



## **National and Local Checklist Guidance for Applications for Works or Extension to a Dwelling**

All applications must be accompanied by 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 and Agricultural Land Declaration should be signed. A signature is not required on electronic submissions.

##### **Guidance - Certificate of Ownership and Agricultural Land Declaration**

**Certificate A** - If you are the sole owner of all the land relating to the application and none of the land to which the application relates is, or is part of, an agricultural holding 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 or if you are the sole owner of all the land but the land is part of an agricultural holding.

**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](http://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.

## **Local Requirements**

### **7. Flood Risk Assessment**

A Flood Risk Assessment will be required for all proposed development on sites of 1ha or greater in Flood Zone 1, all proposals for new development in Flood Zones 2, 3 and other areas of known localised flooding.

### **8. Foul and Surface Water Drainage Assessment**

A Foul Sewage Assessment will be required in the event that either an existing or proposed non-mains system is to be used. In the event that a non-mains system is proposed a drainage specialist or surveyor with appropriate indemnity insurance should carry out an assessment. The submission of the assessment of the non-mains system is required in all cases prior to the validation of the application.

### **9. Protected Species**

A survey and assessment may be required, please see the criteria in Appendix 3. If a survey is required it should be undertaken by a person holding a relevant qualification/certification.

Appendix 1 - Protected Species Survey Requirements

### **10. Arboricultural (Tree) Survey**

A Tree Survey will be required if there are trees or hedges on the proposed development site and/or on land adjacent to the development site that could influence the development or might be important as part of the local landscape character.

An Arboricultural Method Statement and a Tree Protection Plan in accordance with BS5837:2005 must be submitted for the ground based works within the root protection area of a significant tree. The Root Protection Area and Construction Exclusion Zone must be plotted on a plan and submitted along with the details of the barriers proposed in accordance with BS5837:2005.

### **11. 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

## **12. 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.

## **13. Coal Mining Risk Assessment**

Development relating to areas of potential risk from past mining will require the submission of a Coal Mining Risk Assessment.

- A Coal Mining Risk Assessment should include the following information:
- A summary of the mining information relevant to the application site (including past/present/future underground mining, shallow coal working, mine entries (shafts or adits), mine gas within an area which has a licence to extract coal, geological features, any recorded surface hazards, or within a former or present surface mining (old open cast);
- Identify what risks these coal mining issues, including cumulative effects, pose to the proposed development;
- Identify how coal mining issues have influenced the proposed development and whether any other mitigation measures are required to manage those issues and whether any changes have been incorporated into the development;
- Any development that involves intrusive activities which intersect, disturb or enter coal seams, coal mine workings or mine entries will require the prior written permission of the Coal Authority.

A Coal Mining Risk Assessment should be prepared by a suitably qualified and competent person.

## Appendix 1 - Protected Species Survey

Proposals for Development that will Trigger a Protected Species Survey	Bats	Barn Owls	Breeding Birds	Great Crested Newts	Otters	Dormouse	Red Squirrel	Water Vole	Badger	Reptiles	Amphibians	Plants
Proposed development which includes the modification, conversion, demolition or removal of buildings and structures involving the following: <ul style="list-style-type: none"> <li>All agricultural buildings particularly of brick or stone construction and/or with exposed wooden beams greater than 20cm thick;</li> <li>All buildings within 200m of woodland and/or water;</li> <li>Pre-1914 buildings within 400m of woodland and/or water;</li> <li>Pre-1914 buildings regardless of location with gable ends or slate roofs;</li> <li>All tunnels, mines, kilns, ice-houses, adits, military fortifications, air raid shelters, cellars and similar underground ducts and structures;</li> <li>All bridge structures, aqueducts and viaducts</li> </ul>	✓	✓	✓									
	✓											
	✓											
	✓											
	✓											
Proposals involving lighting of churches and listed buildings or flood lighting of green space with 50m of woodland, water, field hedgerows or lines of trees with obvious connectivity to woodland or water.	✓	✓	✓									
Proposals affecting woodland, or field hedgerows and/or lines of trees with obvious connectivity to woodland or water bodies.	✓		✓			✓	✓		✓			✓

<b>Proposals for Development that will Trigger a Protected Species Survey</b>	<b>Bats</b>	<b>Barn Owls</b>	<b>Breeding Birds</b>	<b>Great Crested Newts</b>	<b>Otters</b>	<b>Dormouse</b>	<b>Red Squirrel</b>	<b>Water Vole</b>	<b>Badger</b>	<b>Reptiles</b>	<b>Amphibians</b>	<b>Plants</b>
Proposed tree work (felling or lopping) and/or development affecting: <ul style="list-style-type: none"> <li>• Old and veteran trees that are older than 100 years;</li> <li>• Trees with obvious holes, cracks or cavities;</li> <li>• Trees with a girth greater than 1m at chest height.</li> </ul>	✓		✓									
	✓		✓									
	✓		✓									
Proposals affecting gravel pits or quarries and natural cliff faces and rock outcrops with crevices, caves or swallets.	✓		✓							✓		
Major proposals within 500*m of a pond or minor proposals within 100*m of a pond.				✓								
Proposals affecting or within 200*m of rivers, streams, canals, lakes or other aquatic habitats.	✓		✓		✓			✓			✓	✓
Proposals affecting 'derelict' land (brownfield sites), allotments and railway land.			✓	✓					✓	✓	✓	
Proposals affecting any buildings, structures features or locations where protected species are known to be present **	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

\*Distances may be amended to suit local circumstance on the advice of the Local Natural England team/or Local Biodiversity Partnership.

\*\*Confirmed as present because known to the owner or occupier, by either data search (for instance via local environmental records centre) or as notified to the developer by the local planning authority, and/or Natural England, the Environment Agency or other nature conservation organisation.

## **Exceptions for when a Species Survey and Assessment may not be required**

- a. Following consultation by the applicant at the pre-application stage, the LPA has stated in writing that no protected species surveys and assessments are required.
- b. If it is clear that no protected species are present, despite the guidance in the above table indicating that they are likely, the applicant should provide evidence with the planning application to demonstrate that such species are absent (e.g. this might be in the form of a letter or brief report from a suitably qualified and experienced person, or a relevant local nature conservation organisation).
- c. If it is clear that the development proposal will not affect any protected species present, then only limited information needs to be submitted. This information should, however (i) demonstrate that there will be no significant affect on any protected species present and (ii) include a statement acknowledging that the applicant is aware that it is a criminal offence to disturb or harm protected species should they subsequently be found or disturbed.

In some situations, it may be appropriate for an applicant to provide a protected species survey and report for only one or a few of the species shown in the table above e.g. those that are likely to be affected by a particular activity. Applicants should make clear which species are included in the report and which are not because exceptions apply.

## **Appendix 2 - Heritage Asset Statement Guidance Note**

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 Monuments<sup>2</sup>
- 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).  
<https://www.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.  
<https://www.eden.gov.uk/planning-and-building/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](http://www.old-maps.co.uk)

- The HELM website, managed by English Heritage, is a good source of information on planning and the historic environment.
- Understanding Historic Buildings: Policy and Guidance for Local Planning Authorities (English Heritage, 2008)  
<https://historicengland.org.uk/images-books/publications/understanding-historic-buildings/heag099-understanding-historic-buildings/>
- Conservation Principles. Policy and Guidance for the sustainable management of the Historic Environment. (English Heritage, 2008)  
<https://historicengland.org.uk/advice/constructive-conservation/conservation-principles/>
- Climate Change and Your Home - information on climate change and guidance on its impact on traditional buildings is available at:  
<https://www.climatechangeandyourhome.org.uk/>
- 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.