or Garden of Special Historic Interest;
- Applications affecting an archaeological site.
- Applications affecting unlisted buildings or structures identified as heritage assets.

What are Heritage Asset Statements?

A Heritage Asset Statement outlines the significance of a heritage asset and the likely impact of proposed development upon that significance. Heritage assets are buildings, monuments, sites, places, areas or landscapes that are positively identified as having a degree of significance meriting consideration in planning applications. They are the valued components of the historic environment and include:

- Designated assets (ie Scheduled Monuments, Listed Buildings, Registered Parks and Gardens of special historic interest, Conservation Areas);
- Non-designated assets (eg archaeological sites)

What information is required?

The scope and degree of detail which is required in a Heritage Statement will vary according to the particular circumstances of each proposal. The statement should be proportionate to the situation. For example, a major scheme which affects one or more significant heritage asset will probably require an extensive and professionally produced heritage statement. A small-scale scheme which has only limited impacts meanwhile will probably only need a very short statement. There are however a number of basics which all Heritage Statements will need to cover.

A Heritage Statement should always have three parts:

1. **Assessment of Heritage Significance** - an assessment of the significance of the heritage asset or assets which may be affected by proposed development, including their setting. (Significance is defined as the value of a heritage asset to this and future generations because of its heritage interest. That interest may be archaeological, architectural, artistic or historic).
2. **Assessment of impact** - an assessment of the likely impact of the proposed development on the heritage asset(s) and their setting.
3. **Mitigation strategy** - a statement outlining a mitigation strategy to address any impacts of the proposed development on the significance of the heritage asset. This might include modification of methods, materials or design and/or archaeological or architectural investigation and recording.

Useful sources of information

There are a wide range of resources and further sources of information available to help you write your heritage statement:

- The National Heritage List for England provides details of: Listed Buildings; Scheduled Monuments; Protected Wreck Sites; Registered Parks and Gardens; Registered Battlefields; World Heritage Sites; Applications for Certificates of Immunity (COIs); Current Building Preservation Notices (BPNs)
<http://list.english-heritage.org.uk/>
- Conservation Area Appraisals and Management Plans - we have detailed appraisals for some of our Conservation Areas. The Appraisals identify which buildings within a conservation area make a positive as trees, landmarks, important views and the character of public and private open spaces. They can be downloaded from our website
<http://www.eden.gov.uk/planning-and-development/planning-policy-for-eden/conservation/conservation-areas/>
- MAGIC is an interactive map service which brings together environmental information from across government. It includes information on Scheduled Monuments and many other types of designation
<http://magic.defra.gov.uk/>
- Early maps, including Ordnance Survey 1st and 2nd Edition can be consulted at the relevant County Record Offices
Small extracts can also be viewed at www.old-maps.co.uk

- The HELM website, managed by English Heritage, is a good source of information on planning and the historic environment
www.helm.org.uk/
- Understanding Historic Buildings: Policy and Guidance for Local Planning Authorities (English Heritage, 2008)
<http://www.helm.org.uk/upload/pdf/Understanding-historic.pdf?1296215708>
- Conservation Principles. Policy and Guidance for the sustainable management of the Historic Environment. (English Heritage, 2008)
http://www.helm.org.uk/upload/pdf/Conservation_Principles_Policies_and_Guidance_April08_Web.pdf?1296645421
- Climate Change and Your Home - information on climate change and guidance on its impact on traditional buildings is available at:
<http://www.climatechangeandyourhome.org.uk/live/>
- National Amenity Societies such as the Society for the Protection of Ancient Buildings (SPAB), The Georgian Group, The Victorian Society and The Twentieth Century Society publish extensive material on their websites and in books and journals
- Informed Conservation by K Clark. English Heritage. 2001. Detailed Guidance on understanding and recording the historic environment
- Images of England website for details and images of listed buildings
<http://www.imagesofengland.org.uk/>
- British Listed Buildings website for details of listed buildings
<http://www.britishlistedbuildings.co.uk/>

Please be aware that this list is by no means exhaustive, and that other sources of useful information may exist. This list of information sources will be added to as the Authority becomes aware of other relevant texts.