

8 Cultural heritage

8.1 Introduction

8.1.1 This section of the report describes the methodology to be used in the assessment of the likely significant effects upon heritage assets to be affected by the Proposed Scheme.

8.2 Definitions

8.2.1 Heritage assets are defined by Government in (National Planning Policy Framework (NPPF) Annex 2 Glossary³⁹) as 'A building, monument, site, place, area or landscape identified as having a degree of significance meriting consideration in planning decisions. Heritage assets include designated heritage assets identified by the local planning authority (including local listing). Heritage assets include those that are designated under legislation (refer to NPPF Annex 2 Glossary Designated heritage assets) as well as that are undesignated assets. Undesignated assets are heritage assets formally identified by Local Authorities and recognised through their inclusion within the local Historic Environment Record - HER.

8.2.2 Cultural Heritage is generally and most easily divided into three key areas comprising:

- Archaeological and palaeo-environmental remains
- Historic landscapes; and
- Historic buildings.

8.3 Effects

8.3.1 Effects to be assessed are direct and indirect, temporary, permanent and cumulative. Each of these is examined below in the context of the Cultural Heritage assessment.

8.3.2 A direct effect is one that will occur to the physical fabric or land of an asset and its curtilage, and will include any effect upon the setting of that asset arising directly from the Proposed Scheme.

8.3.3 An indirect effect is one that might arise as a consequence of the operation or construction of the railway by, for example, affecting viability of land leading to dereliction of buildings and land leading to changes in the management or land use of archaeological or historic landscape features.

³⁹ Department for Communities and Local Government (DCLG), 2012, *National Planning Policy Framework*, The Stationery Office

- Undesignated archaeological or historic landscape sites including:
 - Sites listed in the HER and the English Heritage National Monuments Record;
 - Archaeological assets of schedulable quality and as identified in PPS5 paragraph 9.6;
 - Sites or areas predicted or known from desk based or fieldwork study;
 - Palaeo-environmental remains etc.;
 - Known historic settlements including those identified as being of archaeological interest in local planning authority documents;
 - Hedges protected under Hedgerow Regulations (*The Hedgerow Regulations, 1997*⁴⁰), and;
 - Non-designated parks, gardens and battlefields.

8.4.4 Baseline data sources will include:

- Details of designated sites held by English Heritage;
- Local Authority mapping and appraisal documents (where available) of conservation areas;
- Records of Ancient Woodland maintained by Natural England, Defra and the Forestry Commission;
- Historic landscape character mapping;
- HER data, for an area of 5km either side of the route, held by local authorities and English Heritage, including the National Buildings Record (NBR) and National Monuments Record (NMR);
- Archaeological assets of schedulable quality and as identified in NPPF paragraph 130.
- Aerial photographs;
- Geological mapping as held by British Geological Survey;
- Site visit and walkover survey from public land, or from private land where access has been previously arranged and approved;
- Zone of theoretical visibility (ZTV) as identified by the Townscape and Visual Assessment;
- Documentary, cartographic and other resources as deposited within local studies libraries, County and National Records Library;
- Readily available published material, building surveys and gazetteers;
- Data from preliminary works such as boreholes or test pits already collected or collected/created during the lifetime of the assessment scheme;
- Implementation of a programme of geophysical survey, the scope of which is to agreed, subject to land access and the restrictions of other disciplines;
- Light detection and ranging (Lidar) and other remote sensing surveys as appropriate and agreed; and
- Archaeological trial trenching and other intrusive techniques as appropriate and agreed.

⁴⁰ HM Government, 1997 No. 1160, *The Hedgerows Regulations 1997*, The Stationery Office

Country south and country north

- 8.5.6 The Country south section of the Proposed Scheme passes through the Chilterns. Much of the Proposed Scheme will be in either tunnel or cutting but elements are also elevated on viaduct or embankment.
- 8.5.7 The Country north section of the Proposed Scheme passes through the rural and suburban areas of Warwickshire and Staffordshire and will be partly in cutting and on viaduct but with substantial sections at grade.
- 8.5.8 To identify those heritage assets that may be affected by the Proposed Scheme a study area of 500m from the edge of the land take for the Proposed Scheme or as defined by the zone of theoretical visibility (ZTV) as identified by the Townscape and Visual Assessment will be established.
- 8.5.9 Field visits will be carried out to designated heritage assets and archaeological assets of schedulable quality (where access is possible) within the study area. A survey of the study area to examine its broad historic landscape will also be carried out. A more targeted walkover survey of 250m from the land take for the Proposed Scheme will be carried out in order to verify the baseline research, assess the nature and condition of known heritage assets and identify hitherto unidentified features which may be affected by the Proposed Scheme.

8.6 Consultation

Consultation on the AoS

- 8.6.1 A large number of consultation responses were received in respect of the Appraisal of Sustainability (AoS). Responses included those from formal bodies including English Heritage, the National Trust, the Garden History Society and local planning authorities. Other responses were received from local amenity societies, specialist interest groups and other stakeholders.
- 8.6.2 The response from English Heritage in relation to heritage assets focused on matters affecting setting. English Heritage is of the opinion that a 350m study area either side of the line is inadequate to assess impacts on setting. As a consequence of this response it is proposed that the study area will be determined by the defined ZTV.
- 8.6.3 English Heritage was also concerned over the omission within the AoS of known archaeological assets. They were concerned that this omission did not therefore take into account those undesignated archaeological assets of schedulable quality.
- 8.6.4 English Heritage acknowledges the distinction in gradation between Grade I and Grade II* buildings and those listed at Grade II. It is their view that a 'regionally important' classification does not reflect the national designation of Grade II listed buildings. A geographical based terminology is not part of

8.7 Key aspects of the scheme in relation to heritage assets

8.7.1 Key aspects of the Proposed Scheme for this topic may include:

- Construction works which require the physical excavation, demolition, removal or alteration to heritage assets;
- Settlement of heritage assets induced by tunnelling, deep excavations or construction of retaining walls;
- Impacts upon the setting of heritage assets affecting significance, public appreciation or understanding of the resource;
- Loss of coherence of heritage assets, such as through severance;
- Temporary setting effects on designated assets;
- Ground disturbance caused through the implementation of ecological and other mitigation measures;
- Damage to waterlogged deposits through changes in groundwater regimes;
- Increased noise effects upon heritage assets affecting public appreciation or understanding of the resource;
- Vibration effects upon heritage assets during both construction and operation; and
- Protection of heritage assets during construction activities.

8.8 Scope of assessment

Spatial scope

8.8.1 All heritage assets, designated and undesignated within the defined study areas that may be affected by the proposals will be identified and assessed.

8.8.2 Within both the rural and metropolitan sections as defined, a study area will be set. This will allow identification and assessment of setting to be adequately considered. Within the maximum extent of the study only designated heritage assets of the highest significance as defined in PPS5 paragraph 9.1 will be identified and their setting assessed. Further assessment of Proposed Scheme impacts will be carried forward only for those heritage assets where the Proposed Scheme would impact upon the setting of the asset such that significance (archaeological, architectural, artistic or historic) would be affected.

Temporal scope

8.8.3 Within both the rural and metropolitan sections as defined, a study area will be set. This will allow identification and assessment of setting to be adequately considered. Within the maximum extent of the study only designated heritage assets of the highest significance as defined in NPPF paragraph 132 will be identified and their setting assessed. Further assessment of Proposed Scheme impacts will be carried forward only for those heritage assets where the Proposed Scheme would impact upon the

8.9.3 In May 2011 English Heritage published its guidance '*Seeing History in the View*' (2011a)⁴². The guidance which deals specifically with assessing impact upon heritage views and multiple assets contains a useful approach of baseline analysis and assessment of impact with a series of tables to assist in the process. More recently in 2011 English Heritage published its guidance on the Assessment of Setting which sets out an approach to the analysis and assessment of setting and its relationship to the heritage significance of an asset (English Heritage, *The Setting of Heritage Assets*, 2011b)⁴³.

8.9.4 Policy in respect of heritage assets is set out in NPPF.

Approach

8.9.5 The methodology set out in each of these documents can be summarised as follows:

- Identify the baseline assets and their setting;
- Assess the significance/value of the baseline assets and their setting;
- Identify and define the magnitude of impact and the significance of the effects;
- Identify any mitigation and or scope for mitigation; and
- Assess the development impact and its effect on the significance of the asset taking into consideration any mitigation proposed.

Assessment of significance – value of baseline assets

8.9.6 The significance of a heritage asset 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'. (Annex 2 Glossary). Assets can be designated or un-designated. Designated assets are so designated in accordance with national or international criteria (conservation areas are a regional designation) and have statutory protection. In assessing the significance of an asset English Heritage has outlined a number of values which contribute to overall significance. These include evidential, historical, aesthetic and communal value (Conservation Principles – Policies and Guidance for the Sustainable Management of the Historic Environment (2008))⁴⁴. Non-designated heritage assets may exhibit equivalent values to those which have been granted statutory protection.

⁴² English Heritage, 2011a, *Seeing History In The View; A Method For Assessing Heritage Significance Within Views*, English Heritage

⁴³ English Heritage, 2011b, *The Setting Of Heritage Assets, English Heritage Guidance*, English Heritage

⁴⁴ English Heritage, 2008, *Conservation Principles – Policies and Guidance for the Sustainable Management of the Historic Environment*, English Heritage

Significance (value)	Asset Categories
	modest quality. Historic Townscapes with historic integrity.
Not Significant	Assets identified as being of no historic, evidential, aesthetic or communal value. Assets whose values are compromised by poor preservation or survival or of contextual associations to justify inclusion into a higher grade.
Uncertain	Areas of identified archaeological potential, and areas not yet prospected.

Magnitude of impact

8.9.10 Development Impacts can be direct or indirect, and can be characterised in terms of timing, scale, duration, reversibility and the likelihood of the impact occurring. Impacts can be short, medium and long-term, permanent and temporary and can be positive or negative.

8.9.11 An impact can occur to the setting of a heritage asset such that significance is affected. Guidance on how to establish impact on an asset's significance is set out by English Heritage (2011a).

8.9.12 The magnitude of an impact can vary from 'High' to 'No change' as set out in Table 8 and can be beneficial or adverse.

Table 8 - Factors influencing the assessment of magnitude of impacts

Impact Rating	Description of Impact
High	Change such that the significance of the asset is totally altered or destroyed. Comprehensive change to setting affecting significance, resulting in changes in our ability to understand and appreciate the resource and its historical context and setting.
Moderate	Change such that the significance of the asset is affected. Changes such that the setting of the asset is noticeably different, affecting significance resulting in changes in our ability to understand and appreciate the resource and its historical context and setting.
Low	Change such that the significance of the asset is slightly affected. Changes to the setting that have a slight impact on significance resulting in changes in our ability to understand and appreciate the resource and its historical context and setting.
Minimal	Changes to the asset that hardly affect significance. Changes to the setting of an asset that have little effect on significance and no real change in our ability to understand and appreciate the resource and its historical context and setting.
No change	The development does not affect the significance of the asset. Changes to the setting do not affect the significance of the asset or our appreciation of it.

(such as the County Records Offices and Metropolitan Records Centres) will be available to the project teams.