



ENGLISH HERITAGE

Good Practice Guide for Local Listing: Identifying and Managing Significant Local Heritage Assets

Draft for Consultation

February 2011

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SUMMARY OF CONSULTATION

Scope of the consultation	
Title of consultation document	Good practice guide for local listing: identification and management of significant local heritage assets
Topic of this consultation	This consultation relates to a practice guide for local listing, supporting the management of non-designated heritage assets as set out in Planning Policy Statement 5: Planning for the Historic Environment (PPS5)
Scope of this consultation	The key measures to be considered are: <ul style="list-style-type: none"> • the development of selection criteria supporting the local list • the development of a transparent management framework supporting the local list • ensuring proper community involvement in the local list, including the development of selection criteria and consultation on the scope of the list
Geographical scope	The guide is intended for use in England only

Basic information	
Target audience	This consultation is aimed at individuals and organisation with an interest in the development and use of local lists in the management of the local historic environment, including: <ul style="list-style-type: none"> • amenity & civic societies • local planning authorities • voluntary groups • owners of heritage assets
Body responsible for consultation	English Heritage
Duration	The consultation will run for a period of 12 weeks from 18 February 2011 to 13 May 2011 . Responses will not be accepted after the final date.

<p>Enquiries</p>	<p>If you have any questions about the content of the consultation please contact:</p> <p>locallisting@english-heritage.org.uk</p> <p>or, by mail to:</p> <p>Heritage Protection Reform Team English Heritage 1 Waterhouse Square 138-142 Holborn London EC1N 2ST</p>
<p>How to respond</p>	<p>Please <u>do not</u> send both emailed and written responses</p> <p>Responses can be submitted using the consultation response form to:</p> <p>locallisting@english-heritage.org.uk</p> <p>or by mail to:</p> <p>Heritage Protection Reform Team English Heritage 1 Waterhouse Square 138-142 Holborn London EC1N 2ST</p>
<p>Additional ways to become involved</p>	<p>None – this consultation will be an entirely written exercise</p>
<p>After the consultation</p>	<p>We aim to publish a summary of responses to the consultation</p>
<p>Compliance with the Code of Practice on Consultation</p>	<p>The consultation complies with HM Government’s Code of Practice on Consultation</p>

Background	
Getting to this stage	PPS5 was introduced in March 2010 replacing Planning Policy Guidance (PPG) 15: Planning and the Historic Environment and PPS 16: Archaeology and Planning. This draft guide document supports, and provides additional guidance around, the policies and principles of PPS5 dealing with the identification and management of local heritage assets using local lists.
Previous engagement	A pre-consultation exercise was undertaken in October 2010 involving a range of stakeholders.

About this consultation

This consultation paper seeks views on a proposed approach to local listing in England based upon current good practice, supporting the policies and principles of PPS5.

Background

Local lists have been used by local planning authorities since the 1970s. However, despite the fact that around half of all local authorities have adopted some sort of local list, the processes supporting the preparation of such lists varies considerably between areas. Many lists have been prepared with limited community input; others suffer from the lack of formal selection criteria and supporting local planning policies. This consultation does not change the level of protection provided to locally listed assets, but consolidates existing good practice around how local lists are prepared and managed.

What we are proposing

This guide draws together good practice on local lists that currently operate across England. It provides non-statutory advice to local authorities and members of the community with an interest in developing a new local list, or making improvements to an existing list. The guide presents a non-prescriptive approach that seeks to encourage local decision making around the identification and management of heritage assets on a local list.

How to respond

Questions on which we are seeking input are included as a separate consultation response form available. An electronic version of this form is available at:

www.english-heritage.org.uk/caring/listing/local/local-designations/local-list/.

Responses to this consultation must be received by **Friday 13th May 2011**.

You can respond by e-mail to:

locallisting@english-heritage.org.uk

Or by post to:

Heritage Protection Reform Team

English Heritage

1 Waterhouse Square

138-142 Holborn

London EC1N 2ST

When responding please state whether you are responding as an individual or representing the views of an organisation. If responding on behalf of an organisation, please give a summary of the people and organisations it represents and, where relevant, who else you have consulted in reaching your conclusions.

Additional copies

This consultation paper, complete with electronic consultation response form, is available on the English Heritage website at:

www.english-heritage.org.uk/caring/listing/local/local-designations/local-list/.

You may obtain a hard copy of this consultation paper from the address given under “How to respond”.

Confidentiality and data protection

Information provided in response to this consultation, including personal information, may be published or disclosed in accordance with the access to information regimes (these are primarily the Freedom of Information Act 2000, the Data Protection Act 1998 and the Environmental Information Regulations 2004).

If you want the information that you provide to be treated as confidential, please be aware that, under the Freedom of Information Act 2000, there is a statutory code of practice with which public authorities must comply and which deals, amongst other things, with obligations of confidence. In view of this it would be helpful if you could explain to us why you regard

the information you have provided as confidential. If we receive a request for disclosure of the information we will take full account of your explanation, but we cannot give an assurance that confidentiality can be maintained in all circumstances.

English Heritage will process your personal data in accordance with the Data Protection Act 1998 and in the majority of circumstances this will mean that your personal data will not be disclosed to third parties. Individual responses will not be acknowledged unless specifically requested.

Your opinions are valuable to us. Thank you for taking the time to read this document and respond.

Help with queries

Questions about the issues raised in the document can be sent to:

Heritage Protection Reform Team

English Heritage

1 Waterhouse Square

138-142 Holborn

London EC1N 2ST

I. INTRODUCTION AND OVERVIEW

The historic environment is an asset of enormous cultural, social, economic and environmental value, providing a valuable contribution to our sense of history, place and quality of life. This document describes how local communities can use local listing to build a sense of identity and distinctiveness by identifying heritage buildings, sites, spaces and places that matter to them, and ensuring that these values are taken into account when changes to them are proposed.

The national planning policy statement on the historic environment (Planning Policy Statement 5: Planning for the Historic Environment) provides protection through the planning system for 'heritage assets' in England¹. Heritage assets are the valued components of the historic environment. They may be listed buildings or scheduled monuments, or they may be currently undesignated or even unidentified.

Local listing is a means for a local community and a local authority to jointly decide what it is in their area that they would like recognised as a 'local heritage asset' and therefore worthy of some degree of protection in the planning system. Local lists also represent a good way in which to encourage greater partnership working between local authorities, community representatives and others with an interest in the historic environment. Not only does this enable proper protection of those parts of the historic environment that the community genuinely values, but it also provides clarity to developers as to where those heritage assets are located and, critically, what it is about them that is worth considering.

This document is the first comprehensive guide to local listing in England. It draws together current best practice from across the country on developing a transparent, consistent and proportionate framework upon which to base a new local list or make improvements to an existing one. Importantly this guide is a starting point. In order to remain flexible enough to respond to local needs, decisions on the way in which local heritage assets are identified, and the system adopted for managing the local list, are matters for local planning authorities and their communities.

¹ PPS5: Planning for the Historic Environment, Communities and Local Government, English Heritage & Department for Culture Media and Sport, 2010

1.1. The need for guidance on local listing

PPS5 offers planning protection for heritage assets whether designated or not. Heritage assets must be identified by the local planning authority (LPA) as having a degree of heritage significance meriting consideration in planning decisions. Non-designated assets may be identified by a local list or during the process of decision-making.

Identification through a local list allows the LPA to better understand the heritage assets in its area, their individual heritage significance and their contribution to the character and distinctiveness of the area as a whole. This allows for strategic local planning to properly take account of the desirability of conserving these assets and of utilising their contribution to sustainable communities and an area's sense of place. For those seeking to carry out development, identification through a local list also provides clarity as to the constraints and opportunities that heritage assets present.

For all these reasons, early identification through local listing is much preferable to relying upon the PPS5 requirement to consider non-designated heritage assets when a planning application is made.

Local lists also play an important part in recognising and celebrating the value of local heritage to communities by:

- encouraging local people to identify important aspects of their local heritage that they consider should be protected through local listing; and ensuring that local lists are subjected to an appropriate level of public consultation
- improving access to clear, comprehensive and current information about the historic environment at the local level, including via the Historic Environment Record (HER)

CASE STUDY I: EXAMPLE OF A LOCAL LIST

PPS5 and local listing

PPS5 contains planning policies that seek to conserve and exploit the benefits of the historic environment. The valued components of the historic environment that are offered specific protection are called 'heritage assets'. Included in that category are buildings and sites that, whilst not designated under statutory regimes, are recognised by the local authority as having heritage significance meriting consideration in planning matters. It is these assets, whether they be buildings, sites, places or landscapes, that can form the basis of a local list.

Policy HE2 – Evidence Base for Plan-making:

HE2.1 says that local authorities should ensure that they have evidence about the historic environment and heritage assets in their area, and that this is properly documented. Local lists are one way to successfully meet this obligation.

Policy HE3 – Local Planning Approaches

Local planning authorities are obliged to set out a positive, proactive strategy for heritage assets in their area, taking into account the contribution of these assets to an area's sustainability and sense of place – including the various economic, cultural and social benefits. Plans should include consideration of how best to conserve individual groups or types of heritage assets that are most at risk of loss through neglect, decay or other threats. A local list provides sound evidence on which to base such policies.

Policy HE5 – Monitoring Indicators

Local planning authorities should consider how they can best monitor the impact of their planning policies and decisions on the historic environment. A local list helps to provide a clear and comprehensive view of the heritage assets that should be monitored.

Policies HE7 – Policy Principles Guiding the Determination of Applications for Consent Relating to All Heritage Assets

These provisions are at the heart of national planning policy and they apply to heritage assets on a local list (or those not on a local list) just as much as they do to a Grade I listed building. Nonetheless, a principle underpinning PPS5 is that protection is proportionate to the relative importance of the asset and it applies to the asset's significance – that is, it protects the heritage interest. The pivotal policy is HE7.4. It

requires local planning authorities to take into account the desirability of conserving heritage assets, whether designated or not, and of utilising their positive role in place-shaping and sustainable communities.

Policy HE8 – Additional Policy Principle Guiding the Consideration of Applications for Consent Relating to Heritage Assets that are Not Covered by Policy HE9

The effect of an application on the significance of a non-designated asset or its setting is a material consideration in determining an application. Local planning authorities are obliged to be clear in their view that anything claimed to be a heritage asset meets the definition of PPS5. Local lists can greatly assist that judgment, provided that the criteria for inclusion on the list aligns with the definitions in PPS5.

1.2. Protection of locally listed heritage assets

Local listing can play an important role in helping to influence planning decisions in a way that conserves and enhances local character. While local listing can be a legitimate response to an actual or perceived threat to a local heritage asset (including the threat of demolition), the level of protection afforded will depend on whether the asset meets the selection criteria required for inclusion on a local list. However, the absence of any particular heritage asset on the local list should not be taken to imply that it has no heritage value, simply that it does not currently meet the criteria for local listing set by the community.

Locally listing a heritage asset does not of itself bring any additional consent requirements over and above the requirement for planning permission. However, under PPS5, their status as heritage assets will mean that their conservation and contribution to the area will be a material consideration when making planning decisions that directly affect them or their setting. The sounder the basis for their designation, the greater weight can be given to the desirability of preserving the significance in decision making. Locally listed heritage assets within Conservation Areas also benefit from the general control over demolition afforded by the Planning (Listed Buildings and Conservation Areas) Act 1990.

CASE STUDY 2: SUCCESS OF LOCAL LISTING IN PROTECTING HERITAGE ASSETS

1.3. Local Development Plans and local listing

PPS5 contains policies that in generic terms offer protection to heritage assets on a local list. These policies do not need to be, and should not be, repeated in development plans². A local list is a useful, if not essential, element of a local development plan as it is sound evidence of local heritage assets in the area (as required PPS policy HE2.1). It can therefore inform a positive, proactive strategy for the conservation and enjoyment of the historic environment (PPS5 policy HE3.1).

For a local list to be effective as a clear and authoritative statement of the assets in the area that the local planning authority thinks have a degree of significance meriting consideration in planning decisions, it ought to be part of the development plan. Depending on the timing and adoption of the plan, this may be best achieved by the use of a Supplementary Planning Document (SPD). Wherever it may appear in the development plan documents, the broad options for the contents are:

- the list of heritage assets themselves, with a description of their significance
- the selection criteria for those heritage assets; also acting as a means of assessing other assets in the area not locally listed, but which may come to the attention of the local authority as a consequence of a planning application
- policies that are area or asset specific, as envisaged by PPS5 policies HE3.1 to HE3.4

Development that does not require planning permission is unaffected by either PPS5 or the local development plan. LPAs should consider whether the exercise of permitted development rights would undermine the aims for locally listed heritage assets. In cases where it would, LPAs should consider the use of an article 4 direction (in tandem with the local listing process) to ensure any development is given due consideration³.

CASE STUDY 3: LOCAL LIST SUPPLEMENTARY PLANNING DOCUMENT

² See paragraph 2 of PPS5

³ PPS5 policy HE4.1

2. SELECTION CRITERIA: DEFINING THE BOUNDARIES OF THE LOCAL LIST

Selection criteria are essential in defining the boundary of the local list, helping to identify heritage assets that would benefit from local designation. For something to be considered to be a heritage asset it must be:

- a building, monument, site, place, area or landscape; and
- positively identified by the LPA (in partnership with the local community) as having a degree of significance meriting consideration in planning decisions

The practice guide accompanying PPS5 underlines the need for local lists to be supported by objective criteria that have been tested through public consultation⁴. Selection criteria are not only a pre-requisite for a proportionate, balanced and consistent local list. They are also essential in defining the degree of significance that the LPA believes merits consideration in planning decisions, and are also useful when considering buildings or sites not on the local list that others may claim are worthy of being treated as heritage assets.

Local listing has the capacity to include the full range of heritage asset types as defined in PPS5. Selection criteria therefore need to be robust enough to take account of the range of assets in an area, recognising that local distinctiveness may lie as much in the commonplace or everyday as it does in the rare and spectacular⁵.

CASE STUDY 4: RANGE OF HERITAGE ASSETS ON LOCAL LISTS

2.1. Developing selection criteria

Regional variations in the historic environment – such as the age and type of buildings in a given area – mean that selection criteria are best developed at the local level in consultation with the community. Table 1 sets out some of the selection criteria commonly used to support local listing.

The criteria used for national designation can easily be adapted for local use. For example, the age criterion is readily adjusted to draw attention to a notable or significant

⁴ PPS5: Planning for the Historic Environment: Historic Environment Planning Practice Guide, Communities and Local Government, English Heritage & Department for Culture Media and Sport, 2010: see guidance for Policy HE2
⁵ Sue Clifford and Angela King, Losing Your Place, Common Ground <http://www.England-in-particular.info/cg/distinctiveness/d-place.html>, accessed 19 November 2009

period in an area's history. The Principles of Selection for Listed Buildings⁶ and the various selection guides and detailed heritage asset descriptions supporting these principles⁷ set out further information on the types of national criteria that can be adapted to local listing.

In some circumstances it may be appropriate to develop location-specific criteria in order to capture particular assets. This could include assets with a strong connection to an important local figure or those expressing a particular local characteristic. English Heritage's Conservation Principles⁸ can also be consulted for further detail on assessing the significance of a heritage asset (based around an understanding of an asset's evidential, historical, aesthetic or communal value), an approach that can support the preparation of suitable selection criteria.

What to consider when developing local selection criteria

The preparation of an overarching statement setting out local historic distinctiveness can be a useful guide to developing local selection criteria. This might take the form of a 'statement of significance' that succinctly identifies those characteristics that contribute to the distinctiveness of the historic environment in an area. This is comparable to defining special interest when preparing a conservation area appraisal⁹. It also follows the approach to assessing heritage significance set out in Conservation Principles. Developing a statement of significance is also a good opportunity to encourage community involvement using methods advocated by groups such as Common Ground¹⁰.

Guidance in support of Historic Area Assessments (HAA) provides useful advice on defining the historic character of a defined area¹¹. The statement could include the following overarching themes:

6 Principles of Selection for Listed Buildings, Department for Culture, Media and Sport, March 2010

7 Selection Guidelines, English Heritage: <http://www.english-heritage.org.uk/protecting/heritage-protection/criteria-for-protection/selection-guidelines/>; Detailed Heritage Asset Descriptions, English Heritage: <http://www.english-heritage.org.uk/protecting/heritage-protection/criteria-for-protection/dhad/>

8 Conservation Principles: Policies and Guidance, English Heritage, 2008

9 Guidance on Conservation Area Appraisals, English Heritage, 2006

10 Common Ground: <http://www.commonground.org.uk>

11 Understanding Place: Historic Area Assessments: Principles and Practice, English Heritage, 2010

- **Cultural landscapes:** structures, designed landscapes, sites and spaces associated with a significant period in an area's history – for example the remains of industrial or agricultural activities
- **Social history:** assets associated with major events in the social history of an area; this could include an association with intangible aspects of heritage such as traditions and practices, or literary associations
- **Patterns of settlement:** notable examples of planned or incidental town planning including: street plans; characteristic clusters by building type and form; interrelationship between buildings and open spaces; infrastructure
- **Local Figures:** assets associated with individuals of local importance including those identified by commemorative plaque schemes

CASE STUDY 5: DEVELOPMENT OF SELECTION CRITERIA FOR LOCAL LISTING

Table 1. Commonly applied selection criteria for assessing suitability of assets for local listing: such criteria are often adapted from those used for national designations

Criterion	Description
Age	The age of an asset may be an important criterion and can be adjusted to take into account distinctive local characteristics
Rarity	Appropriate for all assets, as judged against local characteristics
Aesthetic value	The intrinsic design value of an asset relating to local styles, materials or any other distinctive local characteristics
Group value	Groupings of assets with a clear visual, design or historic relationship
Evidential value	The significance of a local historic asset of any kind may be enhanced by a significant contemporary or historic written record
Historic association	The significance of a local historic asset of any kind may be enhanced by a significant historical association of local or national note, including links to important local figures
Archaeological interest ¹²	This may be an appropriate reason to designate a locally significant asset on the grounds of archaeological interest if the evidence base is sufficiently compelling and if a distinct area can be identified
Designed landscaping	Relating to the interest attached to locally important designed landscapes, parks and gardens
Landmark status	An asset with strong communal or historical associations, or because it has especially striking aesthetic value, may be singled out as a landmark within the local scene
Social and communal value	Relating to places perceived as a source of local identity, distinctiveness, social interaction and coherence; often residing in intangible aspects of heritage contributing to the “collective memory” of a place

¹² It is important to note that the majority of archaeological sites and landscapes remain undesignated. Even in cases where they are added to a local list, the interest and significance of archaeological assets may therefore be national or regional.

3. MANAGEMENT FRAMEWORK: PROCESSES SUPPORTING THE LOCAL LIST

The effectiveness of local listing as a way of protecting local heritage assets depends on the development of a robust management framework. Such a framework supports the selection criteria by providing the processes and procedures (the 'local list cycle') against which assets can be nominated and the suitability for local listing assessed (Figure 1).

The approach to local listing outlined in the following sections is based upon current good practice. Because of the often considerable variation in the character of the historic environment across England, no single approach to the creation of a local list can be expected to apply to all areas. It remains the responsibility of each area to individually tailor selection criteria and management processes to take account of local circumstances.

Practical approaches to local listing

There are a number of different approaches to local listing that have been successful at the local level. As is the case with national designations the composition of the local list may be constantly evolving, each review cycle leading to the addition or removal of assets.

Before attempting a local list it may be useful to think about the overarching strategy behind its preparation. It could be based upon any of the following practical approaches:

- **Historic Theme:** looking at the study area in terms of historic themes that are distinctive to the locality (e.g. industrial, military)
- **Asset Type:** similar to the thematic approach, but structuring the local list based on asset type (e.g. buildings, parks & gardens)
- **Geographic:** breaking down the study area into more manageable geographical units, for instance by parish, ward or neighbourhood; especially applicable to local authorities covering large areas or rich in heritage assets

CASE STUDY 6: APPROACHES TO CREATING A LOCAL LIST



Figure 1. Creation of a local list requires appropriate links to the local development plan backed by a robust management framework (local list cycle)

3.1. Initiation of local list

Once the approval of the LPA to undertake a programme has been secured, the local list needs to be initiated before the process of identifying candidates can get underway.

Initiation is useful as a means of encouraging community involvement and ensures that the list is prepared in a spirit of consultation and openness.

Initiation could take the form of a public announcement through the local media of the intention to prepare or refresh a local list. Public meetings, exhibitions and web-launches can be effective forums for bringing together interested parties. In most cases the responsibility for inviting the wider public to participate in the local list initiative will fall to a key stakeholder or the LPA.

The first stages in establishing the local list are the development of objective selection criteria (section 2), and ensuring that appropriate links to the local development plan are in place (section 1.3). This might necessitate the preparation of a Supplementary Planning Document clearly setting out the various requirements at each step in the local list cycle.

The value of working in partnership

The most robust local lists are those built on a strong partnership between local authorities, community representatives and other interested parties that reflect the breadth of opinion on the historic environment in an area. It is therefore crucial that development of the supporting management framework is underpinned by extensive consultation with partners on how the local list will be developed and maintained.

A local authority might play a vital part in establishing and ratifying the local list, while the community takes the lead in the development of selection criteria and the nomination of assets they would like to be considered for local listing. By facilitating community involvement, the local authority's role is primarily one of stewardship rather than outright ownership.

Local authorities that maintain the HER provide a valuable means of accessing information on the local historic environment. Parish and town councils may also play an important role in supporting the activities of the LPA. A range of government, non-

government and commercial organisations also have an interest in – and maintain records on – heritage assets that may be suitable for local listing.

Future management of any locally listed asset will be easier if the decision to list has the support of the owner. It is therefore important that the views of the asset's owner are taken into account when drawing up the local list. At a minimum owners will need official notification of the intention to list an asset that clearly sets out the planning implications of local listing.

CASE STUDY 7: PARTNERSHIP WORKING AND ENGAGING WITH VOLUNTEERS

3.2. Identifying assets for local listing

A range of methods can be used to identify assets with which to populate the local list, though no single method is likely to result in a definitive list. Existing research publications are often rich sources of information on potential local list candidates. Public nomination is also a good way in which to identify assets for inclusion on the local list and has the added benefit of directly involving the community.

Regardless of the means by which candidate assets are identified, nominations need to be backed by information of sufficient detail and accuracy to demonstrate they meet the selection criteria for their addition to the local list.

CASE STUDY 8: ROLE OF VOLUNTEERS IN IDENTIFYING ASSETS

3.2.1. Surveying existing sources of information

The HER is a rich source of information on non-designated heritage assets that may be included on the local list. There are also many publications and databases held by community, third sector and government and non-government organisations that can be used to identify local assets.

Although assets rejected for national designation may be considered for local listing, this should not be relied upon as the driving force behind the addition of an asset to the local list. Selection still needs to be made on the basis of selection criteria.

The following represents a non-exhaustive list of potentially useful sources that can be consulted when undertaking an initial survey of potential local heritage assets:

- Historic Landscape Characterisation Studies
- Historic Town and City Surveys
- Historic Area Assessments
- Defined Area Surveys
- Public Realm Strategies
- Town Plans, Parish Plans and Village Design Statements
- Townscape and Heritage Appraisals
- Rapid Coastal Zone Assessment Surveys
- Heritage assets recently removed from statutory lists, registers and schedules or those that failed to meet standard for addition
- Management Plans – e.g. those for Conservation Areas or Areas of Outstanding Natural Beauty (AONB)
- Lists of former Grade III buildings
- Typological or thematic studies
- Registers of parks and gardens of local interest maintained by County Garden Trusts, Garden History Society and the Association of Gardens Trusts
- Heritage trails developed by LPA or volunteer organisations
- Historic Environment Record (HER)
- National Monuments Record (NMR)
- Secondary sources such as Pevsner Architectural Guides

Local listing and Conservation Areas

Heritage assets on the local list do not have to be sited in conservation areas. However, conservation area appraisals and management plans may provide a useful starting point for the preparation of a local list^{13,14}.

One aspect of the appraisal process with particular relevance to local listing is the identification of unlisted-buildings that make a 'positive contribution' to the character of a conservation area. Although such buildings may be suitable for local

13. Guidance on Conservation Area Appraisals, English Heritage, 2006

14. Guidance on the Management of Conservation Areas, English Heritage, 2006

listing, it is important to remember that the addition of a positive contributor to the local list still needs to be made on the basis that it meets one or more selection criteria.

3.2.2. Public nomination

Public nomination is a key element of the local listing process and could be handled by either the local authority or key partner or partners (such as a civic or amenity society). A nomination form, clearly setting out the type of information that needs to be submitted in support of the asset, will also act as a useful guide to nominators. This could also take the form of an information pack clearly setting out the selection criteria and other issues around respecting the privacy of asset owners and occupiers or, where available, the relevant SPD.

Although electronic communication is a proven and effective means of supporting and publicising the nomination process, traditional means of communication (including notices in local newspapers, bulletins and mail outs or a public event) may also be required to encourage wider community input. This could be tied into the initiation phase of the project (section 3.1). It may also be necessary to invite nominations directly from important partners such as amenity and civic societies to ensure the participation of these organisations.

3.2.3. Collating information on assets

It is important that the nomination period is sufficient to enable the proper collation of supporting information by the public. Background research will support the case for adding an asset to the local list. Research might lead to the development of a statement of significance, which includes an historical investigation supported by a succinct explanation of how the asset meets one or more selection criteria. In most cases the quality of research should meet the level required by the HER (section 3.2.4). Publications such as *Understanding Place*¹⁵ and *Celebrating People and Place: Guidance on Commemorative Plaques*¹⁶ set out useful approaches to historical research for nomination purposes.

¹⁵ *Understanding Place: Historic Area Assessments: Principles and Practice*, English Heritage, 2010

¹⁶ *Celebrating People and Place: Guidance on Commemorative Plaques and Plaque Schemes*, English Heritage, 2010

The skills necessary for such investigations may be found in the wider community, meaning that the collation of information can usually be undertaken by the nominator. This is particularly true of larger stakeholder organisations, but the ability of individual nominators to undertake historical research should not be overlooked. However in areas where these skills do not exist nominators may need to rely on the experience of voluntary organisations or local authority staff to assist with supporting research.

3.2.4. Data standards and HER compliance

The information submitted during the nomination process needs to be of sufficient quality and depth to satisfy the data standards required by the HER, while taking into account the potentially limited resources for undertaking such research available to volunteers (section 3.2.3). It is helpful if HER or local authority officers provide detailed advice to nominators as to the type of information required to properly support the application. The following list sets out the type of information that is likely to accompany the nomination of an asset for local listing:

- **Statement of significance:** a brief, overarching statement that succinctly identifies the significance of the asset in the local context; should also act as a reasoned justification for how an asset meets one or more selection criteria
- **Location details:** Ordnance Survey (OS) grid references and street address
- **Administrative information:** may include Parish, District and County details
- **Photographs:** visual recording of the asset from the public realm, concentrating on significant elements

CASE STUDY 9: LOCAL LISTING AND THE ROLE OF THE HER

3.3. Assessment procedures: determining suitability for local listing

Some local authorities require an asset to satisfy a single criterion to be considered suitable for local listing. In other cases a scoring system could be used, whereby an asset needs to meet a set number of criteria in order to be considered suitable.

Although local authorities will want to verify information relating to complicated or marginal cases, in most cases the assessment processes (including public consultation) are sufficient to identify errors or inaccuracies in supporting information.

CASE STUDY 10: SELECTION PANELS AND OTHER ASSESSMENT PROCEDURES

3.3.1. Validating nominated assets

It may be useful to develop a system for validating the information submitted during the nomination process before it is passed to the next stage of assessment. This could take the form of a checklist of basic information that is needed in order to satisfy the requirements for local listing such as location and ownership details.

It is also important to put in place systems to identify assets that should not be added to the local list. In most cases ensuring that the public has sufficient access to existing records on the HER, Heritage Gateway¹⁷ or related databases will avoid the nomination of the following types of assets:

- those already covered by national designation
- those currently on the local list
- those that have been rejected for local listing in previous nomination rounds¹⁸.

3.3.2. Selection panels

Selection panels can be an effective way in which to independently assess the suitability of an asset for local listing. A new panel could be formed specifically for the task of overseeing the local list or, in order to make the best use of available resources, may be based upon existing bodies such as Conservation Area Advisory Committees.

The panel's primary responsibility will be the production of a shortlist of nominations that can be presented to the public (section 3.3.6) before final ratification (section 3.4). The shortlist will usually be created by assessing candidate

¹⁷ <http://www.heritagegateway.org.uk>

¹⁸ Although in some circumstances – such as the re-drafting of selection criteria – previously rejected assets may now qualify for local listing

assets, identified as part of the public nomination exercise and from other sources, against the selection criteria.

It is important that the panel is not restricted to professionals - membership should ideally be drawn from a representative cross-section of the community. Where possible members of the public should play a central role, though this will be dependent on the availability of individuals with the necessary skills. Panel members might include the following:

- local planning authority (eg heritage champion, planning/conservation officer)
- local residents
- local businesses
- local historian/archaeologist
- conservation architectural practice
- representatives of community organisations (amenity, civic and history societies etc)
- faith groups
- minority ethnic groups
- disability advocacy groups
- representative of parish or town council
- representative of Conservation Area Advisory Committees or equivalent
- individuals with specialist knowledge for assessing particular asset types (see section 3.3.3)

3.3.3. Specialist knowledge

From time to time it may be necessary to take specialist advice when the depth of knowledge required to assess a particular asset type within the local authority or community is insufficient¹⁹. The first source of expert knowledge will usually be from within the LPA, with external specialists supplementing this expertise where necessary.

¹⁹ Sections 74 & 75 of PPS5 provide further guidance on the use of expert advice

3.3.4. Handling assets of potential national importance

In certain cases assets of potential statutory or national importance may be identified as part of the local listing process. In such situations – for instance where a selection panel feels that an asset meets the criteria for national designation – nominations should be referred to English Heritage in the normal manner²⁰.

3.3.5. Commemorative plaque schemes

It may be appropriate to recognise assets identified as part of the local listing process, especially those closely associated with persons or events of local importance, with a commemorative plaque on the relevant building, structure or site. English Heritage has published guidance on commemorative plaques which may be helpful²¹.

3.3.6. Finalising nomination shortlist

Before ratification of the local list can be sought, it is important that the nomination shortlist is presented to the public for comment. Comments received in response to the publication of the nomination shortlist may be of use in assessing the suitability of assets for addition to the local list.

Particular attention should be given to responses received from the owners of assets as these will assist in developing future management strategies. The responsibility for assessing such appeals could fall to a selection panel or local authority staff. Ideally the presumption in favour of adopting the asset will remain; any appeal to remove an asset needs to be based on proof that it fails to meet the requirements set out in the selection criteria.

²⁰ Further information on how to apply for designation can be found at English Heritage's website: <http://www.english-heritage.org.uk/professional/designation/process/online-application-form/>

²¹ Celebrating People and Place: Guidance on Commemorative Plaques and Plaque Schemes, English Heritage, 2010

3.4. Ratification of local list

Final ratification of the list should be sought at the appropriate level within the local authority once it is felt that assets on the nomination shortlist list pass all the necessary checks (including those set out at section 3.3.6).

The ratification of additions to the list is essential to give public confidence in the local listing process. It also maximises the influence of the local list as a material consideration. Local authorities will have well-established processes for handling activities that support the local development plan and these can be used to identify the appropriate level for ratification of the local list.

3.5. Publication and access to information

Publishing the adopted list in either print or electronic form ensures that information on local lists is freely accessible to all members of the community. A public launch featuring presentations by key partners is also an effective way in which to draw public attention to the completed list.

The HER will play a vital role in providing access (via Heritage Gateway) to the information supporting the local list. Any decision on how the relationship between the HER and the local list is managed – whether the local list will function as an integral component of the HER or is managed as a separate entity – is best made at the local level.

If the local list is linked to the planning GIS it will ensure that planning applications dealing with locally listed assets can take account of the significance the community attaches to those assets.

3.6. Reviewing the local list

A regular programme of reviewing and updating will ensure that the local list, and the information that supports it, remains relevant. The review period is best decided at the local level but in order to make the most effective use of resources would be best timed to coincide with the nomination of new assets. At other times the release of new

information (such as a new or updated conservation area appraisal) may act as a review trigger.

A review may result in the removal of assets from the list. Removal may be appropriate in circumstances where an asset no longer meets the criteria for selection; has been demolished; or has undergone changes that have negatively impacted on its significance.

CASE STUDY 11: REVIEWING AND REFRESHING THE LOCAL LIST

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