

# National and Local Checklist Guidance for Applications for Listed Building Consent for Alterations, Extension or Demolition of a Listed Building – March 2017



## Introduction

This document is for use by applicants and agents when submitting applications for listed building consent.

**Part 1** sets out the mandatory national information requirements that are required in order to validate an application.

**Part 2** sets out additional information (the “Local List”) that Carlisle City Council require for listed building applications in order to validate an application. This has been compiled in accordance with Department for Communities and Local Government document “Guidance on Information Requirements and Validation”. It also reflects the adopted development plan policies set out in the Carlisle District Local Plan 2015-2030 and the National Planning Policy Framework.

**Appendix A** contains guidance on the information requirements for Heritage Statements

We have separate planning validation guidance for full and householder applications.

## The Validation Process

When a valid application is received an acknowledgement letter and payment receipt will be sent to the applicant or agent (if applicable). This will normally be sent by email, where an email address is given and electronic payment has been made, or by 2nd Class post otherwise. We aim to do this within 5 days of receiving an application.

If an applicant/agent does not submit an application in accordance with national and locally adopted requirements we will declare the application invalid and specify the information required.

We will communicate by email, where an email address is given, or by 2nd Class post otherwise. We will aim to do this within 5 days of receiving an application.

The Council welcomes pre-application discussions, particularly for more complicated applications, to help ensure that the right information is submitted.

## Appeal Against Validation Requirements

If you do not agree that information requested is necessary you may appeal against non-validation.

The Town and Country Planning (Development Management Procedure) Order 2015 sets out the procedure to be followed in relation to validation disputes.

## Submission of Applications

All applications must be accompanied by 2 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).

Although not a requirement of legislation, the inclusion of a linear scale bar is also useful, particularly in the case of electronic submissions.

Each drawing for electronic submissions must show the scale and print size (for example 1:50 @ A3). Unnecessary colour should not be used to minimise the file size and conserve download speed. Colour on site location plans (red and blue) is however essential.

The City Council encourages applications to be submitted via the planning portal.

# Part 1 – Mandatory National Requirements

## 1. Application Form

### When Required?

In all cases.

### What is Required?

The completed application form including the relevant certificate of ownership and declaration signed and dated

## 2. Site Location Plan

### When Required?

In all cases.

### What is Required?

- Site location plan typically drawn at a scale of 1:1250 or 1:2500 but wherever possible the plan should be scaled to fit onto A4/A3 paper.

- The plan 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.

### 3. Block Plan

#### When Required?

In all cases.

#### What is Required?

A block plan drawn at an identified standard metric scale (preferably at 1:200 or 1:500) accurately showing:

- 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

#### When Required?

For all elevations to be visually altered.

#### What is Required?

Plans drawn typically at a scale of 1:50 or 1:100 clearly showing 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

### When Required?

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.

### What is Required?

Plans drawn typically at a scale of 1:50 or 1:100 clearly showing 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

### When Required?

In all cases where a proposal involves a change in ground level(s).

### What is Required?

Plans drawn typically 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

### When Required?

In all cases.

### What is required?

The Design and Access Statement must:

- Explain the design principles and concepts that have been applied to the proposed works and how they have taken account of:
  - a) The special architectural or historic importance of the building
  - b) The particular physical features of the building that justify its designation as a listed building; and
  - c) The building's setting

- Where the proposal involves any external changes the Design and Access Statement must:
  - I. Explain how issues relating to access to the building have been dealt with
  - II. Explain the applicant's approach to access, including what alternative means of access have been considered
  - III. How relevant Local Plan policies have been taken into account
- Statements must also explain how the applicant's approach to access takes account of matters (a) – (c) above
- Provide information on any consultation undertaken and how the outcome of this consultation has informed the proposed works.
- Explain how specific issues which might affect access to the building have been addressed

*If a Listed Building Consent application is submitted in parallel with a planning application, a single combined Design and Access Statement addressing the requirements of both application types will be sufficient.*

## Part 2 – Local Requirements

### 8. Heritage Statements

#### **When required?**

If the application has the potential to affect a heritage asset or its setting

*Note: Heritage assets are Conservation Areas, Listed Buildings, archaeological sites, Scheduled Monuments, Registered Parks/Gardens of Special Historic Interest, Registered Historic Battlefield Sites and undesignated heritage assets that are of local historic, architectural or cultural value.*

#### **What is required?**

A heritage statement which sets out the impact of the development on the significance of the historic asset affected. The statement should be in accordance with the Council's guidance on Heritage Statements (available in appendix A).

#### **Why is it Required?**

In compliance with the National Planning Policy Framework (NPPF), Policies HE1, HE2, HE3, HE4, HE5, HE6 and HE7 of the Carlisle District Local Plan 2015-2030 and the Council's "Heritage Statement Guidance".

*Note: A heritage statement can form part of a Design and Access Statement*

## 9. Structural Survey/Method Statement

### When Required?

Proposals involving the demolition or the structural alteration of heritage assets.

### What is Required?

A Statement of Significance and an Impact Assessment together with a Structural Plan prepared by a CARE registered structural engineer which identifies the structural stability and condition of the asset together with a statement identifying how the structure is to be safely demolished or how the stability of the structure is to be safeguarded during development.

### Why it is Required?

In compliance with the National Planning Policy Framework (NPPF) and Policies HE1, HE2, HE3, HE4, HE5, HE6 and HE7 of the Carlisle District Local Plan 2015-2030.

## 10. Archaeological Evaluation and Impact Statement

### When Required?

If an application affects a site of historical or archaeological importance.

### What is Required?

An appropriate desk based assessment and where necessary a field evaluation. 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. For advice regarding the extent and content of the investigation/report please contact the Historic Environment Officer at Cumbria County Council.

### Why it is Required?

In compliance with the National Planning Policy Framework (NPPF) and Policies HE1, HE2, HE3, HE4, HE5, HE6 and HE7 of the Carlisle District Local Plan 2015-2030.

# Appendix A

## Heritage Statement Guidance

**Information requirements for applications affecting Heritage Assets** (*Listed Buildings, Conservation Areas, Scheduled Monuments, Parks & Gardens/Designed Landscapes, Battlefields and Maritime Wrecks*)

Heritage assets are defined in UK planning guidance as “A building, monument, site, place, area or landscape identified as having a degree of significance meriting consideration in planning decisions, because of its heritage interest. Heritage asset includes designated heritage assets and assets identified by the local planning authority (including local listing)”<sup>1</sup>.

They include Listed Buildings, Conservation Areas, Scheduled Monuments, Registered Historic Battlefield Sites, Registered Parks and Gardens and undesignated heritage assets that are of local historic, architectural or cultural value but which do not meet the criteria for national listing.

If your development proposal is likely to have an impact on one or more of these assets, you will be required to produce a Heritage Statement. This might be if your application directly affects an asset, or if its location means that it affects the setting of an asset.

A Heritage Statement should set out the impact of your proposal on the significance of the historic asset which it affects. The scale of the statement should be proportionate to the scheme.

Heritage assets are an irreplaceable and finite resource which should be preserved in a manner appropriate to their significance. This significance is taken into account by Planning Authorities when assessing proposals for development which may have an impact on an asset. The National Planning Policy Framework states at paragraph 128 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’.*

In order to meet this requirement, Carlisle City Council’s Planning Department requires a Heritage Statement to be prepared to inform and accompany proposals affecting heritage assets.

## Your Statement may include:

### GENERAL INFORMATION

- Which conservation area does the asset form part of?
- The age and history of the asset.
- What is the surrounding development like?
- Details of internal or external features affected by the proposal including chimney breasts, fireplaces, decorative plasterwork, etc
- an explanation of how the proposal responds to the historic character of the asset.

### HISTORICAL SIGNIFICANCE

- The layout of the site.
- Plan form of the building.
- Internal features of special character including chimney breasts, fireplaces, decorative plasterwork, etc
- Age & history of the asset, its development over time.
- The strength of its tie to a particular architectural period.

### STATEMENT OF JUSTIFICATION

- Explaining why the works are necessary or desirable, including any benefits which justify any resulting harm.

### MITIGATION STRATEGY

- Explaining what steps have been taken to avoid, minimise or mitigate harm to the asset.

<sup>1</sup> Annex 2: Glossary, National Planning Policy Framework, Department for Communities and Local Government, 2012

Larger developments, for example, those involving demolition and new building within a conservation area, will require a proportionate in-depth approach than less substantial proposals, such as alterations to a boundary wall. The statement will help officers, councillors and the public understand your proposal more fully.

## When are Heritage Statements needed?

To ensure the requirements of the NPPF are met, we will require that a Heritage Statement is submitted at validation stage for the following types of application:

- Applications for listed building consent or affecting the setting of a listed building
- Applications within the curtilage of a listed building
- Applications in Conservation Areas or affecting the setting of a Conservation Area
- Applications affecting Scheduled Ancient Monuments
- Applications affecting a Registered Park or Garden of Special Historic Interest;
- Applications affecting an archaeological site.
- Applications affecting unlisted buildings or structures which are considered to be undesignated heritage assets

You are advised to discuss proposals with a Planning Officer or the Conservation Officer before any application is made. The following is a guide to the sort of information that may be required for different types of application.

## What should a Heritage Statement contain?

In straightforward cases you may be able to provide the statement, having discussed what might be needed with the Council's Conservation Officer. In more complex proposals, the services of an appropriately qualified and experienced historic environment professional will be needed.

## Heritage Statements as part of a Design and Access Statement

Design and Access Statements are required for certain types of applications, in particular those in conservation areas.

Where this is the case the Heritage Statement can sometimes be combined with the Design and Access Statement – in particular for simpler schemes such as extensions and householder applications.

Guidance on the production of Design Statements is available on the City Council website.

A Heritage Statement should set out details of the:

- **history and development** of the asset, using photographic, map, archival and fabric evidence. It should be accompanied by a **photographic record**, showing the site context and spaces and features which might be affected by the proposal, preferably cross-referenced to the **survey drawings** in your application.
- **archaeological, architectural, historical or other significance** of the asset. It will also be necessary to include an assessment of the **impact** of the proposed works on the significance of the asset, and a statement of **justification** for those works, together with details of any **mitigation** measures proposed.

**The scope and degree of detail necessary in a Heritage Statement will vary according to the particular circumstances of each application.**

**For applications for listed building consent:**

a written statement that includes a schedule of works to the listed building(s), an analysis of the significance of archaeology, history and character of the building/structure, the principles of and justification for the proposed works and their impact on the special character of the listed building or structure, its setting and the setting of adjacent listed buildings may be required. A structural survey may be required in support of an application for listed building consent.

**For applications for planning permission within a conservation area:**

a written statement that may include a structural survey, an analysis of the character and appearance of the building/structure, the principles of and justification for the proposed development/demolition and its impact on the special character of the area may be required.

**For applications either related to or impacting on the setting of heritage assets:**

a written statement that includes plans showing historic features that may exist on or adjacent to the application site including listed buildings and structures, historic parks and gardens, historic battlefields and scheduled ancient monuments and an analysis of the significance of archaeology, history and character of the building/structure, the principles of and justification for the proposed works and their impact on the special character of the listed building or structure, its setting and the setting of adjacent listed buildings may be required.

**For applications adjacent to a conservation area:**

an assessment of the impact of the development on the character and appearance of the area may be required.

**For all applications involving the disturbance of ground within an Area of Archaeological Potential as defined in the development plan or in other areas in the case of a major development proposal or significant infrastructure works:**

an applicant may need to commission an assessment of existing archaeological information and submit the results as part of the Heritage Statement.

## Where to find out more

A wide variety of sources, national and local are available. This list is a short list of sources of information, there is much more available than can be listed here and not all sources may be relevant in every case.

- List Descriptions for statutory designated buildings i.e. Listed Building (these should form a starting point for understanding the asset – [www.historicengland.org.uk/listing/the-list](http://www.historicengland.org.uk/listing/the-list))
- Register of Scheduled Ancient Monuments, Historic Parks and Gardens and Historic.
- Battlefields (Information available from Historic England [www.historicengland.org.uk](http://www.historicengland.org.uk)).
- National amenity societies (Society for the Protection of Ancient Building, Georgian Group, Victorian Society, Twentieth Century Society - available on websites, books and journals).
- Conservation Area Appraisals (available on the Council's website).
- Local History and Conservation Societies.
- Historic Environment Records, historic mapping, OS maps, estate maps, and photographs (available at Cumbria Archives Centre).
- Old Carlisle Historic Research and Information Hub - website to collate the various online resources that are available on the history of Carlisle, its people and heritage ([www.oldcarlisle.co.uk](http://www.oldcarlisle.co.uk)).
- Architectural & Historical Publications.

The **Heritage Officer** at Carlisle City Council can be contacted via telephone: 01228 817077 or email: [edadmin@carlisle.gov.uk](mailto:edadmin@carlisle.gov.uk).

**This document is available in large or other formats upon request.**

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