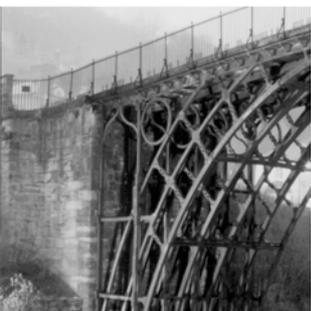
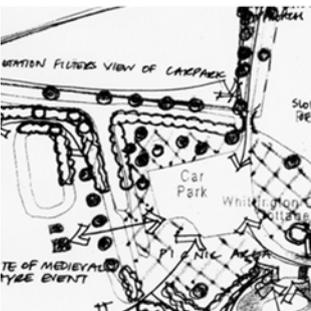
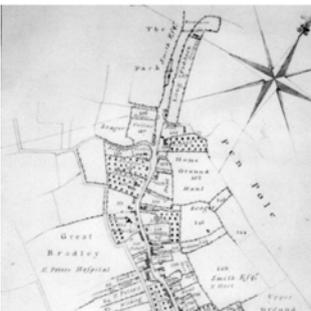
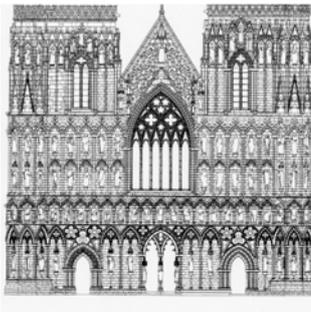
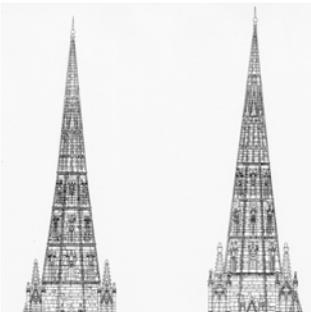
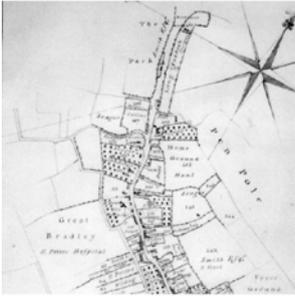


## Historic Environment Local Delivery Project Consolidated Report







## EXECUTIVE SUMMARY

### Introduction

This is a report on research undertaken on the provision of historic environment services by local authorities, as part of the Heritage Protection Review. The research was carried out by a team led by Atkins which included Gill Andrews Archaeological Consultant and London Metropolitan University. The report presents the findings, analysis, and conclusions developed by the consultant team. It is addressed to DCMS and English Heritage, the clients for the project. The brief was to address the feasibility and implications of implementing the HPR proposals in the context of the services currently delivered by historic environment professionals and others in local authorities. The research was carried out between October 2005 and January 2006. The methods comprised:

**Stage 1:** a literature survey on previous studies and research, which reported on activities, workload, and capacity of local authority archaeological and building conservation specialists, the mapping of tasks and skills of historic environment professionals, as well as models of best practice and performance management.

**Stage 2:** face-to-face and telephone interviews with individuals within local authorities and other organisations including elected councillors or senior officer responsible for performance management; archaeologists, historic buildings specialists, officers in parallel discipline such as planning or ecology, as well as a small number of individuals from English Heritage, the Department of Environment Food and Rural Affairs (Defra) and a regional development agency. 32 local authorities, drawn from 17 case study areas across England, took part and in total over 80

individuals were interviewed. The semi-structured interviews, using a set of open-ended questions, examined both the current situation and the implications of the Heritage Protection Review.

**Stage 3:** the development of a survey methodology to enable the regular capture of information on the care of the historic environment and the delivery of services by local authorities in England. Three models or options for survey were developed.

The detailed methods and results of the three stages of the project are presented in annexes 1, 2 and 3. The main body of the report summarises this information to

- develop an understanding of the arrangements by which the historic environment is currently supported and cared for at a local level
- assess the feasibility of the implementation of HPR within this context
- make some preliminary suggestions for refreshing the approach to service delivery

The development of the pan-authority survey is not further discussed in the main report, since this will form a later stage of the project. However Annex 3 includes a discussion of the issues and approaches to a survey and its implementation.



## Historic environment services today

### Current models of delivery

Arrangements for delivering services in support of the historic environment at the local level vary widely as a result of several decades of ad hoc changes and developments in professional remits, the planning system and local authority reorganisation.

In the two tier delivery model, typically, archaeological services are delivered at county level, within a department or directorate associated with planning and the management of physical change. Archaeologists are consulted on and make recommendations on planning applications, as well as strategic documents, using sophisticated information bases or Historic Environment Records (HERs). In addition, many undertake, to a greater or lesser degree, public outreach or community education. This service is delivered, often through Service Level Agreements to the district and sometimes unitary authorities within the county. Almost all districts rely on county level service for planning application issues associated with archaeology, including enforcement. However most employ one or more conservation specialists, who undertake a range of services, including development control, surveys of buildings at risk, advice to owners, designation and appraisals of conservation areas and heritage regeneration schemes. Some county Historic Environment teams include or work closely with historic buildings specialists. These teams are relatively large with advantages of capacity, a wide range of skills and expertise and a sub-regional overview, effectively operating as sub-regional resource teams. Conservation specialists at district level are often working in small teams or as singletons. However they tend to be fully engaged in the local community and many deliver physical change on the ground.

Many single tier authorities of unitary, metropolitan, borough and city councils, as well as National Parks Authorities, deliver joint archaeological and historic buildings service, providing 'whole-service delivery' for the care of the environment, sometimes including community outreach. However there were five single tier authorities in the survey sample in which archaeological services were delivered from a museum. Although less than in two tier arrangements, there is some sharing of skills and resources between councils in the single tier arrangement. The archaeological components of single tier teams tend to be smaller than those of the county services, but the conservation components tend to be larger than those of district councils.

Skill sharing and inter-trading between authorities for historic environment delivery is increasing, with many well-established arrangements and service level agreements. In general, archaeologists at county or sub-regional level 'sell' their services to districts or unitary authorities. Conservation specialists and districts 'buy-in' rather than sell services. The bulk of this inter-trading relates to planning responsibilities. Unique amongst the service providers surveyed in this research is the Built Environment Advisory and Management Service in Hertfordshire. Formed as a charity in the 1990s as a result of the outsourcing of county conservation services, BEAMS lies outside the local authority structure. It provides conservation services to a number of local district councils. Some larger and integrated teams have the capacity to involve themselves in the strategic development of, and delivery on, corporate objectives. During the case-study interviews, individuals at district and unitary authorities voiced most concern about a lack of opportunities for them to assist in delivery of wider agenda.



### **Staffing and capacity**

Surveys carried out by the Association of Local Government Archaeological Officers demonstrated a considerable increase in archaeological curatorial and contracting staff between 1997 and 2002, with county councils accounting for most of the archaeological staff employed by local authorities. A 2004 ALGAO survey confirmed this upward trend in the total of numbers of staff employed by the local authorities. 85% of authorities employed conservation staff, and those employing one or more staff accounted for 80% of the total, but 14% employed no specialist staff at all. Alongside an increase in numbers of archaeological staff, staffing levels for conservation appear to have remained static over recent years.

### **Directorate and departmental structures**

Almost all conservation services work within a service area associated with Planning, although within a variety of different sections including development control, planning policy and regeneration. Archaeological services sit variously in departments or directorates associated with planning, the museum service, an environmental department or community learning.

### **Activities**

Planning advice and contribution to development control is the primary service provided by historic environment professionals within local authorities. For archaeologists, these tasks comprise planning advice from pre-determination to post-determination, including consultation with developers, the production of briefs for studies and fieldwork, enforcement and site monitoring, casework associated with development by statutory undertakers, environmental schemes, and historic buildings. Conservation specialists undertake pre-application advice for listed

building and conservation area applications, vetting of incoming applications and advice to development control colleagues on these; conservation advice on other planning applications and proposals, processing of LBC/CAC applications, negotiation with applicants, enforcement and site visits, input to conservation area advisory committees, urban design advice, the preparation of briefs for historic building recording, parks & gardens advice, appeals and public inquiries, input into Diocesan Advisory Committees, and responses to ecclesiastical exemption notifications. Many historic environment services are required to contribute to local authority (LA) efficiency initiatives associated with the Planning Delivery Grant.

Very few historic environment professionals passively wait for colleagues and others to request their services. Both conservation specialists and archaeologists deliver support to the historic environment over and above pure planning or statutory responsibilities, frequently using entrepreneurial skills to draw funds to the authority. Many conservation specialists either lead, or are at the forefront of bidding for and delivery of, multi-funded regeneration or refurbishment projects for old buildings or the public realm. Many archaeologists bid for studies and initiatives funded by the Heritage Lottery, English Heritage, and even, on occasion, EU programmes. Through this funding, the size and capacity of a number of archaeology-led LA teams has risen. However, this is not the case for conservation-led teams, where the funding is spent on capital works or within the community. Both conservation and archaeological specialists regularly manage projects which cut across departmental structures and are able to mobilise partnerships, substantial amounts of funding, and working relationships within and beyond their authority.



The promotion of understanding and enjoyment of the historic environment is clearly embedded in the culture of historic environment services and very many officers undertake outreach tasks outside working hours. 75% of ALGAO members surveyed in 2004 reported that they had produced leaflets, posters or had undertaken press releases and the development of education packages.

Most conservation specialists are engaged in aspects of education and outreach to some degree or other, with 87% of respondents to the LACP survey giving 'walks and talks' to groups and local amenity societies and schools and college groups, as well as training or awareness raising to colleagues and decision makers, although on average they were able to devote only 5.1% of their time to these activities.

### **Engagement with and guidance to owners and developers**

There is a difference in the way that archaeologists and conservation specialists engage with owners and developers. Archaeological services and advice tends to be delivered to local authority colleagues, rather than direct to owners and developers. This is generally confined to the early stages of development schemes, although with the advent of initiatives such as Environmental Stewardship Schemes, archaeologists are increasingly becoming involved in the management of monuments and resources and the provision of advice to landowners and government bodies. For conservation specialists, engagement with owners and developers is often generally closer and more sustained throughout a development scheme and this is often proactive, associated with partnership, encouragement, and persuasion, particularly related to buildings at risk, bidding for external funding and grant aid schemes.

### **Historic Environment Records**

75% of districts do not maintain HERS but 80% of county councils do. However over 2/3 of authorities do not maintain an historic environment record which integrates information archaeology, historic buildings and landscapes.

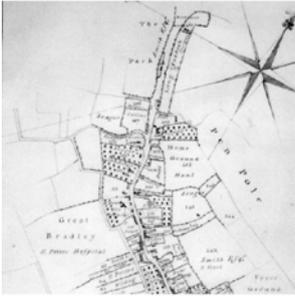
Archaeologists and conservation specialists differ in the way they work with information systems.

Archaeologists work regularly with and update HERs, Conservation officers rely on personal knowledge of the resource in their area through the course of their work, and tend not to work from a large database of information. New information acquired in the course of their conservation casework is not regularly fed in to HERs.

### **Performance management**

The historic environment sector has engaged in mapping the diversity of tasks carried out by local authority conservation services, and in developing standards and models of excellence. In one study 132 processes are identified and another tabulated 84 activities. These studies reflect the very wide range of duties and responsibilities which historic environment services have gradually accumulated.

There is no common suite of performance indicators which is in use by historic environment services but most do engage in performance assessment in some way. However, there appears to be no explicit or commonly used standard or minimum responsibilities to which historic environment services work. The models of excellence set by the historic environment professional bodies do not appear to be widely used in business planning or the setting of priorities.



## Relationships with others within Local Authorities

Historic Environment Champions or those responsible for performance management interviewed in the case-study research appeared to be well-informed, positive and enthusiastic about the contribution of the historic environment to wider corporate objectives, although some weighed up the instrumental benefits of the historic environment more critically. However for most respondents, the HPR proposals have not prompted them to consider a need for changes or reform of Historic Environment Services, although some see the opportunities for some greater integration of teams. There appears to be appetite for some kind reform or refreshment with regard to historic environment issues and small number of respondents in this group saw HPR as an opportunity for the authority to take control of their own heritage and perhaps to establish their own HER.

There is a great deal of interdepartmental working and cooperation between HES and other disciplines. Individuals from parallel disciplines, in those authorities where there was also a highly visible or effective head of historic environment service, were most articulate and positive about the relationship. The differences in the practices and skills between archaeologists and historic buildings specialists do not seem to be apparent or particularly significant to parallel disciplines, but some preferred to see archaeological and conservation specialists situated in the same department or a single team.

One or two authorities were already making the most of their conservation specialist resources by enhancing the skills of town planners with regard to the historic environment, thus breaking down or blurring of some professional boundaries and remits.

## General strengths and weaknesses in current service delivery

### Strengths

- There appears to be appetite at senior or member level within LAs for information and guidance on how to the use historic environment for public benefit and, in some cases, this is combined with a desire to see greater local control and decision-making
- Both archaeological and conservation services deliver important historic environment outcomes over and above their planning and development control functions. Many are delivered following a great deal of effort to secure external funds. For archaeologists, these tend to be associated with enhancing understanding through studies and characterisation. For conservation specialists, these outcomes result in practical change on the ground associated with heritage-led regeneration and bringing buildings back into beneficial use
- Although only a small sample was interviewed in the research, third party organisations, such as regional development agencies and others, appear to be engaged in using the historic environment to deliver their objectives, often associated with well-being and economic development and individuals within these organisations are lucid on benefits of heritage
- There is a growing number of teams in which historic buildings and archaeological specialists are integrated



- Historic environment teams in single tier authorities tend to be relatively young in terms of their formation, and it seems that the opportunity has been taken to re-think the delivery of historic environment services with greater mainstreaming of historic environment issues in the general planning and development process
- Very many historic environment professionals are engaged in and are committed to undertaking outreach and education and a small number are considering how this could be more focussed to better effect
- External advisory and scrutiny committees provide valuable support, direction and peer review for historic environment services
- The support of English Heritage is valued by all those involved in the management of the historic environment

### Weaknesses

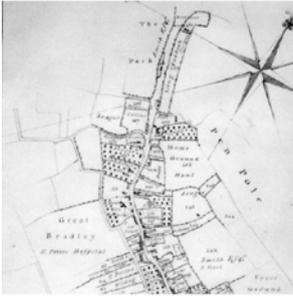
- Despite an apparent increase in the appreciation of the value of the historic environment, Members and senior LA officers appear to remain generally passive in their approach to enlisting heritage in the delivery of corporate and social objectives
- There is an underlying sense that LAs are not trusted by the heritage sector to care for the historic environment
- In areas of two tier authorities, it appears that district councils are not fully in the 'driving seat' in the management of their historic resource, particularly with regard to archaeology. There is a sense that the county-based services over-power the district level

- Also in the two tier arrangement, the management of the archaeological and historic built resources is more often than not separated. Conservation officers are often over-stretched and sometimes feel professionally isolated
- Archaeological services based in museums are in danger of becoming isolated services
- A great deal of effort is expended on public engagement and outreach but much of this work appears to be unfocussed and unevaluated in terms of audiences and outcomes
- The range of roles and tasks which historic environment services are both expected to carry out and have adopted as best practice is very wide. These tasks appear to have accumulated over the years without a comprehensive review of the purposes of historic environment services. The current frameworks of indicators, best practice and professional standards are not helpful in clarifying the remit of historic environment services within local authorities

### The Heritage Protection Review

The principal proposals of HPR are as follows:

- A new unified Register of Historic Sites and Buildings of England (RHSBE) to be held nationally. A local section of the RHSBE (the 'local list') and a register of 'at risk' monuments will be maintained by local authorities. The registers will bring together the full range of asset types, which currently are listed and scheduled separately
- A reformed heritage consent regime, which will unify the systems for all monument types and which will be administered at local authority level, with assistance from English Heritage



- Voluntary 'heritage partnership agreements' providing alternative management regimes for large, complex or particular assets. Local authorities will be engaged in the development, negotiation and administration of the agreements.
- New statutory requirements relating to Historic Environment Records. Local Authorities will be required to maintain or ensure that they have access to a HER that meets nationally defined standards

- Most LAs and many historic environment professionals already engage in community involvement and outreach and therefore possess most of the necessary skills. At the same time, many know community engagement to be time-consuming and fear that raised expectations might be disappointed through lack of resources to follow-through
- This proposal is an opportunity for closer working between disciplines and more explicit alignment of heritage issues with community socio-economic objectives

The research has identified a number of implications for implementing the proposals in the context of current delivery of historic environment services:

#### **The unified RHSBE**

- There is general enthusiasm for this proposal as a means of streamlining and unifying systems of designation and protection
- There is concern within the sector as to who will be responsible for the compilation and enhanced list descriptions. If it is to be the LAs, there are concerns about resources
- The general direction of the sector is moving towards an holistic view of the historic environment and the unified RHSBE will build on this

#### **The development of the 'local list'**

- Many in LAs, including elected council members and senior officers look forward to this as an opportunity for recognition of locally valued assets and community involvement
- Some historic environment specialists are nervous as to the type of asset that might be put forward without professional guidance or clear criteria

#### **Local Authorities as 'heritage consent gateways'**

- Some council members and senior LA officers see this as a means of bringing more decision-making within the remit of local authorities
- Some historic environment specialists do not trust their authority to care for the historic environment with sufficient resources or without political bias
- The addition of the administration of the equivalent of scheduled monument consent applications will not add significantly to the current workload
- Some authorities, particularly districts, do not currently have archaeological skills in-house. However, there is an established system of skill-sharing or inter-trading between authorities for historic environment services, particularly for archaeological services
- This proposal highlights the general separation between many archaeological and conservation services, in terms of culture, impact assessment techniques, and sometimes location. In some authorities there will need to be more joint working or concerted effort between conservation and archaeological specialists to ensure a coordinated approach



### Heritage Protection Agreements

- Many LAs are already practiced in managing historic places through agreements and negotiation with owners, particularly through conservation and world heritage site management plans and Environmental Stewardship schemes
- Management agreements are known to be time-consuming to develop and administer. This proposal may increase the workload of historic environment services and this may jeopardise the take-up of HPAs at a local level

### Statutory Historic Environment Records

- Most district and some other authorities do not maintain an HER. However, most of these already have access to an HER which covers their area, through an arrangement with another, usually county, authority
- A small number of district authorities who currently do not hold an HER, look forward to developing their own, as a means of further 'ownership' of their own heritage
- In general archaeological and conservation specialists differ in the way they engage with formal data systems and their management. Training and guidance on working with HERs for conservation specialists would enable them to benefit fully from this proposal

The headline conclusions for implementing HPR within the context of current service delivery are:

- The historic environment sector as a whole undertakes an extremely wide range of roles and tasks and so it comprises a similarly wide range of skills, expertise, experience and cultures

- The sector is engaged in the development, improvement and assessment of its services and outcomes
- The skills which are required by HPR are already in existence and are increasing within the local authority sector
- Most respondents interviewed in the survey felt unable to predict the exact impact of HPR but most were positive about the principles
- The proposals of HPR in themselves do not appear to necessitate radical re-organisation of current delivery models or department arrangements but most officers recognised the need for closer working between archaeologists and conservation specialists
- Many historic environment services, particularly conservation specialists at district level are over-stretched in terms of resources, but most service providers believe an increase in the burden resulting from the HPR proposals relates largely to the preparatory work, such as the development of the local section of the RHSBE, rather than the day to day working of the new system. The exception is the development of Heritage Protection Agreements, which are expected to be time-consuming and complex to administer
- The HPR proposals, for the most, part build on the practices and procedures of the best of historic environment services and practitioners. It seems that the general trajectory of the sector is leading towards an approach to the care of the historic environment which is promoted by HPR
- Taking into account the overall trajectory of the historic environment sector and assuming that skills enhancement is implemented, it appears that current service delivery does not substantially diverge from the aspirations of HPR and implementation of HPR will not necessitate radical changes to current models of delivery



## Issues and recommendations

There is a number of key issues and actions which should be addressed:

**Addressing professional skills gaps.** Many LAs, particularly district councils do not employ both archaeological and conservation skills. Local authorities will need to plan how they intend to access all the professional skills required to implement HPR, whether through recruitment, training or skill-sharing within and between authorities

**Closer working between archaeological and conservation specialists.** It will be essential to foster closer working relationships and a sense of common purpose between archaeology and conservation specialists, if an integrated approach to historic buildings, archaeology and historic landscapes is to be delivered.

**Skills and training.** Some historic environment professionals may need further training:

- enhancement of IT skills and the use of information bases and impact assessment tools for conservation specialists
- enhancement of skills with regard to community consultation, negotiation and close working with site owners, for archaeological specialists

**Enhancing the skills of other LA professionals.** The skills of other LA professionals (e.g. planners, urban designers, countryside managers) could be enlisted and enhanced in order to mitigate increased workloads relating to the care of the historic environment, thereby also 'mainstreaming' historic environment issues within their work.

**Resources to prepare for implementation.** Many elements of the HPR proposals will entail strategic planning on the part of LAs and possible front-loading of resources to ensure timely implementation of the new system. Consideration should be given to the development of a funding mechanism to encourage the enhancement of skills and capacity within historic environment services, in preparation for the implementation of HPR.

**The location of Historic Environment Records** Technological developments and changing attitudes towards access, mean that 'ownership' of HERs need not necessarily reside with a single authority. The extent to which the existing network of HERs can respond adequately to the devolutionary principles of HPR should be addressed.

**Historic building information on Historic Environment Records.** Local authorities will need to address how historic buildings information is to be included in HERS.

**Management of HE Information within LA Information Systems.** The relationship between HERs and other local government information systems should be explored, to ensure integration with new LA workflow management and document handling systems.

**Implications for English Heritage.** The research has highlighted a number of issues and opportunities for EH:

- The 'policing' role sometimes adopted by EH may be delaying the assumption of full responsibility for the historic environment on the part of local authorities



- There appeared to be no overwhelming appreciation or use of the HELM initiative within LAs
- The championing literature produced by EH and the heritage sector appears not be wholly useful to decision-makers outside the sector, in terms of impartial evidence or practical guidance
- There is concern and uncertainty about the role and support English Heritage will provide in the future at local level
- There may need to be a clearer split between the protection and championing functions of EH at local or project level

**Clarity of the HPR message.** There is still uncertainty regarding many of the HPR proposals and the division of responsibilities between LAs and EH for their implementation. A clear statement is required, setting out the mechanisms and details of implementation, with sources of guidance and support to assist local authorities in moving towards HPR.

**Direct dialogue with CEO level:** Interviews with officers responsible for performance management within authorities indicated that there is an appetite for reform with regard to historic environment issues. There is a real opportunity to promote and implement HPR through direct dialogue with local authorities at CEO level.

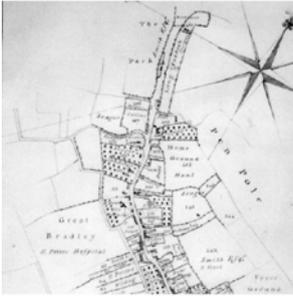
**The duties and remit of LAs with regard to the Historic Environment.** Despite previous work on mapping the activities and skills and the development of models of excellence, there has not been a wide-ranging review or examination of what local authority historic environment professionals should and, just as importantly, should not be doing. One of the key findings of the research is the uncertainty as to the

responsibilities and remit of Local Authorities and their historic environment professionals. This has resulted in an inability to determine whether authorities are delivering a good service and what the appropriate arrangements, skills and capacity for delivering a good service should be. There needs to be a review and clarification of the remit and outcomes of historic environment service delivery. It should take into account the requirements of HPR and a developed set of baseline responsibilities should be used to establish measures of performance. The review should be undertaken within the context of LA core services and the new frameworks for strategic and community planning. It should also be informed by consultation with elected members or senior officers within local authorities and others, such as regional development agencies.

### **Refreshing the delivery of historic environment services**

The HPR Local Delivery Project has raised a number of fundamental issues and provides a once-in-a-generation opportunity to review the delivery of historic environment services by local authorities. In the light of the study, particularly the case study interviews, as well as the aspirations of HPR, a number of essential factors for a refreshed delivery of historic environment services can be identified:

- Districts and unitary authorities should be the drivers of the management of their heritage, even where there is a county council historic environment service
- Councils should be both trusted and empowered to manage their historic environment appropriately and positively



- The clarification of the functions of historic environment services should be guided by the twin public sector roles of a) ensuring the protection and conservation of the historic environment and b) ensuring public benefit from the historic environment
- Local authorities should be able to draw upon support as and when needed, including specialist expertise and capacity, enabling them to respond to opportunities, as well as the fluctuating needs for resources, and to new initiatives

- social or well-being objectives, for example through education, community engagement and inclusion in cross-cutting initiatives – possibly sitting in policy, community or culture directorates
- Heritage regeneration officer – specialist in exploiting the historic environment to deliver economic objectives, including heritage-led regeneration, initiating multi-funded capital works such as refurbishment or heritage tourism initiatives, project management etc – probably sitting in regeneration directorates

A new model of LA historic environment service delivery might comprise the following four elements:

**1 Achieving ownership by the Local Authorities**

- through the development of a clear understanding of the remit and obligations of LAs with regard to the historic environment, monitored through Public Service Agreements (PSAs) or other performance measures.

**2 Delivering local objectives** – through devolving the responsibility of management and championing of the historic environment to district and unitary authorities within the context of their corporate purposes and objectives, as well as through the re-focussing of the roles of local authority historic environment professionals. It is suggested that three types of local authority historic environment professionals should replace the traditional distinction between archaeological and conservation specialists:

- Historic environment officer – specialist generalist dealing with frontline planning and management of change, including development control and monument management, for all asset types – probably sitting in planning directorates
- Heritage community officer - specialist in exploiting the historic environment to deliver

**3 – Achieving capacity to deliver** - through the establishment of sub-regional historic environment specialist resource organisations, at arms-length from but geared to supporting and supplying services, resources, and specialist expertise to local authority clients.

**4 - Achieving best practice and overview** - through the establishment of sub-regional historic environment committees to provide independent, local and academic peer review, sub-regional overview, and to provide input of local interest, volunteer and community groups, universities and others.



# Historic Environment Services Local Delivery Project

## Final Report

JOB NUMBER: 5039905.1595.001			DOCUMENT REF: HPR Report 013acpRev00 Final Report.doc			
00		AP	JAM		AP/JAM	25/10/06
		Originated	Checked	Reviewed	Authorised	Date
Revision	Purpose Description	<b>ATKINS</b>				

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# 1. INTRODUCTION

## 1.1 This document

1.1.1 By 2010 the government aims to have established fundamental reform of the system of heritage protection to make it simpler, more flexible and accountable. The purpose is to protect historic assets while enabling them to be better understood and managed. This is a report on research undertaken on the current provision of historic environment services by local authorities, as part of the Heritage Protection Review being carried out jointly by the Department of Culture, Media and Sport (DCMS) and English Heritage (EH). The main body of the report summarises the findings and presents conclusions in the context of a number of key research themes. The detailed methods and data of each stage of research are presented as annexes, allowing the reader to further explore the considerable information which the project was able to elicit.

1.1.2 This report presents the findings, analysis and conclusions developed by the consultant team. It is addressed to DCMS and English Heritage, the clients for the project. The research was carried out between October 2005 and January 2006. The consultant team comprised:

- Janet Miller      Head of Heritage, Atkins
- Gill Andrews      Archaeological Consultant
- Steve Shaw      Director, Transport Research and Consultancy Centre, Cities Institute, London Metropolitan University
- Sue Bagwell      Local Economic Development and Regeneration specialist, Research Development Manager, Cities Institute, London Metropolitan University
- Emma Newman      Regeneration and Community Consultation specialist, Atkins
- Angela Poulter      Heritage Consultant, Atkins

## 1.2 The brief and scope of the research

1.2.1 The brief was to explore each of the following research themes:

- What services are currently delivered by historic environment professionals in local authorities?
- How are these services delivered and (where relevant) to what extent does provision diverge from HPR requirements?
- Can the strengths and weaknesses of current models of provision inform the HPR?
- How are authorities performing against existing heritage BVPI indicators and proposed CPA measures?
- How will HPR impact on other aspects of public service delivery relating to the historic, built and natural environment, including cross-cutting agenda such as education and outreach?
- Recognising the different contexts in which local services operate, is it possible to identify generic criteria (including organisational models) that are pre-requisites for effective and efficient delivery against these varied agenda?
- What would be the likely implications (including resources and skills issues) of recreating these conditions across all English authorities and how might such changes be achieved and sustained?
- How effective are the local capacity building/awareness raising programmes managed by English Heritage and what are the implications for the way that English Heritage engages with local authorities in the future?

1.2.2 These themes were to be addressed by means of a literature survey on previous studies and research, interviews with local authority individuals and others to elicit qualitative information on the way in which services are provided, as well as the development of a survey mechanism to permit annual capture of data on provision and performance.

1.2.3 Although heritage is increasingly understood in its widest sense, incorporating culture, traditions and museum collections, the scope of the research was limited to the archaeology, historic buildings and landscapes, and historic environment record functions of local authorities, collectively referred to as 'historic environment services' (HES). These services provide conservation and archaeological planning, bidding for external funds, regeneration project management, as well as education and outreach services.

### 1.3 Abbreviations

1.3.1 The following abbreviations are used:

ALGAO	Association of Local Government Archaeological Officers
AAP	Area Action Plan

BAR	Buildings at risk
BVPI	Best Value Performance Indicator
BVPP	Best Value Performance Plan
CA	Conservation Area
CPA	Comprehensive Performance Assessment
Defra	Department of Environment, Food and Rural Affairs
EH	English Heritage
IHBC	Institute of Historic Buildings Conservation
HE	Historic Environment
HEC	Historic Environment Champion
HEF	Historic Environment Forum
HER	Historic Environment Record
HES	Historic Environment Service
HPA	Heritage Protection Agreements
HPR	Heritage Protection Review
KPI	Key Performance Indicator
LAA	Local Area Agreement
LA	Local authority
LB	Listed building
LBC	Listed Building Consent
LDF	Local Development Framework
LSP	Local Strategic Partnerships
MBC	Metropolitan Borough Council
NPA	National Parks Authority
PI	Performance Indicator
RDA	Regional Development Agency
SAM	Scheduled Ancient Monument
SMC	Scheduled Monument Consent
SLA	Service Level Agreement
SMR	Sites and Monuments Record
UAD	Urban Archaeological Database

## **1.4 Acknowledgements**

1.4.1 Interviews or meetings were held with over 80 individuals during the research. Many interviewees gave over two hours of their time and some travelled to do so. In addition, for each case study area, one local authority individual helped to identify suitable candidates and coordinated the logistics of the meetings. All are thanked for their help, kindness and hospitality.

## 2. METHODS

### 2.1 Stage 1 Literature review

2.1.1 The first stage of the project comprised a literature survey which reviewed previous studies of local authority historic environment services, with the intention of:

- mapping the range of services currently provided by local authorities at community, local and regional level, identifying user expectations and assessing English Heritage's engagement with local authorities
- assessing the research methodologies employed and reviewing conclusions and recommendations relating to local service delivery
- informing the scope and methodology of stages 2 and 3 of the research

2.1.2 Previous studies have addressed workload and capacity within the sector, including trends. Some work has also mapped the tasks and skills of historic environment professionals and this has included the development of models of best practice and excellence, as well as performance management. The principal studies comprise:

***ALGAO 2003, Planning and Conservation Casework Survey 1997-1999.***

This reported on the first three surveys undertaken by the Association of Local Government Archaeological Officers on planning and casework. Initiated in order to assess and monitor the impact of PPG 16 on the planning process and the caseload of local government officers, the questionnaire survey collected information on staffing levels, curatorial practice and decision making associated with planning archaeology and building recording, and also on the workload of local government archaeological officers in relation to consultation on agri-environmental schemes. Curatorial staff working on SMRs, education and outreach, and fieldwork were not included. There was a response rate of 75-91% over the three years, but a significant lack of response from ALGAO members in eight of the nine Government regions meant that no valid regional analysis could be carried out.

***ALGAO 2003, Archaeological Services in Local Government Survey Report 2000.***

This questionnaire survey aimed to up-date and monitor change since the 1997 survey on staffing. It considered trends in the ratio of temporary and permanent curatorial and contract staff, external funding for

such posts, the impact of local government reorganisation, awareness of guidance regarding reorganisation and experience of Best Value reviews. The survey also provided a broader picture of where archaeological services sat within local authorities and of the range of roles carried out by archaeologists, as well as charting experiences, perceptions and anticipation of change, national guidance and inspection regimes.

**Grover, P., Thomas, M. & Smith, P. 2000 *Local Authority Practice and PPG15: Information and Effectiveness*** This telephone survey was undertaken following the recognition of the lack of comparable research on staffing, casework and resources for historic environment and historic building conservation specialists within local authorities. The aim was to examine current practice amongst local authority conservation officers with regard to listed building and conservation area applications, in the light of Best Value assessment, as well as to understand the processes and efficiency of the decision making.

**Grover, P., Viner D., Smith P. & Grover, H. 2003 *Local Authority Conservation Provision in England: research project into staffing, casework and resource (the 'LACP' report)***. This comprehensive questionnaire and telephone survey aimed for a fuller understanding of conservation services, their staff numbers and trend data on the nature and extent of workload and resources, as well as the quality of management of historic environment assets. The survey paralleled those of archaeological services to enable the development of a picture of the historic environment sector as a whole. In addition to quantitative data, the survey also captured some qualitative information on the perceptions of conservation specialists with regard to their service and relations with other local authority departments.

**Chitty, G. & Baker, D. 2002, *Heritage Under Pressure ('HUP')***. This was a rapid study of resources for the management of the historic environment within the planning system in English local authorities, in the context of government review of resources for planning authorities and the publication of the Green Paper *Planning: Delivering Fundamental Change* in December 2001. The survey addressed local authority historic environment services as a whole and gathered statistics on local expenditure on these services to identify indicators of the scale of current resourcing and the quality of conservation services. The survey was carried out in anticipation of future change, rather than primarily monitoring the impact of structural or policy changes already implemented. The study collated existing data, largely from national statistics – DTLR statistics on planning applications for listed building consent and conservation area consent, Chartered Institute of Public Finance and Accountancy (CIPFA) statistics on local authority expenditure and resources for historic environment conservation, and from Heritage Monitor. HUP gives a broad picture of national, regional and local resources and

funding, of the range of services, standards, expertises and information management across England.

**The Paul Drury Partnership, 2003 *Managing Local Authority Heritage Assets: some guiding principles for decision-makers.*** This provided guiding principles for decision-makers managing local authority heritage assets.

**ALGAO and IHBC, 2004 *Local Performance Indicators for Historic Environment Services.*** This proposed a suite of local performance indicators as part of a project to develop a framework for performance assessment and it includes statutory and non-statutory service activities.

**Baker, D. & Chitty, G. 2004 *Moving Towards Excellence: a performance improvement matrix for historic environment services.*** This explored and modelled tools for performance improvement for historic environment services and suggested indicators by which to measure the quality of service provision.

**Eydmann, S. & Swanson, C. 2005, *Local Authority Involvement in the Historic Environment.*** This study further mapped the diversity of tasks carried out by local authority conservation services.

2.1.3 The remit of previous surveys has been the provision of information on current situations, current service staffing, workload and resources. Regularly, they have been conducted to assess the impact on decision-making processes and on service delivery of legislative and organisational changes, particularly in relation to planning and local government structures, after these changes have occurred. Some have been conducted with the understanding that the information they provide may inform how government aspirations for change can be implemented.

## 2.2 Stage 2 - Case Study Research

2.2.1 Stage 2 consisted of face-to-face and telephone interviews with officers within local authorities and other organisations. The aim was to build on the quantitative information provided by previous surveys, by eliciting qualitative information on the current profile and delivery of Historic Environment Services and the perceptions of a range of individuals who work to manage or support the historic environment at the local level. An assemblage of 17 case studies was devised by the client team in order to ensure inclusion of all types of local authority, participation of both archaeological and historic buildings services, 'traditional' and 'alternative' models of provision, geographical coverage of the English regions, urban and rural contexts, varying concentrations of historic assets and to allow the exploration of relationships between neighbouring or partnering local authorities. The case study areas were:

- 1: Birmingham & Dudley
- 2: Bradford, Calderdale, Kirklees, Leeds, Wakefield
- 3: Cambridgeshire, Cambridge City, East Cambridgeshire, Huntingdon, South Cambridgeshire
- 4: Cheshire, Chester, Macclesfield, Congleton
- 5: Cornwall, Carradon, Carrick, Kerrier, North Cornwall, Penwith, Restormel, Isles of Scilly
- 6: Essex & Southend on Sea
- 7: Herefordshire, Worcestershire, Worcester City, Wyre Forest
- 8: Hertfordshire
- 9: Newcastle-upon-Tyne, Gateshead, North Tyneside, South Tyneside, Sunderland
- 10: Nottingham
- 11: Peak District National Park
- 12: Stoke-on-Trent
- 13: West Berkshire
- 14: West Sussex
- 15: Winchester
- 16: Yorkshire Dales National Park
- 17: Liverpool/Merseyside

2.2.1 Individuals from a total of 32 local authorities were interviewed between October and December 2005. In order to capture a range of perspectives, from each case study at least four individuals were interviewed:

- An elected councillor, ideally the Historic Environment Champion. Where this was not possible, a senior officer responsible for performance management within the authority.
- Two Historic Environment specialists, ensuring that for each case study both archaeology and historic buildings specialists were represented and that there was coverage where possible across the range of authority types involved
- A specialist working in a parallel discipline, such as planning, ecology, or countryside management

2.2.2 In addition, in order to gain a range of external, regional perspectives on the delivery of HE services, and to explore relationships between this delivery and other public initiatives, particularly the care of the natural environment and social and economic regeneration, individuals were interviewed from some regional offices of English Heritage, the Department of Environment Food and Rural Affairs

(Defra) and a regional development agency. Meetings were also held with a range of other individuals representing public and professional stakeholders, including individuals on the project steering group.

2.2.3 The interviews were semi-structured and were undertaken according to questionnaires specially developed for the project, in consultation with the client team. Questions examined both the current situation and the implications of the Heritage Protection Review.

## **2.3 Stage 3 - Development of a pan-authority survey instrument**

2.3.1 Stage 3 explored the development of a survey methodology to enable the regular capture of information on the care of the historic environment and the delivery of services by local authorities in England. This stage addressed the scope and techniques of previous surveys, the issues to be considered in the formulation of a new survey methodology and the data content of the new survey and techniques of data collection. Three models or options for survey were developed.

2.3.2 Model One aimed to:

- conform to the suggested model in Appendix 1 of the project brief, with sections on capacity and resources; management of the historic environment; and quality of services
- consolidate formerly separate ALGAO and IHBC surveys of archaeological and conservation provision
- be compatible where possible with earlier IHBC and ALGAO surveys, in order to permit time-series analysis
- capture the full spectrum of services delivered by historic environment professionals, in the context of other key government wider agenda and targets
- understand the implications of HPR and progress towards implementation of such reforms
- begin to measure outcomes and quality in historic environment delivery

2.3.3 Model Two aimed to streamline the comprehensive detail proposed in Model One by focussing on

- Services delivered
- Capacity to deliver
- Historic Environment and Community outcomes

- Quality of delivery and service
- Progress towards implementation of HPR

2.3.4 Model Three aimed to further refine the objectives of data collection, focussing on Historic Environment outcomes, identifying measurable indicators of success and good performance. This model would:

- focus on a succinct set of questions and key indicators
- allow for assessment of the success of HE services delivery as a whole, without collecting an unnecessary mass of data
- align with overarching government priorities and cross-cutting themes, such as sustainability and social inclusion

## **2.4 Reporting**

2.4.1 Annexes 1, 2 and 3 present the detailed methods and results of the three stages of the project. Sections 3 and 4 of this report use the findings in order first to develop an understanding of how the historic environment is currently supported and cared for at a local level and second to assess the feasibility of the implementation of HPR within this context.

2.4.2 It is important to understand that the Stage 2 case-study research was an information-gathering rather than a consultation exercise. Moreover, given the semi-structured nature of the interviews and consequent variety and complexity of the responses, it is important to recognise that this cannot be used as quantitative data. However, it provides important information on both broad patterns and incipient trends in the way in which historic environment services are delivered. Sections 3 and 4 of this report present and discuss the patterns and trends but the reader is encouraged to refer to Annexes 1 and 2, which summarise and analyse the literature and primary interview information from which they have been derived.

2.4.3 The development of the pan-authority survey is not further discussed in the main body of report, since this will form a later stage of the project. However Annex 3 includes a discussion of the issues and approaches to a survey and its implementation.

## **3. HISTORIC ENVIRONMENT SERVICES TODAY**

### **3.1 Introduction**

3.1.1 This section first presents a summary of information from previous surveys on the activities, capacity and organisational structures which characterise local authority historic environment services today. This is followed by a summary of the information gained from the case-study research interviews with local authority and other individuals.

### **3.2 Information from previous surveys**

#### *Activities - Development Control*

3.2.1 Surveys of both archaeologists and conservation specialists are most useful in identifying the range of tasks undertaken by HES providers and the proportion of their workload that these tasks comprise. The surveys indicate that planning advice and contribution to development control is the primary service provided by HE professionals within local authorities (although it is worth noting the variability found in LACP statistics – in 4 authorities conservation staff spent less than 5% of their time on development control and in 6 cases they spent more than 95%).

3.2.2 For archaeologists, these tasks comprise planning advice from pre-determination to post-determination, including consultation with developers, the production of briefs for studies and fieldwork, enforcement and site monitoring, casework associated with development by statutory undertakers, and environmental schemes - such as Woodland Grant Schemes and Stewardship and Environmentally Sensitive Areas (now replaced by the Environmental Stewardship Scheme) - and historic buildings.

3.2.3 A detailed picture of development control tasks undertaken by conservation specialists is provided by the LACP project. They include pre-application advice for listed building and conservation area applications, vetting of incoming applications, advice to development control colleagues on, conservation advice on other planning applications and proposals, processing of LBC/CAC applications, negotiation with applicants, enforcement and site visits, input to conservation area advisory committees, urban design advice, the preparation of briefs for historic building recording, parks & gardens advice, appeals and public inquiries, input into Diocesan Advisory Committees and responses to ecclesiastical exemption notifications. The activities of archaeological and conservation specialists within local authorities often overlap.

3.2.4 The LACP survey indicated that conservation specialists spent 53% of their time responding to applications and working on development control. ALGAO figures indicate that the planning workload of local authority archaeological services has increased significantly between 1999 and 2003, with a 53% rise in planning applications with archaeological implications and a corresponding 50% increase in project briefs issued. Although based on different kinds of discussion and statistics again, this general picture of an increasing development control workload is supported by the HUP study, which suggests that 75% of all planning applications and casework directly concern historic environment conservation matters, taking together archaeological, historic, building, conservation area and related casework.

### *Activities - Care of the Resource*

3.2.5 In addition to statutory duties associated with control of works to historic buildings, conservation specialists also undertake a considerable number of tasks associated with the general care and enhancement of historic buildings and the public realm. The LACP report lists tasks associated with

- Buildings at risk surveys & updates
- Follow up on BAR action (advice to owners/enabling)
- Repair/urgent works action (including CPO & direct works)
- Supporting work of building preservation trusts
- Advice to owners on repairs and maintenance
- Grant aid
- Preparing bids for external funding
- Conservation area enhancement
- Building recording/analysis/research
- Maintaining historic environment records
- Advice on care of LA owned buildings (asset management)
- Dealing with spot listing cases
- Establishing Article 4 directions in historic areas
- Annual 'State of the historic environment' report

3.2.6 On average, conservation staff spent 22% of their time on this general care of the resource.

3.2.7 The identification of these general tasks from previous surveys of archaeological work is not easy as they have tended to be obscured behind headings such as 'other curatorial work' and 'contractual work' (the latter relating to fieldwork and other commissioned projects). However, the maintenance of historic environment records is clearly considered to be an important role of local authority archaeological services. In 2000, 41.7 out of 133.4 staff at county level; 5.1 out of 20.4 in district councils; 16.7 out of 64.8 in unitary authorities, 1.5 out of 13.0 with National Park Authorities were devoted to the these tasks. Between 1997 and 2000 the number of authorities holding historic environment records had risen from 63 to 84. In the same period the number of urban archaeological databases had risen from 10 to 18.

### *Activities – Championing, outreach and community activities*

3.2.8 Activities of historic environment specialists with regard to championing, outreach and educational services have not been addressed to any great extent in previous surveys. However, most conservation specialists do appear to be engaged in aspects of education and outreach to some degree or other, with 87% of respondents to the LACP survey giving 'walks and talks' to groups and local amenities and 80% preparing promotional material. 44% provided talks and information to schools and college groups. However, on average, conservation specialists were able to devote only 5.1% of their time to these activities. In addition 45% of conservation specialists undertook some training of other colleagues and 33% provided awareness-raising to councillors.

3.2.9 Regarding education, access and promotion, ALGAO's Strategy 2001-6 seeks to encourage the development of capacity within local authority historic environment services to support heritage education, access and community development. 75% of ALGAO members surveyed in 2004 reported that they had produced leaflets, posters or had undertaken press releases. 14 out of the 91 surveyed were involved in producing education packages, 74 producing exhibitions, 57% conducting guided walks, 81% giving talks to local societies and over 33% undertaking community events. However there is little further information in terms of time and financial resources, funding sources, as well as the strategies, initiatives or policies which guide these activities.

### *Engagement with and guidance to owners and developers*

3.2.10 Archaeological services and advice tends to be delivered to local authority colleagues, rather than direct to owners and developers and as this most often relates to the provision of information for planning decisions, it is most often reactive rather than proactive. However it is clear that the principles of PPG 16 are being successfully implemented and so archaeologists are increasingly involved in advance consultations, particularly with utility developments such as roads,

railways, pipelines and cables, which fall outside the remit of formal planning law. The nature of the archaeological resource, and the need to investigate and record it before disturbance, also means that, in general, archaeological activities tend to be confined to the early stages of development schemes. However, in the context of grant-aid schemes such as Countryside Stewardship and Environmentally Sensitive Areas (now replaced by the Environmental Stewardship Scheme), archaeologists are increasingly becoming involved in the management of monuments and resources and the provision of advice to landowners and government bodies.

3.2.11 For conservation specialists, engagement with owners and developers is often generally closer and more sustained throughout a development scheme. This is inevitable since, in contrast with archaeological resources, which often must be recorded and removed prior to development, it is often the historic buildings or places which are themselves the subject of development or modification. However conservation specialist engagement with owners and developers is also more often proactive, and is associated with partnership, encouragement and persuasion, particularly related to buildings at risk, bidding for external funding and grant aid schemes. The LACP report surveyed the extent to which LAs were involved in jointly funded or partnership grant programmes, such as Heritage Economic Regeneration Schemes and Townscape Heritage Initiatives. Out of 250 responses to these questions, 49% were managing these partnership programmes.

3.2.12 Conservation specialists are also involved in management agreements between local authorities and owners regarding the care and management of complex sites and buildings.

### *Contribution to strategies, policies and other LA wide planning and objectives*

3.2.13 Surveys have addressed the contribution of conservation and archaeological specialists to local authority wider initiatives, strategies and policies. The LACP report provides percentage figures of conservation specialists who normally undertake such work, and trends over three years. Conservation specialists on average spent 10-30% of their time on contributing to statutory development plans, conservation policy, conservation plans, development briefs for historic areas, conservation area regeneration strategies; cultural strategies; community strategies; the development of best practice/performance standards (e.g. Best Value), responses to government consultation on emerging legislation and management/business plans, although the trend is slightly downwards. 93% of conservation specialists provided input to statutory development plans and other policy such as supplementary planning guidance. 52% indicate that they contributed to cultural strategies, whilst only just over 33% contributed to community strategies.

3.2.14 For archaeological specialists, ALGAO planning and casework surveys demonstrate their contribution to strategic consultations on local plans, conservation area assessments and development briefs. However, in addition the HUP report, in the section on Policy and Development Plans, also highlights the introduction of new information tools and sources by archaeological specialists to aid long-term planning for the historic environment. These include Historic Landscape Characterisations, regional research frameworks, Urban Archaeology Strategies, and Extensive Urban Surveys.

### *Staff Numbers & Skills*

3.2.15 The ALGAO surveys demonstrated a considerable increase in archaeological curatorial and contracting staff between 1997 and 2002. In 2000, the average complement of permanent and temporary staff per responding authority was 3.5 and 1.5 respectively, although there was a significant minority of authorities with only 1 or 2 members of staff and could not provide a full range of archaeological services. In general, unitary authorities accounted for most of the gains in permanent curatorial staff but county councils accounted for most of the archaeological staff employed by local authorities. The 2004 ALGAO survey indicated an upward trend in the total of numbers of staff employed by the local authorities.

3.2.16 For conservation specialists the LACP survey found an average of the equivalent of 1.7 staff per responding authority, although there are significant variations in numbers of staff between different categories and tiers of authority. 85% of authorities employed conservation staff, and those employing one or more staff accounted for 80% of the total, but 14% employed no specialist staff at all.

3.2.17 Thus ALGAO figures seem to suggest an increase in numbers of archaeological staff and the LACP project reports that staffing levels for conservation appear to have remained static over the preceding three years. The HUP report claimed that local authority historic environment staff costs fell by 10% in real terms between 1996 and 2000, although it may be that the increase in the use of external funding for staff posts in part explains this trend.

3.2.18 The ALGAO surveys did not address nor map skills employed within the local authority archaeology sector. However The LACP project reported on the skills, qualifications and salaries of the range of conservation specialists. It demonstrated that specialists came from a wide range of professional backgrounds, including town planning and architecture and that the range of activities undertaken by specialists indicates the wide diversity of skills required.

3.2.19 Recent research has further mapped the diversity of tasks carried out by local authority conservation services. *Moving Towards Excellence – a*

*performance matrix for Historic Environment Services* (Baker D and Chitty G 2004) is a model of the range of responsibilities and duties of authorities aspiring to excellence in the care and support of the historic environment, following the matrix tool developed by the Planning Officers Society (2003). Taking into account current thinking about the role of the historic environment as well as best practice, the matrix identifies critical factors which are essential to excellent performance grouped under the headings of Effective Stewardship; realising Cultural, Social and Economic Value; Requiring and Persuading; Clarity and Consistency of advice; Integrated Service; Resources; Management; Influence; and Accessibility of service. Under these headings, 132 processes are identified, ranging from the development of policies to dealing with consultations and complaints. Key indicators and qualitative measures are set out. *Local Authority Involvement in the Historic Environment* (Eydmann S and Swanson C 2005) tabulates 84 activities, under the headings of Information, Policy, Management, Implementation and Promotion currently undertaken by councils in Scotland (but almost certainly replicated in England) in support of the historic environment, as a means of illustrating the full scope and responsibilities, as well to form a possible basis of professional standards and performance assessment. Both studies stress that few councils currently or are likely to undertake all of the activities identified but that the lists might form important tools in the development and improvement of services. These studies reflect the very wide range of duties and responsibilities which historic environment services have gradually accumulated.

### *Funding and funding sources*

3.2.20 The financial resources available to support the historic environment at a local level are raised as a topic of considerable concern in much of the literature reviewed. A general decline of financial resources and of local authority expenditure on HES is agreed upon, even if surveys and research have not always been able to illustrate this in a comprehensive way or with entirely reliable data. CIPFA figures indicate that spending on conservation services has remained static, equating to a downward trend in real terms. This reflects the findings of HUP, looking at CIPFA statistics for 1996/7 to 1999/2000 and indicated a generally flat profile on planning services over the last five years despite increasing workloads. HUP estimates that local planning authorities net expenditure on historic environment conservation has declined by 8% in real terms over the last five years and, as mentioned above, that spending on staff costs had also declined by 10% during the same period.

3.2.21 Funding for historic environment services from beyond the LA itself was also considered by the literature under review. While HUP figures (3.21) suggest that EH's conservation grant expenditure had dropped by 23% since 1996, nonetheless ALGAO's update summary (2003c) particularly recognises the continuing important role of EH in funding posts in local authorities. In 2000, 25% of archaeological services reported that they had received funding from EH as

part of their programme of 'pump-priming' new posts to encourage the take up of new initiatives or to address strategic policy developments, such as countryside advisor posts related to agri-environment schemes.

3.2.22 It appears from previous surveys that external support from EH, and from other LAs for core posts occurred most regularly at county council level. 28% of Unitary authorities, 25% National Parks, 21% of districts were recorded as buying in curatorial services, while only 6% of counties did. The LACP report indicated that for those authorities not employing their own in-house specialists, county councils were the largest providers of advice (42%) and after that, external consultants (30%). Moreover the rise in the number of externally funded posts may mask a decline in overall staffing.

3.2.23 There are new sources of grant aid from European programmes, Heritage Lottery Fund, agri-environmental schemes and environmental enhancement programmes but they tend to facilitate extra work, new initiatives or capital projects, rather than supporting core services. It seems that for local authorities where core resources are fully stretched, opportunities for leveraging in this funding often cannot be taken without distorting the delivery of primary statutory services.

#### *HERs and other IT resources*

3.2.24 Local authorities maintain a range of information resources which support the conservation of the historic environment, including historic environment records, lists of locally valued or designated historic buildings, conservation areas, historic parks & gardens and battlefields, databases for urban archaeology and historic landscapes, registers of Buildings at Risk, and information regarding strategic policy development and education. It is also clear that there is considerable variation in the existence and quality of these and of the way in which archaeologists and conservation officers work with them.

3.2.25 Maintenance and enhancement of HERs has long featured as one of the key roles of local government alongside work on planning and development control. However research carried out by David Baker (2002) and Oxford Brookes University in 2000, both indicate that information management by conservation services is a serious concern. At the time, between 50% and 75% of all local authorities had no specialised information resources to support their conservation work on historic buildings. Systems examined by Baker mainly comprised photographic collections, with the retention or availability of documentary material consistently weak. Information collected as part of a LBC/CAC application or supplied as a condition of consent was kept for less than 2 years in some cases, in a variety of locations and rarely in archival condition. Staff knowledge about historic building traditions and about availability of local skills was good, but too often person specific, disappearing when members of staff moved on.

3.2.26 The LACP confirmed that over 2/3 of authorities did not keep an integrated historic environment database (i.e. including archaeology, buildings and sites). When broken down further, these figures reveal that 75% of districts do not maintain such databases, but that 80% of county councils do.

3.2.27 The general picture regarding information systems appears to be that archaeologists work regularly with and update HERs, and that there is an understanding of their availability and variability. However, there is clearly concern about control of information and the lack of integrated databases maintained by conservation specialists. HERs play a less integral role in the work of conservation specialists than of archaeologists, with conservation officers tending to retain a good personal knowledge of the resource in their area through the course of their work, as opposed to working from a large database of information. HERs originate as a local archaeological resource and tend to sit at county council level, whilst a good deal of the conservation casework is being carried out at district level, and this may also explain why conservation specialists work less with such databases and their upkeep. District conservation specialists' may consult HERs, but new information acquired in the course of their casework is not regularly being fed back into them.

#### *Directorate and departmental structures*

3.2.28 Previous surveys indicate that almost all conservation services sat within a service area associated with Planning, although within a variety of different sections including development control, planning policy and regeneration. Within 55% of authorities, conservation services were performed by a defined specialist team, as opposed to individuals working within a generalist planning team. Conservation specialists were generally of middle ranking status within authorities, but nevertheless could have considerable influence within planning departments.

3.2.29 There appears to be more variety where archaeological services sit in local authority departmental structures, where these specialists are variously in planning, the museum service, an environmental department or community learning.

3.2.30 For all kinds of historic, legislative, and organisational reasons, a considerable range of organisational structures and working relationships have evolved. The LACP project makes note of unusual examples, for instance where former metropolitan county structures have been disbanded, but HE services have continued to work together, such as the former metropolitan county archaeology team in West Yorkshire, or the Tyne and Wear conservation team, which is now situated within the Planning and Transportation Division at Newcastle City Council. Another example given is the former Hertfordshire County Council Conservation team, which in 1996 was seconded to the Hertfordshire Building

Preservations Trust and was subsequently formed into a charitable trading company 'BEAMS' (Built Environment Advisory and Management Service).

### *External advice and support, including English Heritage*

3.2.31 Previous surveys indicate the positive relations between LAs and EH (84% of conservation specialists' surveyed as part of the LACP project felt that their relations with EH were 'good' or 'very good') and also that respondents valued the support of professional bodies like ALGAO and IHBC.

3.2.32 Recently the EH HELM (Historic Environment Local Management) initiative has aimed to improve the capacity and support to local authorities, including the provision of guidance, awareness-raising, and examples of best practice to local authority historic environment service providers. The Historic Environment Champion initiative has aimed to raise the profile of historic environment services in local government. In partnership with the Countryside Agency, Environment Agency and English Nature, English Heritage has also issued guidance to help local authorities to incorporate the natural, built and historic environment into regional spatial strategies and local development frameworks (David Tyldesley & Associates. 2005).

3.2.33 However previous studies have provided little analysis of the kinds of working relationships formed by archaeologists and conservation officers, and the extent to which information, expertise and skills are shared, as well as, conversely, where the two cultures and practices differ.

### *Ambition and strategic priorities*

3.2.34 While the LACP survey indicated the proportions of time spent by conservation specialists on policy and strategy work, including the development of cultural strategies and business/management plans, previous studies provide little understanding of how priorities and goals are set for HES' work, how their core work in stewardship and more reactive activities associated with development control are planned in relation to more proactive outreach and other services, nor how this work may be aligned to corporate objectives or broader regional strategies.

### *Performance against current BVPIs and proposed CPAs*

3.2.35 Awareness of the lack of recognised national performance indicators, and of the need for development of them, is a theme running through recommendations made in the literature reviewed. The LACP survey found that 52% of respondents reported that they collect data against performance indicators for conservation, although in only 38% of cases had authorities actually formally

adopted Best Value Performance Standards. The survey also reported very mixed feelings about the extent to which Best Value had improved service delivery.

### *Throughput of casework*

3.2.36 Previous surveys provide a good deal of information regarding the quantity of development control work and strategic consultation, but many conclude with a general concern about the quantity and increase in that work and the capability of local authority services to cope with it.

3.2.37 The HUP report provides information on the speed and efficiency of processing of planning applications and listed building and conservation area consents, indicating that between 1997/8 and 1999/2000 these applications took on average longer to determine than most planning applications (76% in 13 weeks, compared with 84%), although an average of 91% were actually granted, compared with 88% of other planning applications. Several reasons for failure to meet deadlines are given, primarily regarding the need to secure additional information about an application.

### *Balance between reactive and proactive activities*

3.2.38 Previous surveys demonstrate the dominance of statutory and development control tasks within workloads. The surveys, reflecting the views of respondents, express concern that short term reactive development control work tends to dominate at the expense of this long-term proactive and strategic work. Respondents would prefer to spend more time on proactive work, caring for the resource, carrying out strategic and educational work etc. While the range of work carried out by archaeologists is understood, understanding of the exact balance between reactive and proactive work seems less clear.

### *Customer Satisfaction*

3.2.39 Despite the increasing awareness of the importance of outreach and educational activities the LACP report indicates that only 37% of local authority conservation services surveyed collected data on customer satisfaction. In 1998 only 7% of SMR use was related to research and education, although this figure has almost certainly risen significantly, particularly with the Heritage Lottery Funded initiatives to increase public access to HERS. Existing literature and surveys do not appear to provide sufficient information to enable the mapping of customer satisfaction nor to give a clear impression of who HE professionals consider their customers to be.

### *The size of the historic environment resource*

3.2.40 No real sense of the scale of the resource that each authority is attempting to manage is gained from the ALGAO surveys, but the LACP project did gather this kind of information. The average number of listed buildings under the jurisdiction of local planning authorities was just under 1200, a figure that is consistent with CIPFA figures. Only a proportion of local authorities were maintaining their own Buildings at Risk registers (nearly 1/3 did not), which were updated with varying regularity (1/3 updated annually), and the study estimates a possible 17,000 buildings at risk in England in 2002. The fundamental problem of the absence of a comprehensive, up-to-date and systematic approach to dealing with buildings at risk, and the worrying fact that many respondents were unable to identify separately how many Grade I, II\* and II buildings were in their care, is highlighted. Excluding county councils and national park authorities, 44% of authorities kept lists of locally valued or designated buildings or sites, but less than half of these were supported by any specific policies within the authority's development plan.

3.2.41 Figures on Conservation Areas and their appraisals have also been gathered by previous surveys. The average number of conservation areas within responding authorities (excluding counties and national parks) was 28, ranging from 1 to 44. 30% of authorities responding had no adopted Conservation Area character appraisals whatsoever, and under 10% had appraisals for all their Conservation Areas. There appeared to be slow rate of progress on the production of appraisals, with nearly 75% of respondents not adopting any conservation area character appraisals during 2001 and only 23% of authorities operating a Conservation Area Advisory Committee.

3.2.42 In addition to CAs and LBs, statistics were returned regarding other statutory and non-statutory features of the historic environment falling within LAs jurisdiction. Excluding county councils and NPAs, the average figures returned for English Planning Authorities were: 4.5 Historic Parks, Gardens & Cemeteries; 0.2 Historic Battlefields; 57.5 SAMs; 0.11 World Heritage Sites. 21% also indicated that they had established other non-statutory designations, such as 'areas of historic importance'.

3.2.43 Thus, the LACP survey indicated both the numbers and diversity of statutory and non-statutory designated assets in the care of respondents. The figures are now several years out of date. HUP only provided general discussion and figures from Heritage Monitor and EH programmes to give a broad notion of the steady increase in designations of listed buildings, conservation areas and scheduled ancient monuments nationally, and again is somewhat out of date. It is also clear that understanding of the extent and management of the heritage resource in the country is improving through the initiatives such as Heritage Counts (English Heritage, 2004).

## *Variety in Quality and Quantity of Service*

3.2.44 Discussion of variety in quality and quantity of service has tended to take place in the context of the impact of local government reorganisation from the mid-1990s on archaeology and conservation services. HUP states that this resulted in new specialist units in unitary and district councils, but with no overall growth in specialist staff, in a thinner spread of staff and a corresponding greater need for communication and consistent operational and professional standards. HUP (2002) and ALGAO (2003c) express concern that any future reorganisation of services should not lead to fragmentation of provision.

### **3.3 Information from case study interviews**

3.3.1 This section summarises the responses and observations made during the case study interviews. Broad patterns and trends are highlighted. The reader is encouraged to explore the rich detail contained in Annex 2 for further supporting information.

#### *Interviews with performance managers or historic environment champions*

3.3.2 Many performance managers or elected council members with historic environment portfolios or interests, within most of the case-study areas, recognise that protection and management of the historic environment formed part of their corporate function in some way. Broadly speaking, the interviews found that HECs were well-informed, positive and enthusiastic about the contribution that the historic environment makes to wider corporate objectives, while performance managers tended to weigh up the instrumental benefits of the historic environment more critically. Most linked it to the quality of the environment and to some extent to economic development. Some authorities, however, are already beginning to recognise the instrumental benefits and how the HE can assist with both hard and soft corporate objectives, with a small number embracing it very positively. This is likely to increase as LAAs and Shared Priorities become firmly embedded in priorities and policy, when there will be a need not only for inter-departmental working but also new ideas. This new 'softer agenda' is a real opportunity for raising the profile of HE issues and more importantly for ensuring that it meets its potential in terms of public benefit. However, still, it is clear from many discussions with members and officers at this level, the historic environment service is most frequently invited to contribute, rather than challenged or required to do so. In part this is the result of a lack of formal guidance as to the range of ways in which heritage and the historic environment can contribute and, as importantly, the steps to be taken in order to exploit the benefits.

3.3.3 Individuals were also asked about their views on the proposals of HPR in the context of their current work. For respondents from those authorities which are

strong in their support of the historic environment - whether this is associated with skills and capacity, political support, or good integration of the historic environment with corporate objectives - the HPR proposals seem to be simply an extension or further evolution of current practice.

3.3.4 For most respondents, the HPR proposals have not prompted them to consider a need for changes or reform of historic environment services, although some see the opportunities for some greater integration of teams. Only 1 respondent seemed to view HPR as prompting the need for full consolidation or 'whole service delivery' of HES in the case-study area. This authority was also concerned that HPR should not undermine the current sub-regional strategic management of heritage issues. Another pondered sub-regional pooling as a novel idea, comparing it to a current Planning Policy Advisory Body that is shared between 6 unitary authorities.

3.3.5 It is clear that there is no widespread appetite among senior officers or council members, within district or unitary authorities, for the sub-regional pooling of resources along the lines of the county-based HES. Indeed a small number of respondents saw HPR as an opportunity for the authority to take control of their own heritage and perhaps to establish their own HER. 1 individual ruled out the option of sub-regional HE specialist teams, as being unable to meet the varying and local needs of communities at district level. 1 respondent pointed out that sub-regional teams were counter to the community-based and devolutionary spirit of HPR. Where there was a need for additional skills or capacity, skills and service sharing between similar authorities was often preferred.

3.3.6 Although the other opportunities identified by the respondents tended not to be aligned with the HPR proposals, their general positive response indicates that in many LAs there is appetite for some kind reform or refreshment with regard to historic environment issues.

### *Interviews with historic environment service providers*

3.3.7 Section 5 of this report addresses the structural arrangements for delivering historic environment services. It is clear from the literature and case-study research that, in many authorities, conservation and archaeological services are delivered by different teams. Sometimes the two specialisms reside in different directorates and even different locations. Almost all districts have a conservation specialist, but not an archaeologist. Almost all unitary authorities have a conservation specialist and some have an archaeologist. All city authorities in the case studies have a conservation officer and an archaeologist. All county councils have both an archaeologist and a conservation specialist.

3.3.8 Some county-based historic environment services effectively operate as sub-regional resource teams. Although many such teams include conservation specialists, all of them are headed by an archaeologist and most have retained the county archaeological field team. This has provided the capacity to build a wide range of in-house expertise, including business skills, as well as to pursue new technical capabilities and to deliver their services to a wide range of 'customers' within, and sometimes beyond, the local public sector.

3.3.9 In some other authorities, the archaeological and conservation services are delivered from a multi-disciplinary team, providing 'whole-service delivery' for the care of environment, sometimes including community outreach. Although not exclusively so, these authorities tend to be the National Parks and some single-tier authorities.

3.3.10 There is a great deal of skill-sharing and inter-trading between authorities for historic environment delivery. Archaeologists at county or sub-regional level often sell their services to districts or unitary authorities. Conservation specialists and districts buy in rather than sell services. The bulk of this inter-trading relates to planning responsibilities, including access to HER, although some of the bigger county archaeological teams are beginning to sell services relating to understanding, public access and outreach. Many historic environment specialists also call on their counterparts in other authorities, as well as their professional institutes, for advice and best-practice.

3.3.11 For both conservation specialists and archaeologists, most officer time is time spent on planning related tasks including the administration of historic environment records, except where the teams include individuals dedicated to outreach or surveying etc. Many are required to contribute to efficiency initiatives associated with the Planning Delivery Grant.

3.3.12 The sense that larger/integrated teams, often headed by archaeologists, have more scope to be involved in the strategic development of, and delivery on, corporate objectives, is to some degree reflected in analysis of comments relating to more specific corporate objectives and themes. For example, the contribution that the HE makes to a broad range of community or quality of life-orientated objectives was noted by 10 respondents: 7 archaeologists from 5 counties and 2 centralised specialist teams, and 3 conservation specialists from 2 unitaries and 1 district. 5 out of the 7 archaeologists running larger teams provided a list of wider agenda to which the HE was contributing, while all of the other respondents focused on 1 objective (sustainable communities, the natural environment, or outreach) apart from the one district conservation officer (who listed quality of life, green spaces, natural environment and community outreach).

3.3.13 While no respondent during the interviews felt the HE could not assist in delivery of corporate objectives - and most talked positively about the areas in

which they were contributing - there is clearly a feeling that there is further progress to be made in pushing the HE and its value, and its contribution to wider objectives further up the corporate and political agenda. While it is difficult to generalise from concerns about the role that the historic environment and HE professionals are given in relation to corporate objectives, it does appear that respondents at district and unitary authorities voiced most concern about a lack of opportunities for them to assist in delivery of wider agenda.

3.3.14 However, corporate objectives related to the HE in its own right are usually in the corporate documents of NPAs and larger counties, where there are also large and/or integrated HES teams that tend to work closely with their natural environment counterparts. There also appears to be a strong emphasis on the HE in its own right at certain urban authorities, and it is in such areas that regeneration work flourishes and is focused on by heritage professionals.

3.3.15 While respondents from larger teams clearly speak the language of corporate objectives and of a wide range of socio-economic or cultural agenda, 7 out of the 8 respondents who particularly highlighted how the HE assists regeneration and economic development/tourism were conservation officers (3 at metropolitan authorities, 2 at unitary, 1 district, and 1 private sector). These conservation specialists focus on the delivery of corporate objectives in relation to the physical and built environment in a very practical way.

3.3.16 Broadly, larger integrated HES teams sitting at county or at a centralised specialist team level (which are usually headed up by archaeologists), appear to be better positioned to appreciate and promote the HE into a wide range of community and quality of life objectives within their authority's strategies. However, conservation officers working in metropolitan, unitary and district authorities also contribute to regeneration and quality of life agenda.

3.3.17 There is no common suite of performance indicators which is in use by HES. At the same time, the development of such indicators, while clearly very much work in progress at all levels, is being addressed and performance of archaeologists and conservation specialists is most often assessed in some way. HES officers clearly do not find this objectionable or difficult. Indeed a number of respondents would prefer more formal assessment, in part as a route to greater influence within the authority and as a means of demonstrating good performance. A significant number attempt to generate their own methods of assessment and these are variously derived from best practice or models of excellence, as well as measurable targets. As a very broad generalisation, those individuals from larger HES teams tend to have developed a more elaborate or formal system of targets tailored to their department, whereas the performance of 'singleton' officers, frequently conservation specialists, tended to be rolled into wider departmental service plans. This group also often paid some attention to models of excellence, possibly in part as a means of overcoming some professional isolation.

3.3.18 While HES are working towards broader corporate PIs, there is little specific reference to these beyond contribution to planning and DC targets. This suggests that much more specific targets need to be set for the HES in relation to the wider corporate objectives discussed above, in order to challenge the sector and to measure the contribution that it makes to these broader social, economic and cultural agenda.

3.3.19 Both conservation specialists and archaeologists are skilled at setting priorities for their work. This is frequently reflected in forward planning documents and, unsurprisingly, this most often occurs within the larger teams, where sophisticated business planning, including skills and succession analysis, is employed. For some single officers within smaller authorities, however, there is little need for elaborate forward planning, beyond aiming to achieve the BVPIs relating to Conservation Area Appraisals, as all resources are taken up with coping with casework and statutory duties. There appears to be no explicit or commonly used standard, nor minimum responsibilities to which historic environment services work. The models of excellence set by the historic environment professional bodies do not appear to be widely used in business planning or the setting of priorities.

3.3.20 Very few historic environment professionals passively wait for colleagues and others to request their services, although inevitably the larger teams are able to expend more effort and employ a wider range of techniques. Indeed some of this relates to promoting or selling their services to other LA clients well as influencing at a corporate level. Even single officers at district level manage to find the time to 'win the hearts and minds' of their colleagues and public customers as part of their work. However, HE respondents generally did not tend to engage with the part of Question 7, which asked about promotion of advice and expertise to 'other drivers of change', beyond discussion of relations with those groups mentioned above. It is possible that discussion about internal promotion simply took up most of the interview time, or that such relationships are addressed in other questions, but there is a notable lack of reference to regional agencies and strategic partnerships in response to this particular question.

3.3.21 Both conservation specialists and archaeologists deliver support to the historic environment over and above pure planning or statutory responsibilities, frequently using entrepreneurial skills to draw funds to the authority. Many conservation specialists either lead or are at the forefront of bidding for and delivering multi-funded regeneration or refurbishment projects for old buildings or the public realm. Many archaeologists bid for studies and initiatives funded by the Heritage Lottery, English Heritage, and even, on occasion EU programmes. Through this funding, the size and capacity of a number of archaeology-led LA teams has risen. However, this is not the case for conservation-led teams, where the funding is spent on capital works or within the community.

3.3.22 Both conservation and archaeological specialists regularly manage projects which cut across departmental structures and are able to mobilise partnerships, substantial amounts of funding, and working relationships within and beyond their authority. At the same time, respondents with larger teams have worked towards capturing all the resources and skills that they need, and do not regularly have to look beyond their team for assistance in delivery. By contrast, smaller teams, for example at district and unitary level, have well-developed networking skills and think imaginatively with regard to skill sharing and partnership working exactly because they need to acquire additional specialist advice and support to be able to provide a full service and to make projects happen. In some instances, entrepreneurial leaders of smaller teams have a good deal of success in delivering on objectives and work strategically to develop partnerships within and beyond their authority. Capacity, and the clout and breadth of expertise that comes with that, stands larger authorities and teams in good stead, but there is a good deal of strategic thinking and networking leading to successful delivery within authorities with smaller teams.

3.3.23 There was no particular pattern in what respondents chose as examples of success or areas where things were working well. Both archaeologists and conservation specialists emphasised the importance of good working relationships with others and surprisingly few described specific projects or deliverables as examples. While only generalisations are possible, some points can be made about the different sources of information, and means of processing that information, used by conservation specialists and archaeologists. It was predominantly conservation specialists who valued negotiation and influencing skills. Archaeologists chose to refer more often to formal information sources, databases, research, impact assessments and characterisation processes.

3.3.24 The promotion of understanding and enjoyment of the historic environment is clearly embedded in the culture of historic environment services and the desire to widen access to this understanding seems to be increasingly widespread. Some officers see this as part of their day to day project or case-work. Most often these are conservation specialists. Others see these tasks as professional best practice and therefore an essential part of their or their team's role. Almost all the archaeologists interviewed appeared to hold this view and several provided specific examples of community heritage projects and education activities. Many officers and services must fit in outreach tasks as and when other priorities allow, and it is only the larger teams that are able to devote substantial time or even employ staff for this purpose. Those who are able to do this also tend to benefit from the appreciation of these activities on the part of senior colleagues and council members. Very many officers undertake outreach tasks outside working hours.

3.3.25 In general, most respondents discussed the issue of priorities surrounding these outreach activities in terms of the balance between this and other duties,

rather than the focussing of these activities to best effect. Most descriptions of activities by the interviewees relate to the number of tasks undertaken and the range of techniques. The general impression is that there is a great deal of effort and enthusiasm, but that the activities appear to remain largely unfocussed in terms of outcome. Only a few respondents discussed or analysed the audiences for this work, their requirements, how they were expected to benefit, which techniques were appropriate and which recipients should be prioritised. None raised the issue of evaluating the benefits or outcomes of these activities. With a very few exceptions, there was also a general assumption that they, or the professionals within their team, were skilled or qualified to undertake this work.

3.3.26 When asked about the proposals of HPR, although most respondents had considered the proposals and their implications carefully many felt unable to predict the exact impact of HPR. Most, however, were positive about the principles, although many had concerns about the resource implications. Most of these concerns surrounded the effort needed to set up the new system, such as the development of the local RHSBE or the enhancement of IT systems or HERs. Very few predicted the need for substantial additional resources once the system was in place. As would be expected, officers working in single or smaller teams - most often, but not exclusively, conservation specialists - had more concerns about resources. Some of these officers, however, welcomed the opportunities for greater local control. Officers in larger teams particularly welcomed the proposals. These individuals could identify opportunities that the proposals might bring, both for their business and their customers, and they were already beginning to plan for the changes in some way. There were mixed views as to any restructuring that needed to take place. Most officers recognised the need for closer working between archaeologists and conservation specialists. No archaeologists from larger county or sub-regional teams believed that their skills or staff should be devolved to the lower tier. No conservation specialists working at district or unitary councils hoped to move to a sub-regional multi-disciplinary team. These officers recognised the need for archaeological skills in the new system and they expected either to source these skills under current arrangements with larger teams or to share resources with neighbouring authorities.

### *Interviews with parallel disciplines*

3.3.27 The case-study interviews demonstrated the great deal of interdepartmental working and cooperation which currently occurs in local authorities. Individuals from those authorities where there was also a highly visible or effective head of historic environment service were most articulate and positive about the relationship between the parallel department or team and that of the historic environment professionals, and many saw HES as part of the overall team delivering planning and the management of change. Indeed, historic environment specialists are being asked to contribute to achieving targets related to the

Planning Delivery Grant initiative, and in one or two of these authorities the HES receives a percentage of the grant in recognition of their contribution.

3.3.28 Many non-HES respondents saw their HES as a portal to other sources of expertise, including EH. Many recognised the HES professionals as skilled in enlisting a wide range of expertise, resources and partnership working for the delivery of good historic environment outcomes.

3.3.29 The differences in the practices and skills between archaeologists and historic buildings specialists do not seem to be apparent or particularly significant to parallel disciplines, the only difference perhaps being the slightly more hands-off approach of archaeologists within a development control and planning context. A small number however preferred to see archaeological and conservation specialists situated in the same department or a single team.

3.3.30 One or two individuals reported that their authorities were already making the most of their conservation specialist resources by enhancing the skills of town planners with regard to the historic environment. This demonstrates that authorities are already keen to improve their support to the historic environment, that they are prepared to think imaginatively to do so, and that that includes breaking down or blurring of some professional boundaries and remits.

3.3.31 When asked about the proposals of HPR, individuals within parallel disciplines expressed no serious concern or reservations about the proposals. Rather, almost all were positive and could see a number of opportunities. This indicates that these parallel disciplines do not simply see the HPR proposals as the concern or purview of historic environment professionals. This suggests that there is a fair amount of good will and capacity in terms of team working and skill sharing which will be useful for the implementation of HPR.

### *Interviews with English Heritage*

3.3.32 English Heritage supports the historic environment at the local level by influencing and championing, through activities such as chairing regional Historic Environment Forums, inputs to regional policies, such as spatial strategies, local development frameworks and sometimes local authority operational plans, and by working closely with drivers of change such as regional development agencies. EH also increases capacity at a local level by providing funding for key initiatives which enhance knowledge, such as historic characterisation, as well as seed-corn posts within local authorities. In addition to their statutory duties in relation to scheduled ancient monuments, listed buildings, and as a statutory consultee for major programmes, such as highway schemes promoted by the Highways Agency, EH is also an important source of specialist advice, particularly for monument types and other areas such as science.

3.3.33 However it is clear that the role and activities of EH have recently been reviewed and officers are recognising the need to reduce the focus on casework. At a regional level, in terms of support to the historic environment sector, English Heritage is in the process of prioritising, focussing, and realigning its activities, on the one hand getting involved 'up-stream' in major development proposals', aligning its influence and focus to wider economic and other regional strategies and. on the other, prioritising effort where there are skills gaps and need for support at a very local level. This does mean that where EH officers are comfortable that the skills and resources are in place in a LA historic environment service, some tasks and decisions increasingly are devolved to those services.

#### *Interviews with 3<sup>rd</sup> party commentators*

3.3.34 3rd party commentators provide an insight into the need of the customers of the sector. Together with the HEC/Performance Managers, as these individuals are charged with the implementation of wider regional and government objectives, they tend to be more focussed on the downstream or instrumental benefits of the historic environment, whether this relates to economic development or the promotion of well-being. During the interviews these individuals were clear and articulate in this regard, perhaps more so than those individuals interviewed within the historic environment sector. Interestingly, this group seems to view the historic environment almost as cultural capital and are keen to enlist it in their work, but would value more accessible information and guidance. Nonetheless, they do see the need for protection and designation and are willing to work with such regimes, so long as they are flexible and easy to understand and administer. Some were frustrated, however, by the divisions between archaeological and conservation services and by the conflation of the regulatory and championing roles. Two interviewees claimed that they found the championing literature produced by the heritage sector not as helpful as they would wish.

### **3.4 General strengths and weaknesses in current service delivery**

3.4.1 The case-study research elicited a great deal of information on the commitment of historic environment professionals and the way in which they deliver very good outcomes. However, a number of particular strengths and some weaknesses in current service delivery can be highlighted:

#### 3.4.2 Strengths

- There appears to be appetite at senior or member level within LAs for information and guidance on how to use the historic environment for public benefit and, in some cases, this is combined with a desire to see greater local control and decision-making. Although those individuals expressing such views were not in

the majority, it seems likely that they represent the 'early adopters' in the development of local government services and thus a significant incipient trend.

- Both archaeological and conservation services deliver good historic environment outcomes over and above their planning and development control functions. Many are delivered following a great deal of effort to secure external funds. For archaeologists, these tend to be associated with enhancing understanding through studies and characterisation. For conservation specialists, these outcomes result in practical change on the ground associated with heritage-led regeneration and bringing buildings back into beneficial use.
- Although only a small sample was interviewed in the research, 3rd party organisations, such as RDAs and others, appear to be engaged in using the historic environment to deliver their objectives, often associated with well-being and economic development, and individuals within these organisations are lucid on benefits of heritage.
- There are a growing number of teams in which historic buildings and archaeological specialists are integrated.
- Very many historic environment professionals are engaged in and are committed to undertaking outreach and education, and a small number are considering how this could be more focussed to better effect.
- External advisory and scrutiny committees appeared to provide valuable support, direction and peer review for historic environment services.
- The support of English Heritage is valued by all those involved in the support to the historic environment.

### 3.4.3 Weaknesses

- The range of roles and tasks which historic environment services are both expected to carry out and have adopted as best practice is very wide. These tasks appear to have accumulated over the years without a comprehensive review of the purposes of historic environment services. The current frameworks of indicators, best practice, and professional standards are not helpful in clarifying the remit of historic environment services within local authorities.
- There was an underlying sense that LAs were not trusted by the heritage sector to care for historic environment. This was not often stated explicitly in the interviews but the concerns, such as those surrounding potential political influence on planning decisions, suggest a lack of trust.
- Despite an apparent increasing appreciation of the value of the historic environment, members and senior LA officers appear to remain generally passive in their approach to enlisting heritage in the delivery of corporate and social objectives.

- In areas of 2 tier authorities, it appears that district councils are not fully in the 'driving seat' in the management of their historic resource, particularly with regard to archaeology. In these areas, although good SLAs have been developed, in which districts ensure that they have access to archaeological advice, there is a sense that the county-based services over-power the district level. One conservation officer referred to individuals in a county-based team as being in an 'ivory tower' and not responsive to local needs.
- Although a great deal of effort is expended on public engagement and outreach, much of this work appears to be unfocussed and unevaluated.
- Archaeological services based in museums appear to be isolated services. This is by no means the case for all of the examples encountered in the case-study research, but it may be an issue which should be examined further.

### 3.5 Factors in good practice

3.5.1 All people interviewed were asked to identify examples of good practice or what works well in terms of the support to or care of the historic environment. In addition, the case-study interviews elicited information on the commitment and good practice among historic environment services. It is possible to identify some key factors which seemed to contribute to effective delivery.

3.5.2 **Political support:** No matter what the organisational arrangement or type of local authority, there was a general impression of good practice where the historic environment professionals had worked to influence those at a corporate level and where senior management and members had appreciated the importance of the historic environment:

- A historic environment professional from the Peak National Parks Authority reported that his service had been successful in winning the hearts and minds of the elected members. This was also reflected in the commitment to the natural and historic environment.
- A respondent from West Sussex reported that in the County Strategy there was a stated commitment to the reduction of the number of buildings at risk and to improved management of conservation areas, and these were identified as indicators in the Local Area Agreement.
- The head of the historic environment service of Cornwall County Council observed that heritage is regarded as important by everyone in the organisation
- The councillor of Newcastle City Council was very informed about the historic environment and its benefits as well as the local projects linked into regeneration, including examples such as Grainger Town.

- In South Cambs District Council the planning committee is called the Development Control and Conservation Committee, which may indicate a level of commitment to the historic environment.
- For Chester City, the historic character and distinctiveness of the district was reported as being integral to corporate strategies and documents. The economic benefit of management of the HE, and the key part that the HE plays in people's perception of Chester, were pointed out.

**3.5.3 An external scrutiny or peer review body:** Although identified in only a small number of examples, the presence of these appeared to provide important support and knowledge sharing, as well as a focus for the standards and direction of historic environment service delivery. They also seem to provide a forum for non-professionals or interest groups to engage with the care of the historic environment:

- In S Cambs District Council there is a strong Conservation Advisory Committee which assists in liaison and knowledge sharing between conservation professionals in the sub-region
- In Newcastle, the HES reports regularly to an external committee which assists in the formation of the strategy and objectives for the service

#### **3.5.4 Partnership working:**

- The HES respondent from Herefordshire, when asked about what worked well, said that creating partnerships, where the benefits to all the partners are evident and the aims are limited and clear, is important. He gave the Creddon Hill project, at the largest hill fort in the Marches of Wales as an example, where the local authority worked in partnership with the Woodland Trust and £70K of match funding was raised locally to assist in attracting £700K from the HLF. He also pointed to opportunities taken to partner and undertake projects with EH, English Nature, HLF, the National Trust, The Woodland Trust and the Forestry Commission, as well as conservation services from other authorities.
- In West Berkshire Unitary Council the archaeologist undertakes partnership projects and develops positive working relations with, for example, other local authorities, local landowners, and the local farming and wildlife advisory group.

**3.5.5 Joint working with other disciplines:** Increasingly projects are delivered by a combination of a number of departments within an authority working together. These can often align with broader socio-economic aspirations. Historic environment specialists increasingly seek out these opportunities. For example:

- At West Sussex County Council, the recently formed integrated historic environment team within the environment directorate is working on a project in the county council water portfolio, looking at climate change in the Arun Valley. The historic environment service is “piggy backing” on work being carried out in partnership with Ecology and others, to deliver an integrated approach to the management of this landscape in the future, including outreach to local communities.

**3.5.6 Flagship projects:** Some respondents in the case study interview were able to provide examples of projects which had contributed to regeneration or demonstrated joint or partnership working. For example,

- In Sunderland conservation projects have led the way on regeneration, particularly on the high street and South Bank area. These projects have preserved the distinctive character of these places and have engendered civic pride. They were the results of partnerships between HLF and the authority.
- In Stoke-on-Trent, working with communities and through Sustainable Communities objectives, the conversion and rehabilitation of heritage buildings has led to delivery of affordable housing, a wide range of enterprise units, community facilities, and spaces for training. EH and HLF funds helped lever in new investment, making the area a desirable place to live in through enhancement of the environment and cultural facilities. Another example is the Wedgwood Institute in Burslem where historic building expertise was brought together with knowledge of the wider social and economic context.
- In Leeds, CAP and HERS schemes were helpful as a trigger to regeneration. The ‘living above the shop’ initiative in city-centre provision of affordable housing was conservation-led.

**3.5.7 Community Engagement:** Respondents indicated a range of ways in which local communities were consulted, in relation to conservation area appraisals, development proposals etc., or were involved in community heritage projects. For example,

- Community engagement, particularly in relation to the district council’s quality of life in the village objective, is noted as working well in South Cambridgeshire. A village green space scheme provides small grants for village heritage and environment projects identified by local residents. An archaeological fund works on a similar basis. Community consultation is increasing due to the number of conservation area appraisals being carried out.
- At Cambridge County Council, where the HES sits in the department of Community Learning and Development, community outreach is highlighted as a core priority and as an aspect of the service that works well. There is a strong culture of staff running public events and substantial outreach projects, and they have won £10.5m of funding from DCMS to build a state of the art Historical Resource and Cultural Centre for Cambridgeshire.

- West Yorkshire Archaeological Advisory Service, which has had an education officer for 15 years, tailors material for input to the National curriculum, organises excavations for school children and is developing internet resources for teachers, for example on the Romans in West Yorkshire.
- Stoke-on-Trent archaeological service, based within the museum, has run a community dig initiative for over ten years and regularly works in liaison with local archaeology groups and societies.
- The team at Winchester archaeological service, including a Heritage Information Officer and an Education Officer based at the museum, run Community Heritage Projects and co-ordinate a range of education and outreach events, and information services.

## 4. THE HERITAGE PROTECTION REVIEW IN THE CONTEXT OF CURRENT HISTORIC ENVIRONMENT SERVICES

### 4.1 The proposals and their implications

4.1.1 The principal proposals of the Heritage Protection Review, and the broad implications for local authorities of each proposal, have been set out in a number of documents prepared by English Heritage and DCMS as below:

- **A new unified Register of Historic Sites and Buildings of England (RHSBE)** offering a holistic approach to the statutory protection of the historic environment through a single designation regime. The Register will bring together in one place all current designations in England and provide for the inclusion of others under a new over-arching definition of ‘historic assets’. This will cover the full range of sites on land and beneath the sea.

Local authorities will also need to compile:

- a local section of the RHSBE including details of locally originated designations compiled against criteria and guidance prepared by English Heritage; and
  - ‘at risk’ registers for nationally designated buildings and monuments.
- **A reformed heritage consent regime** that builds on the best of the present systems and enshrines the concept of appropriate management at its core. It is likely that this will distinguish between:
    - below ground (and water) archaeology and monumentalised structures;
    - historic buildings and structures suited to adaptive re-use; and
    - historic landscapes and seascapes.

This will mean that local authorities will implement the new heritage consent system, with assistance from English Heritage. Local authorities already administer listed building consent. In numerical terms the burden of assuming responsibility for administering scheduled monument consents

(from DCMS) is likely to be limited: in 2003-4 there were 831 SMC applications compared to 33,250 LBC applications.

- **Voluntary 'heritage partnership agreements'** that provide an alternative management regime for:
  - large assets;
  - complex entities that comprise many similar or several different assets;
  - assets of a similar type in single ownership or management, but in dispersed locations; and
  - assets that are better managed alongside other regimes (e.g. in the natural environment).

Local authorities will therefore need to engage in negotiation, monitoring and validation (with English Heritage) of partnership agreements. These will include a strategic framework for the future management of the assets based on an overarching conservation philosophy. Once in place, partnership agreements should reduce the number of consent applications to be administered. They will define specifically agreed categories of change to the asset, including pre-agreed consent for certain works that would otherwise be covered by the heritage consent regulation, and prescription of certain works that are agreed not to require consent. However, partnership agreements will only be applicable to a limited number of sites, including ecclesiastical assets

- **New statutory requirements relating to Historic Environment Records.** Local authorities will be required to maintain or ensure they have access to a HER that meets nationally defined standards. These are likely to relate to data protocols, interoperability and the inclusion in HERs of:
  - a local section of the RHSBE and local sites and buildings at risk registers;
  - relevant data from the national RHSBE maintained by English Heritage
  - details of the local coastal and marine historic environment (where relevant)

There are currently around 100 HERs providing near 100% geographical coverage of England. However, it is recognised that a minority of authorities do not have access to a HER and that HERs vary considerably in their depth, consistency and adherence to standards. Research by English Heritage and ALGAO in 2004 found that 40% of HERs were compliant and 31% partially compliant with level one of the good practice benchmarks (as defined in 2002). The highest level of compliance was found in records managed by county councils.

## 4.2 Implementing the proposals

4.2.1 Taking each proposal in turn, the implications of implementation can be summarised in the context of the information gained from previous surveys and the case-study research.

### *The unified RHSBE*

4.2.2 The case-study interviews indicated that there is general enthusiasm for the development of a single register, both on the part of historic environment specialists and their colleagues in parallel disciplines. However there was also some concern regarding a lack of clarity as to who would undertake the upfront work to compile the list and particularly the proposed enhanced list descriptions. Respondents, particularly conservation specialists, were concerned about resources if these responsibilities were to fall to the local authority.

4.2.3 This proposal also highlights the current and general widespread separation between archaeological and conservation specialists, both in terms of their location, local authority base, and their methods of working. Clearly the two disciplines will need to work more closely and there are currently some examples of good practice of this. These integrated teams, which also sometimes include other disciplines such as countryside management, can be found in county councils, unitary authorities and national parks authorities. However, in other 2 tier authorities, or where archaeological services are delivered from a museum, some individuals interviewed for the case-study research believed that a full and seamless service was nevertheless provided.

4.2.4 The unified register, in itself, does not appear to necessitate the need for organisational or structural change. However, in general, the trajectory of the sector is moving towards a more holistic view of the historic environment and its care, with consequent greater working together between archaeologists and conservation specialists and within large authorities, a gradual move towards the co-location of disciplines. Within the historic environment sector, these also tend to be the benchmarking services. The proposed unified Register is likely to build on and accelerate this trend.

### *The development of 'the local list'*

4.2.5 There was a mixed reception, during the case-study research, to the proposals for the development of the local section of the RHSBE. Many, from across the range of disciplines, looked forward to the opportunities, both for the engagement of local communities and to the greater recognition of locally valued

assets. Individuals, within local authorities but outside the historic environment sector, particularly those responsible for the performance and strategic direction of authorities, were enthusiastic. However, a significant minority of all those interviewed were sceptical about the feasibility or advantages of the local register. In addition to the lack of clarity with regard to the protection of the assets on the local register, without professional guidelines, some individuals were nervous about the types of asset which might appear on the register. They believed that the process might be 'high-jacked' by NIMBYs, resulting in inappropriate designation as a means of avoiding unwanted development. Others, through their experience of public consultation, knew it to be time-consuming and were concerned about resources, in particular the danger of disappointing the raised expectations. There is a possibility that the more successful the process of the development of the local register, in terms of public engagement, the more resource-hungry these activities will become. However, it must also be acknowledged that a small number of respondents were generally reluctant to involve the public or non-professionals at all.

4.2.6 Aside from the issue of time and other resources, it is clear that most LA historic environment services in general are skilled and experienced to some extent or other, in public consultation and engagement, having undertaken this for projects such as conservation area appraisals and heritage education or outreach. Moreover, many of their planning and policy colleagues are increasingly engaged in these activities, associated with initiatives such as Local Area Agreements and Community Strategies. The development of local registers will require a concerted effort and a coordination of direction, however, between archaeological and historic building specialists. But the proposal also provides many opportunities, not only for closer working within and between the historic environment sector and parallel disciplines, but also for more explicit alignment or contribution of heritage issues to local development and socio-economic objectives.

#### *Local Authorities as 'heritage consent gateways'*

4.2.7 Some respondents in the case-study research saw this proposal as a means of bringing greater control and decision-making within the remit of the local authority. In general this was for positive reasons. Individuals looked forward to their authority being able to shape their own destiny, including the care of their own historic resource, not least to enhance and promote local character. For the most part, these individuals were either in an authority 'performance management' role, or they were historic environment specialists in larger HE teams. However, other individuals did not trust their authority to undertake the stewardship of the historic environment with appropriate level of resources or without political bias. These individuals tended to be conservation officers, working in small teams or as singletons within district councils. Although not identified in the case study interviews, it is likely that many of these individual are in regular direct contact with

planning committees and may have reservations about the capacity of these committees to take appropriate decisions with regard to the historic environment.

4.2.8 In terms of resources, local authorities already administer the listed building consents and so it is not likely that the administration of the equivalent of scheduled monument consent applications will add significantly to this workload, even in areas where there are a large number of monuments, such as Cornwall. However, the range of skills needed to manage the full range of asset types is an issue. District councils and the smaller unitary authorities often do not have archaeological or historic landscape skills in-house. This is not insurmountable, and therefore is not an obstacle to the implementation of this proposal, not least because the case-study research has demonstrated that there is a relatively well-established system of sharing or even purchasing these skills between authorities particularly, but not only, to meet statutory responsibilities. It is also possible that the increased responsibilities may prompt smaller local authorities to include archaeological professionals within their team, particularly if this also assists in the delivery of other corporate objectives. However, in the absence of this, without further re-organisation, there will need to be a mechanism to ensure that all authorities avail themselves of the appropriate specialist advice, when dealing with applications. Moreover, the case-study research has shown that many conservation specialists, while they undertake a complex range of tasks, do not in general use impact assessment tools, and so there may need to be some training in these skills. In addition, although the HELM initiative is making some progress in enhancing the capacity and skills of local authorities in their stewardship of the historic environment, there needs to be further work to address some of the concerns of conservation officers with regard to local authorities meeting their responsibilities on historic environment issues.

### *The development and implementation of Heritage Protection Agreements*

4.2.9 Almost all individuals interviewed either welcomed or were neutral about this proposal. In some case-study areas, there is already good practice and projects associated with the management of monuments, buildings and places, and even non-heritage professionals recognised the similarity of this proposal to current initiatives, such as conservation and world heritage site management plans, or to the methods of Environmental Stewardship schemes. There were mixed views, however, as to the extent to which the proposals would be taken up, and one HES respondent did question how feasible it was for such agreements to be brokered at local authority, as opposed to national (English Heritage), level. Only a few individuals, not all of whom were historic environment professionals, could identify how they were thinking of implementing this proposal, or had assets or groups of sites waiting to benefit. However, notwithstanding the familiarity with the principles – and, in general, there is no real shortage of skills in terms of strategy development, negotiation and enforcement - the greatest threat to this proposal is likely to be the lack of resources. It is notable that conservation and

management plans are frequently undertaken by organisations outside the local authorities, including commercial organisations, except in the case of larger historic environment teams with individuals dedicated to these initiatives. There is a general perception that these agreements are time-consuming to develop and administer and most respondents believed the proposals would increase rather than diminish their workload. However, increasingly, other local authority professionals, such as town planners, urban designers and countryside managers are already often engaged in some way in the management of the historic environment. Moreover, the case-study research has indicated that historic environment professionals, particularly conservation specialists in small teams, exactly because they need to acquire specialist advice and support from outside of their team, are skilled at working in partnership and enlisting the skills of their colleagues. It may be appropriate therefore to further promote this initiative as a multi-disciplinary product and one which can be initiated by a number of professions or local authority departments.

### *Statutory Historic Environment Records*

4.2.10 The technical and other issues of this proposal are dealt with by Strand B of the Local Delivery Programme. However the proposal also needs to be addressed in terms of the overall implementation of the HPR. For archaeological specialists, and larger integrated teams, this proposal will have little impact since they already hold computer-based historic environment records. Many such services are already engaged in the enhancement of public access and functionality of these systems. For archaeologists, the collection, storage, analysis, and delivery of information is the very basis of a local authority historic environment service. Conservation specialists tend to work more frequently at a local level, making use of their detailed local and specialist knowledge and negotiation skills, when reaching decisions. While they store information and case histories generated in the process of such work, these are frequently not computerised. Nevertheless many conservation specialists interviewed were keen to include historic buildings on the HER. There is a clear need for recognition that work updating HERs is part of a conservation officers' role and for IT training for this part of the sector. Some cultural shift and guidance on the inclusion of historic buildings in HERs is also required, if they are to benefit from the enhancement of HERs.

4.2.11 This proposal also raises the issue of the relationships between authorities and tiers, since not all authorities currently maintain an HER. Almost all county councils and many unitary authorities hold an HER but most district councils do not. However, this again is not an obstacle to this proposal, since there is a well-established system of inter-trading and service level agreements between authorities, and this includes the delivery of information from the HER. Moreover,

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there is already a trend towards greater and more open access to HERs generally, in part associated with eGovernment, freedom of information and outreach initiatives, and as the functionality of technology improves. This should allow greater remote use of a single facility or system by a number of organisations or authorities. One HES respondent from a county felt that districts would have difficulty funding the development and maintenance of a HER and would be better accessing it at county level. However, as with the development of local lists, some district authorities saw this proposal as part of the broader opportunity offered by HPR for greater 'ownership' of their own heritage and a reduction in reliance on a higher tier authority. For example, one HES respondent from a district said they would prefer to acquire the skills to maintain an HER rather than buy this service in from the county. This is likely to increase if funding or other resources are provided as an incentive to develop HERs. Indeed such a mechanism may lead to a reduction in service level agreements or indeed the fragmentation of some sub-regional or county-based HERs.

### *Geographic context and other variables*

4.2.12 Table 1, in Annex 2, sets out the very broad characteristics of historic environment service delivery in each of the case-study local authorities that were examined. Although the sample size is small when compared to the total number of local authorities in England, the case-studies were selected to provide a range or variety of types, in terms of authority, models of delivery, geographical spread and the urban, rural or coastal nature of the community and environment. However during the analysis of the case-study interview data, while models of organisational arrangements clearly determined many of the characteristics of HES delivery, a surprising feature was the general lack of patterning according to any of the other variables. This may be owing to the open-ended nature of the interview questionnaires and because the qualitative, rather than quantitative, data that was elicited did not lend itself to tabulation and correlation. It is also clear that many authorities encompass both urban and rural areas. Nonetheless, there was much less variation in terms of geographical region or the urban, regional or coastal nature than might be expected. Nor could any significant variation be attributed to the affluence or otherwise of case-study areas.

4.2.13 To further explore this issue, the information from Stoke-on-Trent and West Sussex was compared. The case-studies could not be more different in terms of region, type of environment, affluence, authority type and pressures on the historic environment. The urban area of Stoke-on-Trent, in which the heritage assets largely consist of the remnants of industrial buildings and townscapes, suffers from significant and continuing economic decline and high levels of socio-economic deprivation. West Sussex has a clear rural emphasis, with very wide areas under some form of protection such as AONB or Registered Parks and

Garden. It is an affluent area where many of the wealthy and informed landowners and communities regard heritage as an asset.

4.2.14 However, these characteristics do not lead to predictable outcomes in terms of the historic environment. The nature of each environment has clearly influenced the evolution of the HES, with conservation and urban design intertwined in Stoke on Trent and very close working between the HES and colleagues in ecology, sustainability and landscape in West Sussex. However, while the percentage of Buildings at Risk is higher than the national average in Stoke on Trent, in large part due to disuse associated with continuing market failure, the affluence in West Sussex brings its own tensions. Those parts of the county which are not protected, are targeted for proposals for housing and other development. Interviews in Stoke on Trent suggested that the historic environment does not feature in its own right in corporate strategy and other documents, and the archaeological and conservation specialists operate from different parts of the organisation. Yet it appears that the very immediate threats faced by the city have led to a very sound understanding of both the historic environment and its condition. The historic environment is firmly embedded and plays an active role in the regeneration context, with a real sense of urgency and concerted effort in championing and using the historic environment for well-being and economic development. In West Sussex, by contrast, archaeologists and historic building specialists work in a single team and the historic environment was reported to feature prominently in strategy documents. Yet there was some concern that insufficient appreciation of the threats to the historic environment, from natural processes as well as development, had led to a lack of systematic location and monitoring of historic buildings and features and their condition. One respondent from West Sussex also hoped to see further progress in enlisting the historic environment in strategic planning policies and delivering socio-economic objectives.

4.2.15 When considering the proposals of HPR, the respondents from the case-study authorities had much in common. The opportunities for further integrated working, both between archaeologists and conservation specialists and with other disciplines, as well as for raising the profile of the needs and potential of the historic environment were highlighted. HPAs were also seen to be potentially useful in both the urban and rural context. In both areas the implementation of HPR was discussed primarily in relation to resources, capacity, and relations between teams or authorities. In neither case-study area was the nature, number and character of the historic assets noted as particular obstacles or opportunities.

4.2.16 While there clearly is variation in the historic environment, pressures to it, arrangements for its management, as well as outcomes in terms of public benefit, analysis of the case-study interviews could detect no significant or major patterns in terms of the readiness or feasibility of implementing the proposals of HPR.

## 4.3 Conclusions

### *How do the strengths and weakness of current system inform HPR?*

4.3.1 Analysis of current delivery of historic environment services suggests the following key implications for the Heritage Projection Review

- There needs to be direct dialogue with regard to HPR with LA officers at CEO level
- There needs to be a review of the remit of HE within LA purposes, ideally through consultation with elected members or senior officers within local authorities. Third parties who currently assist in the management and regeneration of the historic environment and contribute to the development of local and regional strategies, such as regional development agencies, could usefully assist in this

### *The impact of HPR on other aspects of public service delivery?*

4.3.2 The case-study research has also indicated that in general the proposals of HPR will assist a number of other aspects of public service delivery. They include:

- Closer working between conservation and archaeological specialists, with integrated information systems, will assist agri-environment schemes, for which single sources of information and advice are needed for effective and efficient delivery
- Some LAs are seeking a multitude of ways and opportunities for reaching and understanding the needs of their communities. The development of the local section of the RHSBE will be an opportunity to assist with community and socio-economic objectives
- The streamlining of the heritage consent system should assist planning delivery grant, for which the reduced need to consult English Heritage will particularly assist

4.3.3 However, the research also indicates that there is a need for a much clearer understanding of the purpose and functions of historic environment services in the context of public service delivery at a local level

### *Implications for English Heritage*

4.3.4 The case-study interviews have demonstrated that EH is greatly valued by all parties involved in the care of the historic environment, particularly for:

- The specialist expertise provided in support of particular cases and projects
- The funding provided for initiatives, capital works and seed-corn funded posts in LAs
- Their influence and impartial voice. This is particularly valued by historic environment professionals

4.3.5 However there are also a number of implications for the implementation of HPR:

- Although not stated nor implied by any respondent, and although this role is diminishing, the policing role sometimes adopted by EH may be delaying the assumption of full responsibility for the historic environment on the part of local authorities
- Although many respondents at member and senior level were aware of the HELM initiative, there appeared to be no overwhelming appreciation of this
- Although a very small sample of respondents commented on the championing literature produced by EH and the heritage sector, the general indication was that it did not provide sufficient support and practical guidance
- There is a concern that English Heritage is reducing its support to the historic environment at a local level and there is uncertainty as to the long-term future of this support and even the role of English Heritage at local level
- One 3rd party commentator observed that the conflation of the protection and 'exploiting' functions of EH, particularly in relation to projects, can be confusing and unhelpful and there needs to be a clearer split between these functions

#### *Implementation of HPR: issues and actions*

**4.3.6** While the case study research suggests that implementation of HPR will not necessitate radical changes to current models of delivery, it does indicate that there are a number of key issues and actions which should be addressed.

#### **Clarity of the HPR message**

**4.3.7 A clear statement of the HPR message:** Many respondents felt that there is a lack of clarity about the exact nature and scale of the tasks that will fall to local authorities. A clear statement is important, to set out the envisaged mechanisms and details of implementation and to address questions about sources of guidance and support to assist local authority HES in this process.

**4.3.8 Direct dialogue with CEO level:** Interviews with officers responsible for performance management indicated that there is an appetite for reform with regard to historic environment issues. However, a small but significant number reported that the HPR message had not been directed to them. There needs to be direct dialogue with local authorities at CEO level with regard to HPR, LA responsibilities and the timetable for implementation. This dialogue might perhaps be channelled through the Society of Local Authority Chief Executives.

### **Skills and training**

**4.3.9 Enhancing skills:** While most of the skills required to implement HPR are already in place, the case study research has indicated particular areas where some HE professionals may need further training:

- enhancement of IT skills for conservation specialists
- the use of information bases and impact assessment tools by conservation specialists
- enhancement of skills with regard to community consultation, negotiation and close working with site owners, for archaeological specialists

**4.3.10 Enhancing the skills of other LA professionals:** The skills of other LA professionals (e.g. planners, urban designers, countryside managers) could be enlisted and enhanced in order to mitigate increased workloads relating to the historic environment. For example, the experience of such professionals might be employed to assist with the development and enforcement of compliance with HPAs. This kind of skills sharing and multi-disciplinary working would have the added benefit of helping to mainstream historic environment issues within LA duties.

### **Addressing professional skills gaps**

**4.3.11 Closer working between archaeological and conservation specialists:** It will be important to foster closer working relationships and a sense of common purpose between archaeology and conservation specialists. The case study research also particularly highlighted the isolated position of some archaeological services in museums.

**4.3.12 Accessing the full range of professional skills:** Local authorities will need to plan how they intend to access all the professional skills required to implement HPR. Options will include recruitment, formal co-ordination between specialist teams, skill-sharing within and between authorities and enhancing or establishing SLAs.

## Historic Environment Records

**4.3.13 Location of HERs:** The technical issues of implementing Historic Environment Records are dealt with by Strand B of the Local Delivery Programme research. However, the maintenance of or access to HERs needs to be considered as part of the broader implications of implementing HPR. Moreover technological developments and changing attitudes towards access, mean that 'ownership' of HERs need not necessarily reside with a single authority. The extent to which the existing network of HERs can respond adequately to the devolutionary principles of HPR should be addressed. A cost-benefit analysis may be appropriate to examine the balance between the costs and feasibility and the potential public benefit and enhanced management of the historic environment of all LAs maintaining an HER.

**4.3.14 Including historic building information on HES:** There is a need for guidance on information to be contained in HERs. and local authorities will need to address how historic buildings information is to be included in HERS. The remit of conservation specialists may need to be expanded to include the submission of historic building information to the HER on a routine basis.

**4.3.15 Management of HE Information within LA Information Systems:** The relationship between HERs and other local government information systems also needs to be explored, since many LAs have invested in workflow management and document handling systems. The ODPM e-government and e-planning initiatives have addressed many of these issues and the PARSOL (Planning & Regulatory Services online) project may provide particularly useful models and information.

## Resources

**4.3.16 Resources to prepare for implementation:** The development of a local list, the enhancement of HERs, as well the possible need for some means of heritage assets audit in order to determine candidates for HPAs, will all entail strategic planning on the part of LAs and possible front-loading of resources to ensure timely implementation of the new system.

**4.3.17** Consideration should be given to the development of a funding mechanism to encourage the enhancement of skills and capacity within historic environment services, in preparation for the implementation of HPR. The Planning Delivery Grant might be an appropriate model.

## *Overall conclusions*

4.3.18 It is clear that currently the historic environment sector as a whole undertakes an extremely wide range of roles and tasks and so it comprises a similarly wide range of skills, expertise, experience and cultures. The sector is also, in a variety of ways, involved in the development, improvement and assessment of its services and outcomes. It seems that most of the skills which are required by HPR are already in existence and are indeed increasing within the local authority sector. In terms of support to the sector by others, while there is more progress to be made, there is a notable increase in the appreciation of the role of heritage in social and economic development on the part of non-heritage specialists.

4.3.19 While historic environment services are delivered from a variety of organisational structures and a large number of disciplines and local and regional authorities are engaged in the care of the historic environment, the literature survey and case-study research has demonstrated that there are no substantial obstacles to the implementation of any of the HPR proposals. Leaving aside the not insignificant question of staffing levels and resources, it is clear that the proposals for the most part build on the practices and procedures of the best of historic environment services and practitioners. Even without substantial reorganisation, it seems that the general trajectory of the sector is leading towards an approach to the care of the historic environment which is promoted by HPR. It is likely that LAs would undertake some re-shuffling of departments and professional remits, as well as the enhancement or re-definition of SLAs, in order to accommodate the HPR proposals and the range of skills required, but some training or skills enhancement particularly with regard to IT, public engagement and negotiation would be needed. Taking into account the overall trajectory of the historic environment sector and assuming that skills enhancement is implemented, it appears that current service delivery does not substantially diverge from the aspirations of HPR.

## **5. REFRESHING THE DELIVERY OF HISTORIC ENVIRONMENT SERVICES**

### **5.1 Current models of delivery from local authorities**

5.1.1 The case-study research has confirmed what has been common knowledge for some time: that arrangements for delivering services in support of the historic environment at the local level vary widely. This is a result of several decades of ad hoc changes in historic environment legislation, perceptions of the value and contribution of the historic environment, and the development of professional groups and institutes and the responsibilities of the local authorities.

5.1.2 Current models of delivery have been set out in Annex 2 of this report, but they are worth repeating here, together with some analysis of the advantages and disadvantages of each current model.

### **5.2 2 tier delivery**

5.2.1 In this arrangement, typically, archaeological services are delivered at county level, where they usually sit within a department or directorate associated with planning and the management of physical change. Archaeologists are consulted on and make recommendations on planning applications, as well as strategic documents, using sophisticated information bases or HERS. As a means of enhancing this information base, many also undertake county-wide studies and surveys. In addition, many undertake, to a greater or lesser degree, public outreach or community education. This service is usually delivered, whether charged for or not, to the district and sometimes unitary authorities within the county. Many of these teams are relatively large, 6 or more people, and they are frequently integrated with or retain very strong links with a county-based field archaeology team. Sometimes alongside the archaeological service, conservation specialists also operate. They do not always sit in the same department as the archaeologists but they more often than not sit in the same directorate. These conservation specialists, generally do not deal with day to day planning applications, since that is the remit of district councils, but they deal with the historic buildings issues of county-led and strategic projects and initiatives. However they sometimes provide support and engage in skill-sharing with conservation specialists at district level. Where conservation specialists sit in the same team as archaeologists, almost always, the team is headed by an archaeologist.

5.2.2 It is rare for a district to employ archaeologists. Instead districts consult or rely on county level service for planning application issues associated with

archaeology, including enforcement. The exceptions to this are district councils in historic cities like Winchester, Chester and Worcester, which do host their own archaeological services and, in many ways, function more like some of the single tier authorities discussed below. Most districts in England however, employ one or more conservation specialists, who undertake a range of services, including scrutiny of planning applications, enforcement of conditions, surveys of buildings at risk, advice to owners, designation and appraisals of conservation areas, input to public realm schemes and, increasingly, bidding for and inputting to multi-funded major refurbishment or heritage regeneration schemes within the district.

### *Advantages*

5.2.3 Conservation specialists working at district level are fully 'plugged in' to the local scene and to the community. These services know the physical character of their area and the detail of development pressures and proposals very well and they have usually developed a network of contacts within the community. These services tend also to be resourceful in enlisting or partnering with others in the authority and elsewhere to deliver outcomes and schemes. They use highly developed negotiation skills in their close dealings with owners and the general public. District conservation services deliver physical change on the ground, frequently by seeking and initiating multi-funded projects, often leading to management of relatively large capital projects.

5.2.4 The archaeological teams based at county level are the largest of such teams in local authorities. This may be because they are, with the museums, the longest established, or it may be because the inclusion of field teams, certainly in the early days of their development, provided the critical mass for growth. Whatever the reason, their size offers the obvious advantages of capacity, a wide range of skills and expertise and a sub-regional overview. This means that they are able to respond quickly to change and to access and deliver funded projects rapidly, usually studies, to the county. Indeed this, combined with selling their services to other local authorities, as well as on occasion to the private sector, provides a great deal of revenue on which they seem to continue to develop substantial teams. Indeed one service was partly assessed in terms of annual revenue targets. These services effectively operate as sub-regional resource centres for the provision of mostly archaeological advice and projects. The size of the teams and the variety of projects, also offer relatively good career progression and professional satisfaction. They therefore tend to attract good staff. These services are also characterised by very effective and entrepreneurial leaders, who possess highly developed business skills, including strategic and succession planning, market analysis and a client focus. They tend to be influential within their own authorities and are regarded as advantageous to the LA's reputation. As these services often undertake pilot projects or initiatives, they also influence statutory authorities and tend to 'raise the bar' for other archaeological organisations. These larger teams also tend to undertake a larger number of outreach services and events for the general public, as well as cross-boundary

studies and initiatives, enabling a sub-regional overview of the archaeological resource.

### *Disadvantages*

5.2.5 Most district conservation services are small, largely consisting of at most 3 individuals. This means that their work is often responsive rather than strategic and dominated by development control activities. Senior support within LAs, for the work of conservation services tends to be variable and some individual specialists clearly feel overworked, isolated and undervalued. This also leads to difficulty in recruitment in some areas, as well as susceptibility to being subject to cuts in services.

5.2.6 Many archaeological teams sitting within the county do engage with the local community through the HER and through education and outreach projects. However, in the course of their core development control and planning duties, they can be remote from local communities despite undertaking regular liaison with district officers. Other than the work of countryside officers, most of the delivery in this context tends to be hands-off advice, studies or information systems, in contrast to much of the work of district conservation specialists. The position within the higher tier authority also leads to a sense that they are in overall charge of the care of the historic environment of the county. And this combined with the fact that the service heads proactively 'sell' their products and services to districts could not only lead to a conflict of interest but more importantly, stifle the development of district level initiative and capacity. Some of the activities of these services resemble those of a self-contained business to business consultancy. There is a feeling therefore, that some of the seeking of funded projects is in an effort to preserve or grow the size of the team rather than meet local community needs. Indeed one service head related that with the possible reduction of HLF funding, he was considering promoting services to public-sector clients in eastern Europe.

## **5.3 Single tier delivery**

5.3.1 Archaeological and historic buildings services are also delivered from single tier authorities of unitary, metropolitan, borough and city councils. National Parks Authorities also deliver joint archaeological and historic buildings service. Consequently there is less inter-trading between single tier, than between two tier services. However, in two of the case studies where former metropolitan county structures have been disbanded, one authority or joint service provides an archaeological service to several other single tier authorities in the area, particularly for assistance with development control and planning applications. The archaeological components of single tier teams tend to be smaller than those of the county services, but the conservation components tend to be larger than those of district councils. In all cases, with a group of notable exception,

archaeologists and historic building specialists were in the same department, usually associated with planning, and were providing an integrated service to a greater or lesser degree. The exceptions were the five single tier authorities in which archaeological services were delivered from a museum. Here archaeologists and historic buildings specialists in general do not provide an integrated service and there appears to be little interaction between the two specialisms. By contrast, within National Parks Authorities, archaeologists and historic buildings specialists form part of a multi-disciplinary team which include ecologists, countryside, farm and landscape specialists and even education and outreach workers, providing 'whole-service delivery' for the care and promotion of the environment. One of these services is headed by an archaeologist.

### *Advantages*

5.3.2 The obvious advantage is the delivery of an integrated service for the historic environment. This is particularly appreciated by those charged with the delivery of Environmental Stewardship Schemes, for which there is a need to access information and advice for the full historic environment. These historic environment teams are relatively young in terms of their formation, and it seems that the opportunity has been taken to re-think the delivery of historic environment services. It appears that there is greater scope both for 'mainstreaming' historic environment issues in the general planning and development process within unitary authorities. This, combined with the apparent greater engagement with the local communities, means that this organisational arrangement is a good model of effective delivery of support to the historic environment.

### *Disadvantages*

5.3.3 The downside of being fully integrated into the delivery of local authority planning services is that the profile of the historic environment services within unitary authorities tends to be lower than those of many of the county-based services. This, combined with the reduced opportunities for expansion through selling services to other authorities, may limit the size, capacity and skills of these services.

## **5.4 Specialist resource teams**

5.4.1 There are a number of specialist resource teams, operating independently of the LA sector. In the case studies examined, they delivered, on a commercial basis, either archaeological or historic buildings services to local authorities and others within the region, and sometimes beyond. Both services were founded within local authorities but have become detached or independent as a result of local government re-organisation of some kind. One delivers archaeological services from a national museum to five local authorities under service level agreements. The other is a small independent team of historic buildings specialists, a former county council conservation team, which was seconded in

1996 to a Building Preservations Trust and then formed into the charitable trading company it is today. It serves the districts of the area by filling resource and skills gaps for development control and other conservation work.

### *Advantages*

5.4.2 These organisations sell their services to local authorities and others and so are very service and client-focussed. They are responsive and are able to fill gaps in capacity and skills as and when they are needed, without over-powering their client authorities. They play an important part in supporting the care of the historic environment within an area.

### *Disadvantages*

5.4.3 These services tend to focus on a single discipline, rather than provide an integrated service. While they undertake some outreach activities, as external organisations, it is also difficult for them to fully integrate with the corporate purposes of their client authorities.

## **5.5 Historic environment services in museums**

5.5.1 A number of archaeological services are based within museums, and therefore within directorates associated with leisure or culture rather than planning. These services provide scrutiny of planning applications and usually hold an HER. These services rarely sell their services to other authorities and although they often undertake a wide range of outreach activities, as part of the museums service, the impression is of small and isolated teams, with the attendant disadvantages. In general this disadvantage does not seem to be outweighed by greater integration with education or outreach activities of the museum.

## **5.6 An ideal model for service delivery**

5.6.1 It is not possible to choose one of the current models of delivery as an ideal. There is a danger that in doing so, too many important advantages would be lost. Splitting up the large county (or sub-regional) teams would mean the loss of the capacity and influence that many of these teams enjoy and many of their functions, particularly with regard to archaeological 'understanding', should properly be undertaken within a regional or sub-regional archaeological context. Conversely bringing conservation specialists into these teams may undermine their important role in the care and regeneration of the historic environment at a very local level.

5.6.2 However, there is another important reason why it is not possible to select one of the current models as the ideal. It is clear from the literature survey and the

case-study research, that there is no common understanding of the responsibilities, remit and standard of local authority historic environment services. The literature on the development of standards and models of excellence demonstrates the very wide variety of roles undertaken. However, it also seems that these layers of tasks have simply accumulated. Some tasks have arisen as a result of new statutory duties but others have simply been adopted by the sector over the years. It is fair to say that there has not been a wide-ranging review or examination of what local authority historic environment professionals should and, just as importantly, should not do. Nor has it been examined whether, if these tasks should be undertaken by local authorities, historic environment professionals are best qualified or placed to undertake them. The difficulty with the work on standards and models is that it appears to be generated by and addressed to the historic environment sector, simply codifying what is regarded as best practice. Indeed it is unclear whether those charged with management performance within authorities would agree with the standards and models as a response to their corporate objectives.

## **5.7 Reviewing service delivery**

5.7.1 The Heritage Protection Review provides a once-in-a-generation opportunity to review the delivery of historic environment services by local authorities. The HPR Local Delivery Project has raised a number of fundamental issues with regard to the services and their remit. Although not a formal part of the project brief, following the analysis of the information gained from the study, the consultant team further explored these issues. The remainder of this section sets out some preliminary thoughts on refreshing the remit of local authority historic environment services and a possible new model for service delivery.

5.7.2 It may be argued that the role of the state, at both national and local level in the support of the historic environment is very simple:

- a) To ensure that the historic environment is protected and conserved
- b) To ensure that the public benefits from the historic environment

5.7.3 These twin roles must also be seen in the context of local government imperatives of economic development and ensuring well-being of citizens, as well as some of the spirit and wider aspirations of the Heritage Protection Review, including:

- Devolution - increased local engagement and responsibility for the care of the historic environment
- Community engagement - greater community involvement in identifying assets of value and decision-making regarding their care

- Realising the social benefits of heritage - enlisting heritage and the historic environment in the delivery of government initiatives implemented at a local level, including Community Strategies and Local Area Agreements

5.7.4 These elements might form the framework for refreshing the delivery of historic environment services.

## **5.8 Essential factors for a refreshed delivery**

5.8.1 Through the analysis of the support to the historic environment at local level and interviews with those delivering these services and an appreciation of the principles and aspirations of the HPR proposals, a number of factors which should be essential in any refreshed system of historic environment delivery can be identified.

- There should be as much devolution as possible in order to engage with and benefit communities. Therefore districts and unitary authorities should be the drivers of the management of their heritage, even where there is a county council historic environment service
- Councils should be trusted to manage the historic environment appropriately and positively
- Corporate/performance managers need clearer guidance on how the historic environment can and should be enlisted in strategic and socio-economic initiatives such as Local Area Agreements, Community Strategies and the delivery of Shared Priorities etc
- Corporate managers should actively demand to use the historic environment for public benefit. They should demand and challenge the HES to contribute, rather than simply invite
- In order to support and monitor authorities' support of the historic environment, there should be a system of external scrutiny of HES performance with regard not only to community issues but also perhaps academic standards, best practice and regional heritage context
- Historic environment professionals should benefit from political support, command respect and have influence within authorities
- There needs to be an holistic approach to the management of the historic environment, continuing the evolution from the current discipline or asset based services
- Historic environment specialists within local authorities should focus their efforts and contribute to their authority's corporate purpose. Historic environment services and professionals should be geared to their public role rather than to their specialisms

- Thus the remit of the LA historic environment service should be clear, perhaps replacing the current division between archaeological and conservation specialists, with a functional distinction based on the twin public sector roles of a) ensuring the protection and conservation of the historic environment and b) ensuring public benefit from the historic environment
- There should be support, in terms of skills and capacity, available to the historic environment professionals at local level as and when needed, including specialist expertise, as well as the ability to respond to the fluctuating need for resources, and to new initiatives.

## **5.9 A possible new model for historic environment service delivery**

5.9.1 Set out below are the 4 elements of a possible new model of local delivery in support to the historic environment sector. Each element is required to be in place if the essential factors set out above are to be achieved.

### **1 - Achieving ownership by the Local Authorities at CEO level**

- The development of PSAs for the historic environment, implemented through performance or improvement measures at local authority level
- Funding strategies or agreements to encourage performance at local level
- Increased and clear information and guidance directed to council members or chief executives, on how to both conserve and exploit the historic environment for public benefit.
- Increased profile of historic environment in Local Development Frameworks, Community Strategies, Local Areas Agreements etc
- Increased professionalisation of historic environment officers, furnished with post-graduate qualifications appropriate to their local authority role

### **2 – Delivering local objectives**

- District and unitary authority HE professionals in the driving seat of the management of all elements of the historic resource, leading liaison, discussions and piloting initiatives with EH and others, sourcing products and services in support when necessary, in the context of corporate purposes and objectives
- A new breed of local authority historic environment professionals based on the separation of functions, rather than specialist disciplines:
  - Historic environment officer – specialist generalist dealing with frontline planning and management of change, including development control and monument management, for all asset types– probably sitting in planning directorates

- Heritage community officer - specialist in exploiting the historic environment to deliver social or well-being objectives, for example through education, community engagement and inclusion in cross-cutting initiatives – possibly sitting in policy, community or culture directorates
  - Heritage regeneration officer – specialist in exploiting the historic environment to deliver economic objectives, including heritage-led regeneration, initiating multi-funded capital works such as refurbishment or heritage tourism initiatives, project management etc – probably sitting in regeneration directorates
- The refinement of current, or the development of new, post-graduate qualifications in the above roles in order to increase the capabilities of HE professionals, as well as their influence within authorities.

### **3 – Achieving capacity to deliver**

- Sub-regional historic environment specialist resource organisations, at arms length from but geared to supplying services to local authorities (and possibly funded by annual SLAs).
  - providing specialist knowledge and asset type expertise
  - undertaking and delivering projects, studies and initiatives, e.g. characterisation projects
  - supplying manpower and resources to support case-work, enforcement, monument management etc

### **4 - Achieving best practice and overview**

- Sub-regional historic environment committee, with the remit of achieving a professional and academic peer review, sub-regional overview, and input of local interest groups, with representatives from
  - Universities
  - Local societies
  - Volunteer groups

## **5.10 Conclusions**

5.10.1 Such a model could result in local authorities which are engaged and empowered to both protect and exploit their historic environment for public benefit; HE professionals who are focussed on their role in the delivery of LA objectives and skilled and qualified to do so; capacity in terms of a source or bank of

specialist expertise, understanding of the historic environment and resources for delivery which can serve a number of local authorities; a system of peer review at regional or sub-regional level providing an overview and scrutiny of historic environment outcomes and the standards of its understanding and care; and finally, the engagement of volunteer and heritage interest groups and historic environment research and educational establishments.

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# **Historic Environment Services Local Delivery Project**

## **Annex 1**

### Literature Survey

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# 1. INTRODUCTION

1.1 This document is the interim report on the first stage, desk-top study, of the Historic Environment Local Delivery Project, which sets out to profile current delivery structures and assess their capacity to implement planned changes to the national system of heritage protection. This report reviews a selection of current and historical literature, which assesses local authority services that deliver support for the historic environment. It aims to:

- assess the research methodologies employed and review conclusions and recommendations relating to local service delivery
- map the range of services currently provided by local authorities at community, local and regional level
- define criteria to categorise the nature and quality of service provision and clarifying the likely implications of HPR on historic environment services

1.2 In order to facilitate application of this report's findings to subsequent phases of the project, it is broadly structured around the framework set out in the project design for the final report, regarding Historic Environment Delivery Today.

## **2. HISTORIC ENVIRONMENT SERVICES TODAY**

### **2.1 Previous Surveys of Historic Environment Services and Survey Methods**

2.1.1 The majority of surveys and research carried out to date regarding Historic Environment Service (HES) provision has been instigated by professional bodies, such as the Association of Local Government Archaeological Officers (ALGAO) and the Institute of Historic Building Conservation (IHBC), and by English Heritage. This literature has not addressed historic environment delivery by local authorities in a holistic way, nor does it reflect the structural complexity of delivery, the range of services provided or the skills employed by local government historic environment professionals.

2.1.2 A variety of research has been carried out regarding the archaeological services supporting the historic environment at local government level. ALGAO has conducted a number of surveys on staffing (ALGAO 1998, 2003a) and on planning and conservation casework (2003b) amongst its members, and it is these that will be focused on here.

2.1.3 The first three ALGAO surveys on planning and casework, brought together in ALGAO (2003b) Planning and Conservation Casework 1997-1999, reported on numbers of staff, curatorial practice and decision making associated with planning archaeology and building recording, and also on the workload of local government archaeological officials in relation to consultation on agri-environmental schemes. Questionnaires of 39 questions (with a total of 136 answers) were sent out to ALGAO members by post and email (with telephone follow ups where necessary to clarify answers), one in 1998 (to 89 members) and two in 2000-1 (to 109 members), through which statistical information was gathered and analysed.

2.1.4 These surveys focused on quantitative analysis of archaeological services in relation to changed planning policy guidance. They were specifically initiated in order to assess and monitor the impact of PPG 16 on the planning process and the caseload of local government officers dealing with archaeological matters, and make it clear that they were not intended to provide any measure of the time and human resources required to carry out these tasks. Curatorial staff working on SMRs, education and outreach, and fieldwork were not included. There was a response rate of 75-91% over the three years, but a significant lack of response from ALGAO members in eight of the nine Government regions meant that no valid regional analysis could be carried out (only the East of

England had nearly 100% response rate each year) and no sense of differentiation between different categories or tiers of authority is gained.

2.1.5 Archaeological Services in Local Government 2000 Survey Report, carried out 2001-2, was intended to up-date and monitor change since the original 1997 survey on staffing (see ALGAO 1998). The 2000 survey considered the number and fluctuations of temporary and permanent curatorial and contract staff, the variety of roles carried out (curatorial - SMR maintenance, planning/development, and 'other'; contract - fieldwork, commissioned projects), the kinds of external funding for such posts, the impact of local government reorganisation, awareness of guidance regarding reorganisation and experience of Best Value reviews. These surveys were also carried out by a postal/email questionnaire to ALGAO members, with a return rate of 77 out of 87 in 1997, and 99 out of 102 in 2000.

2.1.6 These surveys were prompted to assess the impact on archaeological services of changes to the structure of local authorities - review of local government in the mid-1990s and again in the context of Modernising Local Government and the Best Value inspection regime in 2000, as well as the regionalisation of EH and the emergence of new Regional Development Agencies and cultural consortia. The 2000 questionnaire was structured to glean statistics, and to give a picture of where archaeological services sat within local authorities and a basic understanding of the range of roles carried out by archaeologists, as well as charting perceptions and anticipation of change, national guidance and inspection regimes.

2.1.7 Until 2003 ALGAO surveys were not an annual occurrence. The association's Strategy 2001-6 indicates its aim to establish an annual survey of staffing and functions within local historic environment services and a database covering curatorial practice in the provision of planning and other advice, to support the work of member authorities and to promote the development of policies and professional practice. Surveys have been carried out for 2003 and 2004, by a questionnaire that incorporates aspects of previous staffing and planning casework surveys, but that also reflects current concerns about the efficient management of information and accessibility of historic environment services, including questions on HERs online and outreach activities. Although brief and with a quantitative focus, these surveys attempted to provide a more balanced understanding of the work that their members carry out in local authorities, to quantify their members' success in delivering improved HERs and outreach and educational services, and to promote standards for professional practice. Currently, only a brief summary, updating on key findings regarding patterns of staffing, planning, and progress in other areas, has been published for 2003.

2.1.8 The lack of comparable research on staffing, casework and resources for historic environment and conservation at local authority level was recognised. Oxford Brookes University had carried out a telephone survey between January and March 1999, on

behalf of EH, IHBC and ALGAO, with a sample of 10% of English Conservation Officers drawn from a variety of different local authorities. This study, Local Authority Practice and PPG15: Information and Effectiveness (September 2000) set out with the very specific purpose of examining current practice amongst local authority conservation officers with regard to asking for information in support of applications for listed building consent and conservation area consent.

2.1.9 Not unlike the ALGAO planning and casework surveys, this survey was very much about the processes by which planning policy guidance was worked through and applied, rather than the full range of delivery. The rationale behind the study was that, particularly in the light of Best Value, it was important to understand the quality and efficiency of the decision making process - full information would be likely to improve the quality of decisions, and possibly speed up the decision making process, yet anecdotal evidence had indicated that many local authorities were reluctant to make use of advice under PPG 15. A very detailed questionnaire covering the quality of information, the application process and the use of that information in determining applications, the use of recording as a condition of consent, and the storage of information was used.

2.1.10 But it was only with the EH/IHBC commission of the OBU research project Local Authority Conservation Provision in England (LACP) that comprehensive survey and a fuller understanding of conservation services, their staff numbers, and of trend data to indicate the changing nature and extent of their workload, how satisfactorily they were resourced and how effectively they managed the historic assets in their care, was attempted. The rationale for this study was that, given the major impact that the ODPM's policy statement, setting out radical reform for the planning system in 2002, and the comprehensive new vision for the heritage sector set out in A Force for Our Future will have on local authority HES', EH, central government and the conservation profession needed to have an informed picture of the effectiveness of local authority conservation services, and a clear and accurate base data on staffing provision and workloads. Indeed the first State of the Historic Environment Report (EH, 2002) contains information from this LACP survey.

2.1.11 This was a one-off academic project to provide an understanding of conservation services, comparable to that which existed for archaeological services, and it made conscious efforts to parallel the surveys undertaken by ALGAO on archaeological services, to enable a picture of the heritage sector as a whole to be built up. The lengthy questionnaire, which gathered a broad range of qualitative and quantitative data and required very detailed responses, was piloted with five authorities and then sent out to 396 authorities by post, with a reminder letter sent out after a month and subsequent telephone calls. An initial response rate of 59% reached 67% after follow ups (232 and 265 responses respectively), with 'short returns' completed for the remaining 131 authorities, so that comprehensive responses were obtained for certain key questions on staffing and resources. The questionnaire (of 87 questions) consisted of seven sections

on general profile, size of resource to be managed, spending profile from CIPFA figures, staff profile, conservation activities and workloads, best value and performance monitoring, quality of service and internal and external relationships. It also asked for the subjective feelings of conservation specialists' about the service they provided and their relations with other departments. The depth and breadth of the qualitative and quantitative data gathered through this questionnaire, the number of specialists' surveyed, the extent of analysis, and the lessons it could learn from previous work, means that we now have a reasonable picture of conservation services and their resources.

2.1.12 Before work began on the LACP project, in October and November 2001 external consultants, David Baker (Historic Environment Conservation) and Gill Chitty (Hawkshead Archaeology and Conservation), were commissioned by EH to carry out a rapid study of resources for the management of the historic environment as part of the planning system in English local authorities (Heritage Under Pressure, April 2002 (HUP)), in the context of government review of resources for planning authorities and the publication of the Green Paper Planning: Delivering Fundamental Change in December 2001.

2.1.13 This appears to be the first time that a survey of historic environment services as a whole had been attempted and that statistics for local authority expenditure on historic environment services had been analysed, with the objective of identifying indicators of the scale of current resourcing and the quality of conservation services. This report was also written with future change in mind, rather than primarily to monitor the impact of structural or policy changes already implemented. The approach taken in this study was not to carry out any new survey of local authorities but to collate existing data, primarily from national statistics – DTLR statistics on planning applications for listed building consent and conservation area consent, Chartered Institute of Public Finance and Accountancy (ICPFA) statistics on local authority expenditure and resources for historic environment conservation, and from Heritage Monitor. HUP gives a broad brush picture of national, regional and local resources and funding, of the range of services, standards, expertises and information management across England.

2.1.14 Most recently English Heritage, as part of the pilot project questionnaires carried out as a prelude to this research on the implications of HPR, have begun to focus on particular examples of local authority service delivery and to gauge views on their capacity to implement HPR.

2.1.15 In addition to the surveys of resources, staffing and casework highlighted above, a range of other literature, which sets out to map the range of skills and tasks and to set standards for good practice in the HE sector, will be taken into account in the project as a whole. For example, in 2003 the Planning Officers Society, in liaison with ALGAO, CABE, EH and the IHBC, published an excellence matrix, Moving towards Excellence in Urban Design and Conservation. This aimed to help local authorities put in place practices and

processes through which to deliver excellent conservation and urban design through the planning process. The IHBC (in association with ARIA) have also recently mapped the diversity of tasks carried out by local authority conservation services (Edymann & Swanson, August 2005) and set out a schedule of actions on skills development for the Heritage section in 2005. EH, ALGAO & IHBC have also investigated performance improvement matrices for HES (Baker & Chitty (2004, unpublished) Moving Towards Excellence: a performance improvement Matrix for Historic Environment Services) and suggested BVPIs by which to measure the quality of service provision.

2.1.16 Two different research projects undertaken by The Paul Drury Partnership are relevant in this context. These are Managing Local Authority Heritage Assets: some guiding principals for decision-makers (June 2003) (commissioned by EH and endorsed by DCMS and ODPM) and Streamlining Listed Building Consent: lessons from the use of management agreements: a research report (2003, commissioned by EH and ODPM). The latter will be informative in relation to the kinds of new negotiation skills HE professionals will require in the context of the Heritage Partnership Agreements proposed by HPR.

### *Conclusions and implications for the current project*

2.1.17 The key findings and recommendations of the surveys, the considerable potential of, and gaps in, the information they provide about HES', particularly with the implications of the HPR in mind, will be explored and assessed further below. However, some initial comments regarding survey method and remit can be made at this point.

2.1.18 Previous surveys have questioned either archaeological or conservation/historic buildings professionals at local authority level. This project will approach HES' in their totality to explore the relationships between these two strands and their relative positions within the local authority context. Previous surveys have only related in part or in whole to HES, not to the full spectrum of delivery that lies at the heart of this current research.

2.1.19 The remit of previous surveys has been to provide information on current situations, current service staffing, workload and resources. Regularly, they have been conducted to assess the impact on decision-making processes and on service delivery of legislative and organisational changes, particularly in relation to planning and local government structures, after these changes have occurred. Some have been conducted with the understanding that the information they provide may inform how government aspirations for change can be implemented (HUP, LACP). But their remit has not been to rethink how services are delivered in terms of structures or objectives. Some of the analysis carried out by the LACP project, regarding the effectiveness and status of conservation services, where they primarily sit, as 'bolt-ons' to planning services, and the self-image of conservation services, as regulators and managers of change rather than as initiators of it, begins to point towards the value of such research. The current project

takes such recommendations forward and focuses on the case study authorities in order to probe further and consider models of local authority delivery of support for the historic environment in the future.

2.1.20 Previous surveys have been carried out by postal/email questionnaire or through the analysis of national government statistics, not by face to face interviews. These methods are rapid, not expensive, and with a relatively good response rate to surveys, albeit that letters and follow up telephone calls or emails have been required, either to remind respondents to return their questionnaires, or for clarification of responses, or to obtain a fuller coverage, at least on key questions (OBU 2003's 'short returns'). Incomplete or inadequate answers were ascribed to lack of time and lack of information (ALGAO 2003a), to being overworked, to the length and complexity of the questionnaire, or to the need to get data from a third party (OBU 2003). It is considered that:

- the addition of face to face interviews in tandem with questionnaires at Stage Two of this HPR Local Delivery project will introduce a new approach and elicit subtle information regarding perceptions and attitudes
- the 360° approach of Stage Two will access a wider range of views and potentially provide easier access to sources of information and data
- with consideration to the mode of delivery (probably web-based), the format, length and structure, questionnaires will remain an effective means of eliciting annual data.

## **2.2 Services Provided**

### *Development Control*

2.2.1 Surveys of both archaeologists and conservation/historic buildings specialists indicate that contribution to development control work is the primary service traditionally provided by HE professionals (although it is worth noting the variability found in LACP statistics – in 4 authorities conservation staff spent less than 5% of their time on development control and in 6 cases they spent more than 95%). A considerable amount of information regarding development control work and the implementation and extension of the principles of PPG 15 & 16 has been collated since 1997.

2.2.2 ALGAO planning and casework surveys gathered and analysed a significant set of figures relating to every aspect of the decision-making process regarding archaeological planning advice from pre-determination to post-determination, from direct planning consultation with developers, to the production of briefs and site monitoring visits, from the number of applications affecting Scheduled Monuments and Registered Parks &

Gardens to the volume of casework associated with development by Statutory Undertakers, Environmental Consultations (Woodland Grant Schemes, Countryside Stewardship and Environmentally Sensitive Areas) and casework related to Historic Buildings. The key findings from these surveys, which can be found in Appendix 1, provide a basic quantitative understanding of the increasing workload of surveyed ALGAO members in relation to planning and the proportions of decisions made by them, rather than any sense of human resources or time involved, variations from one authority to another, etc. ALGAO continues to gather these kinds of statistics and states in their Strategy 2001-6 the intention to establish a database covering curatorial practice in the provision of planning and other advice. It should be noted here that these ALGAO surveys clearly stated that they were not concerned with the archaeological outcome of recommendations (i.e. fieldwork; on this see Darvill & Russell, 2002).

2.2.3 The ALGAO brief summary up-dating news on planning casework and staffing for 2003 (2003c), in its 'Progress' section, indicates trends in a range of development related activities and consultation - that the principles of PPG 15 & 16 are being successfully extended; that consultations received in advance of development by utility companies such as roads, railways, pipelines and cable-laying (which fall outside the remit of planning law are being dealt with in large numbers (3,600 reported in 1999); that members casework has grown significantly from 1999 to 2003 in the area of providing advice to both landowners and government bodies on the conservation and management of archaeological sites in the context of grant-aid schemes such as Countryside Stewardship and Environmentally Sensitive Areas (from 2352 to 4205). These figures simply relate the number of these consultations with developers or the numbers of agri-environmental schemes consulted on rather than indicating the proportion of their work this makes up or how much, if any of this, comes about through proactive work.

2.2.4 A detailed picture of development control work is provided by the LACP project. Here the statistics are presented rather differently, indicating the percentage of those surveyed who normally undertake each of the individuated tasks or not, and the extent to which these tasks have increased, decreased or remained the same in the preceding three years. The following tasks are considered: pre-application advice, vetting of incoming applications, advice to development control colleagues on LBC/CAC applications, conservation advice on other applications, processing of LBC/CAC applications, negotiation with applicants, post-decision discharge of conditions, and follow-up monitoring, input to CA advisory committees, urban design advice, writing briefs for building recording, archaeological advice, parks & gardens advice, appeals and public inquiries, input into Diocesan Advisory Committees and responses to ecclesiastical exemption notifications. The range of roles covered is inevitably different, given the professional emphasis on conservation as opposed to archaeology here, although overlapping and parallel activities are apparent.

2.2.5 The LACP survey indicated that conservation specialists spent 53% of their time responding to applications and working on development control. ALGAO figures indicate that the planning workload of local authority archaeological services has increased significantly between 1999 and 2003, with a 53% rise in planning applications with archaeological implications and a corresponding 50% increase in project briefs issued. Although based on different kinds of discussion and statistics again, this general picture of an increasing development control workload is supported by the HUP study, which suggests that a 1/3 of all planning applications and casework directly concern historic environment conservation matters, taking together archaeological, historic, building, conservation area and related casework.

### *Care of the Resource*

2.2.6 A substantial breakdown of the roles performed by conservation specialists' with regard to care of the resource is given in the LACP project, detailing the percentage of respondents that normally undertake each task and the percentage that have experienced increase, decrease or no change in this work in the previous three years (3.5). These figures are provided in relation to:

- Annual 'State of the historic environment' report
- Buildings at risk surveys & updates
- Follow up on BAR action (advice to owners/enabling)
- Repair/urgent works action (including CPO & direct works)
- Supporting work of building preservation trusts
- Advice to owners on repairs and maintenance
- Grant aid
- Preparing bids for external funding
- Conservation area enhancement
- Building recording/analysis/research
- Maintaining historic environment records
- Advice on care of LA owned buildings (asset management)
- Dealing with spot listing cases
- Establishing Article 4 directions in historic areas

2.2.7 On average conservation staff spent 22% of their time on care of the resource, with only 10% spending more than half, and 10% stating that they spent less than 3% of their time on this aspect, with no particularly obvious trend towards an increase or a decrease in this kind of work. Nearly all of the above activities are routinely carried out by 70% of conservation specialists, but notably only 20% responded that a State of the Historic Environment report was normally undertaken.

2.2.8 While ALGAO surveys deal with the tasks and processes involved in development control in some detail, they have not broken down tasks relating to stewardship in such a detailed fashion. Detailed understanding of archaeologists' work in caring for the resource is obscured in these surveys by the use of broad categories covering staff activities, including 'other curatorial work' and 'contractual work' (the latter relating to fieldwork and other commissioned projects).

2.2.9 Notably, within the category of contractual work, it is the maintenance of SMRs/HERs/UADs that is focused on alongside planning/development control work. This aspect of stewardship is clearly considered to be a primary role of local authority archaeologists. The survey Report 2000 indicates the numbers of staff involved in such maintenance and enhancement at County, District, Unitary, National Park etc. level (see ALGAO 2003b for statistics e.g. 41.7 out of 133.4 staff at County level, 5.1 out of 20.4 at District. 16.7 out of 64.8 at Unitary, 1.5 out of 13.0 at NPA level in 2000) and the percentage of each authority type amongst respondents that hold SMRs and UADs, and the increase in total number of them held since 1997 (63 to 84 SMRs; 10 to 18 UADs). Similar information has been gathered as part of more recent ALGAO surveys.

### *Proactive engagement with and guidance to owners, in development & regeneration schemes*

2.2.10 The ways in which HES' provide services to owners and developers, touched upon in the development control section above, are often reactive rather than proactive. Much of the work carried out by conservation specialists, listed under 'Care of the resource' above, however clearly is proactive, for example, where work involving advice to owners in a number of contexts, to local authorities regarding asset management, time spent bidding for external funding and on grant aid work etc. is already noted. In its questions on spending (3.3) the LACP project also surveyed the extent to which LAs were involved in jointly funded/partnership historic building grant programmes under S. 80 1990 Act (e.g. Conservation Area Partnership Schemes, Heritage Economic Regeneration Schemes, Townscape Heritage Initiatives, etc) and the percentage of which these the LA itself was delegated to manage on behalf of partners noted. Out of 250 responses to these questions, 49% were managing these partnership programmes, but 50% did not contribute to such programmes.

### *Input to policies and other LA wide planning and objectives*

2.2.11 The proactive involvement discussed above provides one measure of the input of HE specialists' to policies and wider objectives.

2.2.12 The LACP project breaks down the input of conservation specialists' to strategy and to policy in much more detail, indicating the percentages of those surveyed who

normally do or do not undertake such work, and whether this input had decreased, increased, or remained static over the preceding three years (3.5). It provides figures not only on the percentage of respondents who have input to statutory development plans, conservation policy, conservation plans, development briefs for historic areas, conservation area appraisals and conservation area designation, but also on input to:

- conservation area regeneration strategies
- cultural strategies
- community strategies
- the development of best practice/performance standards (e.g. Best Value),
- responses to government consultation on emerging legislation
- management/business plans

2.2.13 In general, while the time allocated to policy and strategy covered a wide range, the majority spent between 10-30% of their time on this. More authorities had seen a decrease as opposed to an increase in this time spent on policy and strategy over the last three years, with about half experiencing no change to the proportion of time spent. 93% of conservation specialists provided input to statutory development plans and other policy such as supplementary planning guidance. 52% indicate that they made input in to cultural strategies, whilst only just over 1/3 made input to community strategies.

2.2.14 Currently such detailed information regarding the input of archaeology professionals to these kinds of LA policies is not available. ALGAO planning and casework surveys have included a break down on the numbers of strategic consultations on local plans, conservation area assessments and development briefs carried out by archaeological professionals (2003a, 3.2). In the section on Policy and Development Plans HUP (4.20) notes the role that LA HE professionals have played in the introduction of a range of new tools and information sources to aid long-term strategic planning for the historic environment, including Historic Landscape Characterisations, regional research frameworks, Urban Archaeology Strategies, and Extensive Urban Surveys. In HUP (4.27-29) 'policy' is cursorily discussed, although no figures can be produced to support the comments made. The fact that conservation staff will have to be a part of the response of Local Planning Authorities to the current and proposed changes to the planning system – Community Strategies, Local Development Frameworks, and Action Plans, all tied to new Regional Spatial Strategies, and the fact that they will have difficulty on the basis of current resources in doing so, is simply noted.

### *Championing, including outreach and community activities*

2.2.15 Championing of the historic environment, outreach and educational services have not featured heavily in the surveys and literature reviewed here, although awareness of their role is obviously increasing. HUP simply notes the strong public interest in heritage and the need for planning departments funded only to undertake statutory planning duties

to have good relations with other departments or external organisations to explain and promote the interest of the historic environment (sections 4.45-7; see also 4.19).

2.2.16 Regarding education, access and promotion, ALGAO's Strategy 2001-6 states that it seeks to encourage the development of capacity within local authority historic environment services to support heritage education, access and community development. Their 2004 questionnaire has begun to address this issue by adding on a section on 'Outreach Activities', which indicates that 2/3 of members have produced leaflets/posters/press releases, with 14 out of the 91 surveyed involved in producing education packages, 74 producing exhibitions, 57% conducting guided walks, 81% giving talks to local societies and over 1/3 undertaking community events. In the 'Services' section of the most recent questionnaire (2004), professional roles are divided into planning and conservation advice, maintenance and enhancement of HERs or 'Other curatorial work (e.g. education/outreach)'. The category 'other' is too vague to give any real understanding of how much of those 'other' members of staff are working on education. This all gives some sense of the nature and extent of activities, but no real idea of how much is being spent on education and outreach in terms of time and financial resources, where funding for it is coming from, and what kinds of strategy, initiatives or policies are in place guiding these activities.

2.2.17 The LACP project provides similar, but more substantial, statistics for conservation specialists, indicating that most were engaged in aspects of education and outreach, with 87% of specialists giving talks to groups and local amenities and 80% preparing promotional material and 44% were involved in environmental education, providing talks and information to schools and college groups. But the survey also indicates, unlike the ALGAO survey, the average proportion of time spent by conservation specialists on education and promotion (5.1%). As with policy and strategy, the statistics also chart increase or decrease in the proportion of time spent over the last three years on work on education, promotion and outreach. Further, the LACP project also notes statistics regarding internal promotion and training - with training of other colleagues involving some 45% of specialists, but councillor training only involving a 1/3. The survey comments that, given the importance that the government attaches to the training of elected members outlined in A Force for Our Future, this aspect of conservation specialists' work could increase significantly in the future (section 4.5.1). Monitoring and measuring the success of HES' in promoting the historic environment within their own local authority and the role of Historic Environment Champions needs to be developed much further.

### *Conclusions and implications for the current project*

2.2.18 Previous surveys have given some indication of the range of services provided by archaeologists and conservation/historic buildings specialists within local authorities.

2.2.19 However, understanding of the details of those services varies. The caseload in relation to development control and strategic consultations with developers and on environmental schemes is well monitored, and the general pressure on resources involved understood. There is more to be understood regarding the regional variation of demands on these services, particularly in relation to the different emphasis of development regimes from one region to another.

2.2.20 The picture regarding more proactive work is much less detailed and balanced. Awareness of the provision and nature of education and outreach services by archaeologists and conservation officers' is increasing; understanding of the involvement and proportion of time spent, at least by conservation specialists', in policy-making, strategy and even business planning is increasing (OBU 2003). However, no clear picture of the shape, scale, and focus of these activities across the whole sector, within different regions, and different local authority tiers is apparent. Understanding of how such proactive services are prioritised and delivered, how aims and objectives for championing are set, of how local authority HES' business plan and deliver services in line with wider local authority objectives is very limited.

2.2.21 The extent to which HE professionals are influencing, and contributing to, the shape of broader strategic documents locally and regionally needs to be understood and it will be interesting to question if the guidance recently produced for a host of agencies (The Countryside Agency, English Heritage, English Nature, Environment Agency) by Tyldesley & Associates - (June 2005) Environmental Quality in Spatial Planning: incorporating the natural, built and historic environment, and rural issues into plans and strategies - has begun to have any affect.

## **2.3 Service Delivery**

### *Staff Numbers & Skills*

2.3.1 ALGAO has provided several surveys of numbers of staff in archaeological services at local government level, indicating a considerable increase in curatorial and contracting staff between 1997 and 2002. It provides an average for permanent and temporary staff in 2000 per responding authority (3.5 and 1.5 respectively), but also indicates the reality behind such averages, where a significant minority of authorities only had 1 to 2 members of staff and could not provide a full range of archaeological services. These kind of statistics are also used to indicate which types of authorities have generally benefited from increases in which kinds of staff, with a general picture in 2000 of Unitary authorities accounting for most of the gains in permanent curatorial staff, and with County councils employing the majority of permanent contracting staff, and of temporary staff, whether curatorial or contractual (see ALGAO 2000 key findings in Appendix I). Results of the ALGAO survey 2004 indicate the total numbers of staff employed in the local

authorities are continuing to increase. HUP indicates that Profiling the Profession (1999) identified about 600 UK archaeology posts in local authorities as a whole.

2.3.2 Similarly to the ALGAO surveys, the LACP project indicated the number of established conservation posts, provided an average of the equivalent of 1.7 staff per responding authority, and recognised that the reality behind that figure as a more complicated picture with significant variations in numbers of staff between different categories and tiers of authority (4.3.1). LACP found that 85% of authorities employed all types of conservation staff, and that those employing one or more staff accounted for 80% of the total, but that 14% employed no specialist staff at all.

2.3.3 The ALGAO figures seem to suggest an increase in numbers of archaeological staff and the LACP project reports that staffing levels appear to have remained static over the preceding three years. These figures do not support the popular belief that staff numbers are dropping. It is hard to tally the HUP statistic, which claims that LA staff costs fell by 10% in real terms between 1996 and 2000, with such figures, although the possible role that external funding plays in explaining this is discussed below.

2.3.4 As far as mapping skills is concerned, this kind of analysis is not a feature of ALGAO surveys. It is probably assumed that most staff employed in an archaeology post will have the relevant qualification or field experience. One might attempt to extrapolate 'skills' developed in the process of working as a local government archaeological officer from answers regarding the number of staff working in planning and conservation advice, maintaining and enhancing HERs, engaging in other curatorial work and contractual work, or from information regarding the tasks involved in the process of providing planning advice. But the issue of skills required in order to carry out the job, or professional development in the process of doing so, is not focused on.

2.3.5 The staffing profile carried out by the LACP project survey of the salaries of the range of staff involved in conservation services and regional patterns in salaries, and of instances where external consultants were used and how they were vetted. In addition, it surveyed entry requirements for employment as a conservation specialist, the kinds of skills training and professional development provided or supported financially by the local authority and the proportion of conservation specialists' time given over to this. The detailed breakdown of areas of work in this survey also allows gives a sense of the diversity of roles and skills required.

2.3.6 The models of performance improvement and good practice for the sector set out in Moving towards Excellence in Urban Design and Conservation (2003) and Moving Towards Excellence: a performance improvement Matrix for Historic Environment Services (2004, do provide an understanding of the range of tasks and skills required of HE professionals, but are aspirational models rather than a reflection of current HE services. Recent IHBC research and action plans has further mapped the diversity of

tasks carried out by local authority conservation services (Edymann & Swanson, August 2005) and set out a schedule of actions on skills development for the Heritage section in 2005.

### *Conclusions and Implications for the current project*

2.3.7 Existing surveys provide a relatively comprehensive, if basic, map of the numbers of archaeologists and conservation officers in England and of the complex patterns of their distribution across different authority types. The map is not complete - HUP (3.7-3.19) discusses the difficulties of accurately gauging the total numbers of archaeology and conservation professionals working in local government - but gives a broad picture of the situation.

2.3.8 It is known that a large number of these staff have specialist professional or academic qualifications (LACP 3.4). Work on skills and professional development is beginning to map out what is required to carry out different aspects of HE work in local government.

### *Funding and funding sources*

2.3.9 The financial resources available to support the work of historic environment services are headlined as a topic of considerable concern in much of the literature reviewed (the LACP project notes, 4.2.1, that this issue generated the most additional comments by respondents). A general decline of financial resources and of local authority expenditure on HES is agreed upon, even if surveys and research have not always been able to illustrate this in a comprehensive way or with entirely reliable data. For example, the Chartered Institute of Public Finance and Accountancy statistics, upon which HUP and the LACP project base their assessment of local authority expenditure depend, are not unproblematic and can only be used as the broadest of indicators. The figures are those returned for spending on 'conservation of the historic environment', yet other costs relating to conservation work may also be included under the Environmental Improvement, Education and Conservation expenditure, but cannot be specifically identified as an element of this (HUP 2002). Moreover, it is not clear that spending on local authority archaeological services is included in these figures. The LACP project noted that only 1/3 of respondents were in a position to identify overall spending on conservation services as defined in CIPFA returns, suggesting that many are unclear of how spending on conservation relates to their LAs spending as a whole and hence their authority's relative commitment to conservation in terms of expenditure.

2.3.10 CIPFA figures presented in the LACP report for 1997/8 to 2001/2 local authority spending as a whole, total spend on planning services and on conservation services (excluding archaeology), and the percentages of total revenue spending that these figures

constitute, indicate that spending on conservation services has remained static, equating to a downward trend in real terms. This reflects the findings of HUP, which broke down CIPFA statistics for 1996/7 to 1999/2000 according to authority type, and indicates a generally flat profile on planning services over the last five years despite increasing workloads. HUP estimates that local planning authorities net expenditure on historic environment conservation has declined by 8% in real terms over the last five years and, as mentioned above, that spending on staff costs had also declined by 10% during the same period. Similar overarching local authority statistics specifically relating to archaeological services have not been studied in any detail in this literature review to date. However, HUP (3.5) indicates that a study of funding carried out by Aitchison (2001) in the UK suggests that overall local authority spending appears to have declined as a proportion of total spend on archaeology from 17.5% to 12% (between which dates is not stated).

2.3.11 Funding for historic environment services from beyond the LA itself is also considered by the literature under review. While HUP figures (3.21) suggest that EH's conservation grant expenditure had dropped by 23% since 1996, nonetheless ALGAO's update summary (2003c) particularly recognises the continuing important role of EH in funding posts in local authorities – 25% of archaeological services said in 2000 that they had received funding for staff from EH as part of their programme of pump-priming new posts to deal with new strategic policy developments. EH pump-priming of countryside advisor posts to deal with the significant rise in work related to agri-environment schemes is also noted, and recommendation made that more such resources should be found to support this if/as this workload increases.

2.3.12 ALGAO 2000 survey analysed sources of external funding for full time and part time curatorial and contractual archaeological posts, from other LAs, from English Heritage and from 'other' sources. Once again, the category of 'other' sources limits the extent to which full analysis of the channels through which external funding reaches LAs can be carried out. It is suggested by this survey that external support from EH, as above, and from other LAs for core posts occurred most regularly at County councils level. 28% of Unitary authorities, 25% National Parks, 21% of Districts were recorded as buying in curatorial services, while only 6% of Counties did. LACP indicated that for those authorities not employing their own in-house specialists, county councils were the largest providers of advice (42%) and after that, external consultants (30%) (4.3.1).

2.3.13 The LACP survey did not investigate externally sponsored posts in detail, but indicates (4.3.1) that, while overall numbers of staff are basically static, the existence of externally funded posts is showing an increase, and may mask a decline in overall staffing. The survey found that over a 1/4 of responding authorities had sponsored posts, with 4% having more than one.

2.3.14 HUP notes that the new sources of grant aid from European programmes, Heritage Lottery Fund, agri-environmental schemes and environmental enhancement programmes tend to be governed by the rules of 'additionality', facilitating extra work rather than supporting core services (3.22). It suggests that for local authorities where core resources are fully stretched, opportunities to lever in funding through such partnerships cannot usually be taken without distorting the delivery of primary statutory services (3.23). This is used to explain why, even where HLF funding might have supported staff costs on core services – for example, providing funding to employ staff to bring HERs up to standard – there was a low up-take on such opportunities.

### *Conclusions and Implications for the current project*

2.3.15 Despite reservations about the consistency and value of data, a decline in local authority spending on HES' has been established.

2.3.16 Funding opportunities such as those provided by the Heritage Lottery Fund may bring new financial opportunities to the HE sector, but these usually provide money for capital works, new initiatives, rather than for core staff costs.

2.3.17 EH support for posts to deal with core work is recognised, but the majority of funding for HE core staff comes from the LA itself or from other LAs. The latter seems particularly to be the case at County councils. It will be important to elicit more information about how such spending agreements between authorities function, in order to improve our understanding of how services across different tiers of local authorities within a given area work together and of how positive working models can be capitalised on.

### *HERs and other IT resources*

2.3.18 It is understood that local authorities maintain a range of information resources which support the conservation of the historic environment, including SMRs/HERs, local lists of historic buildings, conservation areas, historic parks & gardens and battlefields, databases for urban archaeology and historic landscapes, registers of Buildings at Risk, and information regarding strategic policy development and education. It is also clear that there is considerable variation in the existence and quality of these, and of the way that archaeologists and conservation officers work with them.

2.3.19 HERs will be looked at in much more detail by a separate strand of research associated with this project. HUP notes that all planning authorities have access to an SMR and that in 1998 usage of SMRs was 86% for planning-related and conservation consultation, and only 7% for research and education. Some consultation and research has gone on in recent years regarding these records by DCMS, EH and ALGAO (2002), to set benchmarks of good practice and to assess the resources acquired to reach these.

From this point of view, the status of HERs and the problems of their significant variability are perhaps better understood than that of other types of LA systems for controlling information. As already mentioned, maintenance and enhancement of HERs has long featured as one of the key roles of local government archaeologists on ALGAO staffing surveys, alongside work on planning and development control. The 2004 ALGAO questionnaire also surveys whether or not HERs are online or intended to be online soon. Further research of such literature on HERs may be necessary here.

2.3.20 On the basis of existing research carried out by David Baker (2002) and Oxford Brookes University (September 2000) (see HUP (3.24-), it is clear that information management by conservation services is a serious concern. Between 1/2 and 2/3 of all local authorities have no specialised information resources to support their conservation work on historic buildings and areas in the same way that SMRs work for archaeology (HUP). The content of 34 systems examined by Baker was predominantly photographic, with surveys of all kinds and documentary sources consistently weak. The OBU survey (2000) indicated that there was no consistent policy or practice in storing information about historic buildings casework. Information collected as part of a LBC/CAC application or supplied as a condition of consent was kept for less than 2 years in some cases, in a variety of locations and rarely in archival condition. Information was only technically, rather than practically, in the public domain. Staff knowledge about historic building traditions and about availability of local skills was good, but too often person specific, disappearing when members of staff moved on. While a large percentage of those surveyed in the LACP project did suggest that their workload normally included the maintenance of historic environment records (89.8%), and 44.1% indicated that this was an increasing part of their workload, the LACP project also recognised the weakness in systems to record, manage and monitor information. The survey confirmed that over 2/3 of authorities did not keep an integrated historic environment database (i.e. including archaeology, buildings and sites.). When broken down further, these figures reveal that ¾ of districts do not maintain such databases, but that 80% of county councils do.

### *Conclusions and Implications for the current project*

2.3.21 The general picture regarding information systems appears to be that archaeologists work regularly with and update HERs, and that there is an understanding of their availability and variability.

2.3.22 There is clearly concern about control of information and the lack of integrated databases maintained by conservation specialists. HERs play a much less integral role in the work of conservation specialists than of archaeologists, with conservation officers tending to retain a good personal knowledge, personal files, and often a library, of the resource in their area through the course of their work, as opposed to working from a large database of information. The facts that HERs originate as a local archaeological resources and tend to sit at County council level, whilst a good deal of the conservation

casework is being carried out at district level, explain why conservation specialists work less with such databases and their upkeep. There is little evidence that district conservation officers regularly consult HERs. New information acquired in the course of their casework is not regularly fed back into HERs, and the time and suitable procedures to facilitate this are generally not available. Such new information is often archived in building files or planning system records, rather than being fed back into any other structured information management system standard across LAs for HE services. The LACP report recommendations regarding 'Defining and Monitoring the historic resource', include the development of suitable database systems, and publication by local authorities of regular state of the historic environment reports (SHERS).

2.3.23 Given the aims of HPR to create a new unified RHSBE and heritage consent system, and the role that LAs are expected to play in compiling local sections of the RHSBE and of local sites and buildings at risk registers, and in the implementing the new heritage consent system, it is crucial that information can be managed effectively and in an integrated fashion at local authority level. Positive and achievable models for the sharing of information between archaeologists and conservation/historic buildings specialists and efficient management of information need to be found.

#### *Directorate and departmental structures*

2.3.24 ALGAO surveys have asked respondents about the department within which their archaeological services sit, but analysis to date does not appear to have drawn out the significance of this. As part of the staff profile section of the LACP survey, questions were asked not only regarding the service area within which conservation services sat, but also the position of the person taking the lead on conservation within the LA as a whole, whether or not they sat on management committees, planning committees or equivalent decision making bodies, and whether or not they had regular direct contact with elected members (3.4).

2.3.25 Within almost all authorities conservation services sat within the planning service area, although within a variety of different sections including development control, planning policy and regeneration. At 55% of authorities, conservation services were performed by a defined specialist team, as opposed to individuals working within a generalist planning team. It concluded that conservation specialists were generally of middle ranking status within authorities, but could have considerable influence within planning departments and respondents felt that they were accorded considerable status in that context. Only 27% regularly attended planning committee meetings or equivalent, but nearly 2/3 of respondents claimed that they had regular direct contact with elected members. It was suggested that this was the result of conventional planning committees being replaced by cabinet structures, and more decisions being delegated to officers. However, another significant conclusion regarding the position of conservation services within planning departments was the danger that such specialist teams can be seen as

'bolt-ons', optional extras to mainstream planning and a 'soft target' for funding cuts, particularly given the lack of nationally agreed performance indicators for HES'.

### *Conclusions and Implications for the current project*

2.3.26 It is understood that conservation services predominantly sit within planning departments and the survey questions asked by the LACP project did begin to indicate the position and profile of conservation services in local authorities. That project recommended a re-examination of their traditional position as a 'bolt on' to planning services in order to find models of best practice and to find ways of promoting the status of conservation services within local authorities. The LACP survey observes that the replacement of traditional planning committees and creation of new cabinet structures has brought middle status conservation specialists' into much more regular contact with elected members. Positive opportunities for conservation specialists, and indeed archaeological professionals, to have a more influential and high-profile role within LAs will be explored by the current research.

2.3.27 There appears to be more variety in where archaeological services sit in local authorities, but the implications of this have not been analysed in any depth. It will be worth questioning whether the fact that an archaeological service sits within a planning department as opposed to a museum service, within an Environmental directorate as opposed to Community Learning and Development or a Joint Advisory Service, has an effect on the emphasis of their workload, the way that services are delivered, the kinds of wider LA objectives that they contribute to, and the kinds of internal and external partnerships they enter into. Further analysis of this diversity might suggest where the most effective places for archaeological services to sit are.

2.3.28 Moreover, it will be important to unpick how archaeological and conservation services function in relation to each other within and between authority contexts. The LACP survey did ask conservation specialists about their relations with archaeologist and 71% felt that they were good or very good. But much more work needs to be done to understand the working relationships between different aspect of HE services, how successful different models of integrated working between them are and ultimately the wider implications for HES' of sitting within a planning/environment or culture service.

2.3.29 For all kinds of historic, legislative, and organisational reasons a considerable range of organisational structures and working relationships have evolved. For example, the LACP project makes note of unique examples (4.3.1), for instance where former metropolitan county structures have been disbanded, but the HE services have continued to work together, such as the former metropolitan county archaeology team in West Yorkshire, or the Tyne and Wear conservation team which is now situated within the Planning and Transportation Division at Newcastle City Council. Another example given is the former Hertfordshire County Council Conservation team, which in 1996 was seconded

to the Hertfordshire Building Preservations Trust and was subsequently formed into a charitable trading company 'BEAMS' (Built Environment Advisory and Management Service). The case studies focused on in this project will allow for exploration of a diverse cross-section of HES models and for analysis of the strengths and weaknesses of these models, particularly in the context of the proposed HPR requirements.

### *External advice and support, including English Heritage*

2.3.30 The extent to which the seeking of advice and support from other LAs or suppliers external to the LA structure is understood has been discussed above, in relation to district or metropolitan councils looking to County councils, Joint Services or others, for specialist services and information databases.

2.3.31 Previous surveys and literature give an indication of positive relations between LAs and EH (84% of conservation specialists' surveyed as part of the LACP project felt that their relations with EH were 'good' or 'very good') and the role of professional bodies like ALGAO and IHBC in supporting the work of local government officers is obvious.

2.3.32 The issue of external advice and support is often presented in recommendations in previous literature in terms of the need for much more of it. ALGAO recommended (2003c) that more guidance, produced by EH in association with ALGAO and IHBC should be produced on assessment and recording of historic buildings within the planning process. HUP recommended that national guidelines for LA historic environment services delivery needed to be issued, since the Department of National Heritage's Local Government Reorganization: *Guidance to Local Authorities On Conservation of the Historic Environment* (1995) was at that time the best available guidance.

### *Conclusions and Implications for the current project*

2.3.33 It appears that there has been little analysis of the kinds of working relationships formed by archaeologists and conservation officers, and the extent to which information, expertise and skills are shared, as well as, conversely where the two cultures and practices differ. It will be useful to explore these issues, as well as to understand the working relationships between services at different LAs in any given area, where and how knowledge and skills are most effectively shared. No strong sense of how such co-ordination functions at a regional level comes out of the literature and surveys reviewed to date and, given the development of Historic Environment forums and the significance of regional strategies as a whole, these kinds of working relationships need to be explored.

2.3.34 A number of new initiatives and more recent publications will have altered the situation regarding external advice and support since the majority of these surveys were conducted. HELM (Historic Environment Local Management) has opened up a whole new

route into training, examples of best practice and guidance to local authority historic environment service providers, and the Historic Environment Champion initiative has aimed to raise the profile of historic environment services in local government. In partnership with the Countryside Agency, Environment Agency and English Nature, English Heritage have also been involved in the production of guidance to help local authorities to incorporate the natural, built and historic environment into regional spatial strategies and local development frameworks (June 2005 Environmental Quality and Spatial Planning, drafted by David Tyldesley & Associates). Future survey of the sector should aim to understand what kind of the impact these initiatives are having on local authority modes of working and on communication between national, regional and local levels. How and where these initiatives are taking effect needs to be understood and the extent to which work of the Local Government Modernisation Team is successfully communicating the national government's agenda for local government modernisation.

## 2.4 Quality of services

### *Ambition and strategic priorities*

2.4.1 While the LACP survey indicated the proportions of time spent by conservation specialists on policy and strategy work, including the development of cultural strategies and business/management plans, the literature surveyed to date gives little understanding of how priorities and goals are set for HES' work, how their core work in stewardship and more reactive activities associated with development control are planned in relation to more proactive outreach and other services. Nor is there any real indication of how this work sits in relation to broader regional strategies and if it is in any way aligned with the broader corporate objectives of the LA in question.

2.4.2 It will be important to understand how prevalent a culture of forward planning is amongst HES in order to assess how the changes proposed by HPR are going to be planned for and dealt with. Once again, best practice models will be identified in the course of the case study research.

### *Performance against current BVPIs and proposed CPAs*

2.4.3 Awareness of the lack of recognised national performance indicators, and of the need for development of them, is a theme running through recommendations made in the literature reviewed. However, gathering data for the specific purpose of measuring performance against agreed indicators has not been the primary objective or rationale behind surveys to date.

2.4.4 In response to the LACP survey (4.6.1) 52% said that they did collect data against performance indicators for conservation, although in only 38% of cases had authorities actually formally adopted BV Performance Standards. The survey also reported very mixed feelings about the extent to which BV had improved service delivery.

2.4.5 EH, ALGAO and IHBC have worked on performance improvement matrix for HES (Baker & Chitty 2004, unpublished) and proposed a suite of BVPIs by which to measure the quality of service provision. This matrix has not been formally adopted and of the BVPIs, only BV219 regarding the special character, assessment and management proposals for Conservation Areas, has been recently adopted and results of measurement of local authority performance against this yet to be produced. Possible CPAs for the historic environment sector, to be included in the Culture Block from 2006 are being considered. An understanding of such matrices and indicators will inform subsequent stages of the current project.

### *Throughput of casework*

2.4.6 As discussed above, a good deal of information regarding the quantity of development control work and strategic consultation is available. There is a general concern about the quantity and increase in that work and the capability of local authority services to cope with it.

2.4.7 The HUP report provides information regarding the speed and efficiency of processing of planning application and listed building and conservation area consent. It provides broad figures regarding delays and complications in these processes. DTLR statistics presented, regarding listed building and conservation area consents, indicate that between 1997/8 and 1999/2000 these applications took on average longer to determine than most planning applications (76% in 13 weeks, compared with 84%), although an average of 91% were actually granted, compared with 88% of other planning applications. Several reasons for failure to meet deadlines are given, primarily regarding the need to secure additional information about an application. It is suggested that better advice to applicants and critical assessment of applications by LPAs prior to registration would ensure the quality of submissions and outcomes of the determination process. It was also in the context of such concern about the throughput of casework that The Paul Drury Partnership research (2003) regarding management agreements as a proactive approach and possible means of streamlining consent was produced.

2.4.8 Some consideration has already been given to the means by which this increasing caseload can be managed. The perceptions of a range of heritage and non-heritage professionals at local authorities will be surveyed by this current research, to gauge their views on the negative and positive impacts that implementation of the key proposals of HPR are likely to have on the workload of HE professionals.

### *Balance between reactive and proactive activities*

2.4.9 It is clear that traditionally reactive work in relation to development control has formed the bulk of work for archaeology and historic buildings specialist in LAs. It is equally clear that, while existing research and surveys on the workload of LA HES' registers an awareness of the significance of more proactive work and of the diverse corporate objectives to which the historic environment services can contribute, this work is much less well understood. Concern that short term reactive development control work tends to dominate at the expense of this long-term proactive and strategic work is clear, at least as regards conservation specialists - (53% on development control, versus 22.4% on care of the resource, 15.5% on strategy/policy and 5.1% on education/promotion, with the remaining 4% spent on personal and professional development). The feeling of most conservation specialists' is that they would ideally like to spend more time on proactive work, caring for the resource, carrying out strategic and educational work etc. While a

basic understanding of the broad range of work carried out by archaeologists has been established, the exact balance between reactive and proactive work is much less clear. Exactly how the work balance of the two compare, and what their strategies and priorities as regards planning and prioritising their work, will be important to understand, if the two are to work more closely together in implementing the proposed changes of the HPR.

2.4.10 It is significant to note the LACP results regarding this issue of a balanced workload. When respondents were asked what proportion of their time they would like to spend on which tasks, as opposed to actual time spent, whilst most responded that they would prefer to spend less time on reactive work, in the 'ideal' balance work on development control remained the predominantly favoured work in percentage terms (40%). The report suggests that this indicates a self-image of conservation specialists as predominantly "regulator and manager of change, rather than of an initiator" and that the implications of this for the way in which they and their services are perceived within authorities and externally are important. How valid this characterisation is now, and exactly how HE professionals view their role and the balance of proactive and reactive work, needs to be explored.

### *Customer Satisfaction*

2.4.11 MORI polls are quoted in HUP to indicate the extent to which the public value heritage. An increasing awareness of the importance of outreach and educational activities is apparent in the literature reviewed, but the LACP report indicates that only 37% of local authority conservation services surveyed collected data on customer satisfaction. Another relevant statistic already quoted in this report indicates that in 1998 only 7% of SMR use was related to research and education. Existing literature and surveys do not appear to provide sufficient information to be able to map customer satisfaction or to give a clear impression of who HE professionals' consider their customers to be. Given the strong emphasis in DCMS reports and in the HPR on making the resource accessible to all, HES' may need to explore means of better understanding the needs of customers and of marketing of services to the public in the future. Similarly, customer satisfaction with other aspects of HES', such as their input to community and regeneration projects is not tackled by the literature reviewed in this report.

### *Grants*

2.4.12 Local authority grant schemes are surveyed by LACP and statistics regarding them discussed in HUP. According to the latter's presentation of CIPFA figures for 1996/7 – 1999/2000 there has been a steady decline over the last five years in historic environment grant programmes by local authorities (although the trend appears to be reversed in 199/2000). LACP figures regarding LA historic building grant programmes indicate that exactly half of the authorities responding did operate such programmes and that, while most budgets were very modest, nearly half reported no change to the budget

(49%), with 35% reporting a decrease and 16% an increase. This does point to a downward trend as HUP suggests. Variations in the time spent administering local grant or partnership grant aid once again suggests the diverse experiences at different authorities. As regards local authority grants, specialists on average processed 8 per annum, within a range from 1 to 111. HUP suggested that new sources of funding do not counter balance the decline in these grants. However, it will be important to look beyond the traditional schemes focused on in these surveys, and to consider the funding that is drawn in through regeneration schemes.

### *The resource*

2.4.13 Given that designation, listing, recognition of monuments and buildings at risk etc. are on-going and continuous processes, the resource needs to be monitored very regularly and efficiently. The scale of the resource managed by each local authority is not surveyed by ALGAO and no real sense of the scale of the resource that each authority is attempting to manage is gained from them. The LACP project did survey on this kind of information. The average number of listed buildings under the jurisdiction of local planning authorities was just under 1200, a figure that is consistent with CIPFA figures, but it appeared that in practice the number was much greater because some groups of buildings appear as a single list entry. Only a proportion of local authorities were maintaining their own Buildings at Risk registers (nearly 1/3 did not), which were updated with varying regularity (1/3 updated annually), and the study estimates a possible 17,000 buildings at risk in England in 2002. The fundamental problem of the absence of comprehensive up-to-date and systematic approach to dealing with buildings at risk and the worrying fact that many respondents were unable to identify separately how many Grade I, II\* and II buildings were in their care is highlighted (4.1.1 & 2). Excluding county councils and national park authorities, 44% of authorities kept local lists, but less than half of these were backed by any specific policies within the authorities' development plan.

2.4.14 Numbers of Conservation Areas, statutorily designated and managed by LAs, and appraisals, were also surveyed. The average number of conservation areas within responding authorities (excluding counties and national parks) was 28, ranging from 1 to 44. 30% of authorities responding had no adopted conservation area character appraisals whatsoever, and under 10% had appraisals for all their conservation areas. There appeared to be slow rate of progress on the production of appraisals (4.1.4, 4.5.4), with nearly 2/3 of respondents not adopting any conservation area character appraisals during 2001 and only 23% of authorities operating a CA Advisory Committee. The numbers of up-to-date character appraisals and published management proposals have now been formally adopted as BVPIs for 2005/6, which makes this work an even higher priority than ever.

2.4.15 In addition to CA's and LB's, statistics were returned regarding other statutory and non-statutory features of the historic environment falling within LAs jurisdiction.

Excluding County councils and NPAs, the average figures returned for English Planning Authorities were: 4.5 Historic Parks, Gardens & Cemeteries; 0.2 Historic Battlefields; 57.5 SAMs; 0.11 WHS. 21% also indicated that they had established other non-statutory designations, such as 'areas of historic importance'.

2.4.16 Thus, the LACP survey indicated both the numbers and diversity of statutory and non-statutory designated assets in the care of respondents. This picture excluded County councils and NPA in many of its figures, and the figures are now several years out of date. HUP only provided general discussion and figures from Heritage Monitor and EH programmes (3.31) to give a broad notion of the steady increase in designations of listed buildings, conservation areas and scheduled ancient monuments nationally, and again is somewhat out of date. It is clear that understanding of the extent, risk to, and management of, the heritage resource in the country is getting better through the initiatives of Heritage Counts and this will remain an important resource from which to glean information on designated historic assets and buildings at risk.

## **2.5 Variations and Patterns in quantity and quality of Service Delivery**

2.5.1 Due to the non-statutory position of HES', the lack of agreed national standards and guidance, and the way in which archaeology and historic built environment services and local authorities have evolved historically, there is tremendous variation between one authority and the next regarding numbers and skills of staff, the departments and directorates within which they sit, the kinds of services they are able to deliver, those which they must contract in from elsewhere, the nature and variety of their workload, their priorities and ambitions.

2.5.2 Some general distinctions between the kinds and scale of services provided at different tiers of local government can be made. While there are exceptions (such as historic city districts and unitary authorities), there is a general pattern of archaeological services sitting at county council level, providing specialist advice and skills to district councils. Historic building conservation services sit at county level too, more often than not within the same directorate as archaeologists, if not part of an integrated team. Most districts employ one or more conservation specialists. It is here at district level that 'front-line' planning decisions tend to occur, and at unitary, metropolitan and National Park Authority levels in a single tier context. The focus of HES appears to be at county level (LACP 2003; HUP 2002 – around 50% of archaeology services are located at one remove from the local planning authority they advise on development control). The diversity of roles, resources and experiences between different tiers of local authority is apparent in the ALGAO staffing surveys, like the 2000 survey, which measure where changes associated with local government reorganisation were particularly felt (County and Unitary), where the increases in permanent and temporary staff were actually focused, how different tiers fare in terms of external financial support. Indications are that, through all the changes that local government reorganisation has brought, County

councils employ larger numbers of temporary curatorial and contracting staff, tend to attract more external financial support for posts and very rarely need to buy in services from another authority or external consultants.

2.5.3 Discussion of variety in quality and quantity of service has tended to take place in the context of the impact that local government reorganisation from the mid-1990s has had on archaeology and conservation services. HUP (3.14) states that this resulted in new specialist units in unitary and district councils, but with no overall growth in specialist staff, in a thinner spread of staff and a corresponding greater need for communication and consistent operational and professional standards (HUP 3.14). HUP (2002) and ALGAO (2003c) express concern that any future reorganisation of services should not lead to fragmentation of provision. The problems of new routes to funding opportunities are also expressed in this context - smaller services where core resources are fully stretched, can not take the available opportunities to lever in funding through partnerships without distorting delivery of primary statutory services. Our current project needs to look at that diversity in order to consider what is effective, which models have evolved that do work and how these can promote the implementation of HPR.

### 3. CONCLUSIONS

3.1.1 The data gathered and analysed in the literature surveyed so far may now be somewhat out of date, but these surveys of local authority archaeological and conservation services have provided:

- an overview of staffing resources and a broad map of the LAs in which they sit
- a basic understanding of workload and the range of tasks carried out by HE professionals
- an appreciation of the pressures on time and resources, of the issues surrounding information management, and the need for more guidance
- an understanding of the impact of changes resulting from new planning policy guidance and local government reorganisation

3.1.2 The case study work of the current project will work towards filling gaps in previous surveys and add new perspectives through:

- face to face interviews to gain a different kind of detail and to gauge perceptions
- the inclusion of perceptions of third part commentators
- an emphasis on the value of qualitative data and analysis
- an integrated approach to HES', considering both archaeology and conservation professionals
- review of the current structural arrangement of HES
- a focus on the detail of more proactive work, such as outreach and education, to gain a better understanding of the role, nature and extent of such work
- exploration of the links and opportunities for HES as part of wider local, regional and national agenda and objectives
- more detailed mapping of external relationships at local, regional and national level and of skills sharing between archaeologists and conservation officers' across these levels
- exploration of performance management

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## APPENDIX 1

### Profiling the Profession (1999): Key Findings

- 605 curators working in local government, in 98 organisations
- A 1/3 of local government curators employed fewer staff in 1993, and 10% did not exist in 1993. Just under 1/3 employed more in 1993
- ¼ expected to employ more in 2001, while 15% expected to employ fewer

### ALGAO Planning and Casework 1997-1999 Key Findings:

- an increasing workload ( including a 30% increase in the number of planning applications and a 70% increase in the number of project briefs issued)
- a low proportion of planning applications with archaeological implications (2.3%-3%); low use of pre-determination recommendations in such cases (15-17%) and high use of observation and recording as archaeological mitigation (35-40%)
- the importance of development by statutory undertakers (a 15% increase in the number of direct planning consultations from developers)
- an increasing recommendation for archaeological excavation (7-9%)
- inadequate levels of record keeping by local authorities to enable surveys such as this to be undertaken and hence proper monitoring to be carried out (only 55% of all questions adequately answered over the three years, attributed to lack of time and information)
- a consistent pronounced dip in figures for 1998 from the 1997 level, forming a U-shaped profile often, though not always, due to disruption caused by local government reorganisation in 1998

### ALGAO Archaeological Services in Local Government Survey Report 2000 Key Findings:

- an overall increase in the number of authorities (from 78 in 1997 to 99 in 2000) as the result of the formation of new unitary councils, with a corresponding decline in the numbers of county and district authorities
- an increase in the numbers of SMRs (63 to 84) and UADs (10 to 18) since 1997
- change experienced by 62% of County, 61% of Unitary authorities and only 14% of Districts as a result of Local Government reorganisation, and by 70% of authorities as a result of other factors
- an increase in the number of curatorial staff - 34% higher in 2000 than in 1997, but with the increase in permanent curatorial staff largely accounted for by Unitary authorities. Levels of temporary curatorial staff generally increased, with the majority (69%) employed by County councils, but numbers dropped at District authority level by 40%

- 70% of permanent contracting staff employed by County councils, mainly geographically closely grouped in the eastern region of England. While the numbers of temporary contracting staff rose by 41% in County councils, they had fallen significantly in both District and Unitary authorities
- Financial support for curatorial posts from other local authorities and EH was most common in County councils (13 authorities - 40.6% and 32 authorities - 50% respectively). Formalised arrangements with another authority for the employment of contractual staff were rare, but financial support from EH was received by 24% of authorities (13 County councils, 4 Districts, 3 Unitary, 4 Welsh Trusts)
- Curatorial services were rarely bought in by County Councils, but much more so by other types of authority (6% of County Councils, 28% of Unitary, 25% of National Parks, and 21% of districts). External financial support from other local authorities or EH was most common at county council level.
- Awareness of the Department of National Heritage's *Local Government Reorganization: Guidance To Local Authorities On Conservation of the Historic Environment* (1995) amongst 72% of respondents, with preparation of a management plan by 56% of those affected by local government reorganisation, as directed by this 1995 Guidance.

### ALGAO Local Authority Archaeological Services 2003

#### *People:*

- an increase in the number of archaeological staff employed by local authorities from 1997-2003 (232 to 347)
- the role of English Heritage in funding new posts, including pump-priming of countryside advisor posts, leading to a rise in the archaeological advice given on agri-environment schemes
- an average of 3.5 permanent and 1.5 temporary staff in 2000, of whom approximately 60% provide conservation advice (planning, sustainability and site management) and 40% manage records and information (HERs)
- the reality behind those averages – in 2003 56 out of 90 ALGAO member local authorities had three or more staff, but a significant minority had 1 to 2 and could not provide a full range of archaeological conservation services. The number of smaller teams had increased since 1997 with the creation of Unitary authorities out of shire counties
- a trend between 1997-2003 of larger archaeological teams being able to build on the critical mass of core staff to develop services and take advantage of external funding opportunities

#### *Planning:*

- over 67,000 planning applications looked at in detail for archaeological implications
- of these 3% had significant implications and recommendations were made to the planning authority for archaeological assessment

- written instruction for 4300 archaeological projects were issued by local authority archaeological services, 1000 of which were for full excavations
- an increased workload for local authority archaeological services between 1999 and 2003, with a 53% rise in planning applications and a 50% increase in project briefs issued.

In addition to this, progress in other key areas, extending the principles of PPG 15 & 16, increased consultation by developers not requiring planning permission, more provision of advice on historic buildings, and more provision of advice to landowners and government bodies on conservation of archaeological sites, in the context of grant-aid Countryside Stewardship and Environmentally Sensitive Area schemes, were also highlighted.

#### *Key Recommendations:*

- Further work is needed to develop and agree specifications including functions and skills for the archaeological services with professional staff, which all local authorities should provide
- As the Heritage Protection Review has suggested, Historic Environment Records should be made a statutory function of local government
- EH should continue to pump prime the creation of new posts in local authority archaeological services
- Government should ensure that archaeological services are not fragmented further by local government reorganisation resulting from the creation of elected regional government or other structural changes
- Financial contributions by the government to provide for historic environment advice through proposed Environmental Stewardship Schemes are welcome, but additional resources should be found to support this advice if applications and the level of detail required increase
- EH, ALGAO and IHBC need to work in partnership to produce guidance on the assessment and recording of historic buildings within the planning process
- Government should ensure that all development which impacts the historic environment follows best practice principles and guidance of PPG 16.

#### *Heritage Under Pressure (2002):*

##### *Key Findings:*

##### *Financial Resources:*

- Net expenditure on historic environment conservation by local planning authorities had declined by 8% in real terms over the last five years
- Local Authority staff costs fell by 10% in real terms between 1996 and 2000
- Grants made by EH had reduced by 23% in the preceding five years, although significant quantities of essential specialist local authority posts only exist due to pump-priming or on-going funding from EH
- There had been an overall reduction in grant-aid programmes by local authorities.

#### *Expertise and information:*

- There is no statutory requirement for a local planning authority to make provision for conservation of the historic environment apart from the general duties of the 1990 Act
- 30% of all planning applications had built environment implications and another 11% may have archaeological implications
- Even though 60% of planning applications were not initially registered, insufficient good quality information accompanying applications was a major factor in the length of time taken to determine LBC applications
- 50% of archaeology services, and a smaller but unquantified number of conservation officers are located at one remove from the local planning authority they advise on development control.
- Whilst all local planning authorities had access to an SMR, up to half had no specialised information system to support their conservation work on historic buildings and areas
- At least ¼ of all district level Councils had no register of Buildings at Risk; 2/3 of local planning authorities wanted to compile a Local List but only just over 1/3 had been able to do so

#### *Management:*

- Reorganisation of services can fragment provision unless positive measures are taken to ensure integrated working
- In local authorities where core resources were fully stretched, opportunities leveraging in funding through partnerships often could not be taken without distorting delivery of primary statutory services.
- There was virtually no systematic monitoring of the condition of historic assets or the outcome of listed building and conservation area consents
- Reliable and consistently collected data to assess conservation performance and compare like-with-like across local planning was rarely available

#### *Key Recommendations:*

- Clear benchmarks for the quality and quantity of provision and the compilation of reliable annual statistics are urgently needed
- Frameworks for good practice set and a skills strategy for local authority staff created
- Clearer government guidance on the importance of conservation and its role in planning
- Better guidelines for applicants on how to make an application for listed building consent
- Improve IT systems
- Additional resources to ensure the reversal of declining activity in proactive casework and environmental enhancement

### LACP (OBU 2003): Key Findings:

The broad conclusion of this research was that many local authority conservation services were over-stretched, under resourced and operating without the necessary policy and data building blocks to ensure effective, efficient services. Its key findings were:

#### *Historic Resource and Management:*

- Local authorities were responsible for managing a substantial resource of historic assets, but they lacked sufficient information about them, resulting in an inability to make properly informed decisions both in terms of development control and holistic management. Nearly 1/3 of authorities did not keep registers of Listed Buildings at Risk, and over 2/3 did not identify buildings of special local interest.

#### *Financial resources:*

- Conservation spending by local authorities had declined in real terms over the preceding five years. Where local authority grant programmes existed, their budget had fallen over the past three years and there was only a slight increase in partnership grant spending by authorities.

#### *Service Provision & organisational Structure:*

- 85% of local authorities could draw at least some in-house conservation expertise. Where outside specialists were required, mostly county services or external consultants are turned to
- Contrary to popular belief, staffing levels had remained static over the preceding three years. While the average local authority had the equivalent of 1.7 staff, there were in fact big variations between authorities
- Conservation specialists mostly acted as advisors to development colleagues rather than being directly responsible for applications and only in about ¼ of local authorities do they sit on departmental management boards.

#### *Skills & Pay:*

- Conservation specialists were multi-skilled, from a variety of academic and professional backgrounds (although nearly 2/3 were members of IHBC) and on modest salaries.

#### *Workloads & Activities:*

- Workloads were varied, but tended to be dominated by reactive development work rather than proactive work. The greatest increase in workload over the preceding three years had been in the development and delivery of best practice and performance standards.

#### *Quality of Service*

- Only 38% of authorities had adopted locally derived Best Value performance standards and feelings about their success in improving delivery of conservation services were mixed.

*Internal/External Relationships:*

- 88% of respondents believed relations with planning colleagues very good or good, 71% that relations with archaeologists were very good or good, 84% that relations with EH were very good or good, but with much worse relationships with public utilities reported

The survey also attempted to gain some sense of Conservation Officers' feelings about the service they provided. Greater statutory protection for conservation and time for more proactive work were seen as desirable, the lack of national and local performance indicators for conservation and benchmarking for conservation services pointed out, and a lack of recognition of the wide-ranging contribution conservation officers made to communities, regeneration schemes and non-development issues noted.

*Key Recommendations:*

Definition and monitoring of the historic environment is required through:

- the development of integrated environment database systems
- the promotion of systematic monitoring of the resources
- annual publication of a State of the Historic Environment Report by local authorities

Improve the delivery of conservation services by:

- disseminating the findings of this report
- the development of model standards for local authority provision
- of Best Value performance indicators for conservation
- a redefinition of CIPFA data linked to BVPIs
- an increase in resources in the context of review of the planning system and tied to BVPIs
- promotion of consistent standards of professional competence for conservation practitioners

Broadly the *LACP* report recognises the need for a more balanced, comprehensive service to a nationally agreed template, with specific guidance and a suite of performance indicators to set standards and measure success in reaching them. The sector needs better information resources and databases, and more time needs to be spent on proactive work, and on ensuring that the wider social and economic benefits of conservation specialists' work are recognised. Greater resources, a higher profile for conservation within local government structures, professional standards set by EH/IHBC, and more effective engagement by central government and English Heritage would be key in the delivery of all this.

# **Historic Environment Services Local Delivery Project**

## **Annex 2**

### **Case Study Research Report**

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# 1. INTRODUCTION

1.1.1 This is a report forming part of the Historic Environment Local Delivery Research Project and constitutes the second of three stages in this project. It describes and analyses the information gathered through multi-directional interviews carried out as part of the Stage Two case study research phase.

1.1.2 The aim of the Stage Two case study research has been to build on the quantitative information provided by previous surveys, by eliciting qualitative information on the current profile and delivery of Historic Environment Services and the perceptions of a range of individuals who work to manage or support the historic environment.

## **2. CASE STUDIES**

### **2.1 Introduction**

2.1.1 17 case study areas were identified by the client team, following invitations for Local Authority participants and an initial analysis of current historic environment service delivery arrangements. These single and multi-authority case studies were selected to include representatives of all types of local authority, including those participating in collaborative working arrangements at local or sub-regional level and examples of outsourced or privatised Historic Environment Services. The selection criteria aimed to achieve:

- Participation of both archaeological and historic buildings services
- Inclusion of 'traditional' and 'alternative' models of provision
- Geographical coverage of the English regions
- Coverage of urban and rural contexts
- Coverage of areas with varying concentrations of historic assets

### **2.2 The Case Studies**

#### *Case Study 1: Birmingham & Dudley*

2.2.1 This case study provides the opportunity to compare two metropolitan councils in the West Midlands: Birmingham City Council and Dudley Metropolitan Borough. Both deliver unified Historic Environment Services, based in a planning department, and face the challenges of protecting and promoting the HE in an urban context undergoing significant regeneration activity.

#### *Case Study 2: Bradford, Calderdale, Kirklees, Leeds, Wakefield*

2.2.2 West Yorkshire Archaeology Advisory Service, part of West Yorkshire Joint Services, provides a full range of historic environment services to the five metropolitan borough councils which make up this case study area - Bradford City

Council, Calderdale Metropolitan Borough Council, Kirklees Metropolitan Council, Leeds City Council and Wakefield City Council. These metropolitan boroughs protect, manage and promote a wide range of urban and rural historic assets, including the WHS of Saltaire, and each have their own district conservation officers.

*Case Study 3: Cambridgeshire, Cambridge City, East Cambridgeshire, Huntingdon, South Cambridgeshire*

2.2.3 This case study provides the opportunity to explore the delivery of HE services and relationships between HE professionals within a two tier County-District structure. The Archaeological Service is situated at county level, within a Department of Community Learning and Development, while conservation officers, either singly or in teams, are based at district level, mostly within planning departments. Beyond the historic city of Cambridge itself, Cambridgeshire is a larger rural county that experiences a lot of development pressure.

*Case Study 4: Cheshire, Chester, Macclesfield, Congleton*

2.2.4 This case study area constitutes another example of the delivery of HE services within a County-District structure. The archaeology service at county level provides advice to the districts, where individual historic buildings officers deal with built environment issues, and all HE professionals tend to work out of planning departments. The exception to this set up is Chester which, as an Area of Archaeological Importance, has its own archaeological service. This works alongside the historic buildings service there and both services work on a range of projects within this historic city and district. There is a diverse mix of urban, industrial and rural heritage assets in Cheshire.

*Case Study 5: Cornwall, Carradon, Carrick, Kerrier, North Cornwall, Penwith, Restormel, Isles of Scilly*

2.2.5 This is another two tier County-District case study, in an area where there are a large number of heritage protection designations, a candidate World Heritage Site and a range of social and cultural issues in which heritage plays a significant role. Cornwall County Council provides a full HE service, managing a range of projects in addition to provision of archaeological, historic buildings and landscape advice. A range of listed building and conservation matters, HERs and THI schemes are managed at district level too.

*Case Study 6: Essex & Southend on Sea*

2.2.6 This study area contrasts the large and full HE services provided by Essex County Council with those provided by two members of staff (based in the Museum and Planning Services) at the nearby Unitary of Southend-on-Sea. ECC, via Service

Level Agreements, provides most of the archaeological and historic buildings advice to the twelve district councils in this two-tier local authority structure. One district has its own in-house archaeological officer and five have their own in-house conservation officers. Management and promotion of the HE in Essex takes place in a context of considerable development associated with the Thames Gateway and the challenge of sustainable communities.

#### *Case Study 7: Herefordshire, Worcestershire, Worcester City, Wyre Forest*

2.2.7 This case study compares delivery of HE services at Herefordshire Unitary Council with those delivered through the two-tier County-District structures in Worcestershire, including Worcester City. The former manages a varied HE from cathedral city to rural surrounds through a unified environmental conservation service, based in the planning service of Herefordshire Unitary. Services are delivered in Worcestershire via county HE services and district conservation officers, with Worcester City functioning essentially as a Unitary, with its own archaeological service, HER and team of conservation officers.

#### *Case Study 8: Hertfordshire*

2.2.8 The Hertfordshire case study provides an opportunity to explore the juxtaposition of HE service provision by two-tiers of local government (County-District) in conjunction with a private sector organisation – BEAMS (Built Environment Advisory and Management Service), the trading arm of a charity (Hertfordshire Buildings Preservation Trust) for management of the historic environment in Hertfordshire. HCC advises all districts, but St Albans, on planning and historic environment issues. Five districts currently have in-house historic buildings teams, whilst design and conservation advice for three others is provided by BEAMS. The area feels considerable development pressure which is magnified by proximity to London.

#### *Case Study 9: Newcastle-upon-Tyne, Gateshead, North Tyneside, South Tyneside, Sunderland*

2.2.9 The Tyne and Wear Specialist Conservation Team is based on these five metropolitan authorities, with Newcastle City Council as lead authority. It provides a full range of historic environment services, with constant contact between the specialisms and direct work with conservation and planning staff based in each of the authorities. The heavily urban character of the Tyne and Wear region makes industrial archaeology a particular feature of work here and regularly involves HE professionals in the delivery of regeneration projects.

### *Case Study 10: Nottingham*

2.2.10 Nottingham City is a Unitary Council with an archaeologist based in the museums section of the Leisure Services and a conservation officer based in a Development control team in the Planning Service. Protection and management of the heritage assets and townscape of Nottingham city takes place in a context of considerable commercial success and resulting pressure particularly for residential development.

### *Case Study 11: Peak District National Park*

2.2.11 This case study provides an example of integrated delivery, where HE services are provided by the Cultural Heritage Team, which sits within a Conservation and Development Directorate at the NPA. Archaeologists, conservation officers, landscape architects, community planners and sustainable development officers work together in this team, and HE are delivering within a wider agri-environment and sustainable communities agenda. The National Park covers a wide area, with a range of complex relationships with the regions and counties of the area.

### *Case Study 12: Stoke-on-Trent*

2.2.12 Stoke-on-Trent City Council is an example of a Unitary authority, with a Design and Conservation Team situated in the Regeneration and Community Directorate and a separate Archaeology Unit based at the museum. There is an emphasis on industrial heritage here, particularly in relation to the Potteries. These industries however are in decline, resulting in many challenges relating to housing market failure, economic development and the care of redundant buildings. The focus of the conservation team is on regeneration, economic development and partnership working and it undertakes a range of externally funded heritage-led regeneration projects.

### *Case Study 13: West Berkshire*

2.2.13 West Berkshire is another Unitary Council, which provides a full, but not unified, range of HE services. Archaeology and HER services are based in the museum, within Culture and Youth Services, and conservation and urban design sit within the Planning & Transport service. This is a largely rural area, punctuated with a number of market towns. HE services contribute to spatial strategic planning work and protect and manage a diverse range of heritage assets in the context of considerable development pressures.

#### *Case Study 14: West Sussex*

2.2.14 West Sussex County Council offers a full range of HE services via a holistic HE team based within the Environmental and Economic Policy division. This unified team of archaeologists and conservation architects provide advice to the county and to the districts. West Sussex is an area rich in historic assets of national importance and where there are considerable pressures on the landscape due to changes in the natural environment, such as flooding and coastal erosion.

#### *Case Study 15: Winchester*

2.2.15 This case study provides the opportunity to focus on the HE services of a district council which protects and manages the assets of the historic cathedral city of Winchester and its surrounding rural landscape and heritage. There are separate archaeology and conservation teams, although with recent structural reorganisation both teams now function as part of Cultural Services within the Development Directorate.

#### *Case Study 16: Yorkshire Dales, National Park*

2.2.16 This national park is effectively a single tier authority – the national park area includes part of three district councils and two county councils which, while they retain some powers within the NPA, have no significant role as regards the HE. The HE team includes archaeologists and building conservation officers, functions as part of its Conservation and Policy Department and advises not only the planning department but all sections of the NPA. A number of conservation and management projects involve the local community and the team have considerable experience of management agreements and Environmental Stewardship schemes.

#### *Case Study 17: Liverpool/Merseyside*

2.2.17 Merseyside Archaeological Service, based at the Liverpool Museums, is jointly funded by and provides archaeological advice to the five metropolitan borough councils of Knowsley, St. Helen's, Wirral, Sefton and Liverpool City. Conservation officers are based at each of these metropolitan borough councils. There is an urban and industrial emphasis to the heritage of this area. Liverpool city includes a World Heritage Site and will be the Capital of Culture in 2008.

## 3. THE INTERVIEWS

### 3.1 Introduction

3.1.1 Interviews were carried out between 20 October 2005 and 9 December 2005. The principal LA respondents in the initial survey undertaken by the client team assisted in the coordination of meetings. Most interviews were conducted face to face, with the interviews for each case study carried out by a single individual from the consultant team in a single day at the local authority offices. Any interviews that it was not possible to carry out in person were conducted subsequently by telephone.

The consultant interview team consisted of:

- Janet Miller            Head of Heritage, Atkins
- Gill Andrews           Archaeological Consultant
- Steve Shaw            Director, Transport Research and Consultancy Centre, Cities Institute, London Metropolitan University
- Sue Bagwell            Local Economic Development and Regeneration specialist, Research Development Manager, Cities Institute, London Metropolitan University
- Emma Newman        Regeneration and community consultation specialist, Atkins
- Angela Poulter        Heritage Consultant, Atkins

3.1.2 Individuals from a total of 32 local authorities or organisations were interviewed:

- BEAMS (Built Environment Advisory and Management Service), Hertfordshire Buildings Preservation Trust)
- Birmingham City Council
- Cambridgeshire County Council
- Carradon District Council
- Cheshire County Council
- Cornwall County Council
- Dudley Metropolitan Borough Council
- East Hertfordshire District Council
- Essex County Council
- Herefordshire Unitary Council

- Hertfordshire County Council
- Leeds City Council
- Liverpool City Council
- Macclesfield Borough Council
- Malvern Hills District Council
- Merseyside Archaeological Service
- Mid-Sussex District Council
- Newcastle City Council
- Nottingham City Council
- Peak District National Park
- Sefton Metropolitan Borough Council
- South Cambridgeshire District Council
- Southend-on-Sea Unitary Council
- Stoke-on-Trent City Council
- Sunderland City Council
- West Berkshire Unitary Council
- West Sussex County Council
- West Yorkshire Archaeological Advisory Service
- Winchester City Council
- Worcestershire County Council
- Wychavon District Council
- Yorkshire Dales National Park

## 3.2 The case study strategy

3.2.1 To gain multi-directional perceptions for each case study area, at least four individuals were interviewed. The aim was to interview from each case-study area:

- A Performance Manager or a Historic Environment Champion
- Two Historic Environment specialists, ensuring that for each case study both archaeology and historic buildings specialists were represented and that there was coverage where possible across the range of authority types involved
- A specialist working in a parallel discipline, such as planning, ecology, or countryside management

3.2.2 The range of issues to be addressed with these individuals comprised

Performance manager or elected member Historic Environment Champion

- Corporate objectives and aspirations for historic environment
- Corporate objectives for and perception of HES
- Alignment of HES with corporate needs
- Profile of development/regeneration context
- Performance management
- Perceptions of the advantages of HPR and

	<ul style="list-style-type: none"> <li>feasibility of local delivery</li> <li>• Examples of assistance of Historic environment in development, regeneration etc</li> </ul>
Historic environment service providers	<ul style="list-style-type: none"> <li>• Profile and structure of HES delivery</li> <li>• Profile of development/regeneration context and HES response</li> <li>• Alignment of HES with corporate needs</li> <li>• Methods and objectives of prioritisation/business planning – particularly balance between responsive and proactive tasks and response to corporate objectives</li> <li>• Methods of performance management or service monitoring</li> <li>• Skills and resource sharing</li> <li>• Processes of decision making, including information systems</li> <li>• Links with other disciplines</li> <li>• Relationships between tiers of authority</li> <li>• Links and relationships with EH</li> <li>• Projects and initiatives</li> <li>• Perceptions of implications of HPR</li> <li>• Feasibility of HPR delivery</li> </ul>
Parallel discipline specialist	<ul style="list-style-type: none"> <li>• Integration of service between parallel disciplines</li> <li>• Use of specialist advice</li> <li>• Division of tasks between HES and other departments</li> </ul>

3.2.3 All HE professionals within each case study area, who were not interviewed face to face, were invited to complete a questionnaire to allow their views and perspectives to be fed into the research project too. This questionnaire was sent by email to the principal contacts for each case study area and passed on by them to the relevant individuals. In total 4 completed questionnaires were returned to the consultant team: two from Case Study area 4 and one from Case Study area 8, plus one from an SMR officer in a Unitary council which is not within any of the case study areas. The authorities represented by these individuals are listed below. For the purposes of this report, analysis of these responses is referred to only where they provide an additional perspective or challenge trends identified in analysis of the responses gathered through face to face interviews.

- Chester City Council (with follow-up telephone interview)
- Vale Royal Borough Council
- Worcester City Council
- North Lincolnshire Unitary Council

3.2.4 In order to gain a range of external, regional perspectives on the delivery of HE services by these local authorities, and to explore relationships between HE

delivery and other public initiatives, particularly the care of the natural environment and social and economic regeneration, the following individuals were interviewed in person:

- English Heritage Regional Directors for the South West, North East and West Midlands
- A Defra-facing Regional Government Office Director of Sustainability, Intelligence and Rural Affairs (SW)
- A Regeneration Manager at One North East, Regional Development Agency
- A Senior Advisor for the Historic Environment Rural Development Service (Defra):

3.2.5 The interviews were semi-structured and were undertaken according to questionnaires specially developed for the project, in consultation with the client team. These questionnaires varied slightly according to the 'direction' of the interview. The interviews lasted approximately one hour with non-HE specialists and approximately one and a half to two hours with HE specialists. Questionnaires were sent to the interviewees in advance. Detailed notes were taken during the interviews which were written up subsequently.

3.2.6 In addition to initial briefing discussions and consultations with individuals within the project steering group, meetings were also held with a range of other individuals representing public and professional stakeholders

- The chair of the Association of Local Government Archaeological Officers ALGAO
- The Director, the Education Secretary and the Government Liaison Secretary of the Institute of Historic Building Conservation.
- A Project Manager within the English Heritage HELM
- The Secretary of Heritage Link
- The Deputy Director of Policy and Research of the Heritage Lottery Fund

## **4. ANALYSIS OF THE SURVEY DATA**

### **4.1 Introduction**

4.1.1 The survey method, combining case studies with directional interviews, allowed both the examination of the working practices and support to the historic environment across a range of models of delivery, with the ability to compare and contrast the perceptions of officers within and across different regions and economic development contexts. However it is important to recognise that the survey primarily was an information gathering, rather than a consultation exercise.

4.1.2 There were two options when considering the analysis of the survey data. The first consisted of a detailed characterisation of each case study, in order to understand the processes and outcomes of each model of delivery. The danger with this option was that the analysis might become, or could be interpreted as, an exercise in grading the quality of service delivery by each case-study authority. It would also be difficult to maintain the confidentiality of respondents' answers, which a number of interviewees requested. Furthermore, without formal data on the historic environment outcomes within each case-study area, which will be elicited by the proposed pan-authority survey, there was a danger that received wisdom on what constitutes good practice simply would be confirmed. The second option consisted of reporting and analysis of the range of responses to each survey question. This option, while providing survey information within the contexts of different delivery models and socio-economic situations, also presented opportunities for a wider span of analysis, as well as to trace the patterns of experiences and opinions of similar local and central government officers across England. This information would also be more useful for looking to the future, for investigating the feasibility of implementing the HPR proposals, than would an over-concentration on the small details of current arrangements. The second option was chosen.

4.1.3 A number of survey questions asked for descriptions of the historic environment and economic development context of the case study area. The principal purpose of these questions was to allow respondents to become comfortable in the interview, to encourage them to respond to the remaining questions in the context of this heritage and economic situation and to allow some comparison of the responses to these general questions between officers from the same case-study. This information is detailed and repetitive however and beyond providing the general context of the case-study area, does not help in the analysis. Therefore the responses to these the survey questions have not been repeated nor

analysed in this report. However the information has been used in the introduction and brief characterisation of each case-study presented in section 2 above and for completeness, these questions are included below.

4.1.4 When reporting on each question below, the responses are described and to some extent counted, allowing the reader to identify trends and drill down for further information as required. However, since the survey was not quantitative and questions were open-ended (indeed there were both gaps and overlaps in the answers to a number of questions) it is important not to be tempted to translate these counts into percentages of the total sample, since this would be statistically invalid. While information on the type of authority, the heritage and socio-economic context and the officer type is included in the reporting and analysis, respondents are not named. Organisations and local authorities are only named when describing positive responses or when the information is neutral. In section 5 conclusions are presented which draw some observations and patterns from each set of directional interviews.

## **4.2 Historic Environment Champions and Performance Managers**

4.2.1 A total of 17 individuals were interviewed. 10 were councillors – 2 were at County level, 2 at District, 2 at metropolitan authorities, 3 at Unitary authorities and 1 was from a NPA. 6 of these councillors were Historic Environment Champion and 1 a Design Champion. 1 respondent was the Chair of the Local Strategic Partnership. The remaining 6 were council officers responsible for performance management or the delivery of corporate objectives.

***1 Could you briefly summarise the principal development or regeneration issues, or other challenges facing your area?***

***2 What is special about the heritage of your (case-study) area or the way in which it needs to be managed?***

4.2.2 The responses to these first two questions in these interviews are not reported here, as discussed in Section 3 above

***3 Do you feel that the historic environment can assist the delivery of corporate objects, including, for example the local response to Shared Priorities, Local Area Agreements, developing LDFs etc?***

4.2.3 11 interviewees positively felt that the HE contributed to the achievement of corporate objectives and targets. 2 were ambivalent or unsure as to the contribution. Cornwall and the National Parks were particularly positive, possibly because of the strong element of tourism within the economy. For Cornwall, heritage and history were cited as essential elements in the region's identity. For the National Parks, the accord between these authorities and English Heritage, which requires the development of Cultural Heritage Strategy, shaped the corporate approach to the management of the resource. For 1 respondent, the question should have been reversed, he believed that such agreements and strategies should aim to assist and

strengthen support to the historic environment. However the most positive voice was that of the respondent from Newcastle City Council: 'I would be staggered if there is anyone who does not think that heritage resources did not contribute. Everyone realises the importance of the historic environment for economic development in terms of jobs, tourism, sustainability priorities ...'.

4.2.4 1 authority mentioned that HE featured in the Regional Spatial Strategy and for 6 authorities the HE is addressed in the LDF. Only 2 stated that the HE is addressed in the Community Strategy. 2 authorities stated that heritage or the historic environment in some way is being addressed or incorporated into Local Area Agreements or policies associated with the Shared Priorities agenda.

4.2.5 Almost all respondents recognised the protection and management of the historic environment as part of their corporate functions. Some were explicit in regarding the contribution, through quality of environment and retention of character, to harder targets such as tourism and economic development. This was particularly so for those areas heavily dependant on tourism such as Cornwall and the National Parks but also for those areas with an emphasis on economic regeneration such as Sefton and Newcastle.

4.2.6 However, all but 6 respondents needed some probing on how the HE did or might contribute to community targets or cross-cutting themes, such as children and young people, older people, or community safety. Even after such probing, 1 respondent remained unconvinced and could not envisage a mechanism for enlisting the HE to assist with these objectives.

4.2.7 Respondents from Cornwall, the two NPAs, Nottingham City Council and Sefton Borough Council recognised the contribution of the HE to community objectives and were exploring this in the development of the LAAs or other corporate strategies. Cornwall County Council was particularly strong in the clear functional and target-based linkages between the overarching Council Plan and the relevant Service Plans, between the results of a community survey (in which environment and heritage was shown to be particularly valued) and the development of the LAAs, as well as the way in which the HE cross-cut a number of Portfolio Plans. The interviewee responsible for the LSP was also particularly clear as to how heritage and the HE could contribute to education, raising aspirations of young people and forging links between generations. 1 other respondent, from a county council, particularly admired the Service Level Agreement his HES had struck with a number of districts, believing this pooling of resources and working together demonstrated that the working practices were already in place as a precursor to the development of LAAs.

#### **4 How does the HES promote its advice and expertise to you or your colleagues?**

4.2.8 5 respondents could not explain nor provide examples of how the HES promoted its advice and expertise at a corporate level. With 1 exception, these were city or unitary authorities. Most of these respondents explained that the HES was not within the directorate for which they were responsible, particularly as a number of them were within directorates associated with Culture rather than Planning.

4.2.9 For 3 respondents, consultation or advice on planning applications was the first item they mentioned. Of these 3 respondents, 2 could not provide further information on how HES promoted their services.

4.2.10 1 authority, Cornwall CC, cited the contribution of the HES to strategic documents as a means of promoting their services. 1 respondent from a city council pointed out that his HES was not working in isolation, but that they contributed to cross-cutting agenda and to an inter-departmental team looking at heritage and culture issues.

4.2.11 Respondents identified 3 principal means by which HES promoted their services:

- awareness raising targeted at members and senior officers, such as presentations, training days, newsletters and walks and talks;
- general influencing within the corporate structure; such as inclusion in Service Head Groups and topic or project based committees and teams
- general awareness raising, such as presentations at public consultation meetings, publications and articles in council magazines

4.2.12 For all of these methods, the services of Essex, Cornwall, the two NPAs and W Berks featured particularly strongly, although the respondent for South Cambridgeshire found the regular meetings of the Conservation Advisory Group, which existed for the specific aim of educating council members across the county, particularly useful. The interviewee from Cheshire County Council described the importance, in terms of communication and awareness raising, of a departmental board consisting of members overseeing the work of the HES. The respondent responsible for the LSP stated that challenges set to the heritage and culture sectors within LAs to contribute to the LSP was useful in 'getting officers out of their silo mentality'.

#### **5 How is the quality and delivery of the HES monitored?**

4.2.13 3 respondents replied that they had no knowledge of how the delivery of the HES was monitored because they were located within a different directorate. 2 respondents mentioned monitoring of the turnaround time for planning applications. 1 respondent believed that the monitoring of the SLAs with district authorities was a means of assessing the county-based HES. For 6 authorities, a formal system of

Service Plans for the HES, often linked to wider departmental plans and the corporate plans were cited. 2 respondents indicated that the HES was performing within the authority's best value system. Only the respondents from the two National Parks Authorities however, cited that the performance of their historic environment specialists was directly linked to the outcome based objectives for the Historic Environment, such as buildings and monuments at risk, in the Corporate Plan. However Winchester City Council is corporately moving towards an outcomes-based approach for all services within the authority and it is expected that the HES will contribute to this.

4.2.14 1 respondent described how his county council had previously prepared for the inclusion of cultural services in the CPA assessment. Although the system of assessment subsequently changed and the topic was not included, the authority found the process useful in raising awareness of the cross-cutting nature and benefits of culture and heritage.

4.2.15 1 respondent, from a city council, believed that a number of indicators of customer satisfaction demonstrated that the HES was performing well. These included customer surveys regarding parks and the public realm, visitor figures to Heritage Open Days and Tourist performance indicators. He also explained how a Conservation Advisory Committee scrutinised the work of the HES and this committee reported to the Council.

***6 Can you think of examples where the historic environment has helped with regeneration, development or other issues?***

4.2.16 12 respondents were able to identify at least one example in which the HE has played a positive role or even led in the management of change, particularly with regard to urban regeneration, the re-use of historic buildings or the enhancement of townscapes. Some of these were also examples of multi-disciplinary and team working for scheme delivery. 2 authorities, Cornwall and Peak District NP stated that the corporate strategies were enhanced by the inclusion of HE topics and issues. In Cheshire, the respondent described how agri-environment schemes had been taken up and was resulting in better stewardship of the historic environment. For South Cambs and Yorkshire Dales NP, historic environment contributes to economic development, through tourism and opportunities for diversification in agricultural areas. 2 respondents, both based in the south east of England felt that the historic environment was often an obstacle to development, causing delays particularly for refurbishment of listed buildings. The respondent responsible for the LSP also suggested that there was still untapped potential for heritage to contribute to a number of agenda, particularly those associated with young people and education.

***7 How is your work supported by English Heritage?***

4.2.17 Most respondents regarded EH as helpful in their support of the historic environment and were able to point to grants, funding and partnership which assisted with specific projects or initiatives. Most valued particularly the specialist expertise of

EH. 2 enjoyed the particular support offered to Members, 1 of which was also pleased that his HES was regarded as an exemplar by EH. Another found the literature produced by EH to be useful. Both National Parks Authorities were also supported in the development of their strategic plans by the input of EH. However 3 authorities (1 city authority, 2 unitary) also felt that EH also caused delays by their slow response to consultation and consent applications and of these, 2 respondents claimed that EH were inflexible in their approach to management of change and 1 city authority respondent claimed that EH lacked understanding of the needs of other regeneration partners. One additional observation, made by a National Parks Authority performance manager, was that the historic sector seems often to possess a weaker influencing position than that of the natural heritage sector: “you always feel that if there was a stand-up fight between EH and Natural England, EH would lose. It may be because specialist expertise is not required in order to appreciate the natural heritage resource. Its easier for the non-specialist to appreciate a golden eagle”.

### ***8 What do you know of the Heritage Protection Review and the proposals?***

4.2.18 5 individuals had little or no awareness of the Heritage Protection Review and its proposals prior to the meeting, 5 stated they had some knowledge and 2 were well-versed, having attended an English Heritage Regional Seminar on the subject. Of those who had some knowledge most had been briefed by their Historic Environment Service and one had briefed himself through searching the internet. 2 individuals, both of whom were well-versed, were slightly critical of the way in which information was disseminated to them: 1 felt that the literature issued by EH was ‘impenetrable and not inclusive’ and 1 felt that members and chief executive level should have been informed of proposals before his historic environment officers.

### ***9 Do you feel that proposals for the Heritage Protection Review will assist in the delivery of the corporate objectives?***

4.2.19 Most respondents need to be reminded of principal proposals of HPR.

4.2.20 A number of the interviewees identified particular elements of the HPR proposals, although their preferences did not seem to correlate with the location or nature of the authority: 1 favoured LAs adopting the role of heritage ‘consent gateway’ 2 interviewees favoured the unified register; 3 favoured Heritage Protection Agreements. 6 interviewees particularly favoured the development of Local Lists (although many pointed out that they already have one) and 1, a city authority, looked forward to developing its own Historic Environment Record.

4.2.21 3 respondents related the proposals to the development or delivery of their own corporate objectives: The performance manager for Cornwall CC saw the development of the local list as an important mechanism for further understanding the detail and variation of community values and requirements; the respondent for W Sussex believed that the corporate plan may need to be revised or adjusted following the raising of the profile of HE issues.

4.2.22 Most of the respondents spoke of the benefits the proposals would bring in a general way: 2 believed the proposals would speed up delivery and decision-making, 5 thought the proposals would simplify the consents process; 4 saw the potential for greater customer or owner focus, 3 felt the proposals would lead to greater understanding of the HE resource; 1 felt that HPAs would lead to a reduction in administrative tasks and 1 looked forward to greater local decision-making.

4.2.23 6 respondents raised concerns about the proposals or their implementation. 1 was concerned that the proposals may lead to further bureaucracy and that given the financial pressure on LAs the focus should always be on benefiting the general public. 2 predicted difficulties in resourcing the activities required to put the new system in place, 1 believing that the LA corporately would need to provide for this. 1 complained of a lack of detail currently available about the proposals themselves as well as implementation. 1, while favouring the potential for local decision-making felt that this might also signal that the historic environment no longer merited national attention. This respondent also expressed concerns about raising community aspirations without the capacity to follow through. Finally, 1 respondent wondered whether the HE might be under-protected during the lead-in to the implementation of the proposals. 1 was also concerned that the new resources required with regard to the HE would not jeopardise the delivery of other LA duties.

#### ***10 Does HPR offer any new opportunities?***

4.2.24 All but 3 of the respondents offered comments about the opportunities that that HPR may bring and there was a wide range of ideas. In the main these were positive. 2 respondents, 1 from a city authority and 1 from a unitary authority, looked forward to greater control over the management of the historic resource at local level and saw it as a healthy move towards decentralisation. 1 other interviewee, from a county council, was particularly critical however, and saw HPR as an imposition with resource implications, merely tinkering with policies and an off-loading of responsibility from national to local government, as a means of reducing government spend.

4.2.25 However 1 respondent, from a city council which is heavily engaged in regeneration, felt that in addition to raising public awareness of heritage issues, HPR would prove the point that working across discipline and departmental boundaries works and that a multi-faceted review of the way in which the HE is supported would encourage more holistic thinking.

4.2.26 A number of individuals saw the opportunity to align, combine or co-locate disciplines or services. 1 county authority, which includes archaeology and some conservation specialism, looked forward to aligning or possibly even integrating the management of cultural heritage with that of the natural environment. 1 councillor from a district authority saw the opportunity to pool resources and disciplines, 1 district authority envisaged a closer or improved relationship with the archaeologists

based at county level and 1 national park saw the inclusion of historic buildings on the HER as beneficial.

4.2.27 A number of individuals stressed the benefits of HPR to the public, particularly with regard to outreach and learning. 3 authorities regarded the development of the local register as a means of raising awareness and engaging the public. 3 individuals, all from rural authorities, envisaged a higher quality of life or 'better places to live', resulting from better understanding or more effective management of historic assets. 1 individual also saw the opportunities for enhanced relationships with building owners.

4.2.28 1 individual from a city authority saw HPR in general as a means of enhancing the protection of the built heritage and particularly hoped for the increased ability to spot-list where necessary. 2 respondents looked forward to improved records and electronic availability.

4.2.29 In addition to the opportunities, 2 respondents raised concerns about the resource implications. 1 respondent from a county authority was concerned that without additional resources, the implementation of the proposals would succumb to higher spending priorities. 3 individuals complained of insufficient detail about the proposals particularly with regard to the contents of the local register and the discretion that will devolve to local authorities. Finally, 1 respondent from a national park authority commented that there were no fundamental opportunities offered by HPR. Rather the proposals were merely a logical evolution of current practices.

***11 Do you feel that any re-organisation or other changes will be needed to implement the HPR proposals? If so, how might this might be best engineered?***

4.2.30 1 city authority identified the need for change and although he did not specify in what way, he stated that he would welcome it. 1 individual from a smaller metropolitan authority saw the implications of HPR as having a 'serious impact on the Conservation Group' but again welcomed the opportunity for a re-think.

4.2.31 1 respondent, from a county council saw the need to unify the databases and records across a number of departments.

4.2.32 1 respondent from a national park authority believed that the role of English Heritage would change as a result of HPR, but hoped EH would be responsible for control and standard setting.

4.2.33 A number of respondents addressed the future of the working relationship between archaeologists and conservation specialists. 1 performance manager officer from a county council regarded HPR as prompting the need to consolidate the disciplines within a single organisation, or at least as a virtual team, preferably

including natural heritage specialists and drawing in the conservation specialists from the districts, all with the aim of achieving consistency, capacity, a county-wide approach and a single public 'front of house' for heritage services. However 3 authorities rejected any proposal to develop 'sub-regional' teams: 1 city authority felt that such an arrangement would undermine local control; 1 unitary agreed that there needed to be cooperation between disciplines but preferred 'cooperation not consolidation'. Another city authority stated that rather than join the county structure, they would be likely to examine resource sharing with other authorities or 'go it alone'. 1 unitary authority suggested that this was an opportunity to move archaeological skills to the Planning Directorate.

4.2.34 1 respondent, from a city authority, felt that the skills and procedures were already in place and that they were already moving in the direction of many of the proposals. However, while he did not see the need to re-organise the disciplines, his authority was considering pulling all the strategic tasks associated with Arts and Culture, 'the thinking aspects', including cultural heritage, into a single team, thus separating the functions of strategy and delivery.

4.2.35 Finally, 1 respondent, from a county council believed that the plans and requirements for the implementation of the new system needed to form an element in the authority's Medium Term Plan, not least in order to bid for funding, and that in view of the strategic and overarching nature of the proposals, it was essential that an officer was appointed to oversee the implementation.

### **4.3 Historic Environment Services**

#### **Introduction**

4.3.1 A total of 35 HE service providers were interviewed from 29 different authorities – 4 respondents were from NPAs; 7 respondents were from district authorities; 7 respondents were from county authorities; 8 respondents were from unitary authorities, 6 from metropolitan authorities, and another 1 respondent from a Joint Service delivering to 5 different metropolitan authorities. 1 was from a national museum archaeology service delivering to 5 different metropolitan councils, and another 1 was a private sector supplier of HES. 17 of these respondents were archaeologists, 17 historic buildings/conservation specialists, and 1 both.

#### ***1 What is special about the heritage of your case-study area or the way in which it needs to be managed?***

4.3.2 The responses to this question are not reported here, as discussed in Section 3 above.

#### ***2 Can you explain how Historic Environment Services are delivered in your area?***

4.3.3 Responses to this question were generally very full and much of the detail was further expanded upon in later questions on activities, prioritisation etc. However, almost all responses were dominated by descriptions of the structural arrangements for the delivery of support to the HE. Although these structural arrangements vary in their detail, having developed in response to local conditions over several decades, they can be grouped into a number of models. In preparation for the final consolidated project report, the characterisation of the different models also includes some qualitative comment on the different models.

#### *2 tier delivery*

4.3.4 Typically, archaeological services are delivered at county level, where they usually sit within a department or directorate associated with planning and the management of physical change. Archaeologists are consulted on and make recommendations on planning applications, as well as strategic documents, using sophisticated information bases or HERS. As a means of enhancing this information base, many also undertake county-wide studies and surveys. Many also undertake, to a greater or lesser degree, public outreach or community education. This service is usually delivered, whether charged for or not, to the district and sometimes unitary authorities within the county. Many of these teams are relatively large – 6 or more people and they are frequently integrated with or retain very strong links with a county-based field archaeology team. Sometimes alongside the archaeological service, conservation specialists also operate. They do not always sit in the same department as the archaeologists but they more often than not sit in the same directorate. These conservation specialists generally do not deal with day to day planning applications, since that is the remit of district councils, but they deal with the historic buildings issues of county-led and strategic projects and initiatives. However, they sometimes provide support and engage in skill-sharing with conservation specialists at district level. Where conservation specialists sit in the same team as archaeologists, almost always, the team is headed by an archaeologist.

4.3.5 The archaeological teams based at county level are the largest of such teams in local authorities. This may be because they are, with the museums, the longest established, or it may be because the inclusion of field teams, certainly in the early days of their development, provided the critical mass for growth. Whatever the reason, their size offers the obvious advantages of capacity, a wide range of skills and expertise and a sub-regional overview. This means that they are able to respond quickly to change and to rapidly access and deliver funded projects, usually studies, to the county. Indeed this, combined with selling their services to other local authorities, as well as on occasion to the private sector, provides a great deal of revenue on which they seem to continue to develop substantial teams. Indeed 2 such services are partly assessed in terms of annual revenue targets. These services effectively operate as sub-regional resource centres for the provision of mostly archaeological advice and projects. The size of the teams and the variety of projects, also offer relatively good career progression and professional satisfaction. They

therefore tend to attract good staff. These services are also characterised by very effective and entrepreneurial leaders, who possess highly developed business skills, including strategic and succession planning, market analysis and a client focus. They tend to be influential within their own authorities and are regarded as advantageous to the LA's reputation. As these services often undertake pilot projects or initiatives, they also influence statutory authorities and tend to 'raise the bar' for other archaeological organisations. These larger teams also tend to undertake a larger number of outreach services and events for the general public. They also undertake cross-boundary studies and initiatives and are able to take a sub-regional overview of the archaeological resource

4.3.6 Sitting within the county, the archaeological teams can be remote from local communities despite undertaking regular liaison with district officers. Other than the work of countryside officers, most of the delivery tends to be hands off advice, studies or information systems, in contrast to much of the work of district conservation specialists. The position within the higher tier authority also leads to a sense that they are in charge and that approaches to HES delivery cascade down from them to district level. This, combined with the fact that the service heads proactively sell their products and services to districts, could lead to a conflict of interests. Some of the activities of these services resemble those of a self-contained business to business consultancy. There is a feeling therefore that, at times, funded projects are sought in an effort to preserve or grow the size of the team rather than meet local community needs. Indeed one service head related that with the possible reduction of HLF funding, he was considering promoting services to public sector clients in eastern Europe.

4.3.7 It is rare for a district to employ archaeologists. Instead districts consult or rely on County level service for planning application issues associated with archaeology, including enforcement. The exceptions to this are district councils in historic cities like Winchester, Chester and Worcester, which do host their own archaeological services based at a museum and, in many ways, function more like some of the single tier authorities discussed below. Most districts, however, employ one or more conservation specialists, who undertake a range of services, including scrutiny of planning applications, enforcement of conditions, surveys of buildings at risk, advice to owners, designation and appraisals of conservation areas, input to public realm schemes and, increasingly, bidding for and inputting to multi-funded major refurbishment or heritage regeneration schemes within the district.

4.3.8 Most district conservation services are small, largely consisting of at most 3 individuals. This means that their work can tend to be responsive rather than strategic and dominated by development control activities. Senior support within LAs, for the work of conservation services tends to be variable and some individual specialists clearly feel overworked, isolated and undervalued. This also leads to difficulty in recruitment in some areas.

4.3.9 Conservation specialists working at district level are fully 'plugged in' to the local scene and to the community. These services know the physical character of their area and the detail of development pressures and proposals very well and they have usually developed a network of contacts within the community. These services tend also to be resourceful in enlisting or partnering with others in the authority and elsewhere to deliver outcomes and schemes. They use highly developed negotiation skills in their close dealings with owners and the general public. District conservation services deliver physical change on the ground, frequently by seeking and initiating multi-funded projects, often leading to management of relatively large capital projects.

#### *Single tier delivery*

4.3.10 Archaeological and historic buildings services are also delivered from single tier authorities of unitary, metropolitan and city councils. National Parks Authorities also deliver joint archaeological and historic buildings service. Consequently there is less inter-trading between single tiers, than between two tier services. However, in two of the case studies, one city authority and the other a joint LA service, provides an archaeological service to several other single tier authorities in the area, particularly for assistance with development control and planning applications. The archaeological components of single tier teams tend to be smaller than those of the larger county-based HES, comprising at most 2 or 3 professionals, whereas single tiers tended to have more conservation staff than those teams within district councils. In all cases, with a group of notable exceptions, archaeologists and historic building specialists were in the same department, usually associated with town planning functions, and were providing an integrated service to a greater or lesser degree. The exceptions were the 5 single tier authority case studies where, like the historic city districts discussed above, archaeological services were delivered from a museum. Here archaeologists and historic buildings specialists in general do not provide an integrated service and often there appears to be little interaction between the two specialisms. By contrast within National Parks Authorities, archaeologists and historic buildings specialists form part of a multi-disciplinary team which include ecologists, countryside, farm and landscape specialists and even education and outreach workers, providing 'whole-service delivery' for the care and promotion of the environment. One of these services is headed by an archaeologist.

#### *Specialist teams outside the local authority structure*

4.3.11 Within the case-studies there were 2 specialist teams, which operate within a region but independently of the local authority structure. In the case studies examined, they delivered either archaeological or historic buildings services. 1 delivers archaeological services from a national museum to five local authorities under service level agreements, in addition to contract archaeological fieldwork. The other is a small independent team of historic buildings specialists, which generally serves the districts of the case study area by filling resource and skills gaps for

development control and other conservation work. It also undertakes private historic buildings consultancy for developers and others.

*Historic environment services in museums*

4.3.12 A number of archaeological services are based within museums, and therefore within directorates associated with leisure or culture rather than land use or town planning. These services provide scrutiny of planning applications and usually hold a HER. Only 1 of these services sells their services to other authorities and although they often undertake a wide range of outreach activities, as part of the museums service, the impression is of small teams isolated from the main planning functions of the local authority.

4.3.13 Table 1 below summarises the disciplines and arrangements within each case study area.

	LA tier		Conservation for development control			Archaeology for development control		Archaeology team in LA		General Hist Buildings		Sell to other LAs?		Buy from other LAs?		Integrated buildings and archaeology in same team		In multi-disc env team		In planning dept/direct?		Archaeology in museum	
	single	Other	Urban	n/a	Urban	Y	n	Y	n	Y	n	n	n	n	n	n	n	Y	Y	Y	Y	Y	Y
1	Birmingham	Single	Urban	Urban	Y	Y	Y		Y	n	n	n	n	Y	Y								
2	Dudley	Other	Urban	n/a	Y	Y	Y		Y	n	n	n	n	Y	Y								
3	WYAAS	Single	Urban	Urban	Y	Y	Y		Y	n	n	n	n	Y	Y								
4	Leeds	County	Mixed	Mixed	n	n	Y	Y		n	n	n	n	Y	Y								
5	Cambridgeshire	District	Rural/mixed	Rural/mixed	Y	Y	Y	Y		n	n	n	n	Y	Y								
6	S Cambs	County	Rural/mixed	Rural/mixed	Y	Y	Y	Y		n	n	n	n	Y	Y								
7	Cheshire	District	Urban	Urban	Y	Y	Y	Y	Y	n	n	n	n	Y	Y						Y	Y	Y
8	Chester	District	Urban	Urban	Y	Y	Y	Y		n	n	n	n	Y	Y						Y	Y	Y
9	Macclesfield	District	Urban	Urban	Y	Y	Y	Y		n	n	n	n	Y	Y						Y	Y	Y
10	Cornwall	County	Rural/mixed/coastal	Rural/mixed/coastal	n	Y	Y	Y	Y	n	n	n	n	Y	Y				Y	Y			
11	Carrick	District	Mixed	Mixed	Y	Y	Y	Y		n	n	n	n	Y	Y								
12	Essex	County	Rural/mixed/coastal	Rural/mixed/coastal	n	Y	Y	Y	Y	n	n	n	n	Y	Y						Y	Y	Y
13	Southend	single	Urban	Urban	Y	Y	Y	Y		n	n	n	n	Y	Y								
14	Worcestershire	County	Rural/mixed	Rural/mixed	n	Y	Y	Y		n	n	n	n	Y	Y								
15	Worcester	District	Urban	Urban	Y	Y	Y	Y		n	n	n	n	Y	Y								
16	Hereford	single	Urban	Urban	Y	Y	Y	Y	Y	n	n	n	n	Y	Y						Y	Y	Y
17	Hertfordshire	County	Rural/mixed	Rural/mixed	n	Y	Y	Y	Y	n	n	n	n	Y	Y								
18	Beams	Other	Other	Other	Y	Y	Y	Y		n	n	n	n	Y	Y								
19	Newcastle	single	Urban	Urban	Y	Y	Y	Y	Y	n	n	n	n	Y	Y								
20	Sunderland	single	Urban	Urban	Y	Y	Y	Y		n	n	n	n	Y	Y								
21	Nottingham	single	Urban	Urban	Y	Y	Y	Y		n	n	n	n	Y	Y								
22	Peak District	NPA	Rural	Rural	Y	Y	Y	Y	Y	n	n	n	n	Y	Y								
23	Stoke on Trent	single	Urban	Urban	Y	Y	Y	Y	n	n	n	n	n	Y	Y								
24	W Berks	single	Rural	Rural	Y	Y	Y	Y		n	n	n	n	Y	Y								
25	West Sussex	County	Rural	Rural	Y	Y	Y	Y		n	n	n	n	Y	Y								
26	Winchester	single	Urban	Urban	Y	Y	Y	Y		n	n	n	n	Y	Y								
27	Yorkshire Dales	NPA	Rural	Rural	Y	Y	Y	Y	Y	n	n	n	n	Y	Y								
28	Liverpool	single	Urban	Urban	Y	Y	Y	Y		n	n	n	n	Y	Y								
29	Sefton	single	Urban	Urban	Y	Y	Y	Y		n	n	n	n	Y	Y								

**3 Could you briefly summarise the principal development or regeneration issues or other challenges facing your area.**

4.3.14 The responses to this question are not reported here, as discussed in Section 3 above.

**4 Do you feel that the historic environment can assist the delivery of corporate objectives, including, for example the local response to Shared Priorities, Local Area Agreements, developing LDFs etc?**

4.3.15 All of the respondents felt that the HE could assist in the delivery of corporate objectives in some way and the majority of responses discussed the positive contribution that is being made by the HE.

4.3.16 There were a number of responses regarding the position that the Historic Environment holds in its own right in corporate documents. 1 respondent, from the Yorkshire Dales National Park Authority, said that the whole purpose of their corporate objectives was to look after the historic and cultural landscape. Another respondent from the Peak District National Park Authority indicated that 'conservation and enhancement' of the HE was a primary duty of the authority. Another respondent from the same NPA noted that efforts were being made to enhance HE aspect of community planning in drafting of the LAA. The respondent from W. Sussex County Council, noted that there is a specific commitment to the HE in their County Strategy; the district respondent from that area also said that protection of the natural and historic environment is specifically mentioned, and indicators for heritage stewardship and interpretation set, in the Local Area Agreement. 1 respondent from another county noted that the HE was a general corporate priority. The National Parks and Counties in question have a heavy rural emphasis and the HE is managed by integrated HE teams that work alongside ecology/landscape/countryside teams in a Conservation or Environment Service. It is clear from the responses emailed from the Chester and Worcester City archaeologists that the HE is a key element in corporate documents and is valued for its contribution to wider corporate objectives in these historic cities too.

4.3.17 4 other respondents indicated that there is an increasing commitment to the HE at corporate level: 2 stated that the HE was mentioned in the Community Plan and 2 that the HE was included in the Vision statement for their city. 3 respondents, from various tiers of local government, noted that the HE was specifically referred to in planning documents: in the Spatial plan (respondent from a specialist team outside the LA structure), in their Structure Plan (respondent from a county) and in their Local Plan (respondent from a district). Of these 7 respondents, 5 were urban-based services (2 city authorities, 1 specialist team outside the LA structure, 1 unitary, 1 district) and the other two were County Services working via integrated HE teams.

4.3.18 There were several general responses on where and how the HE assisted in delivering wider corporate objectives, including one NPA respondent who said that HE services could not afford not to assist with the delivery of corporate objectives. 2 other respondents indicated that their Service Plans were geared towards corporate objectives. 4 respondents indicated that they had input to LAAs and 10 respondents that they had been consulted on/had input to LDFs. These 16 comments were made by respondents from 11 different authorities, of a range types. However, 8 of these authorities operate integrated HE teams or are specialist teams providing services to others; 12 of the comments were made by archaeologists, 3 by conservation officers, and 1 by an individual qualified as both.

4.3.19 The contribution that the HE makes to a broad range of community or quality of life-orientated objectives was discussed by 10 respondents, 7 of whom were archaeologists running county services or specialist teams providing services to others. Amongst these, one respondent listed: healthier communities; elderly, children and young people; community and learning; sense of identity for new communities. Another listed cultural identity, accessibility, access to green spaces, making towns more liveable. A third listed community leadership, value for money, service improvement, and reputation enhancement for the area; a fourth focused on social inclusion and quality of life; and a fifth on a general community-focus and contribution to e-government. By contrast, 7 out of the 8 respondents who particularly highlighted how the HE delivers on regeneration and economic development/tourism were conservation/historic buildings specialists (3 metropolitan authorities, 2 at unitaries, 1 district, and 1 private sector).

4.3.20 2 respondents noted that meeting planning delivery grant targets was a corporate priority to which the HE services contributed.

4.3.21 2 respondents made specific reference to contribution on a regional scale: one, from a Joint Service team, mentioned input to a Regional Assembly Cultural Strategy; whilst another, from a County in the south east, pointed out that it was hard to find a voice at regional level. Another respondent, from Herefordshire Unitary mentioned input to the Local Strategic Partnership and work with a range of environmental and cultural consortium.

4.3.22 Despite the general view that the HE could contribute to the delivery of corporate objectives there was a range of responses which highlighted concerns that the HE is undervalued by those setting corporate objectives and that HE professionals were not given the opportunity to provide significant input to, and to contribute to the delivery of, wider corporate strategy and agenda.

4.3.23 5 respondents (2 unitary, 2 district, 1 city authority) felt that the HE was undervalued by Local Authorities and 1 respondent (from an NPA) expressed concern that conservation as an objective was being devalued and that the quality of the environment was suffering; another 2 respondents noted that the HE did not

feature in the Community Plan, LAAs or Shared Priorities (1 city authority, 1 unitary) and another (at a unitary) that the HE was not mentioned in the LAA.

4.3.24 2 respondents (one city archaeologist, one conservation officer – both at unitary councils) said that they were never consulted on corporate objectives and another 3 respondents (from a county, a district, and a specialist team outside the LA structure) felt that it was difficult to gain recognition of the role the HE can play in contributing to such objectives at corporate and member level.

4.3.25 2 respondents felt that this was very much the beginning of a process, whereby the full contribution of the HE in relation to LDFs and corporate objectives was yet to be realised and 1 of these respondents felt they were working hard within their unitary authority to promote this positive message. 1 respondent from a county in the south of England felt that it was necessary to work both to get the support of the LA but, also to convince HE providers that their role is to deliver benefit to the public, not just to protect and to constrain development. Another county respondent from the south east felt that the demise of the Structure Plan made it more difficult for the HE to have a voice at this tier of local government.

4.3.26 3 respondents made specific comments on the areas in which, or ways in which, the HE needs to be promoted further in relation to corporate objectives. 1 district conservation officer felt that the HE tends to be pigeonholed and that it is only when the HE is mobilised to deliver in a cross-cutting way that it will make its best contribution. Another district conservation officer felt the need to improve links with other local authority departments that were involved with outreach. 1 city authority conservation officer felt that opportunities for HE involvement in regeneration projects were being missed.

***5 Is/are the HES working towards a benchmark or set of KPIs. How have these been derived?***

4.3.27 Only 3 respondents specifically said that they were not working to KPIs and did not elaborate upon any other kinds of benchmarks or targets that they worked towards. The remaining respondents tended to interpret this question in a range of ways, variously focusing on formal national and corporate PIs, on targets set in service plans, and on targets set formally or more informally at team level, as well as personal monitoring.

4.3.28 Corporate, business and service plans were mentioned as the source of a number of HES and non-HES specific performance indicators or targets. 5 respondents referred broadly to PIs set as part of the local authority's BVPPs: 3 from National Park Authorities and two from districts where specific indicators have been set for HES (including, for example BAR and Conservation Area targets).

4.3.29 2 respondents (1 County, 1 specialist team outside the LA structure) stated that targets were set by means of business plans and 8 (4 counties, 2 metropolitan

authorities, 1 unitary, 1 joint service) said that their services were monitored through Service Plans. Of these 10 respondents, 5 said that indicators or targets were internally derived, HES-specific targets.

4.3.30 Beyond broad indications of the corporate documents or service plans within which targets are set, three particular indicators, benchmarks or targets were the most regularly mentioned: the national BVPI for Conservation Areas; contribution to Planning and DC related PIs and benchmarks for HER.

4.3.31 15 respondents referred to BVPI 219 regarding Conservation Area appraisals and management. The majority of these respondents said that they were working towards this national PI. However 2 respondents (1 from a metropolitan authority and 1 from a unitary) stated that they did not have the resources to reach targets on Conservation Areas, another 2 respondents (1 from a unitary and 1 from a district) said that they were not currently being formally measured on this BVPI and another respondent from a Unitary authority said that they were using external consultants to try to meet the targets.

4.3.32 15 respondents indicated that they contributed to development control/planning PIs, particularly with regard to the Planning Delivery Grant initiative, or that their PIs were set in relation to these and 4 respondents stated that these were the only targets that they currently formally worked towards.

4.3.33 10 respondents (4 unitary authorities, 1 city authority, 3 counties, 1 district, 1 joint service) stated that they were working towards HER benchmarks, although 1 respondent stated that there were resource problems in reaching them, 1 that it was good to work towards them even if they were unobtainable, and another that they would like to be doing more to reach these benchmarks (all 3 respondents from unitary authorities).

4.3.34 In addition, two respondent mentioned a PI for Buildings at Risk, 3 (2 from County level and one from a specialist team outside the LA structure) mentioned performance indication in relation to Service Level Agreements, 1 urban design and conservation officer working at an urban unitary authority mentioned targets set in relation to specific regeneration projects, for measurable outputs such as the number of jobs created and the amount of floor space generated, and 2 respondents (archaeologists based in museums services) mentioned Museum Service KPIs.

4.3.35 There clearly are some HES specific indicators set at corporate and service level. However, 1 respondent (from a county) felt disappointed that the corporate benchmarks were generic, largely not discipline specific, and felt that more formal national benchmarking of HES is required. 1 respondent (from a unitary authority) felt that corporate objectives lacked relevance and credibility because they were set top-down, rather than in conjunction with specialists within the authority and that there was little in their Service plan of relevance to HES. The same respondent also

suggested that the ways in which HES' are currently measured are inadequate and that new, more qualitative approaches to measuring the performance of HES providers need to be found. 1 respondent (at district level) felt that due to recent restructuring, the setting of targets and measurement of performance was currently less effective than it was previously, but hoped that this would be remedied in time. 1 respondent (at county level) indicated that PIs need to be set for HE core services as a whole, rather than in the current piecemeal fashion, and another 2 respondents (one at county, one at district level) stated that they were currently working on developing PIs at HE team level. Only 1 respondent questioned the need for PIs at corporate level.

4.3.36 Several respondents referred to self-monitoring and to more informal mechanisms of performance measurement. 1 district respondent said that they periodically looked at the EH/ALGAO/IHBC to assess the achievements and skills gaps of their HES; another said that they looked to EH guidance regarding performance and that the highly motivated nature of conservation officers was more important than KPIs. A unitary respondent said that they set specific targets for the team under them, although these were not formally adopted by the authority. Another county respondent said that the team did monitor their own work, in relation to interventions on planning applications and by seeking feedback from customers.

#### ***6 How is the business and work of the HES planned and prioritised?***

4.3.37 Only 9 of the 35 respondents did not mention a specific corporate or service level document or review through which their business and work is prioritised. Of these only 2 (from the same unitary authority) explicitly indicated that there is no formal forward plan, but at least one of these respondents works to very clear informal business plans. All of the respondents were able to discuss, to a greater or lesser extent, the ways in which their business and work is prioritised.

4.3.38 4 respondents indicated that priorities were cascaded from a Corporate Plan or corporate objectives (4 counties) and another that they were reviewed bi-annually in relation to a Corporate Plan (unitary). Another 1 stated that priorities were set in relation to a County Strategy, and 5 in relation to a Business Plan (1 NPA, 1 specialist team outside the LA structure, 2 districts). 11 stated that their work was prioritised in relation to a Service Plan (4 counties, 4 city authorities, 3 districts). 4 respondents mentioned annual service review/review of targets (1 NPA, 1 city authority, 1 specialist team outside the LA structure, 1 district) and 1 respondent at county level, a 5 year strategic plan. 1 county and 2 district respondents noted that individual work plans/performance plans were set.

4.3.39 4 respondents indicated that their work was or will soon be planned in relation to a HE specific strategy: 2 mentioned an Archaeology Strategy (county, unitary), 1 a Conservation Strategy (district), and 1 that a Heritage Strategy was under development (county). 1 NPA respondent stated that in addition to prioritising in relation to an authority Business Plan, a Historic Environment Strategy (part of the

authority Management Plan) was also adhered to; another NPA respondent indicated that a Cultural Heritage Strategy was currently being developed. The emailed response from Worcester City also indicated that an Archaeology and Historic Environment Strategy was under development at this authority.

4.3.40 While it seems that many of these documents are top-down generated, 3 respondents specifically indicated that priorities in such documents were set partly as a result of discussions with HE specialists themselves (1 NPA, 1 county and 1 unitary respondent).

4.3.41 3 respondents noted that the kinds of funding available were often significant in the setting of priorities (1 county, 1 joint service, 1 unitary).

4.3.42 1 county respondent indicated that internal bidding for budget in competition with others in the Service Group encouraged working in partnership with other disciplines to deliver shared objectives and said that this encouraged creativity in business planning. The emailed response from Chester City discussed similar kinds of internal partnerships. It also highlighted a cross-authority 'development team', on which both archaeology and conservation services were represented, as an effective means of ensuring their input to development control work and the delivery of quality outcomes.

4.3.43 2 respondents referred to the existence of an external body or committee through which strategic approaches to their HE work is prioritised or scrutinised and joined up thinking encouraged. One, at a city authority that heads up a service to delivers to other authorities, talked about a Conservation Advisory Committee, made up of regional and local heritage groups. The other, heading a specialist team outside of the LA structure, mentioned a Virtual Heritage Team comprising a range of people with a focus on heritage.

4.3.44 A sense that work is prioritised in a reactive, rather than a proactive way, and that strategic priorities tend to get sidelined by development control work was conveyed by several of the respondents. 1 respondent, from a metropolitan authority in the West Midlands, pointed out that it is hard to prioritise when everything is a priority. Another respondent from a city authority felt that much of their work is 'fire fighting' and that prioritisation is currently quite 'chaotic'; another unitary respondent said that there is currently a 'lack of clarity' as to what was expected of each department. 14 respondents, both archaeologists and conservation specialists spread across the full range of authority types ( 2 NPA, 1 County, 1 joint service, 4 metropolitan authorities, 3 unitary authorities, 3 districts) referred to statutory requirements and development control related work as the prevailing priority, largely because this work 'simply has to be done'.

4.3.45 12 respondents mentioned Conservation Area appraisals as a priority, 11 of whom were conservation specialists. While 1 (at a NPA) felt that their authority was

on target with these appraisals, another stated that this BVPI tended to skew priorities, another that this needed to be prioritised more in the future if targets were to be reached, and another that there were considerable difficulties in meeting these targets. This generally reflects comment made regarding the BVPI in Qu.5

4.3.46 A range of other priorities were specified: 2 respondents mentioned e-government; HERs and information management work was highlighted by 3 respondents; agri-environment work by 2 archaeologists; grant schemes by 3 conservation specialists; BAR priorities by 3 respondents; 4 respondents mentioned archaeology projects – characterisation, survey work, regional research agenda, write up and publication of excavations; 1 conservation specialists mentioned regeneration projects as a priority, another a Farm Buildings Project, and another input to the LDR; outreach and community heritage work was specifically mentioned by 3 archaeologists, including two based in museums.

4.3.47 Skills planning and training was addressed by a number of interviewees. 4 respondents from County authorities indicated that they did actively analyse skills gaps and plan training programmes or activities.

***7 How do you promote your advice and expertise to colleagues within your authority or other drivers of change within your area?***

4.3.48 A very wide range of responses were given to this question in terms of how advice and expertise are promoted, although at times there was a tendency to talk about *who* the respondent and their team had good relations with, *who* they provided expertise and advice to, rather than always about *how* they promoted this expertise and advice. This does however suggest that many respondents were 'client' and externally focussed and less concerned with process.

4.3.49 In terms of whom respondents have positive relationships with and who they regularly provide advice and expertise to within the local authority, the most frequently mentioned group was colleagues sitting broadly in Planning, Development Control or Urban Design departments, as well as Council Members: 13 respondents (8 conservation specialists, 4 archaeologists, 1 qualified as both) specifically mentioned their good working relations with their colleagues sitting in Planning and related areas. Others mentioned colleagues in: Building Control (1), Estates (2), Strategy (3), Natural Environment (2), Community Development (1), Education Officers (1), Media Unit (1).

4.3.50 The following mechanisms were cited as a means of promotion to, and providing expertise to, colleagues: annual reports (2); annual service plan (1); the formal planning process (8 respondents) - general reference to the planning process (3); committee reports (2), planning sub-committee meetings (2); guidance in DC handbook, code of practice for consultation and accessible GIS packages (1); cross-service projects (3); another 3 respondents mentioned meetings more generically

and 3 mentioned email or internal memos. 12 respondents referred to the Web/Intranet as a means of promoting their advice, and this was often directed to colleagues as well as a wider audience. This was also the case for leaflets and publications which many respondents produced. Likewise, 3 respondents specifically referred to in-housing training, seminar/talks to staff, but such events were also referred to more generally.

4.3.51 There is a general sense from the responses that very often promotion of advice and expertise happens in a much more informal way and that interviewees generally felt that internal communications and relationships were good. For example, 3 respondents particularly stated that co-location (2 NPA, 1 unitary conservation specialist) played a significant part in promoting communication with colleagues and 6 other respondents particularly noted that promotion happened very much in a one-to-one, informal, ad hoc fashion, which relied upon them taking the initiative, and keeping their ear to the ground. The responses of 3 interviewees, who felt that internal communication at officer level was not what it might be, reinforced the point that good informal working relationships are important – 1 felt that lower ranking officers were not receptive to conservation issues, 1 generally felt that internal communication needed work and another that his position in a museum outside of the main authority meant that he was isolated in many ways, particularly since he can not access the main authority IT system.

4.3.52 There were a considerable number of responses that related specifically to promotion of expertise and advice to Members and more broadly to influencing at a high level, both with Members and senior management. 13 respondents, both conservation specialists and archaeologists (1 NPA, 3 county, 1 joint service, 2 city authorities, 2 Unitary, 4 District), specifically mentioned promotion of their expertise and advice to Members. This was achieved by promotional literature or newsletters (2), presentations/seminars/workshops/training or induction days (5), presence of officer at member level Panels (1), informal engagement (1) and general advice (1). Only 1 respondent however, a conservation specialist working at district level, believed that he should remain slightly distant from Members, in order to ensure his advice was impartial.

4.3.53 A range of other responses recognised the value of being able to influence at a high level within the local authority. For example, 1 respondent (from a county service) noted the importance of sitting at 3rd tier officer level in the authority, in order to be 'plugged in' structurally. By comparison, 2 respondents (district, unitary) noted that it was really only officers more senior than them who were able to exercise any influence at a strategic and Member level. 1 respondent said they felt that their message was perhaps filtered out by the time it reached service management level meetings. 1 respondent from a county authority stated that the cabinet system made it more difficult to gain access to Member level. Another respondent, working at a NPA, pointed out that the respect given to their team within the authority was in part due to long-term service and formal peer review. By contrast, 1 other county

respondent felt that the well-established nature of the team perhaps led to complacency and that recent restructuring, to bring HE services together, would assist in raising the profile of the service and improve their position within the authority.

4.3.54 A range of external groups were identified, the bulk of which fall into the categories of: the public and sector-related professional associations. References were made to the public generally, but also the public via schools, libraries and museums, interest groups, civic societies and owners. Sector-related professional groups included archaeology & museums forums, conservation officer forums, HEFs, ALGAO, and IHBC. In addition references were made to relations with private sector and developer and relations with other authorities. 5 respondents (1 county, 1 city authority, 2 district, 1 private sector) referred to a range of skills and information sharing with other authorities via presentations, workshops and sharing of good practice and another County respondent referred to a brochure of services used to market the services that the authority provides.

4.3.55 5 respondents referred to public events, 'walks and talks' or seminars (4 archaeologists and 1 district conservation specialist); 10 respondents referred to leaflets and publications: 5 of which (all conservation specialists) specifically related to guidance for homeowners on LBs or on CAs. The analysis of question 8 will however provide a fuller understanding of these kinds of activities.

4.3.56 1 respondent (unitary) mentioned Area Partnerships as a forum through which to promote advice and expertise, 1 county respondent mentioned European project partnerships and 1 district respondent referred to multi-funded project meetings. 1 unitary respondent also generally mentioned that public, private and voluntary external partnerships were an important part of the ethos of the team.

***8 Do you engage in community consultation, championing and outreach activities? If so, how are these prioritised?***

4.3.57 It is very clear from responses to this question that outreach is often an ad hoc affair, prioritised according to when there is time, which project work will allow it, and where there are resources available. 17 respondents, both archaeologists and conservation specialists, across the range of authority types (and including some of those who were able to give a very full list of outreach activities) indicated that such activity was prioritised very much according to time and resources. However, within this general pattern, where outreach is often not a top priority, some other broad patterns can be established.

4.3.58 Respondents who specified formal conduits through which outreach is prioritised and delivered, those who answered most enthusiastically about outreach activities, or those who discussed outreach activities in the most detail, tended to be archaeologists working in larger teams and archaeologist based at museum services, although not exclusively so. 2 respondents specified that outreach was prioritised by

a particular outreach programme (2 county archaeologists) and 1 other county archaeologist gave a particularly detailed account of how priorities regarding outreach are set out at their LA. 2 respondents (1 from a joint service, 1 a historic city district archaeologist) noted the role that a full time Education Officer/Heritage Information Officer had to play in prioritising and carrying out outreach work (which includes activities/material specifically aimed at schools); 2 NPA respondents noted the role of their Village Officers in carrying out community focused activities. 6 respondents noted that outreach fell within the remit of a Museums department strategy (3 involved with this and based at museums, 3 referring to their colleagues in museums/heritage; 1 of these respondents noted that there was a 'strong commitment to outreach' at his authority). 1 respondent from a metropolitan authority noted that priorities for outreach, which issues and groups they would work with, had been set out in the BV review. 2 other respondents (county archaeologists) noted that outreach activity went on in conjunction with other LA departments and the emailed response from Chester City discussed the contribution of the HE services to council-wide projects, often co-ordinated by the Forward Planning team, which created opportunities for outreach and education.

4.3.59 It is apparent from the responses given that community consultation happens regularly as part of a government or corporate requirement. 3 respondents (archaeologists, 2 at county authorities, 1 from a NPA) mentioned consultation with the public generally on corporate documents. More specifically, 13 respondents noted that consultation with the community occurs in the context of work on Conservation Area Appraisals or AAPs/LDFs (2 NPA, 3 metropolitan authorities, 3 unitary, 5 district) and 9 of these respondents were conservation specialists. 2 conservation specialists and 1 archaeologist (2 unitary, 1 district) specifically noted consultation with owners (buildings or landowners) and another (unitary), workshops with developers; 2 conservation specialists noted attending ward/parish meetings and another 2 (1 city authority, 1 district) referred to consultation of a 'Conservation Panel' or an 'Architects Panel' within the planning and design process. It is clearly within the context of consulting the community and external scrutiny bodies on planning, design, and protection of the historic environment that conservation specialists come to the fore.

4.3.60 Several responses talked generally about the importance of working with the local community and a range of particular schemes, projects and partnerships were noted. 4 respondents noted work with universities and colleges (2 conservation/HB specialists, 2 archaeologists); 5 respondents (4 archaeologists, 1 conservation specialist) specifically noted work with local history/archaeology or heritage forums. 1 county archaeologist referred to work on LHIs, and 2 archaeologists based in museums, (1 district, 1 unitary) highlighted community archaeology/history projects and community excavations. 4 archaeologists (3 county-based, 1 specialist team outside the LA structure) highlighted a range of resource based outreach projects involving HERs, characterisation, training excavations, craft skills training, and for one, a Historical Resource and Cultural Centre.

4.3.61 2 conservation specialists (1 metropolitan authority, 1 unitary) noted work with the Civic Trust; another highlighted work on community-led projects including a THI and work with a local Development Company. A conservation specialist, working from the private sector noted a conservation and design show, and an annual photographic competition for children; a District based conservation specialist noted bi-annual natural and built heritage award schemes.

4.3.62 A few respondents aspired to a redirection of their outreach activities in the future, towards working more in line with wider objectives or to deliver more effectively. 1 respondent (county) stated that the outreach effort was gradually moving towards alignment with corporate objectives relating to education, employment and inclusion and 2 others (1 county archaeologist, 1 district conservation officer) particularly said they would like to do more with difficult-to-reach groups and that the need to do so was formally recognised. Another respondent (heading up an integrated team at county level) is currently working on an outreach strategy; they felt that in reality their outreach provision was not strong enough, and that outreach activity needed not just to be a promotional effort, but something that intervened and brought about real change.

4.3.63 Notably however, to be considered alongside the comments indicating a lack of time and resources as a reason for lack of formal prioritisation, there is also some further debate about how outreach activity should be carried out and whose role this is. 3 respondents pointed out that, while members of their teams were to varying degrees currently involved in outreach and education, this was not their top priority or overriding concern. The focus of their work was to make sure high quality information was available for planning decisions or to ensure quality conservation work. A NPA archaeologist noted that voluntary organisations and partnership work fulfilled much of the outreach role in the area; a Unitary authority archaeologist said that they were aware of the lack of overall plan for outreach, but that it is impossible to do everything and that, ideally, they would have a community archaeologists to take care of these activities. 1 conservation officer, working within a city which was emphasising its cultural assets, however, did not try to do everything. For him it was a question of the sensible separation of functions and he was clear in his opinion that outreach work was properly undertaken by those with the proper skills, resources and remit in the city.

***9 When and how do you seek specialist advice, partner or work in a team to deliver some objectives?***

4.3.64 The most regularly referred to source of specialist advice and partnering work was English Heritage and it is clear that this advice, partnership and support is highly valued. 2 respondents particularly emphasised the value of a national, independent perspective on local cases particularly when there were contentious issues at stake. 24 out of the 35 respondents consulted in face to face interviews highlighted EH as the primary source of specialist advice and 10 respondents particularly referred to EH as partners in project work or as a source of funding for projects and posts. In terms

of specialist advice, 6 respondents specified that they looked to EH for structural engineering advice, 7 for LB advice, 3 for SAM advice; 3 particularly referred to the advice of the Regional Science Advisors and 1 to the advice of an EH Regional Planner. Projects included characterisation, grant and repair schemes like HERS, and funding to assist a countryside advisor post was mentioned by 1 respondent. Only 3 respondents felt that EH was under-resourced itself and as a result was at times reluctant or slow to provide support.

4.3.65 A range of other bodies or teams were identified as sources of specialist advice, partnership and funding. Within their own LAs 2 respondents referred to work with regeneration colleagues, 1 to libraries, 3 to planners, 2 to natural environment colleagues, 1 to Highways, 1 to Quantity Surveyors, 1 to Landscape, 1 to Outreach and 1 to the Museum Service. 4 respondents (2 county, 1 NPA, 1 city authority) referred to cross-disciplinary projects that included a range of teams within the LA. Of these 4 references to cross-discipline projects, 3 of them (2 county, 1 NPA) indicated that their projects also included broader sub-regional groups and partnerships beyond the LA, representing outside interest groups, the community, heritage trusts, the local museum etc. 3 other respondents (2 unitary, 1 district) referred to collaboration with the local community/volunteers to deliver projects.

4.3.66 17 respondents (7 district, 4 unitary, 2 county, 2 metropolitan authorities, 1 NPA, 1 private sector) indicated that they worked with other LAs on particular projects, to gain advice, to deliver objectives or to provide services. 7 district conservation specialists indicated that they consulted with County Councils in the area for archaeological or conservation/historic buildings advice or worked with them to deliver objectives; 3 conservation specialists noted the value of consultation with their opposite numbers in other LAs; 1 county archaeologist highlighted the value of working with the districts; 1 NPA representative discussed the value of informal discussion with HE professionals in other LAs. 1 metropolitan authority representative noted an SLA agreement that provided them with access to a HER and to peer support and advice and 1 county noted SLAs by which it provided services to others. 4 unitary authority archaeologists mentioned working together with other LAs, 2 of whom specified work with other authorities on characterisation projects and 1 of whom noted their capability to provide expertise to these other authorities.

4.3.67 2 respondents (1 from a NPA, 1 from a specialist team outside the LA structure) said that they sought advice via ALGAO and IHBC networks; 2 respondents (1 county, 1 district) referred to relations with Defra; 2 respondents (joint service, 1 unitary) referred to relations with universities and technical colleges for placements, IT requirements or consultancy; 3 respondents (1 unitary, 1 county, 1 city authority) referred to work with specialist private contracts or consultants for placements, specialist projects or architectural services; 1 district conservation officer referred to relations with the Regional Government Office. 2 other respondents at unitary authorities in particular referred not only to EH, other LAs, and the

community, but a list of others they worked with: 1 listed a local Farming and Wildlife Advisory group, an AONB team, and English Nature; another English Nature, the National Trust, Woodland Trust, and the Forestry Commission.

4.3.68 Beyond EH, the other body referred to as a notable source of external funding was the HLF, mentioned by 5 respondents - 2 archaeologists (1 at a unitary, 1 at district level), and 3 conservation officers (1 unitary, 1 district, 1 city authority).

***10 What influences, skills and information do you use to help in the decision-making process and delivery?***

4.3.69 In response to this question, interviewees tended to focus on:

- their own or their teams professional knowledge, experience and skills;
- negotiating and networking as a means of influencing
- the particular sources of information/data sets that they value and means of storing such data.

4.3.70 2 respondents (1 from a district, 1 from a joint service) emphasised the importance of suitable post-graduate qualifications and training and 1 county respondent, the importance of accreditation with the relevant professional bodies. Many more - 9 respondents, archaeologists and conservation specialists from a range of authority types - felt that their own professional knowledge and experience on the job was important; 3 of these respondents also added that local knowledge was key to decision making, and 3 further respondents also highlighted local knowledge as of particular significance. 5 respondents (2 metropolitan authorities, 1 county, 2 unitary) felt that the breadth of their teams' knowledge was a real strength; 3 of these individuals came from multidisciplinary HES teams combining archaeologists and conservation specialists; 1 a team of conservation, design, social and economic expertise, and the other a team with a range of archaeological and information systems expertise. There were other specific personal qualities or professional skills identified. For example one response identified passion and another, project management skills as helping to influence and deliver.

4.3.71 Beyond their own skills and expertise, many respondents identified negotiation, people skills and political influencing as key to successful delivery. 13 respondents pointed to the ability to negotiate with, convince, and have positive relationships with, owners, developers, and the public in general: 4 of these respondents were archaeologists, and 9 of them conservation specialists. It seems that the work of the latter involves them much more regularly in intricate negotiation with the public. 3 out of the 4 respondents who emphasised the importance of political influence within LAs, particularly at member level, to aid delivery of objectives, were archaeologists at county or NP authorities (the other, a conservation specialist from the private sector).

4.3.72 Several responses also indicated that information and skills shared across the sector play a part in decision making and in aiding delivery. 2 district respondents (1

archaeologist, 1 conservation officer) generally noted that 'networking' and making use of contacts played a significant role in their approach to decision making and delivery. 4 respondents (1 county, 1 NPA, and 2 unitary archaeologists) indicated that contact with the professional world and their peers via ALGAO, the IFA, HELM, and awareness of new archaeological initiatives elsewhere was important. 4 respondents (1 metropolitan authority, 2 district, 1 NPA) identified EH as a source of influence, skills or guidance and a further 3 respondents (1 county, 1 city authority, 1 unitary) emphasised reference to national guidance and legislation. One response included reference to consultation with the County, another to consultation of amenity societies, another to consultation with conservation colleagues, and another to the use of private consultants as sources of information and skills that aided delivery of HE outcomes.

4.3.73 3 out of the 4 respondents who mention the use of photographs as a source of information and means of influencing were conservation officers. 11 respondents (2 NPA, 1 county, 2 city authorities, 4 unitary, 1 district, 1 specialist team outside the LA structure) picked out the HER (or SMR) as a key source of information in the process of decision making, 9 of whom were archaeologists, while the three respondents who specifically noted that they had problems with access to a HER/SMR (due to incompatible technologies in at least one case) were conservation specialists. 6 archaeologist respondents (4 County, 1 city authority, 1 NPA) indicated the importance of impact assessment/desk-based assessment in the process of decision making, 2 county archaeologists referred to the importance of Regional Research frameworks, 2 archaeologists referred to HLC and 1 to landscape survey in general, and another archaeologist noted that they valued access to museum resources.

4.3.74 There are equal numbers of archaeologists and conservation specialists amongst the 8 respondents who had concerns regarding the importance of recording decisions properly and of the 2 respondents who talked positively about the role of GIS in their work, 1 was a district conservation officer and the other a NPA archaeologist. But the 4 respondents who expressed concern about the kinds of database/information systems in place (either the lack of them, or the user-friendliness of them) were made by conservation officers (2 metropolitan authorities, 1 Unitary, 1 district).

### ***11 What works well? Do you have some good examples?***

4.3.75 Many of the responses to this question focused on positive working relationships and partnership both within the local authority and beyond it. Others identified specific schemes or activities that worked well.

4.3.76 The respondent from Dudley MBC noted the value of working as part of an interdisciplinary team that includes conservation and archaeology specialists; another respondent from Liverpool City Council discussed how the Virtual Heritage Team, which cuts across a range of themes and bring together the work of a cross-section

of LA teams, works well. The respondent from West Sussex County Council also noted the value of being flexible and working with other disciplines and gave an example of a climate change project where they were working closely with ecology colleagues. 4 respondents (3 conservation specialist, 1 archaeologist) mentioned the importance and success of heritage work focused on regeneration (e.g. initiated by CAPS and HERS), which works well and stimulates local confidence. 5 respondents (4 conservation specialists, 1 archaeologist) commented on positive working relations with, or the value of being a part of or being respected by the Development Control team. Another conservation specialist highlighted that working with Building Control colleagues was important and worked well. 2 respondents from the two NPA case studies indicated that the whole purpose and ethos of the NPA, and staff commitment and dedication to it, ensured that things working well for the HE teams there. The respondent from Newcastle City Council noted the value of scrutiny by an external Conservation Advisory Committee to ensure that things within the LA were working well. The respondent from S. Cambridgeshire District Council also felt that the Conservation Advisory Committee worked well there.

4.3.77 17 respondents talked about a range of positive relations and partnership projects beyond the LA itself. County archaeologists from Cheshire and Essex felt that SLAs worked well. In terms of relations with the community, 4 archaeologists (1 Unitary, 1 District, 1 joint service, 1 NPA) pointed to the success of community excavations, community heritage projects, or HER projects, and another 3 respondents (2 county archaeologists, 1 district conservation officer) generally highlighted the importance of community engagement, through outreach and education programmes. 3 respondents (2 conservation officers, 1 archaeologist) emphasised the importance of good relations with private owners. The county respondent from Worcestershire noted the value of building up trust of, and good relations with, developers; another gave an example of where good relations with MAFF and the cabinet office helped them resolve issues regarding an excavation at the time of the foot-and-mouth crisis; the respondent from Herefordshire Unitary gave an example of working with private owners and the Woodland Trust on a large hill fort project and the county respondent from Cornwall highlighted multi-funded projects as one of the things that worked best in their area. The Mid-Sussex district conservation officer noted that characterisation/EUS projects in association with the County Council and EH worked well, another pointed out the success of work in partnership with the HLF; the conservation specialist at Birmingham City Council highlighted close working relations with the local Conservation Trust.

4.3.78 A number of particular examples of what works well were provided. 3 respondents (1 county, 1 NPA, 1 city authority) felt that their monument management was working well; 2 county respondents particularly valued the role that their HER had to play in supporting a range of HE services and outcomes. Other individual responses highlighted the success of their publications; the value of Article 4 in securing outcomes; the satisfaction of finding good solutions to difficult negotiations and satisfactory new uses for BAR; the success of a local list in generating local

interest and influencing council; contributions to e-government; the value of landscape character appraisals.

## **12 What do you know of the Heritage Protection Review and the proposals?**

4.3.79 All 35 respondents felt that they understood the broad principles of HPR, with comments ranging from those who said they had a reasonable basic understanding to those who felt they were fully aware. The detail provided tended to be about where or how they had gained this awareness of the proposals, rather than focusing on the proposals themselves.

4.3.80 13 respondents attended EH Regional HPR Seminars, 4 of whom found these informative and useful (3 out of the 4 respondents who returned email questionnaires had also attended EH Regional HPR seminars). 1 respondent mentioned that they had sat on an early EH Listed Buildings panel, another that their background in EH helped them to put HPR into context; 1 said that EH pilot projects had helped to inform them and another that they are currently sitting on working groups regarding HPR.

4.3.81 4 respondents said that they had been following progress on developments since the *Power of Place* (English Heritage, December 2000) and 3 others reported that they were in turn briefing their own managers and others within their authority about HPR.

4.3.82 Although the question asked for knowledge of, rather than opinions about, HPR, some respondents gave brief views. 1 said they regarded it as politically important; another said they sympathised with the rationale and thought the proposals sensible and workable for their authority; another said that it was sensible to amalgamate the lists. Others were more cautious – 1 respondent felt that the proposals were excellent, but would wait to see how they were actually put into effect. 1 said that they understood the proposals as far as they go, but were under the impression that they were rather provisional. 1 felt that briefings and discussions across the sector about the proposals appear to be getting increasingly confused, another felt that the language of the proposals was inaccessible and another that the written material from DCMS and EH was not as co-ordinated as it should be. 1 respondent also expressed particular concern that Conservation Areas, the use of Article 4 directions, and loopholes regarding demolition are not sufficiently addressed in the proposals.

## **13 Do you feel that proposals for the Heritage Protection Review will improve the stewardship and championing of the historic environment?**

4.3.83 The majority of responses to this question (28) were a qualified or cautious 'yes'. 3 responses were hopeful and positive, 3 respondents said that they were unsure about the proposals and only 1 was suspicious of the value of the proposals in improving stewardship and championing of the historic environment.

4.3.84 Very few had objections to the proposals of HPR, many specified the potential of particular proposals, and nearly all supported the broad principles of streamlining and of making the whole heritage protection regime more transparent. Concerns primarily fell into two categories: a desire for greater clarity on the exact details, processes and implications of implementation, and a concern about how the implementation of these reforms would be resourced.

4.3.85 Respondents tended to talk about the national unified list and the local section together. 9 respondents (5 archaeologists, 3 conservation specialists, 1 both), from a range of authority types, noted that a national unified list would streamline the system, be good in principle, helpful, and logical. 1 felt that this would ensure more informed decision-making, 1 that it would ensure a good overview of the landscape and 1 that it would more closely link significance of assets with approaches to management of them. 5 out of the 9 however felt that they were unclear about how this unified list would unfold and work in practice and how the protection afforded to nationally and locally listed assets would be distinguished. 1 other respondent questioned the necessity of a unified list.

4.3.86 6 respondents (4 conservation specialists, 1 archaeologist, 1 both, representing a county, a district, 2 metropolitan authorities and 2 unitaries) felt that clearer or fuller list descriptions would be an improvement. 1 district conservation officer questioned the value of these longer descriptions; this respondent and 3 others (all conservation officers) questioned exactly how these descriptions would be written and by whom. 1 district conservation officer was concerned about incorrect mapping of data in the process of moving from old to new lists and 2 felt that they would like more information on the exact nature of grading and designations.

4.3.87 1 county respondent particularly said that they looked forward to the opportunity to designate locally. 7 other respondents (4 archaeologists representing 2 counties, a NPA and a city authority; 2 conservation specialists from a city authority and a unitary, and 1 archaeologist/conservation specialist from a metropolitan authority) highlighted the positive role that a local list would have in raising awareness and status of local sites, in protecting the assets that people cherish locally, and in finding support for non-listed buildings. 1 also felt that this might in general raise the profile of conservation areas and perhaps attract resources for appraisals and plans.

4.3.88 As with comments relating to the national list, some respondents felt it was unclear how the local list would be developed and work in practice and some questioned the exact status, value and level of protection of the local list. 6 respondents (5 archaeologists, 1 conservation officer) felt that they needed more detail to understand how the local list would work; 1 of these, a respondent from a city authority, particularly questioned the exact relationship between HERs, local lists and the national list and another, a county respondent from the south of England, wondered if the local list would simply be the under-resourced 'poor relation' of the

unified list. 5 other respondents pointed out that if the development and maintenance of a local list was mandatory, there would be considerable resource implications and another questioned whether or not smaller authorities would be able to cope with a local list. 1 respondent noted that the local list would only really be useful and worth creating, if assets listed on it were given some level of formal protection; another noted that if such protection was given, this would have considerable implications for both planners and owners. 2 respondents stated that for local listing to work, clear standards, criteria and guidance would need to be laid down, so that the ground rules were understood by all.

4.3.89 8 respondents (5 conservation specialists, 3 archaeologists) highlighted the positive aspects of a unified LB and SAM consent regime at local authority level: 2 said it was a good idea, 1 from a city authority said that it was intellectually desirable to unify them, 4 (2 county archaeologist, 1 city authority archaeologist, and 1 unitary conservation specialist) that it would streamline consents; another county archaeologist said that it would streamline consents, bring consistency, transparency and less delay, and allow decisions to be made on a local level.

4.3.90 3 respondents did question how the administration of a unified consent regime at local authority level would be amalgamated and work, who exactly would handle the new work, and whether LAs had the expertise, capacity and resource. However, 6 respondents (4 conservation specialists, 2 archaeologists) indicated that they did not feel that this reform would bring particularly big changes and that the processing of SAM consents could be easily accommodated. 4 respondents (conservation officers) were keen for further change and unification: 1 respondent felt that the reform could have been much more radical, unifying heritage and planning consents; 1 questioned where Parks and Gardens would fit into all of this and 2 others felt that the position and protection of Conservation Areas both in the proposals on listing and consent has been left unaddressed.

4.3.91 5 respondents (4 archaeologists, 1 conservation officer representing a county, a NPA, a unitary, a city authority and a specialist team outside the LA) were concerned about the political implications of devolution of such consent decisions, 3 because they worried that member and executive level may not heed their advice and 2 because these decisions would be competing with other LA priorities.

4.3.92 14 respondents (8 archaeologists, 5 conservation specialists, 1 both) were positive about the role of Heritage Partnership Agreements in improving stewardship of the historic environment. 5 of them did feel that resources would have to be found to be able to implement such agreements and 1 questioned how feasible it was for such agreements to be brokered at LA level, suggesting that EH should lead in the development of such management agreements. 5 respondents (2 archaeologists, 3 conservation specialists representing a county, a district, 2 city authorities, a unitary) were less sure about their value, questioning how widely applicable they were, how

they would fit in to wider designation, or how much they would actually reduce workload.

4.3.93 9 respondents (all but 1 maintaining a HER) referred to the new statutory requirements related to the maintenance of, or access to, a HER, the majority of which were positive. 2 respondents (2 archaeologists at county and NP authorities) felt that where there were statutory requirements, this would make the HER less subject to political control and ensure that it is prioritised at corporate level in the future; a district archaeologist also stressed the importance of statutory protection of the HER to ensure quality stewardship and championing of the HE, as it is vital to the process of their work. Another county archaeologist felt that the proposals related to the HER were good and a unitary conservation specialist that they would attract more resources for development of the HER. This same respondent noted that, prior to the creation of their unitary authority, which now holds its own HER, the SMR had been 'hidden away', particularly from built environment specialists. He felt that HPR will further assist in making HERs more accessible and prominent in this way. 2 respondents pointed out that there might be administrative issues regarding where the HER sits – one in particular said that it might be better for districts to access, rather than maintain a HER, since many would be unable to find the funds to develop and maintain these. However another respondent, working at a metropolitan district council, felt that it would be preferable to bring in the skills to develop their own HER than to buy services from the county.

4.3.94 3 respondents said that they would worry about the reduction of EH involvement with the HE at local authority level and that a national/regional body to refer to was very important to them in providing external objectivity and consistency. A county-based respondent was concerned that devolution could jeopardise the role of the county, which they felt assisted joined up thinking about the management and protection of the HE in the area.

4.3.95 18 respondents expressed concern about how these reforms would be resourced at LA level and 2 of these also said they were concerned about the resourcing of EH. 2 others expressed concern that HPR will bring devolution of duties from EH to LAs, without the additional resources required to make this work. Another respondent commented that, given that smaller authorities were already struggling, the imposition of more duties could have a negative effect on heritage protection; another 2 were concerned that too much emphasis on protection would mean that other proactive activities and rewarding objectives would not be prioritised.

4.3.96 One respondent suggested that an incentive similar to the planning delivery grant would ensure the implementation of HPR proposals between now and 2010. 3 others stated that HES ought to be made statutory to protect and ensure quality stewardship and championing of the HE.

4.3.97 But with regard to the HPR proposals as they stand, most were positive about the aspirations of HPR. In addition to the positive comments made above about specific proposals, several expressed very clearly that the reforms provide an opportunity to raise the profile of the HE and to engage commitment of those at a corporate and member level. 5 respondents applauded the simplicity and transparency that the proposals would bring and 1 the seamless approach it would provide. 7 respondents particularly noted that the proposals would stimulate partnership and integrated team working and 5 highlighted the general ways in which these proposals would raise the profile of the HE within their LAs, and in society more broadly.

4.3.98 1 district conservation officer expressed hope that HPR would force the HE up the agenda within LAs, encourage a review of current resourcing, the development of more HES indicators to address current complacency and to ensure delivery beyond the need to fulfil statutory requirements, and stimulate a strategic top-down approach to community engagement and management of the HE. Another district conservation officer echoed this sentiment, stressing that for the proposals to improve stewardship and championing, they needed to be pushed at a corporate and member level. A district archaeologist also stressed that incentives or targets need to be set at a corporate level to ensure that these proposals are implemented successfully.

***14 Do you feel that any re-organisation, skills enhancement or other service structures will be needed to implement the HPR proposals? If so, how might these best be engineered?***

4.3.99 Across the range of current models of delivery of HE services, there were very few respondents who felt that significant structural changes are necessary to ensure the implementation of HPR. Most of those within integrated teams or joint services at NPAs, metropolitan, county, unitary and district authorities were broadly happy with the current structure. Those working in districts or metropolitan authorities where the focus is currently on conservation, with archaeology services supplied by a county or similar centralised specialist team, wished, and felt they would be able, to continue to do work within the current structure.

4.3.100 There were varying opinions regarding the working relationships between counties and districts in two-tier systems. Increased use of SLAs and sub-regional pooling of resources at County level was advocated by a couple of respondents, but this was clearly not the only view of how services can be successfully delivered within a two-tier context, and beyond.

4.3.101 1 county respondent felt that the current set up, where there is a large team in place at county level and the majority of HE services in the county provided by it via SLAs, was the right one to deliver HPR. Another county respondent was clearly keen to follow this model and to focus a sub-regional grouping of services at county level. However, another 2 county representatives advocated a less dramatic use of

SLAs, stating that working relationships would certainly have to be improved between County and Districts, and that SLAs would probably need to be further developed, if HPR was to be successfully implemented. A further county representative felt that there was no particular need for structural change, in terms of bringing everyone together, but rather that working relationships and communication needed to be worked on. Another 1 was clearly considering the permutations of structural change, but had no particular interest in pooling people together and was more concerned that, in partnership, the authorities in the area should provide good services. Yet another county respondent focused more on how the integrated team at county level was working well and did not express any particular opinion regarding relations with the districts.

4.3.102 1 district conservation officer felt that a sub-regional panel of experts could be an acceptable alternative to relations with the County. 2 others did not discuss any kind of restructuring or alternative arrangements to the current set-up. A further 2 firmly rejected sub-regional resource pooling and restructuring into county-sized teams to ensure delivery of HPR was clearly not their preference.

4.3.103 The other set of respondents who did suggest that structural change or a change in working relations might be necessary to facilitate HPR (or perhaps rather that HPR might help to facilitate such change) were archaeologists currently based in museum services. 4 such respondents (3 unitary, 1 district) felt that closer working relations, physical collocation and/or structural change would improve the delivery of HES' in their authorities. 1 had recently experienced structural change which was aiding this and another noted that they were working informally to promote such interactions and possible structural change in the future. 2 such respondents to the email questionnaire discussed the possibility of such structural change, but were concerned that any such developments should still acknowledge the different cultural influences and skills of archaeologists and conservation specialists.

4.3.104 Many respondents were content with current professional communications and felt that capitalising on and developing these interpersonal relations was as important as any structural change. Other comments tended to focus on the additional skills or resources that might be required to implement HPR proposals.

4.3.105 12 respondents believed there would be a need for additional resources, 20 that some kind of skills enhancement would be required, and 5 respondents felt that clear guidance, national criteria and standards need to be provided. Reflecting comments made in answer to previous questions, 1 respondent was concerned that any change to the role of EH might remove a consistent and quality source of guidance and specialist skills.

4.3.106 In particular 11 respondents, both archaeologists and conservation specialists, across the range of authorities, noted that development of IT skills would have to be a top priority (and 8 of them specifically discussed capacity and

development of GIS) if a seamless information structure was to be provided, if interoperability between GIS and HERs, and sharing of information, across departments was to be reached.

4.3.107 6 respondents (3 archaeologists, 2 conservation specialists, 1 both, representing 1 metropolitan authority, 1 county, 1 unitary, 1 district) specifically stated that they did not envisage the handling of SMCs posing any particular problems for their authority. But 7 respondents (4 conservation specialists, 3 archaeologists, representing 1 NPA, 1 city authority, 1 joint service, 4 districts) felt that their authorities or the districts they provided services to, would probably need extra archaeological skills training/staff/advice in order to be able to handle SMCs. Similarly 5 respondents (4 archaeologists representing a county, a district, a NPA and a joint service, and 1 NPA conservation specialist) felt that considerable training would be required if LA HE professionals were going to be able to manage Heritage Partnership Agreements, and 3 (1 archaeologist from a unitary, 2 district conservation officers) expressed a need for realism regarding the amount of time and resources that would be needed to set up and managing such agreements.

4.3.108 8 respondents (5 archaeologists – 2 unitary, 2 county, 1 district – and 2 conservation specialists, 1 both, all 3 from metropolitan authorities) noted that considerable time and effort would have to go into bringing HERs up to standard, and to ensure accessibility and compatibility. 6 respondents were particularly concerned about who would write up list descriptions, about the time and resources that this would take and if all the skills to do so were available in-house. 1 respondent also noted that the forward planning and strategic thought required to manage implementation would require time, resources and skill in itself.

4.3.109 While many respondents stated firmly that resources and capacity need to be addressed, it is clear that most did not consider the skills gaps insurmountable and that, with enough time and resources, their staff would be able to adapt and bring about the changes required by the HPR proposals. For example, one respondent noted that the HPR proposals on their own were not that onerous, but that it was in conjunction with existing demands and duties that they would prove a challenge. Others felt that none of the proposals were 'rocket science' or 'beyond the wit of man'.

4.3.110 A scattering of acute comments, reflected previous answers. 1 respondent from a unitary authority stressed that those setting the national agenda need to promote incentives or targets at an executive and member level in order to ensure that HPR happens. 2 other respondents (1 from a county, 1 a NPA) highlighted that skills enhancement was not just about capacity building, but also about ability to promote and sell the benefit of heritage, which would in turn facilitate the implementation of HPR. They emphasised that training in advocacy, negotiating, team-working and marketing skills would be needed. 1 of these respondents in particular stressed that these skills need to be employed to raise consciousness

amongst officers and Members and to sell the benefits of the HE in conservation management decisions, not only because it is advantageous for the HES, but because it assists with the delivery of other cross-cutting agenda.

***15: Which of the current HES activities will cease post-HPR implementation and which will continue?***

4.3.111 22 out of the 35 HES professional respondents said that they did not envisage any duties ceasing. Responses were all relatively brief, but some expanded their comments a little: for example 1 commented that there would simply be more to do, another that the same things would go on perhaps via different people or arrangements, another that they did not really think HPR would make a big difference to the kinds of duties that they carry out, and another that there would be some rationalisation of their work. 1 respondent indicated that the cessation or continuation of the duties they currently carry out depended more on other possible authority restructuring, than on the consequences of HPR.

4.3.112 5 respondents did note that, if there were no new national resources to accompany new work associated with HPR, current priorities would have to be reviewed and resources reallocated. Given that statutory duties must continue, 4 respondents (2 county, 1 unitary, 1 district – all archaeologists, 2 based in museums, 1 based in a Community & Learning department, 1 in Environmental Planning) felt that it would be outreach and learning activities that might suffer as a result of such a review and reallocation, while 2 respondents (1 unitary, 1 specialist team outside the LA structure) felt that strategic planning and project work might have to be cut back.

***16 What new duties will arise with HPR implementation and how might it improve delivery?***

4.3.113 2 respondents said they were not sure what new duties would be devolved to them; another felt that, while there may be potential improvements, it was currently too soon to say much more; another felt that there would be no real difference in the system and its objectives as a result of implementing HPR proposals. 1 noted that there would generally be higher levels of activity and an increased workload in the run-up to 2010, and 5 (1 county, 2 district, 1 unitary, 1 joint service) specifically expressed concern about or questioned what resources will be available to deal with this.

4.3.114 However, the majority of respondents were able to discuss the new duties that they thought they would need to take on and how they would do this. They were mostly positive about the ways in which the proposals could improve delivery. Comments covered work related to all four key areas of potential change for local authority HE services – work on the HER, Heritage Partnership agreements, SM consents, and on the local list.

4.3.115 13 respondents, conservation specialists and archaeologists in equal numbers (1 NPA, 2 county, 1 specialist team outside the LA structure, 3 city

authorities, 4 unitary, 2 district) specifically discussed Heritage Partnership Agreements. 4 commented on these as an added responsibility or burden, while 2 other felt that they would have very little impact or application in their area. 1 saw them as a positive opportunity to promote the skills of their countryside officer to others who did not have experience of such agreements. 6 others commented positively on the potential of these management agreements: 3 particularly viewed them as an opportunity for positive, proactive interaction with owners (as opposed to always appearing as regulators), although 1 questioned how easy it would be to enforce them; 1 district conservation officer felt that these agreements would only be a success if they were given priority by senior level officers and if business management input was secured.

4.3.116 16 respondents (9 archaeologists, 7 conservation specialists - 4 representing counties, 4 districts, 1 a NPA, 4 Unitary authorities, 2 city authorities and 1 a specialist team outside the LA structure) discussed the implications of implementing SM consents as part of a new unified consent regime. Half of them simply recognised that it would be a new duty and only 1 district conservation officer mentioned a need for extra resources to deal with these. 2 (1 NPA, 1 county) felt that the proposals would speed up and improve the consents regime, 2 county respondents looked forward to taking on this kind of work and providing advice to others, and another 2 (a city authority and a district) noted that implementation of this reform would not bring any significant problems or changes. 1 respondent (a unitary authority archaeologist) noted that handling such consents would provide a welcome opportunity for greater contact with members (through reports to committee, advice and training), since at present such contact is minimal.

4.3.117 14 respondents (9 conservation specialists and 4 archaeologists, 4 representing unitary authorities, 1 private sector specialist team, 2 city authorities, 2 counties and 4 districts) discussed the possible new duties that development of a local list would bring. Again, 8 simply mentioned this as new work or said they were uncertain as to exactly what development of it would entail for them; 2 noted concern about how labour intensive and resource demanding this work could be, while another stressed that it would be best to do this work in one intensive burst, rather than to draw it out over a long period of time. 3 respondents felt that this would improve delivery, and noted how valuable this list would be in affording more protection to locally valued assets. 1 of them however expressed a wish that this protection would ensure that demolition was prohibited.

4.3.118 Concern regarding the position of Conservation Areas in relation to such local listing and HPR in general was raised by 3 conservation officers, a concern that appeared in responses to other questions. While 1 felt that the implementation of HPR would provide the opportunity to carry out more appraisals, 2 felt that there was uncertainty about where and how Conservation Areas fitted into the proposals. 1 particularly felt that only if there was some dovetailing of HPR with other agenda (including regeneration), and inclusion of Conservation Areas in reorganisation of

designations, will HPR result in effective streamlining of heritage protection. Similarly, 1 of the district respondents to the email questionnaire felt that there should be careful consideration of the relationship between HPR, the LDF process and future revised PPS for the HE if HPR was to result in effective delivery.

4.3.119 15 respondents noted new duties and improvements in delivery that would arise in relation to work on the HER. With regard to improvements in delivery, 8 respondents (5 archaeologists and 3 conservation specialists representing 3 counties, 1 unitary, 2 districts, 1 city authority and 1 specialist team outside the LA structure) generally commented that raising the standards of the HER was important. 3 other respondents (1 archaeologist, 2 conservation specialists representing a county, a district and the private sector) specified that this would improve the quality of information and record keeping and ensure better informed decisions being made across the HE sector. 2 respondents felt that this work would increase accessibility and ensure more regular and even delivery of information for all.

4.3.120 In terms of the new duties associated with this, 2 respondents (conservation specialists from a city authority and a unitary) believed a great deal of effort would be required to enhance HER and 1 of them felt that the IT requirements would be a real challenge. Another respondent hoped that they might be able to attract more resources to carry out the required work on the HER. 3 county archaeologists said that new duties would potentially include work on historic buildings for inclusion in the HERs. 1 district conservation officer hoped that such work might stimulate integrated working between historic buildings and archaeology specialists and 1 NPA archaeologist felt that the new HER was the best to ensure truly integrated working across the NPA.

4.3.121 A number of broader comments were made, reflecting these sentiments, that the implementation of HPR would improve delivery through stimulation of integrated working. 1 further respondent (MBC archaeologist/CO) felt that HPR would ensure that the HE is dealt with in its totality and 3 conservation officers (2 district, 1 private sector) discussed the ways in which HPR would encourage partnership working and joined up thinking.

4.3.122 The thrust of the answers of three different county respondents clearly indicated that they saw such integrated working, in the course of implementation of HPR proposals, as an opportunity for their teams to provide further services and skills to districts which may not be equipped to broker HPAs, maintain HERs or to process SM consents.

4.3.123 Other comments indicated that it was not just relationships within the HE sector that would improve with the implementation of HPR. 1 district conservation officer pointed out that it would increase liaison with Defra and natural environment colleagues. While 1 respondent felt that the average member of the public would probably not notice any difference with the implementation of HPR, others highlighted

improved accessibility, relations with the public and the emphasis on the local community. 2 respondents noted that the local emphasis of HPR was very important and that this would encourage a sense of local ownership and contribute to the social inclusion agenda. Another 2 respondents felt that implementation of HPR would stimulate greater public expectations of what HES can provide, and another that it would ensure a greater customer focus.

#### ***17 How will relationships with others differ following HPR implementation?***

4.3.124 Responses to this question primarily focused on relationships within the LA, relationships between LAs, relationships with the public, and relationships with English Heritage. Only 6 respondents felt that there would be no significant change to existing relationships. There was a generally positive sense that HPR would promote more working together between archaeologists and conservation specialists and provide the opportunity for new working relationships between different teams within and across local authority tiers. Some concerns were voiced in relation to the implications for those currently working in a two-tier context and in relation to the future of English Heritage.

4.3.125 15 respondents (7 archaeologists, 7 conservation specialists, 1 both; 1 representing a NPA, 3 counties, 4 districts, 2 metropolitan authorities, and 5 unitaries) discussed possible changes that would raise the profile of HES and promote better working relationships across their authority. 7 generally felt that HPR would stimulate closer working relations with others, cross team working and a holistic approach to the HE within the LA. 6 (4 conservation officers and 2 archaeologists - 3 representing districts, 1 a county and 2 unitary authorities) discussed relationships with planning and development control. 2 conservation officers were very keen that this relationship should not be weakened as a consequence of HPR. Another 2 thought HPR might raise HES profile, strengthen their relationship with planning, and improve their position within the balance of this relationship; 1 archaeologist felt that archaeology was currently more remote from planning than conservation, but that HPR might change this; another (from a unitary authority) hoped that HPR might stimulate a desired change, whereby there would be a 'Heritage' leader situated in planning who could deal with all heritage issues in that context.

4.3.126 3 additional responses focused on the ways in which archaeology and conservation might work better together within their authority or within LAs in general, and they echo the comments noted above. 2 of these respondents (1 conservation specialist, and 1 archaeologist from a unitary authority) felt that HPR would stimulate more working together between archaeology and conservation within their authority and preferred that this should happen within a planning department, although they currently worked in different departments. The third respondent, from a metropolitan authority, developed the idea of a 'Heritage' officer suggesting that, as HPR evolves and archaeologists and conservation specialists increasingly work together, the next generation of HE professionals within LAs ought to be just that: HE professionals

who can deal with all the heritage issues that come up on one site rather than requiring a range of specialists to do so.

4.3.127 An awareness of how HPR might alter relations with corporate and member level of the LA was also apparent. 2 interviewees (1 county archaeologist, 1 representative of a joint service) were concerned that with the devolution of SM consents to LA level, members may unduly influence decisions or that districts may not feel compelled to take their advice. By contrast 2 other respondents (both archaeologists, 1 county, 1 unitary) felt that HPR would improve relations with members, since there would be more interaction with them and more decisions being made at LA level. Another respondent, a conservation officer from a MBC, similarly felt that HPR would result in a clearer understanding at Chief Executive level of LA obligations in relation to stewardship of the HE, and result in these obligations being given more attention.

4.3.128 Discussion of how HPR would alter relationships between authorities primarily appeared in the responses of those working in a two tier context, or a context where HE outcomes were delivered by more than one body. 1 respondent from a specialist service providing services to LAs hoped that HPR would give their team a greater role in provision of HE services in the area. 2 further respondents, who functioned in a similar context, where archaeological services are provided by one authority or by a specialist team outside the LA structure, felt that development of the HER would inevitably increase links and relations between the central team and the authorities to which they provide such information.

4.3.129 9 respondents (5 county archaeologists, 3 district conservation officers and 1 private sector respondent) working within a 2 tier set-up discussed the implication of HPR for this model of delivery and it does appear that it is in this context that there is most contention about the impact of HPR. 7 of these respondents (5 county archaeologists, 1 district conservation officer, and 1 private sector respondent) clearly felt that HPR would increase links between counties and districts and that better working relationships between them were a good thing, that would ensure positive outcomes for the HE. However, views on the form that these closer relations should take varied, echoing the discussions in question 14 regarding restructuring. 1 county respondent felt that sub-regional pooling of resources was the most obvious vehicle through which to deliver HPR; another was concerned that SLAs should be updated to ensure that implementation of HPR and aspiration for local control should not unravel the current arrangement, by which the county provides services to other authorities. 2 other county respondents were much less proscriptive, and simply emphasised that closer working relations and partnership would have to develop. District conservation officers were equally enthusiastic about improving working relations between conservation and archaeology, and between tiers, but were not all convinced that working in a sub-regional resource pool was in the best result for the HE. 1 felt unclear as to how relations with the county would turn out and thought it possible that they may have to build up some in-house capacity and to consult with

other bodies. Another also referred to the need to build up skills gaps within their authority to ensure that they were, for example, equipped to deal with archaeological issues.

4.3.130 8 respondents (5 conservation officers and 3 archaeologists, 2 representing NPAs, 2 city authorities, 1 a unitary, 2 districts, and 1 a private sector body) discussed relations with the public, and owners in particular, post-HPR. 2 thought that HPR would improve relations with the public in general and 1 that it would raise public expectations of the HES. 3 felt that HPAs would improve relations for the better; 1 that better list descriptions would improve and simplify discussions with owners; 1 that HPR would allow HES to provide a speedier response to public inquires and applications, improving local communications.

4.3.131 10 respondents, equal numbers of archaeologists and conservation officers (1 NPA, 3 county, 1 district, 4 metropolitan authorities, 1 unitary) commented on relations with EH post-HPR. 2 stated that they would not want the current relationship with EH to change, while 1 felt that links were bound to be less strong. 3 expressed concerns that EH will pull back from the local context, leaving LAs to police consents and other decisions without an accessible national body to support them; 2 others said it was vital that EH retain a key role as an external monitor, in setting standards, acting as a disinterested third part and providing strength for the sector in unity with the national body. By contrast, another respondent questioned whether the national level trusted LAs to implement HPR. Finally, 1 respondent felt that relations with EH would be better as a result of HPR: roles would be more clearly defined, with EH designating and LAs dealing with consent.

#### ***18: What new opportunities will arise with HPR?***

4.3.132 A broad range of responses indicated that interviewees see implementation of HPR as a genuine opportunity to rethink delivery, to streamline, simplify and make transparent the heritage protection system, to make the HE more accessible to all and to raise its profile. Only 1 respondent felt that they did not see any new opportunities with HPR. But, another did feel that it would be a marginal development rather than a breakthrough and another that its focus on minutiae, rather than the broader perspective, could lead to officers being pigeonholed into carrying out their statutory duties only.

4.3.133 However, 3 respondents commented generally that this was an opportunity to rethink delivery of services; 4 that it would streamline and simplify heritage protection and management; 2 that it would ensure a holistic approach to the HE and another 4 that it would encourage joined up thinking and closer working together of historic buildings and archaeology specialists.

4.3.134 3 (2 archaeologists from a county and a district and 1 conservation officer from the private sector) felt that HPR would generally improve protection of the HE and 4 (3 conservation officers and 1 archaeologist from a unitary, a city authority, a

private sector body and a NPA) that the development of a local list would particularly increase appreciation, understanding and protection of the HE. 7 respondents (5 archaeologists, 2 conservation/historic buildings experts, 3 representing counties, 3 NPAs, 1 district) felt that HPAs, if used imaginatively and properly resourced, had great potential for ensuring smooth decision-making and management of the HE; 1 of these felt that such management agreements would particularly generate opportunities for their countryside advisor.

4.3.135 5 respondents (all archaeologists, 2 representing counties, 1 NPA, 1 unitary and 1 from a joint service) felt that HPR was particularly important in driving forward reform of HERs, which would ensure access to better data; 1 said that this would place the HER not only at the heart of the planning process, but of heritage management as a whole. 5 other respondents (3 district conservation officers, 1 unitary conservation officer and 1 county archaeologist) said that HPR would bring improved data recording and data/GIS systems more generally, which would ensure better quality information and decisions with regard to the HE. All this would create a smoother path when it comes to development proposals, according to 1 respondent, and 3 respondents (2 county archaeologists, 1 metropolitan authority archaeologist/conservation officer) emphasised how this kind of quality data will allow the HE to play a key role in LDFs and a whole new generation of planning.

4.3.136 5 respondents, 4 of whom were archaeologists based at county or who headed up a service provide HE service to other LAs (the other was a district conservation officer), clearly saw HPR as an opportunity for sub-regional resource pooling (or felt that this was the most suitable model through which to implement it). 2 stated that this could provide the critical mass that they felt was key to ensuring the implementation of HPR; another said that a sub-regional set up was close enough to the ground while at the same time being able to provide the necessary specialist advice. Another felt that the diversity and opportunities that a sub-regional resource pool could offer would increase job satisfaction and encourage retention of good staff. However, yet another respondent (based at a Unitary) felt that, if HPR ensured that the profile of HES' was raised within LAs, the new skills and career progression that would open up, could encourage staff retention and motivation. HPR may open up opportunities and career progression for HE professionals within a number of different models of delivery.

4.3.137 Responses highlighted opportunities for raising awareness in relation to two key groups, council members and the public. 8 respondents (5 conservation officers and 3 archaeologists) felt that the increased transparency, simplicity and streamlining was not just important for the work of HE professionals themselves, but in making the HE and information about it accessible to the public and to owners. 4 respondents (3 archaeologists, 1 both archaeologist and conservation officer, representing a county, a district, a metropolitan authority and unitary) particularly stressed the local aspect of HPR. One of the key aspirations of these respondents was to take this opportunity to promote local democracy, to reconnect the local community with their heritage,

and to ensure that the HE is viewed as a key quality of life issue. 1 district conservation officer felt that the success of HPR was very much dependent on how it was sold at a national level to the public.

4.3.138 6 respondents (3 conservation officers and 3 archaeologists, 1 representing a county, 3 districts and 2 unitaries) particularly expressed the hope that HPR and a measure of statutory recognition would raise awareness of and respect for the value of the HE amongst the policy makers and members at LA level. 1 of these respondents indicated that there need to be a strategic rethink about the value of the HE higher up the agenda in LAs; 4 respondents very clearly stated that this would only be achieved if a clear statement of LA obligations was made at national level and a clear programme set for progression now.

#### **4.4 Parallel Disciplines**

4.4.1 17 respondents were interviewed. 13 were senior planners or urban designers – 2 working at county authorities, 3 at districts, 3 at MBCs, 3 at Unitary authorities and 1 at a NPA. Of the 4 remaining respondents, 1 was a Countryside and Economy Team Manager from a NPA and 3 were county-based natural environment specialists – 1 ecologist, 1 Countryside Manager and 1 Environmental Team leader.

##### ***1 What is special about the heritage of your (case-study) area or the way in which it needs to be managed?***

4.4.2 The responses to this question are not reported on here, as discussed in Section 3 above

##### ***2 How and when do you call on the HES for advice and assistance? What skills and perspective do HES providers bring to a project?***

4.4.3 Many respondents spoke of the close working relationships with the HES in their authority. Individuals from Hertfordshire, Dudley, the Peak District, Nottingham, West Berkshire and Sefton emphasised the fact that historic environment specialists were integral members of a multi-disciplinary or whole service team. Most of these respondents however, were referring to the inclusion of conservation specialists rather than archaeologists.

4.4.4 Individuals from 3 case study areas, Cornwall, Essex and W Berks stated that the HES influenced or contributed to the development of local policies or strategic documents. The respondents from Cornwall and W Yorkshire also mentioned that they brought in the HES for assistance and advice with regard to large-scale regeneration and multi-funded capital projects. In Macclesfield the HES was enlisted to improve the standard of design of public realm and building schemes and this included the development of design briefs. However, for most respondents, the principal occasion on which HES were called upon was in relation to planning

applications, including pre-application advice and enforcement, with 1 also mentioning that the HES also provided advice to parallel disciplines on the application of guidance. 1 respondent, from Sefton, also mentioned the role of the HES in countryside stewardship schemes implementation.

4.4.5 3 respondents, from W Yorkshire, Macclesfield and Nottingham, also saw their HES as an important portal to other means of support to the historic environment, particularly to English Heritage but also to private consultants.

4.4.6 2 respondents looked to their HES for their softer skills during discussions with owners. The individual from Stoke on Trent called on their conservation specialist for their assistance in negotiations with owners. For a respondent from Cambridgeshire, archaeologists were sometimes brought in to explain to applicants or owners the significance of archaeological features or issues.

4.4.7 Most respondents said that HES was highly valued in their authority. For Cornwall the good working relationships between the disciplines was highlighted and Hertfordshire, Newcastle and W Sussex valued the availability of the service in-house. 5 interviewees, from Macclesfield, Essex, Cornwall, Newcastle and W Sussex all described the expertise, professional integrity and local knowledge of the HES and a planning colleague from Essex cited how the HES raised the profile and reputation of the County Council. A number of respondents approved of some of the methods and approaches that HES used in their work. 3 interviewees valued the HES for the different perspective that they brought. For respondents from Cornwall, Essex and Nottingham, the approaches and outcomes with regard to assessment of historic environment issues and mitigation was valued, with individuals from Cornwall and Newcastle highlighting how the HES was able to get the best from the historic environment without obstructing planning or other proposals. The HES of Essex County Council was also valued for the clarity of their explanations and rationale when making recommendations and the individual from Macclesfield admired how the conservation specialist undertook training and awareness raising for Members and how the authority was positive about the historic environment as a result.

### ***3 Is there a difference in the way in which archaeological and historic buildings advice is delivered?***

4.4.8 A number of respondents began by explaining that the two disciplines of archaeology and historic building conservation were in different departments, locations or even organisations. Unsurprisingly, those from two tier authorities related how archaeological advice tended to be delivered from county level and conservation delivered at district level. For the respondents from Cambridgeshire and Cornwall, an integrated service would be preferred. Of the two single tier authority respondents who reported that the two specialisms were delivered from different departments, one regarded this as a disadvantage in terms of liaison but for the respondent from Stoke on Trent, this did not prevent the advice being delivered as a single package. 2 other respondents, however, 1 from a single tier authority and 1 from a 2 tier arrangement,

reported that they were not familiar with how one of the HE disciplines was delivered in their area. For one of these, from a single tier authority, there was too little understanding of what his archaeological colleagues 'were up to'. In particular, he complained that it would be helpful to be more involved in some of their initiatives, such as historic landscape characterisation.

4.4.9 In terms of any differences in the way in which the two disciplines work, 4 respondents (1 from a 2 tier authority, 3 from single tier) reported that there seemed to be no significant difference in the principles and practices. 2 other authorities, however, (1 from a district and 1 from a unitary authority), observed that archaeologists tended to be more hands-off in the delivery of their service, providing precautionary advice rather than getting involved and 1 respondent mentioned that the archaeological specialists remained preoccupied with mitigation issues. A respondent from a national park, in which support to the environment generally is delivered from a multi-disciplinary team, reported that the historic environment team operated 'as a kind of specialist committee'.

***4 What is good about how the HES is delivered and are there any improvements you would like to see?***

4.4.10 For almost all respondents, the first part of their answers related to the good working relationship with their historic environment colleagues and the expertise, commitment, local knowledge and the proactive approach that the HES demonstrated in their work. 2 respondents particularly mentioned that the HES head had been in post for a considerable time. 4 respondents, from Essex, West Yorkshire, the Peak District and Macclesfield were particularly appreciative of the timely responses from the HES and the systems that the HES had developed to enable this. For Macclesfield, this meant that a share of the Planning Delivery Grant was re-invested in the building conservation service. For Dudley, Essex and Stoke on Trent, the capacity to provide comprehensive advice was also particularly valued.

4.4.11 A number of respondents then turned to beneficial outcomes of the HES work and in broad terms, this tended to mirror the challenges or corporate purposes of the authority. Respondents from the urban authorities of Dudley, Newcastle, Nottingham and Sefton all described regeneration or multi-funded schemes which had been either initiated or led by HE specialists. 1 rural authority, the Yorkshire Dales NPA pointed to the importance of HE professionals in the take-up and success of Countryside Stewardship Schemes and the interviewee from Cornwall approved of the county-wide approach and coordination of historic environment issues. For Cornwall, the respondent noted the close inter-relationship between the activities associated with the nomination of a World Heritage Site in the region and the increasing profile of the historic environment service in the county council. Only 1 respondent, from W Berkshire, mentioned outreach to the general public, where, as the HES are located within Cultural Services, archaeologists are involved in educational activities.

4.4.12 There was also some discussion of the way in which the delivery of historic environment services could be improved. The issue most often raised was that of the integration of the historic environment disciplines, with Cambridgeshire, Cornwall, Worcestershire and West Berkshire all expressing dissatisfaction with archaeologists and historic buildings specialists being located in different tiers and the difficulty this led to in terms of achieving a county-wide overview. 1 respondent from a single-tier authority felt that the archaeological service, delivered as a regional based service from another unitary authority, was disjointed and lacking in a local focus, particularly as the service was delivered from a National Museum.

4.4.13 1 respondent from a county authority felt the conservation specialists could usefully follow the archaeologists example and become more involved in public outreach and education. A respondent from a single tier observed that the HES IT and GIS facilities need to be upgraded. Respondents from 4 authorities believed that their HES colleagues were under-resourced.

***5 Do you feel that proposals for the Heritage protection review will improve the stewardship and championing of the historic environment?***

4.4.14 All the respondents were positive about the proposals or HPR but to varying degrees. General favourable comments related to the prospects of increased transparency, ease of use and the prospects for increased public involvement in the management of the historic environment.

4.4.15 8 respondents saw the unified register of assets as an important means of simplifying the designation and application systems. 1 of these also saw it as a means of identifying overall trends in the historic environment resource. For 3 respondents the local lists would be important means of community consultation and as tools of persuasion and 1 saw the local list as a means of countering unsound applications for development or demolition. 5 authorities, Leeds, Newcastle, Nottingham, West Berks and the Peak District, looked forward to the greater local control and democracy, as well as the speeding up of applications offered by the new role for local authorities as 'consent gateways' With regard to HPAs, the individual from Macclesfield District Council saw the proposal as a means of assisting with the management of large estates and with farm diversification. However, for Newcastle City Council and the Peak District the principals of HPA had already been adopted and were in use for a number of sites. Only 2 individuals highlighted the potential of the improvement and statutory footing of HERs. 1 looked forward to seeing historic building information included and another was eager for the HER to be publicly available.

4.4.16 For 3 individuals the proposals were only 'tinkering' or simply an extension of current best practice and of these, 1 felt that 'just having fewer forms would not lead to better outcomes'. However a number of others had more substantial concerns. 2 city authorities complained that the proposals did not add to the protection already in place. 2 other individuals from other authorities were concerned that greater public

involvement in the management of the historic environment, implicit in the development of local lists, might lead to high expectations on the one hand and, without good criteria for inclusion 'NIMBYism' on the other. 2 authorities also believed that greater control at a local level may mean that the protection of the historic resource would be subject to greater political interference, with local authorities acting as both 'poacher and gamekeeper'. 1 individual predicted that this would be compounded by a reduced role for EH and its provision of dispassionate advice.

***6 Do you feel that any re-organisation, skills enhancement or other service structures will be needed in your or any other department, to implement the HPR proposals? If so, how might these be best engineered?***

4.4.17 Respondents from Essex, Newcastle, Cornwall, West Sussex, the Peak District and Dudley believed that all the necessary skills to deliver the new proposals were already available in in-house and Essex, Newcastle, Nottingham, Sefton and saw no need for any re-structuring or departmental re-arrangements.

4.4.18 However for the respondent from Leeds, there was a need for some sort of re-structuring to 'draw the strands together'. Although the respondent from West Berks foresaw the need for reorganisation to bring the historic environment skills closer together, he feared that any pooling of resources at sub-regional level might result in the loss of local knowledge.

4.4.19 In terms of skills, an individual from an urban single tier authority in the west midlands commented that sourcing skills was always a problem and implementation of the HPR proposals would further highlight this. Individuals from 2 authorities, at district and single-tier, recognised that the new LA role as 'consent gateway' and the unified register would mean that archaeological skills would need to be acquired. Both said that they would be likely to 'buy it' from another authority. The individual from the district authority suggested that they may team up with a neighbouring authority to share the costs for this and the development of a separate HER, rather than source these skills and services held at County level, as the general feeling within the authority was that HE outcomes should be delivered at a local level.

4.4.20 A number of authorities highlighted the need for some training and particularly briefing in preparation for HPR. The individual from West Berks, in particular called for members to be briefed. Macclesfield was already in the process of up-grading the conservation skills of the town planners, in order to make the most of the conservation specialist's time.

4.4.21 1 individual, from a unitary authority, was concerned that the skills, expertise, independence and 'clout' of EH should not be lost when the new proposals were implemented.

4.4.22 Respondents from 5 authorities also expressed concern about the resources needed to implement the new proposal. All were single-tier authorities. 2 were

concerned for the effects on the planning service of an over-stretched HES and 1, observed, from his experience of Countryside Stewardship schemes, that the development and management of HPA would be very resource intensive, involving detailed dialogue and negotiation.

***7 Which of your activities will cease post HPR implementation and which will continue?***

4.4.23 Only 1 task, the need submit documentation to DCMS for consent applications was predicted to cease when HPR was implemented.

***8 What new duties will arise with HPR implementation and how might it improve delivery?***

4.4.24 Individuals from 5 authorities saw the development and maintenance of the local register as a new duty. Of these, an individual from a single-tier authority felt that the assets of the local register would be an additional material consideration in the planning process and 1 individual from a National Authority feared that the involvement of the community in the development of the local registers would be time-consuming and burdensome. 4 authorities saw the development and monitoring of HPAs as new duties but 1 individual believed that they would also lead to a reduction in planning or listed building applications. 3 authorities also saw additional tasks arising from the upgrading or increased sharing of HER information. For respondents from Cornwall and West Berks the need for closer working between archaeologists and conservation specialists may also lead to additional work but the individual from a national park looked forward to the need for less copying, collating and general bureaucracy.

4.4.25 Where individuals commented on how these new duties would improve support to the historic environment, they highlighted the streamlining of the planning and consent system.

4.4.26 1 respondent was concerned about the possible lack of support from English Heritage and wondered who would take on the role of setting standards and controlling the implementation of the proposals. Another respondent hoped for a formal implementation programme for the HPR to last approximately 3 years.

***9 What new opportunities will arise with HPR?***

4.4.27 Respondents from 4 authorities saw the potential of the HPR proposals to assist with particular historic environment resources. The individual from Macclesfield looked forward to the opportunity for better management of large country estates and the resource in the countryside generally. For the respondent from Essex County Council, HPR would improve management of local currently undesignated assets. The individual from Nottingham thought that better and more informed owners would lead to better management of historic buildings as well as more complex site. In Sefton, Conservation Areas were likely to benefit.

4.4.28 Individuals from Newcastle and W Berkshire looked forward to greater openness and clarity and Macclesfield and Cambridgeshire expected a faster and simplified heritage consent system. Cambridgeshire, West Berkshire and West Sussex all hoped for greater integration of the disciplines, with West Sussex seeking further alignment with those charged with the management of the natural environment.

4.4.29 Individuals from Stoke on Trent and West Berkshire believed that HPR offered greater opportunities for the involvement of the community and owners in the management of the historic resource.

4.4.30 Finally individuals from 2 authorities, both from single-tier arrangements, looked forward to the opportunities for more local decision-making, particularly with the reduced need to escalate case-work to English Heritage. 1 of these respondents however, also saw that local authorities may also suffer the adverse publicity that sometimes accompanies the regulatory role. In future it would not be possible to 'blame English Heritage'.

4.4.31 1 authority suggested that the implementation of the proposals would benefit from the implementation of a mechanism to encourage take-up, similar to the Planning Delivery Grant.

## **4.5 English Heritage**

### ***1 Could you briefly summarise the principal development or regeneration issues or other challenges facing the case-study area and how do EH and the Historic Environment Forum respond to this?***

4.5.1 The principal regeneration issues in the South West of England relate to Gloucester, Swindon, Plymouth, Cambourne and Redruth. EH have supported this by ensuring that these areas are priorities, without ignoring the rural issues of the region. The prioritisation of effort is based on the principal that it is best to get in early and to choose the 'battles' carefully. EH has become involved in early discussions for major schemes such as the proposals for Western Riverside in Bath, or engaged in round table talks to establish the capacity for change at key historic sites such as the Urban Splash scheme at Royal William Yard in Plymouth. Support to the historic environment is also given at strategic level, which includes input to the Regional Spatial Strategy which is being led by the Regional Assembly. EH assists by highlighting parts of the region which are special, such as Bath, and helping to tailor proposal to the needs of the local scene. Some cross-regional and cross-organisational coordination is achieved by Historic Environment Forum (HEF). EH is currently leading on refining the strategy for the HEF, to ensure that the remit is focussed and that key regional priorities issues are identified and addressed, such as the loss of traditional skills.

4.5.2 The North East is the smallest of the English Heritage Regions but it has one of largest problems of worklessness and low household income. Developing sustainable communities and housing renewal areas are major issues. The region is largely rural but much of the population lives in towns and cities and so there is a danger of too much focus on the urban centres. Despite the very successful arts-led regeneration in areas such as Newcastle, behind the iconic projects, the historic environment is not well looked after, in part as a result of the economic situation. Many local authorities do not appear to regard the historic environment as a priority. The area has a low number of Conservation Officers and County Archaeologists, and few other suppliers of heritage skills and resources. English Heritage's response is to ensure that a role for EH is written into regional and local strategic documents such as LDFs and Local Authority operational plans in order to ensure that higher level policies are translated into delivery plans. The concentration is on influencing the culture of LAs, rather than getting involved in all casework, although the latter is an important means of information gathering. For example recently the EH Commission was taken on a tour to Hartlepool. A range of tasks are undertaken which emphasises EH's influencing role in the region. These include involvement in Conservation Forums, one to one discussions at CEO level in problem areas, support to the Historic Environment Champions network in region, capacity building through funding posts, as well as chairing the Historic Environment Forum and developing its Forward Plan. EH has also commissioned Arup to undertake research on Social and Economic value of Heritage in the region to provide the evidence for the assertion that heritage assists the economy of the region and socio-economic data is used to determine EH priorities in the region. A principal element in support of the Historic Environment is to invest in people, increasing capacity on the ground.

4.5.3 In the West Midlands, the urban centres and industries of Stoke on Trent and the Black Country are continuing to decline and rock bottom has not yet been reached. However, the region also contains the full range of rural issues. On the one hand there are areas of over-success, such as Ludlow. On the other some rural settlements are failing. Alongside these areas of failure there are huge opportunities, such as for the new agri-environment schemes to assist the diversification of the agricultural environment and the continual development of the east side of Birmingham. English Heritage's response is to direct a significant part of staff time, energy and political support to the 3 major urban areas, to ensure senior support and management input and political support to these areas wherever possible. For example, there are regular review meetings with the LA and assistance to the Birmingham East Side design forum. Alongside ensuring that casework is undertaken efficiently, the emphasis is on prioritising EH's efforts. Forward job plans are developed, with team leaders managing resources with reference to these and casework meetings are held to follow through these priorities. Wherever possible, the aim is to get involved upstream and to influence at an early stage, for example EH was involved in the development of the Black Country Spatial Strategy, HECAS posts have been funded within County Councils and EH chairs the Historic Environment

Forum where the aim is to develop objectives and outcomes with particular emphasis on awareness-raising and political influence.

***2 What is special about the heritage of your (case-study) area or the way in which it needs to be managed?***

4.5.4 The responses to this question are not reported on here, as discussed in Section 3 above

***3 Describe the way in which the objectives of the Historic Environment Forum, the Government Office and Regional Development Agency, articulate with the activities of HES in the case-study area.***

4.5.5 The respondents from all 3 regions reported that there is no formal mapping of the way in which these organisations, their objectives and the remit and activities of the historic environment services in the region interact. For one individual, the problem is that there are too many opportunities and the challenge is to identify which areas and relationships are likely to deliver outcomes. 2 of the respondents described the regional organisations and relationships as shifting spheres or ‘blobs’ whose interests occasionally overlap. The relationships tend to work however, through informal contact, not least because many of the same individuals appear on different committees and forums and because some individuals move jobs between these organisations. 2 individuals mentioned the role of the regional Historic Environment Forum, and their remit being to influence the regional regeneration agencies. However there was recognition that the historic environment sector needed to make further progress in understanding and aligning their activities to the objectives of regeneration and development sectors in the region, particularly with regard to the newer socio-economic elements, which are reflected in agenda such as Shared Priorities and Local Area Agreements.

4.5.6 2 respondents felt that the Historic Environment was not sufficiently high on the agenda of the Government Office for the region and that these offices could do more to support the work of English Heritage.

***4 What kind of assistance and support is given to HES?***

4.5.7 All three respondents answered this question by reference to a hierarchy or framework of support. Indeed one individual stated ‘It was formerly thought that EH’s role was as ‘political muscle’ when things get tough. But increasingly the aim is to provide an overarching framework within which the Historic Environment Services can function’. The framework consists of national policy and a suite of national guidance. 2 respondents also spoke of the way in which they partnered with other organisations in the region to deliver specific outcomes. They included providing expert advice to the Heritage Lottery Fund, and helping the RDAs in local initiatives, such as assisting coastal and market towns following the outbreak of foot and mouth disease. 2 individuals mentioned that they also funded posts within local authorities or other organisations, either as a means of influencing particular strategies and initiatives, or to fill key skills or capacity gaps in priority areas. Finally, all respondents

reported that they undertook statutory casework in relation to scheduled monuments and historic buildings, and provided specialist expertise in some key subject areas, such as through the Regional Science Advisors.

4.5.8 The three respondents also mentioned that outreach and educational activities were carried out but that this generally was the focus of the Properties and Outreach section and these initiatives were delivered from the EH properties within the region.

***5 Do you feel that proposals for the Heritage protection review will improve the stewardship and championing of the historic environment?***

4.5.9 All 3 respondents answered this question with a qualified 'yes'. 1 respondent looked forward to a much simplified, transparent and 'less arcane' designation and consent system. 2 were keen to see a holistic approach, moving beyond buildings, landscapes and archaeology towards historic environment assets. All respondents felt that HPR including improved HERs would lead to greater public and community involvement and understanding of the historic environment and 1 predicted that the proposals would result in others also 'banging the drum' for heritage.

4.5.10 Although all respondents approved of the proposals, there were reservations as to the extent to which the overall principles and proposals would be implemented. 1 interviewee felt that there was a danger that the final changes would amount to a simple revision rather than the transformation that could be gained. All 3 emphasised the effort and resources that will be needed to implement the proposal and that there remains a fair amount of work to be done in terms of clarifying the details of the proposals. 1 felt that a number of steps were still needed to ensure that all of the proposals reach the final stages of the Heritage Bill. 2 interviewees suggested that there was a need to communicate HPR well, ideally with case studies, particularly with the Local Government Association as the local authorities were key to implementation. 1 person was also keen to ensure that the proposals were fully in line with ODPM objectives.

***6 Do you feel that any skills enhancement, re-organisation or other service structures (whether in EH or within the HES) will be needed to implement the HPR proposals? If so, how might these best be engineered?***

4.5.11 All 3 respondents saw the need for much closer working and even skills between the disciplines involved in the management of the historic environment resource. This was particularly in response to the proposals for the unified Register of Assets but it was also recognised by 1 person that the disciplines often do not communicate well at present. For example an Historic Environment Strategy produced by an authority recently did not address archaeology. 2 people favoured the model of pooling of resources at a regional level as a means of providing the capacity and skills, a greater mix of ideas and of smoothing out some of the gaps in smaller authorities. However 1 individual was keen not to lose the benefits of historic environment professionals working closely with town planners, so that Heritage is

part of everyday life rather than a specialist interest. The differences between the methods and practices of archaeology and conservation specialists were raised, as was the desire to lessen their professional rivalry. 1 individual, however, did not believe the answer was to create a 'jack of all trades' discipline or profession because that would remove some specialisms and talents from each discipline. This person pointed out that much depended on the effectiveness of individual officers and that the best people tend to be attracted to areas where there is much political support for the historic environment. It was also suggested that some of the shortfall in resources could be made up by training others, such as town planners or land managers, in some conservation skills in order to free up the historic environment specialist time: 'A conservation officer should be doing within the local authority what EH does at a regional level does – outreach and strategy'.

4.5.12 1 respondent also felt that HPR and its principles would need to be taken into account by those who write LA strategic documents when constructing policies and guiding determination of planning applications.

4.5.13 2 people raised the issue of EH's role when the new system came into being. Both hoped for further clarity on this as the proposals developed. 1 pointed out that it would not be viable for EH to be asked to plug skills gaps within LAs but that it would also be important to ensure that the skills and expertise within English Heritage, which had been hard won, were not lost. Another person was keen to build on the 'consultancy' role of EH, with officers in local authorities acting at the 'GP level', bringing in specialist expertise as required.

4.5.14 One respondent commented 'the changes needed will be more about skills and individuals and less about shuffling people around organisations. However what is really needed is an understanding of what a minimum level of service is'.

4.5.15 2 respondents believed that any new arrangements would need several years, possible up to 20 years to be fully implemented.

***7 Which of your current activities will cease post HPR implementation and which will continue?***

4.5.16 The respondents all expected that their work in dealing with consent applications and detailed casework will diminish substantially, although it will not cease altogether and there was some uncertainty as EH's exact role and the triggers for their involvement.

4.5.17 1 respondent pointed out that the issue of scheduled monuments highlights real differences between managing heritage which has an economic value and that which does not. That which does is managed through the planning system. That which does not tends not to get looked after. Marginal agricultural land is difficult to manage and it is unclear how it will be managed in the new system. This person hoped for more thought on this. This respondent also identified which role they would

be most loathe to give up. It would be the requirement to give advice on major schemes as this often puts the LAs 'on alert'. It was felt EH has greater experience and expertise in providing advice on major projects.

### ***8 What new duties will arise with HPR implementation and how might it improve delivery?***

4.5.18 One person characterised the new tasks of EH to be 'more those of an influencing and enabling body than a policeman'. 2 respondents predicted that they would be providing a greater review of the quality of protection and stewardship and the state of the historic environment. One person described it as a 'Heritage version of the Audit Commission, very similar in fact to the role the EH Inspectorate was set-up to do'. 1 person also expected the generation of advice to increase, including on the quality etc of HERs

4.5.19 At a practical level, 1 respondent believed that the development of the new Register descriptions would be a new task, although it was unclear how this would be undertaken and whether it would be a legacy task, subject to a trigger, or undertaken on theme or geographical basis. It was expected that this would have a major effect on EH corporate resources. It was also expected that EH would be involved in the development and negotiation of HPAs. EH is already involved in similar schemes and it will not be substantially different from the best practice of today, it simply develops it. However a large take-up of the scheme would have a resource impact.

### ***9 What new opportunities will arise with HPR?***

4.5.20 2 respondents focussed on the enhanced potential for analysis and understanding of the historic environment which will result from improved HERs. It was also felt that it would revolutionise assistance with casework but that there would be a need for quality control. Proposals for HPAs were also seen as a good opportunity. Although there are such agreements in place now, the proposals will enshrine best practice. However the greatest potential was seen in terms of the public appreciation and involvement in the historic environment and the way in which this would lead to better stewardship.

4.5.21 1 respondent looked forward to the change from heritage being regarded as an unwelcome constraint, to the historic environment becoming regarded as a positive force for the management of the environment, as well as to the proposals bringing the historic environment to centre-stage within the planning process generally, rather than as an add-on.

4.5.22 As the first such legislation of a generation, it was hoped by 1 respondent that it would raise the political profile of heritage profile. 1 person commented 'The whole will be greater than the sum of the parts. It will deliver transformation. This is a sign of well thought out package'.

## 4.6 3rd Party Commentators

### ***1 How do you or your organisation support the Historic Environment, in terms of policy, initiatives, funding etc in your region?***

4.6.1 From the Government Office for the South West, Defra concentrates on issues relating to rural development, sustainability and the environment. The engagement is in strategic policy, rather than in the delivery programmes. For the Historic Environment the aim is to ensure the issue is taken into account but importantly, not in terms of protection or conservation but as a means of seeking opportunities for the HE to help to deliver other initiatives. For example The Leader Plus programme involved providing information on walks around Somerset churches in order to encourage exercise and education, and the regeneration of market towns property involves Historic Environment issues. A further example is the way in which GOSW and EH jointly achieved coherent approach and buy in from all parties to the management of farm buildings as a result of recognising that the issues were being dealt with separately rather than collectively. The emphasis is thus on socio-economic benefits which might arise from the historic environment, rather than on protection.

4.6.2 The Rural Development Service of Defra (who are responsible for administering Defra's Agri-Environment Schemes) identified their respondent as covering a national, rather than a regional remit. In terms of initiatives and funding, across England, Defra's commitment to the historic environment is delivered principally through the Environmental Stewardship Scheme. The scheme objectives include the protection of the historic environment, which itself includes archaeology, historic buildings and historic and designed landscapes.

4.6.3 One Northeast supports the HE at 3 levels: the Regional Economic Strategy includes a chapter on Heritage and Culture; other elements of the strategy, such as transport, housing and spatial strategy takes the historic environment into account; and One Northeast funds projects, many of which interconnect with and nurture heritage assets. Some of these are major sites and projects, including Hadrian's Wall and Durham. At Berwick Castle, One Northeast is delivering substantial museum investment

### ***2 What frameworks do you work to when developing and implementing your support to the historic environment?***

4.6.4 The interviewee from GOSW stated that in the first instance his own knowledge shaped his thinking about the benefits that the historic environment delivers. He also used examples from elsewhere, for example the work of the National Trust at Tyntesfield where efforts to engage people with regard to the historic environment were focussed on key groups, in this example offenders and old people. These examples supported the respondent's efforts in persuading others to see Heritage not in isolation but in the way that it can help to open doors to other benefits such as education. This is useful for the development of Local Area

Agreements. Although heritage is peripheral to the core elements of Local Area Agreements, i.e. Children and Young People, Safer and Stronger Communities, Healthy Older People and Economic Development, the respondent felt that the historic environment could be an enabler in the delivery of these elements. He observed that Sport England has produced guidance on what sport can offer to the delivery of LAAs but neither the natural nor the historic environment sector has yet developed similar material.

4.6.5 The key principle which is relevant to this respondent's approach to the Historic Environment is the duty of Local Authorities in promoting the 'well-being' to communities. It is thus important to seek all avenues for deriving maximum and added value from effort and expenditure, particularly with regard to engagement, education, disadvantaged groups. He noted that private and voluntary group related to the historic environment had engaged with these issues, but that this did not appear to be supported by the professional historic environment sector as proactively as it could be.

4.6.6 The respondent from the Rural Development Service reported that the care of the historic environment formed part of the duties of Defra. Working with partner and other agencies, Defra's work includes working within the 1986 Agricultural Act and the 1990 Environment Act, to support the protection and conservation of features of historic environment interest through England Rural Development Plan incentive schemes. Other important frameworks include regulations, such as the hedgerow regulations and Cross Compliance requirements for the Single Farm Payment, which include and promote the protection and management of the historic environment. Defra's commitment to consider the historic environment alongside other environmental interests is also reflected in its input into the funding agreement with EH. However as a government department Defra took into account key literature such as Force for Our Future (English Heritage, December 2001). The interviewee also noted that the 'historic environment' was seen as complementary to the other objectives of the Environmental Stewardship scheme (launched by Defra in March 2005), such as access and helping the public to understand the environment and its origins.

4.6.7 The respondent from One Northeast emphasised that the purpose of his organisation was economic regeneration. However this is often delivered by addressing 'softer' or economic inclusion issues such as moving people towards the labour market and children's aspirations. Many of the funded initiatives such as volunteer and children inspiration programmes reflected this and heritage, culture and the historic environment were important elements. This interviewee also used evidence about the role of *place* in attracting and retaining entrepreneurs. The respondent was clear therefore about the relationship between hard capital spend, social and intellectual capital and further economic development. For this respondent, developing the knowledge economy was key and there was therefore a need for cultural capital in order to develop, retain and offer a place's 'brand'. This

interview reported that he looked to external, independent and academically robust information for good evidence, such as recent publications by Massachusetts Institute of Technology on the role of the environment and cultural assets in economic development but he also learned a great deal from regional forums such as the Historic Environment Forum.

4.6.8 2 respondents commented on the literature and other material produced by the historic environment sector. 1 observed that it is prolific but unfocussed and written in 'heritage sector' language which needs to be deciphered by non-specialists if they wished to use the heritage in their work. Another interviewee felt that the heritage sector literature was too often making a pitch: 'my response is well they would say that wouldn't they'. This respondent preferred sound academic and independent data.

### ***3 Do these initiatives support the local economy?***

4.6.9 The respondent from the GOSW explained that subsidy and funded schemes, such as the Countryside Stewardship schemes do contribute to the economy. However, much of the economic result of caring for the environment is indirect, through the retention of ambience and character. Individual owners may not directly benefit but overall the economy is helped. For example in Dorset, there was an initiative to link B&B facilities to a biodiversity trail. The respondent felt that the historic environment sector did not engage with this aspect as an economic opportunity.

4.6.10 The representative of the Defra Rural Development Service reported that Defra and EH had recently undertaken research on the socio-economic benefits of repair of buildings in the Lake District National Park and found that for every pound, almost £2.50 was returned to the local economy. Jobs were also created and craft skills and local business enhanced.

4.6.11 The One Northeast respondent explained that the very purpose of their initiatives to 'exploit' the historic environment was economic development. He listed a number of examples where this was occurring in the region, including Hadrian's Wall, Durham and the development of the Hancock Museum.

### ***4 Describe the way in which you work with those who manage the historic environment in your region, including those in the Local Authorities and English Heritage.***

4.6.12 For the respondent from GOSW much of the direct engagement was the heritage sector in the region was with regard to a constraint or planning issue. Or it related to GOSW acting as broker. For example GOSW brokered a solution for the refurbishment of Georgian building in Bridgewater in order to remove obstacles to the regeneration of the town centre. However this respondent believed that there is a lack of an accessible bank of good practice examples of how historic buildings could be sympathetically brought back into use. At the moment there remains a gap in

imagination and developers and planners still believe that from the historic environment sector, the answer might be 'no' to proposals. It is likely that in the future much of the GOSW effort with regard to the historic environment will be directed through the Environmental Stewardship schemes, which is an example of a well-thought out scheme that, having been developed at a national level, simply 'cascades' at a local level because the mechanisms for implementation, including the funding 'carrot' are effective.

4.6.13 The respondent from the Rural Development Service explained that as part of the Environmental Stewardship scheme there is a formal system of communications with holders of historic environment records, with some mandatory consultation elements, for which Historic Environment Services receive payment. A service standard for the delivery of this information and advice has been established with ALGAO for the Higher Level Scheme. For Entry Level Scheme, applicants are provided with a map showing selected HE sites so that they are aware of sites which can be managed under the scheme. This dataset currently includes selected NMR information for England, with additional information from 10 HERS. There are also HECAS posts in some counties, who specifically provide advice on agri-environment opportunities and there are close links with EH, ALGAO and some building conservation officers.

4.6.14 The respondent from One Northeast described the regular liaison that took place with EH and that EH are consultees on the development of policies. With local authorities, the principal contact related to their programmes which received funding from One Northeast. There are also regular meetings with the Heritage Lottery Fund and projects, such as the Great North Museum, are often jointly funded with them. English Heritage had recently seconded an officer into One Northeast to assist and develop major projects such as Hadrian's Wall.

4.6.15 1 interview made some observations about working with English Heritage. The dialogue with EH Heritage tends to be seen in isolation. Protection of historic assets is taken into account but heritage is not seen as a major driver of engagement of communities. Heritage is seen as rather dry and worthy and as one of the things that is a duty rather than integral to delivery. He observed that it may be that there is more of an appetite for heritage in the public mind, but the institutional elements of the heritage sector appear to be old-fashioned and have not caught up with the media image.

***5 How well do these relationships work and how successful are they in managing change?***

4.6.16 The representative from GOSW believed that there were no obstacles with regard to working with EH although he felt that there was a need to liaise more often. However, while this respondent felt EH needed greater understanding of wider objectives (although he believed this was no worse than the natural heritage sector)

relationships worked well at an individual level. Owing to the remit of the GOSW, this individual rarely had dealings with the local authority historic environment specialists.

4.6.17 The representative from the Rural Development Service felt that success in working relationships often depended on personalities and she pointed out that through the Environmental Stewardship schemes, the exchange of information would be two-way as the environmental audits on farms were identifying new sites, as well as ironing out inconsistencies in data. The difficulty for the schemes which was sometimes posed by data and/or advice on historic buildings and archaeology being held in separate places was also highlighted. This is compounded by the situation in which holders of HERS receive funding for providing information and advice on all aspects of the HE for HLS. Where the HER cannot provide information and advice about buildings, conservation specialists outside of the HER – and often the Local Authority in which the HER sits - will be called on to provide this service, although there is no separate payment for this.. This could be an issue, in terms of the smooth provision of information and advice about historic buildings where buildings information and advice cannot be provided by the HER. This individual also found that it was relatively easy to communicate with the archaeological sector, partly because of membership of the ALGAO. By contrast, not least because there is often only one conservation specialist in an authority and because not all conservation specialists are members of their representative body, the IHBC, it tended to be harder to communicate with this group. Conservation specialists also tended to focus on listed buildings whereas archaeologists were concerned with all sites, designated or otherwise.

4.6.18 For One Northeast, relations with the heritage sector were good, although he thought it likely that EH sometimes became frustrated with the many changes which were constantly taking place within RDAs.

***6 What is good about the delivery of support to the Historic Environment by the LAs, EH and other organisations in your region? Are there any areas for improvement?***

4.6.19 1 respondent believed that things work well when the historic environment speaks as one voice. However it was felt that there was not always enough understanding, within the historic environment sector, of other interests.

4.6.20 1 person also found the distinction between archaeological sites and historic buildings unhelpful.

4.6.21 1 other responded found many of EH officers to be forward-looking, with a positive approach to the exploitation of assets and he particularly admired the Chief Executive. However, he also found some EH staff to be too defensive and inflexible with regard to changes to the historic environment.

***7 How does the delivery of support to the historic environment compare to the delivery of other similar resources such as arts, culture or the natural environment?***

4.6.22 One respondent believed that the Heritage sector was more advanced than the natural sector in terms of recognising and promoting education and economic development opportunities. For this respondent, the organisational change which had recently occurred within the natural environment sector was associated with simplifying delivery and value for money and that the sector was just beginning to address socio-economic issues.

4.6.23 However another interviewee compared the heritage sector unfavourably with the natural. The individual felt that this was a result of not having PSA targets which related to the historic environment. For this respondent, although Heritage Counts was useful, the lack of aspirational but achievable targets meant that it was difficult to understand and indeed assist the sector to progress, as well as to track the condition of the historic environment. This respondent also expressed frustration with the lack of interest, occasionally encountered within the historic environment sector, in sites, buildings or other assets which are not formally designated. Funding initiatives and grant aid bodies are increasingly concerned with the management of the whole environment and so there is a clear need for an holistic view addressing all aspects of the historic landscape, designated and undesignated, as well as further joined up thinking between the natural and cultural heritage sector.

4.6.24 A third respondent pointed out how culture and heritage have been successful in delivering dramatic and beneficial change in urban areas. Furthermore, although the interests and potential of culture and heritage overlap, the two interests have retained their distinctiveness. For this respondent, one of the key differences between the two sectors was that the culture sector does not include a regulatory function. This means that during plans for regeneration or change, the opinion of EH as the expert body must be taken into account. However this respondent also felt that the heritage sector could make further progress in understanding regeneration issues and the workings of the economic market when responding to plans such as for housing renewal. 'A large amount of national policy is made by people who live within M25 whose experience of life is coloured by its own assumptions about transport and house prices'.

***8 What do you know of the proposal of the Heritage protection review and how have you learnt of them?***

4.6.25 All respondent had some knowledge of the proposals.

***9 Do you feel that proposals for the Heritage Protection Review will improve the stewardship and championing of the historic environment?***

4.6.26 1 respondent looked forward to the streamlining of the planning process that HPR may bring. He also predicted that regional organisations may see the potential of HPAs and consider how best to use them. Another respondent was already

familiar with the principles of HPAs through his experience of World Heritage Sites. He also looked forward to having more information about heritage resources online as this would help his organisation develop regional partnerships. This respondent also made the point that LA boundaries do not coincide with the economic flows of a region and this needs to be taken into account when thinking about how best to exploit historic resources and deliver historic environment services.

4.6.27 Finally 1 interviewee wished to be positive about the proposals but would have liked greater protection for designed landscape and battlefields, especially given that some funding/grant aid bodies spend a great deal on the restoration of landscape parks. Thus for this respondent although consent procedures may become more efficient, the stewardship this aspect of the historic environment may not be improved.

***10 Do you feel that any skills enhancement, re-organisation or other service structures, within your or other organisations, will be needed to implement the HPR proposals? If so, how might these best be engineered?***

4.6.28 For 1 respondent, the key issue was the breaking down of the barriers and difference in cultures between archaeologists and conservation specialists. This was essential if the Countryside Stewardship Schemes were to be delivered efficiently. This respondent's personal view was that there was a need to integrate the disciplines in order to provide a 'one-stop' shop. This respondent also hoped for greater communication between the natural and cultural heritage sectors.

4.6.29 1 interviewee stated that RDAs and similar organisations would need detailed briefing about the proposals. He anticipated that some of his organisation's procedures, such as Sustainability Appraisals, would need to be adjusted to comply with the new requirements.

***11 Which of your current activities will cease post HPR implementation and which will continue?***

4.6.30 None of the respondents envisaged a reduction in their activities as a result of the HPR proposals.

***12 What new duties will arise with HPR implementation and how might it improve delivery?***

4.6.31 2 respondents believed that they would be getting involved in the development of HPAs. For Defra this would not reduce the workload but it was expected that HPAs would improve the quality of stewardship. However, crucially the underlying purpose of exploring the opportunities for developing HPAs would be to actively search for socio-economic benefits rather than 'protection than for protection's sake'. 1 other Defra representative predicted that they would need to revise some of their procedures to comply with the new system but suggested that

the historic environment sector could also benefit from adopting some of the procedures of the Rural Development Service of Defra.

4.6.32 For Regional Development Agencies, it was likely that HPAs would become a new task in view of their new duties to administer to the socio-economic projects of the rural CAP programme, which was expected to begin in 2007. There would be a need therefore to use HPAs in the management of rural estates.

### ***13 What new opportunities will arise with HPR?***

4.6.33 For 1 respondent the real opportunity was to make wider linkages and move beyond managing the historic environment on a site by site basis towards taking a wider overview of particular resource type. He felt that in this way it would be much easier to link certain resources with potential socio-economic benefits. This respondent had reservations about proposals for local lists, however, which he felt may not confer greater protection but may be enlisted by NIMBYs

4.6.34 1 other respondent found it difficult to identify the exact changes that would arise with the new system but did hope it would result in a service which integrated the historic buildings and archaeology.

4.6.35 Finally 1 respondent commented that he found the dual roles of the historic environment sector, particularly English Heritage, difficult to deal with. He found that in discussions with EH he was often not sure whether the officer was acting as regulator or as someone helping to derive benefits from the historic environment. The individual hoped for a greater split between these two functions. He believed that although this would entail a considerable shift in the historic environment sector, it would help regeneration agencies a great deal.

## **4.7 The Case Study Survey**

4.7.1 The case-study research has been successful in eliciting a substantial amount of information on the how the historic environment is supported at local level. By questioning a range of officers within each case-study area and including the full range of delivery arrangements within the case study assemblage, it has been possible to probe for considerable detail on the nuances and quality of service deliver and to gain an insight into the relationships and mechanisms which make the current system work.

# **Historic Environment Services Local Delivery**

## **Annex 3**

### **Interim Report on Pan-Authority Survey Mechanism**

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# 1. INTRODUCTION

1.1 This is a report forming part of the Historic Environment Local Delivery Project and constitutes the third of three stages in this project. It explores the development of a pan-authority survey methodology to enable the regular capture of quantitative and qualitative information from local authorities in England about the services that support the historic environment. It is intended that this information will inform the strategic direction of project partners and contribute to *Heritage Counts* annual state of the historic environment reports, which aim to identify the principal trends affecting the historic environment and the threats, challenges and opportunities faced by those responsible for managing it.

1.2 The report is informed by:

- Aspirations set out in the Historic Environment – Local Delivery research brief for the project as a whole and for the survey in particular (especially Appendix 1)
- The Stage One Interim Desk-Top Study Report (HPR Report 002acp), which included examination of previous surveys of LA historic environment activities and capacity
- Further consideration of previous ALGAO and IHBC survey
- Ongoing analysis of the Stage Two case study research

1.3 This report will address:

- Scope and techniques of previous surveys
- Issues to be considered in the formulation of a new survey methodology
- Data content of the new survey
- Techniques of data collection
- Potential survey models

1.4 It is clear from the Historic Environment Local Delivery Research brief (paragraphs 28 & 29 and Appendix 1) that the new questionnaire should:

- aim for compatibility with earlier surveys carried out by or on behalf of ALGAO and IHBC, in order to permit time-series analysis
- improve upon and transform previous models, in order to meet new needs, issues and agenda

## 2. PREVIOUS SURVEYS

### *Previous Surveys*

2.1 To date, the primary surveys of local authority historic environment services carried out have been:

- Three ALGAO surveys of association members' Planning & conservation casework, one carried out in 1998 and two in 2000-1, covering casework from 1997-1999, the results of which were analysed and published together in ALGAO (2003b) Planning and Conservation Casework 1997-1999
- Two ALGAO staffing surveys sent out to their members, covering 1997 and 2000, and published in ALGAO (1998) Protecting Our Heritage: archaeology in local government in England 1997 and ALGAO (2003b) Archaeological Services in Local Government Survey Report 2000
- ALGAO surveys in 2003 and 2004, which captured data from their members on staff, casework and other issues such as HERs and outreach activities
- The IHBC/EH Oxford Brookes survey Local Authority Conservation Provision in England: research project into staffing, casework and resources (LACP), carried out in 2002, and published in February 2003. This covered a range of issues from general profile, size of resource, spending, staffing profile, and activities and workloads, to Best Value and quality of service, and internal/external relationships.

### *Scope of Previous Surveys*

2.2 There has been a considerable emphasis in these earlier surveys on collecting quantitative data regarding:

- capacity (financial resources, staffing), decision-making processes and throughput of casework, rather than outcomes delivered by these services

- the role of conservation officers and archaeologists in providing services within a development control context, in relation to the Planning (Listed Buildings and Conservation Areas) Act 1990 and PPG15 & PPG16, rather than the full spectrum of services delivered
- 2.3 The LACP survey did begin to capture data indicating a more complex picture of delivery, including the diversity of structures through which conservation advice is provided to LAs, the variety of skills employed by conservation specialists, and the broad range of areas across which their work spans, beyond development control. Though in much less detail, the most recent ALGAO survey (2004) also touched on this broader picture, gathering quantitative data on education and outreach work.

### *Techniques of previous surveys*

- 2.4 In terms of methods of data collection, previous surveys have
- not collected data on a consistent annual basis (although ALGAO's Strategy 2001-6 indicates the intention to do so)
  - gathered information by means of a postal questionnaire
  - varied considerably in length and scope
- 2.5 While the LACP survey consciously attempted to parallel the surveys undertaken for local authority archaeological services, to enable a picture of the heritage sector as a whole to be built up, it was a much more detailed and broader ranging questionnaire than ALGAO surveys, and set qualitative as well as quantitative questions.
- ALGAO Planning & Conservation casework surveys (2003a) set c.39 questions, the ALGAO 2000 staffing survey (2003b) set c.32 questions, and the ALGAO 2004 Survey set 16 questions. These largely asked for statistics, or for answers to 'yes/no/don't know', 'increase/no change/decrease' kinds of options.
  - By contrast the LACP survey set 87 questions and requested a more complicated range of answers, from the statistical, yes/no, increase/no change/decrease format, to choices from a number of options on checklists, to grading quality of relationships on a scale of one to six etc.

### **3. SCOPE OF THE NEW SURVEY: ISSUES**

- 3.1 This section highlights significant issues that need to be addressed when deciding upon the scope of the new survey.

#### *Support of the Historic Environment at Local Authority level*

- 3.2 Previous questionnaires have been tailored either for conservation/historic buildings/urban design specialists or archaeologists. However, the work of these local authority professionals is increasingly integrated and considered as services to the Historic Environment. Thus, a survey mechanism that sets out to understand the support of the Historic Environment in its broadest sense at local authority level is now required.

#### *Capacity & Service Throughput*

- 3.3 Any new survey will need to continue to collect quantitative data on capacity and service throughput. This will ensure that up-to-date statistics are available through which to understand current capacity and workloads, pressures and trends in them, and to allow for analysis of the relationship between resources available and services actually delivered. This relationship is one significant trend that the new survey should seek to monitor.

#### *Spectrum of Service Delivery*

- 3.4 However, in order to provide a full picture of capacity and services delivered, the survey will need to widen the range of its focus beyond development control work, in a much more explicit way than previous surveys have done. It should aim to capture data which reflects the full spectrum of services that support and exploit the historic environment. For example, activities with regard to regeneration, enhancement of the environment, education and outreach and other proactive work, all need to be highlighted and surveyed further. Research carried out through the case study survey of this project, and the general direction of heritage policy, indicate that it is crucial to understand work, and to measure delivery, in these areas. It is here that HE services have most potential to benefit the public socially, culturally, and economically, and where the historic environment can be

exploited to contribute to a range of current wider local authority and national government priorities. As the client brief (paragraph 10) indicates, these include:

- promoting a sense of identity and community
- promoting heritage-related regeneration and economic development
- championing sustainable development, across built and natural environments valued for their cultural significance
- supporting local communities and promoting social inclusion

### *Measuring progress on wider government agenda*

3.5 Previous surveys have often set out to measure the impact of existing planning policy guidance and/or local government reorganisation that has already taken place. In developing a new survey methodology, the objective rather should be to:

- capture data to understand new duties and targets set in relation to on-going priorities and future reforms
- measure progress towards these priorities

3.6 This would require questions to be set to elicit data regarding delivery of services and progress towards targets, in relation to a range of national government cross-cutting agenda. Key amongst these, as set out in the project brief (paragraph 13), are:

- E-government
- Devolution to the English regions and local authorities
- sustainable communities
- spatial planning
- environmental stewardship

### *Measuring progress towards HPR*

3.7 Similarly, in the next five years and beyond, a survey should also capture data through which progress towards HPR could be gauged, initially with particular regard to:

- existence of an up-to-date local list and buildings at risk register
  - processes by which heritage consents (LBCs) are currently dealt with
  - current experience of overseeing local management agreements
  - means of access to, and standards of, HER
  - extent of partnership or skills sharing between historic buildings and archaeological professionals to deliver services/HE outcomes
- 3.8 Subsequently, in order to measure progress between 2006 and 2010 and beyond, as authorities work towards implementation of reforms, the thrust of the survey questions regarding HPR would need to be developed further.
- 3.9 Data needs to be captured on progress towards implementing not only the principal proposals of HPR, but also something of the spirit of the underlying intentions of HPR. Questions in the survey need to elicit data to measure progress on:
- streamlining the heritage protection, consent and management regime at local authority level
  - development of skills and organisational arrangements to deliver HPR
  - development of information systems
  - trends in community access to the historic environment.

## 4. DATA CONTENT OF THE NEW SURVEY

4.1 If a significant and valuable data set is to be elicited, to meet the aspirations set out above, the new survey should gather information on:

1. the range of services delivered
2. all aspects of capacity to deliver
3. the Historic Environment outcomes delivered by local authorities
4. the quality of service provided, whether in relation to BVPIs, Historic Environment related CPAs, shared priorities, Local Area Agreements, progress towards HPR or other indicators

4.2 Data group 1 could include:

- Information on the range of services provided to ensure protection and conservation of the Historic Environment
- Information on the range of outreach and education activities undertaken to ensure public benefit from the Historic Environment
- Percentages indicating time spent on delivery of particular services

4.3 Data group 2 could include:

- Sources of funding – for staff, training, schemes & projects
- Staff numbers
- Details of professional qualifications and staff skills
- Details of salaries and training opportunities provided in-post
- Details of information systems and guidance to support HE work

#### 4.4 Data group 3 could include:

- Data on outcomes of development control work e.g. number of enforcements, prosecutions, urgent works and hedgerow removals served
- Data on enhancement & regeneration work: e.g. number of buildings taken off the BAR register, numbers of enhancements via S106, numbers of Environmental Stewardship Schemes consulted on; numbers of historic buildings grants, conservation area appraisals etc
- Numbers of people benefiting from education/outreach work and, if possible
- Numbers of successful bids for external funding and numbers of projects initiated
- Numbers of people using HERs

Some of the figures in data group 3 could be used as indicators of the quality of Historic Environment outcomes.

#### 4.5 Data group 4 might include questions to indicate progress on targets set in relation to cross-cutting agenda which local government services across the board are striving to meet. Such indicators of quality might include:

- Figures related to vulnerable people accessing key services
- Figures related to life expectancy and healthy life expectancy
- Figures related to reduction of crime and disorder and of fear of crime

#### 4.6 The survey and underlying database could also be structured in such a way as to generate meta-data to indicate broader trends. This might include analysis of:

- Correlations between capacity/resources and throughput/delivery (value for money)
- Correlations between capacity of services and demand for them (in terms of the number of historic environment assets, or the geographical size of the authority etc.)
- Levels of core funding versus other sources of income
- Extent to which LAs undertake tasks themselves versus outsourcing them to others (diversity of delivery; county-district/ public-private inter-relations)

- Correlations between modes of delivery and patterns/strengths and weaknesses in the services provided
- The range of expertise employed/professional qualification held by those working in the sector; trends in this over time

## 5. SURVEY MODELS

### *Model One*

5.1 The first model for the pan-authority survey (Model 1) set out in Appendix 1 of this report indicates the nature and scale of a questionnaire that aims to:

- conform to the suggested model in Appendix 1 of the project brief
- consolidate formerly separate ALGAO and IHBC surveys of archaeological and conservation provision
- be compatible where possible with earlier IHBC and ALGAO surveys, in order to permit time-series analysis
- capture the full spectrum of services delivered by historic environment professionals, in the context of other key government wider agenda and targets
- understand the implications of HPR and progress towards implementation of such reforms
- begin to measure outcomes and quality

5.2 It is arranged around three key areas suggested in the project brief (Appendix 1):

- Capacity & Resources
- Management of the Historic Environment
- Quality of Services

5.3 This 'capture all' model is in many ways a 'transitional' one and clearly not the only possible, most radical or streamlined remodelling.

### *Model Two*

5.4 Alternative approaches could be taken to the structure of the questionnaire, in order to streamline it whilst still eliciting the most useful data on:

- Services delivered
- Capacity to deliver
- Historic Environment and Community outcomes
- Quality
- Progress to HPR

5.5 Model Two set out in Appendix 2 of this report is an example of such a possible alternative model. In terms of services delivered, it has been structured around the twin primary functions of HE services at local authority level:

- Ensuring protection and conservation of the HE: including development control, enforcement, regeneration and managing change
- Ensuring that the public benefits from the HE: including HER accessibility, education and community outreach projects, social inclusion

5.6 These two categories are obviously interlinked (for example, regeneration work clearly benefits the community and promotes a positive sense of place), but nonetheless can be distinguished as representing the key 'hard' and 'soft' services that local authorities, working at their best, provide in support of the historic environment.

### *Model Three*

5.6 A third possible model would require a considerable philosophical shift in thinking and a fundamental reassessment of what the purpose of this survey is. Such a model is not presented in full, but the possibilities are explored here.

5.7 As highlighted in section 2 above, previous surveys have been focused on:

- the professions themselves
- establishing the framework and capacity of structures in place

- quantifying service throughput
  - understanding processes of decision making
  - understanding the impact of existing planning policy guidance and local government reorganisation
- 5.8 This third model would rather focus on Historic Environment outcomes, identifying key measurable indicators of success which would indicate that:
- The twin primary functions of HE services at local authority level (ensuring protection and conservation, ensuring that the public benefits from HE) are being delivered
  - All elements of Historic Environment Services and delivery are working
- 5.9 This could be a much shorter survey which:
- focuses on a succinct set of questions and key indicators
  - allows for assessment of the success of HE services delivery as a whole, without collecting an unnecessary mass of data
  - aligns with overarching government priorities and cross-cutting themes, such as sustainability and social inclusion
  - ensures that HE services are part of joined up thinking and working together to make communities better places to live in
- 5.10 As progress is made on the future of local government, through the Local:Vision debate, as more Local Area Agreements and a new framework of performance indicators are put in place, arguably this may become a most appropriate model to pursue.

## 6. THE QUESTIONNAIRE

### *Scale of Survey & Complexity of Questions*

6.1 The scale, complexity, presentation, and analysis of the questionnaire need to be carefully designed. Even for a motivated respondent who is genuinely concerned about the subject matter of the questionnaire, a thick questionnaire booklet can be daunting, and a survey which demands more than a twenty minute attention span is likely to challenge concentration and patience. Comments made by respondents to the LACP survey make it clear that both time pressures and the need to seek data from a third party made it difficult for them to provide adequate and complete answers, and delayed their responses. Thus, in order to encourage responses, it will be necessary to:

- keeping the format of questions as simple as possible
- keeping the survey as succinct as possible

6.2 The questionnaire set out in Model 1 is user-friendly in so far as it:

- keeps open-ended questions to an absolute minimum
- only ask for facts and figures that the respondent will have relatively easy access
- makes maximum use of questions that require straightforward yes/no answers, choices to be made a list of options, or answers chosen from a graded scale

6.3 However, of a size comparable to the LACP survey, Model 1 is likely to take a considerable amount of time and effort for respondents to complete it. To ensure responses to it, time and resources would need to be factored in to allow for reminder letters to be sent out and for follow up telephone calls and emails to be completed (the survey process from first sending out questionnaires to beginning analysis took approximately four months in the case of the LACP survey).

- 6.4 There is a trade off to be made between the depth and scale of the questionnaire, the effort required to ensure adequate returns, and the quality of information that is acquired. On balance a questionnaire such as Model 2 is preferable - it is approximately 1/3 shorter than Model 1, of a more manageable scale for respondent and analyst, and should return sufficient quality data to allow for the kinds of trend analysis and understanding desired.
- 6.5 If a survey on the basis of Model 1 or 2 was pursued, the option of carrying out two shorter surveys as opposed to one longer survey could also be considered. For example, one survey could be conducted on core capacity, skills and resources – funding, IT, staffing, supply issues; another could focus on outcomes, quality and delivery on the principal functions of HE services at local authority level. This may be a more successful and user-friendly approach.
- 6.6 In terms of scale and complexity, a questionnaire on the basis of Model 3 would obviously be the most succinct and user-friendly.
- 6.7 Consultation and questionnaire piloting with a number of potential respondents, can help to clarify suitable levels of scale and depth and will be an important part in the process of ensuring that a realistic survey mechanism is taken forward.

### *Sample Size*

- 6.8 Sending a questionnaire to every English local authority archaeology and conservation service is unlikely to be the most efficient approach and unlikely to produce a consistent set of data, for example with different authorities answering in different years. It might be better to collect baseline data for a representative sample in terms of:
- the authority types and structures through which services are delivered
  - regional coverage
  - urban versus rural-based authorities etc.
- 6.9 The continuous information that this approach would provide about a representative cross-section of authorities is likely to be much more valuable than that elicited from efforts to survey all authorities at large.

### *Presentation and Promotion of the Questionnaire*

- 6.10 There is little doubt that more attention will be paid to a questionnaire that looks 'professional' and which appears to have been designed with due care and

consideration for layout, type face, colour etc. It seems best to aim for a relatively 'conservative' but pleasant appearance.

6.11 Likewise, the right endorsement, promotion and sponsorship of the questionnaire are likely to encourage responses. This could include:

- Endorsement by the relevant professional bodies (IHBC/ALGAO/IFA) and promotion of the survey via their mailing lists/websites
- Promotion via EH, HELM, Heritage Counts, Heritage gateway websites, but also via local government networks in order to raise awareness of the survey not only amongst heritage professionals, but also amongst officers working at a strategic level and elected members
- Promotion of the benefits of completing the questionnaire for the respondent and for the sector – e.g. that this information will contribute to state of the historic environment reports (SHERs) and to the future and strategic direction of the sector at national, regional, and particularly local level.

#### *Investment in a web based survey*

6.12 There would be a number of advantages to conducting the survey online, both for the user and for the analyst of the incoming data.

- An online survey could be completed from anywhere with internet access at any time and this should encourage responses
- Use of drop down lists, tick boxes etc. would also encourage responses and ensure that exactly comparable data is transferred directly into a database for analysis, reducing double handling of information and opportunities for errors, and allowing for complex querying and swift analysis
- Live/dynamic summary figures could be provided and serve as a means of quick interim feedback to respondents, ensuring that they feel involved and informed. The final analysis could also be published online in addition to hard copy publication

6.13 While there are many advantages to an online survey, communication with respondents should not only be conducted by email, but also by post. Certainly an initial formal letter, sent by post on quality paper and addressed to the respondent personally, is likely to capture attention more successfully than an

email buried amongst many other in an inbox, and to convey the right message about the significance and professional approach to the survey.

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# APPENDIX 1

## MODEL 1

### HISTORIC ENVIRONMENT LOCAL DELIVERY QUESTIONNAIRE

Name & Address of authority	
Telephone Number	
Fax Number	
Email Address	
Name of person completing questionnaire	
Position in Authority/Job Title	

#### Notes for completion of questionnaire

1. The information you provide in response to this questionnaire will contribute to annual state of the environment reports. These reports identify the principal trends affecting the historic environment and the threats, challenges and opportunities faced by those responsible for managing it. This will also inform the strategic direction of national bodies and professional groups concerned with the historic environment.
2. Please try to provide an answer to **all** questions even if it is a 'nil' or 'not applicable' response.
3. Unless otherwise stated all statistics should be quoted as at 31<sup>st</sup> March 2005 or for the immediately preceding financial or calendar year.
4. For the purposes of this survey the definition of an 'Historic Environment professionals' is somebody whose primary responsibilities include protection, management, exploitation and promotion of the historic environment, and provision of expertise with regard to below-ground archaeology, listed buildings, conservation areas, historic landscapes and the historic environment in a local authority context.

**A. CAPACITY & RESOURCES**

**1. Service Structure**

1. Where does your service sit within the local authority structure? *Please indicate the title of your service and the department and directorate within which it sits*

<b>Service</b>	
<b>Department</b>	
<b>Directorate</b>	

2. Please list all other services and/or the position of any individual (Historic Environment professionals and others) who provide services in support the historic environment within your local authority. *(e.g. archaeology, historic buildings, conservation, HER, tourism services, planning, regeneration teams etc)*

<b>Service/Individual</b>	<b>Department</b>	<b>Directorate</b>
1.		
2.		
3.		
4.		
5.		

3. Please indicate which service(s) you are answering this questionnaire on behalf of:

--

4. Please indicate the key specialist services provided by your service. *Tick boxes as appropriate:*

<b>1. Historic Buildings expertise</b>	
<b>2. Archaeological expertise</b>	

<b>3. Urban Design</b>	
<b>4. Archaeological fieldwork</b>	
<b>5. Maintenance/Enhancement of HER (UAD etc)</b>	
<b>6. Policy/Strategy formulation</b>	
<b>7. Work with the community – education/outreach</b>	
<b>8. Research/Project work</b>	
<b>9. Other (please specify)</b>	

5. Does your authority formally procure HE services from other local authorities to provide any aspects of its HE services? 1.Yes 2.No

6. If yes, please specify which aspects these cover:  
*Tick boxes as appropriate*

<b>1. Development Control</b>	
<b>2. Regeneration &amp; Enhancement work</b>	
<b>3. HER/UAD provision</b>	
<b>4. Archaeological fieldwork</b>	
<b>5. Policy/Strategy formulation</b>	
<b>6. Education/Outreach</b>	
<b>7. Projects (please specify)</b>	

<b>8. Funding bids</b>	
<b>9. Other (please specify)</b>	

7. Does your authority procure HE services from any other advisory service to provide any aspects of its HE services? 1. Yes 2. No

8. If yes, please specify which aspects these cover:  
*Tick boxes as appropriate*

<b>1. Development Control</b>	
<b>2. Regeneration &amp; Enhancement work</b>	
<b>3. HER/UAD provision</b>	
<b>4. Archaeological fieldwork</b>	
<b>5. Policy/Strategy formulation</b>	
<b>6. Education/Outreach</b>	
<b>7. Projects (please specify)</b>	
<b>8. Funding bids</b>	
<b>9. Other (please specify)</b>	

9. Does your authority use private sector suppliers to provide any aspects of its HE services? 1. Yes 2. No

10. If yes, please specify which aspects this covers  
*Tick boxes as appropriate*

<b>1. Development Control</b>	
<b>2. Regeneration &amp; Enhancement work</b>	
<b>3. HER/UAD provision</b>	
<b>4. Archaeological fieldwork</b>	
<b>5. Policy/Strategy formulation</b>	
<b>6. Education/Outreach</b>	
<b>7. Projects (please specify)</b>	
<b>8. Funding bids</b>	
<b>9. Other (please specify)</b>	

11. Does your service provide formal advice and/or services to other local authorities? 1. Yes 2. No

*If yes, please indicate how many local authorities and tick boxes below to indicate which services are provided*

<b>No. of LAs</b>	
-------------------	--

<b>1. Development Control</b>	
<b>2. Regeneration &amp; Enhancement work</b>	
<b>3. HER/UAD provision</b>	
<b>4. Archaeological fieldwork</b>	

<b>5. Policy/Strategy formulation</b>	
<b>6. Education/Outreach</b>	
<b>7. Projects (please specify)</b>	
<b>8. Funding bids</b>	
<b>9. Other (please specify)</b>	

## 2. Staff Profile

12. Please give details of the number of HE posts within your service

	<b>No. of staff (FTE)</b>
<b>1. Established HE posts (number of FTE staff)</b>	
<b>2. HE posts supported by external funding (e.g. EH, HLF)</b>	
<b>3. Dedicated administrative/ technical support</b>	
<b>4. Any other staff who routinely spend time delivering aspects of HE services</b>	

### **Salary**

13. Please provide the details requested below regarding HE staff in your service (Do not give names)

Staff member	Salary range	F/T or P/T	Length of time in post	Professional/Academic qualification	IHBC, ALGAO or IFA member (please specify)
1					
2					
3					
4					
5					
6					

Salary Range: 1. -15K 2. 15-20K 3. £21-25K 4. £26-30K 5. 30K-  
F/T or P/T to be expressed as a decimal e.g. 0.5

14. According to which standards/agreement is the salary scale for your service determined?

15. Do you feel that the salary scale set for HE staff at your authority reflect market value? 1. Yes 2. No

**Skills, Training & CPD**

16. What (if any) minimum entry requirement does your authority set for employment in an HE role?

17. Does the authority provide support for membership of a relevant professional body?  
1. Yes 2. No

18. Does your local authority actively support in–post professional/academic training? 1. Yes 2. No

19. Does the local authority support/provide in-service training/CPD in support of the Historic Environment? 1. Yes 2. No

20. If yes, who is the training aimed at?  
*Tick boxes as appropriate*

<b>Conservation staff</b>	
<b>Archaeology staff</b>	
<b>HER staff</b>	
<b>Planning Staff</b>	
<b>Councillors</b>	
<b>Others (please specify)</b>	

21. If there are no HE professionals within the local authority, who is the main provider of advice to the LPA on historic environment matters?

<b>1. DC staff</b>	
<b>2. Policy Staff</b>	
<b>3. County Council</b>	
<b>4. Private Sector suppliers</b>	
<b>5. Other</b>	

22. If private sector suppliers are used, how does the authority vet their competence?  
*Tick boxes as appropriate*

<b>Track Record</b>	
<b>Tender Submission</b>	
<b>Recommendation</b>	
<b>Interview</b>	
<b>Qualifications</b>	
<b>Other (please specify)</b>	

**Internal Influencing**

23. Within the local authority hierarchy, what is the position held by the leading HE professional in your service?

<b>1. 2<sup>nd</sup> tier</b>	
<b>2. 3<sup>rd</sup> tier</b>	
<b>3. 4<sup>th</sup> tier</b>	

*(1<sup>st</sup> tier= Chief Executive)*

24. Does the leading HE professional sit on the departmental/service area management committee? 1. Yes 2. No

25. Does the leading HE professional sit on the planning committee or equivalent decision making body 1. Yes 2. No

26. Does the leading HE professional have regular direct contact with elected members? 1. Yes 2. No

**3. Funding**

**Staff budget**

27. What was the local authority budget for HE staff within your service last year?

<b>Spending on HE staff (£K)</b>	
----------------------------------	--

28. Has your authority received any income or financial support from other sources for the employment of staff? 1. Yes 2. No

29. If yes, please specify the source and level of funding, and the nature of this arrangement (temporary/permanent)

<b>Source of funding</b>	<b>Level of funding (£)</b>	<b>Temporary/ Permanent</b>
Formalised arrangements with other LAs		
English Heritage		
Other Sources (please specify)		

### **Training budget**

30. Does your local authority have a budget for the training of HE staff?  
1. Yes 2. No

31. If yes, please specify

<b>Spending on HE staff training (£K)</b>	
---	--

32. Has your authority received any financial support from other sources for the training of HE staff? 1. Yes 2. No

33. If yes, please specify the source and level of funding, and the nature of this arrangement (temporary, permanent)

<b>Source of funding</b>	<b>Level of funding (£)</b>	<b>Temporary/ Permanent</b>
Formalised arrangements with other LAs		
English Heritage		
Other Sources (please specify)		

**Project Funding: Capital works and enhancement**

34. Please provide details of the source and level of funding for projects administered by your service, with regard to capital works, protection and conservation of buildings, townscapes, monuments, landscapes

*(e.g. EH grants for Urgent Works Notice and Acquisitions, HBMDL or Historic Environment Enabling Programme grants; HLF Townscape Heritage Initiatives; heritage-led regeneration initiatives etc.)*

1. less than £10k 2. £10-30K 3. £30-50k 4. £50-100K 5. £100K -250K 6. 250K+

Source of funding	1.	2.	3.	4.	5.	6.
Your Local Authority						
Other local authorities						
English Heritage						
HLF						
RDA						
Defra/Rural Development Service						
English Partnerships						
EU						
Private Developers						
Other (please specify)						

**Project Funding: Understanding & Managing**

35. Please provide details of the source and level of funding for all programmes or research projects administered by your HE service, which further understanding and management of the historic environment.

*(e.g. EH Historic Environment Enabling Programme; funding for enhancement of HERs/ UADs, Historic Landscape Characterisation, Conservation Area appraisals/ management plans, etc)*

1. less than £10k 2. £10-30K 3. £30-50k 4. £50-100K 5. £100K -250K 6. 250K+

Source of funding	1.	2.	3.	4.	5.	6.
Your Local Authority						
Other local authorities						
English Heritage						
HLF						
RDA						
Defra/Rural Development Service						
English Partnerships						
EU						
Private Developers						
Other (please specify)						

**Project Funding: Outreach & Education**

36. Please provide details of the source and level of funding for all education, outreach and community projects run by your HE service

(e.g. HLF Young Roots, Local Heritage Initiative; EH Historic Environment Enabling Programme etc)

1. less than £10k 2. £10-30K 3. £30-50k 4. £50-100K 5. £100K -250K 6. 250K+

Source of funding	1.	2.	3.	4.	5.	6.
Your Local Authority						
Other local authorities						
English Heritage						
HLF						
RDA						
Defra/Rural Development Service						
English Partnerships						
EU						
Private Developers						
Other (please specify)						

**4. Information Systems & Databases**

37. Does your authority have access to an HER? 1. Yes 2. No

38. Does your authority maintain an HER? 1. Yes 2. No

39. How regularly do you consult an HER in the course of your work?  
*Please choose an option from 1-6 below*

<b>1. Rarely</b>	<b>2. Once every 6 months</b>	<b>3. Once every 3 months</b>	<b>4. Once a month</b>	<b>5. Once every 2 weeks</b>	<b>6. Every week</b>

40. Please specify any additional techniques, information systems, or kinds of data that you use to support delivery and promote understanding of the historic environment.  
*Tick as appropriate below*

<b>UAD</b>	
<b>Historic Landscape Characterisation data/tools</b>	
<b>Paper/Electronic archives</b>	
<b>Photograph archive</b>	
<b>Specialist library</b>	
<b>Personal casework notes</b>	
<b>Personal knowledge</b>	
<b>Other (please specify)</b>	

## 5. Guidance

41. Who do you consult for expertise, guidance and support in the course of your work?

	1. Every week	2. Once every two weeks	3. Once a month	4. Once every 3 months	5. Once every 6 months	6. Rarely/ Never
Conservation/Historic Buildings colleagues						
Archaeology colleagues						
HER colleagues						
Parallel discipline colleagues						
Professionals at other LAs						
English Heritage						
HELM						
ALGAO						
IHBC						
CABE						
Regional bodies (e.g. RDA, Rural Development Service)						
Charitable Trusts/ Voluntary sector (e.g. NT, Heritage Link)						

Other (please specify)						
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42. Which sources of written guidance do you refer to in the course of your work?

	<b>1. Every week</b>	<b>2. Once every two weeks</b>	<b>3. Once a month</b>	<b>4. Once every 3 months</b>	<b>5. Once every 6 months</b>	<b>6. Rarely/ Never</b>
Internal LA						
Other LAs						
English Heritage						
HELM						
ALGAO						
IHBC						
CABE						
Regional bodies						
Charitable Trusts/Voluntary groups						
Other (please specify)						

43. How would you rate the quality of guidance that you receive from these sources?

	1. Excellent	2. Good	3. Fair	4. Poor	5. Very Poor	6. N/A
Internal LA						
Other LAs						
English Heritage						
HELM						
ALGAO						
IHBC						
CABE						
Regional bodies						
Charitable Trusts/Voluntary groups						
Other (please specify)						

## **6. HE Profile in Local Authority**

### **HEC**

44. Is there an elected Historic Environment Champion within the local authority? 1. Yes  
2.No

45. If yes, do you feel that this is successfully raising the profile of the historic environment in your authority? 1. Yes 2.No

### **Local Development Framework**

46. Have you been consulted for input to the Local Development Framework on historic environment issues? 1. Yes 2. No

47. If possible, briefly explain how HE issues are being addressed in the suite of documents that make up the LDF and the mechanisms through which HE issues are/will be covered in

the new framework policy (e.g. in the Core Strategy, via AAPs, SPDs, within the development control handbook as part of DPDs)

--

**Other Authority Plans/Strategies**

48. Have you been consulted for input to:

<b>Corporate Plan</b>	
<b>Community Strategy</b>	
<b>Cultural Strategy</b>	
<b>Other key authority documents (please specify)</b>	

49. Is the historic environment identified as a key priority in:

<b>Corporate Plan</b>	
<b>Community Strategy</b>	
<b>Cultural Strategy</b>	
<b>Other key authority documents (please specify)</b>	

**Quality of Internal Relationships**

50. Please grade the quality of working relationships between your services and the various internal parties indicated below. *Your answers will be treated in confidence.*

	<b>1. Excellent</b>	<b>2. Good</b>	<b>3. Fair</b>	<b>4. Poor</b>	<b>5. Very Poor</b>	<b>6. N/A</b>
<b>Conservation</b>						
<b>Archaeology</b>						

HER						
Planning						
Economic Development						
Building Control						
Highways						
Estates						
Housing						
Natural Environment						
Museums						
Culture/Leisure/ Tourism						
Education						
Social Services						
Environmental Health						
Fire Officer						
Policy/Performance/ Strategy						
Elected Members						

51. How would you rate the quality of the HE services offered by your authority? *Please tick as appropriate*

<b>1. Excellent</b>	<b>2. Good</b>	<b>3. Fair</b>	<b>4. Poor</b>	<b>5. Very Poor</b>	<b>6. N/A</b>

52. How would you rate the status accorded to specialist HE advice by colleagues in parallel disciplines (i.e. the advice given in determining applications)? *Please tick as appropriate*

<b>1. Excellent</b>	<b>2. Good</b>	<b>3. Fair</b>	<b>4. Poor</b>	<b>5. Very Poor</b>	<b>6. N/A</b>

53. How would you rate your own authorities' commitment to support of the historic environment? *Please tick as appropriate*

1. Excellent	2. Good	3. Fair	4. Poor	5. Very Poor	6. N/A

## **7. External relationships**

54. Please grade the quality of working relationships between your services and the various external parties indicated below. *Your answers will be treated in confidence.*

	1. Excellent	2. Good	3. Fair	4. Poor	5. Very Poor	6. N/A
<b>Other local authorities</b>						
<b>Other services</b> <b>Advisory</b>						
<b>Private suppliers</b> <b>sector</b>						
<b>Regional Assembly</b>						
<b>RDA</b>						
<b>Regional Cultural Consortium</b>						
<b>RHEF</b>						
<b>English Heritage</b>						
<b>HLF</b>						
<b>Amenity Societies</b>						
<b>Building Preservation Trusts</b>						
<b>Volunteer/Local History groups</b>						
<b>Local Residents/Community groups</b>						
<b>Owners</b>						

## B. MANAGEMENT OF THE HISTORIC ENVIRONMENT

### 1. Planning & balance of workload

55. How is the business and work of your service planned and prioritised?

*Tick boxes as appropriate*

<b>Annual Business Plan for HE service</b>	
<b>Heritage Strategy</b>	
<b>To meet corporate objectives/shared priorities</b>	
<b>Other (please specify)</b>	

56. Please indicate the approximate proportion of time HE staff currently spend on each of the following broad work areas. Please also indicate the proportion of time you feel that should be spent on these work areas.

<b>Key Work Areas</b>	<b>Approx. % actual time spent</b>	<b>Approx. % ideal time spent</b>
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#### **Protection & Conservation**

Development Control		
Enhancement & Regeneration		
Maintenance/Enhancement of HERs (UADs or other information systems)		
Historic Landscape Characterisation (EUS or similar)		
HE management plans/appraisals/strategies		
Strategic Planning Policy work		

Input to Cultural strategies/ Community strategies/corporate plans		
Business planning		

**Outreach & Education**

Schools Education		
Community Projects		

<b>Bidding for funding</b>		
<b>Personal &amp; Professional Development</b>		
<b>Other (please specify)</b>		
<b>Total</b>	<b>100%</b>	<b>100%</b>

**2. Service Throughput**

57. Please provide the quantitative data requested below regarding development control work:

	<b>No. of</b>
Planning applications received by the local authority	
Pre-application consultations	
Applications advised on by HE professionals	
Recommendations issued for below ground archaeological pre-determination assessments	
Project briefs or requirements for archaeological evaluation	
Project briefs or requirements for archaeological excavation or watching brief	

Project briefs of requirements for historic building recording	
Planning applications where a negative condition was recommended for below ground archaeology	
Planning applications where a negative condition was recommended for historic building recording	
Reports produced for the year which were initiated in response to impact assessment advice or planning conditions	

	No. of
Listed building consent applications determined	
Conservation Area consent applications determined	
Planning applications registered affecting Parks & Gardens/Historic battlefields etc	
Scheduled monument consent applications decisions	
Refusals given on historic environment grounds	

58. Please provide the quantitative data requested below regarding work caring for the built and natural environment:

	No of.
Article 4 Directions served related to conservation issues	
Enforcement notices served	
Prosecutions served	

Repair notices served	
Urgent works notices served	
Hedgerow Removal notices	
Consultations on design and access statements	
Consultations on projects involving historic buildings	

59. Please indicate the number of environmental schemes and assessments that your service has been consulted on or contributed to:

	<b>No. of</b>
Environmental Impact Assessments	
Farm Environment Plans (FEP) (for Higher Level Stewardship, Environmental Stewardship Schemes)	
Environmental Stewardship Schemes (in general)	
Strategic Environmental Assessments	
Shoreline Assessments	
Other	

60. Please indicate the number of strategies/management plans that your service has been consulted on or contributed to:

	<b>No. of</b>
Design briefs and urban design frameworks	
Land use strategies	
Management plans (buildings or areas)	

Area grant schemes	
Regeneration master plans	
Area, thematic or site specific planning guidance	

### **3. Landscape Characterisation**

61. What proportion of your local authority area is covered by landscape characterisation studies? *Please give an approximate percentage*

<b>% of local authority area</b>	
----------------------------------	--

### **4. Outreach & Education**

62. Please indicate which of the following educational/outreach activities that your service has undertaken this year? *Tick as appropriate*

<b>Promotional leaflets</b>	
<b>Exhibitions/events</b>	
<b>Guided walks</b>	
<b>Talks to local groups/amenity societies</b>	
<b>Education packages</b>	
<b>Community Research Projects</b>	
<b>Community Fieldwork Projects</b>	
<b>Heritage craft skills courses</b>	
<b>Councillor Training</b>	
<b>Officer Training</b>	
<b>Other (please specify)</b>	

### **5. Grant Schemes/Project Work**

#### **Local Authority Historic Environment Grants**

63. Does your authority operate a historic environment grant scheme?

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1. Yes 2. No

64. If yes, please indicate the budget for the local authority's Historic Environment Grants Scheme and the number of grants made this year

<b>Total authority budget</b>	
<b>No of grants made</b>	

**Projects Initiated**

65. Please indicate how many externally funded heritage projects have been initiated by your service this year, giving brief details of each

	<b>No. of projects</b>	<b>Brief details</b>
<b>Protection, Care &amp; Enhancement</b>		
<b>Understanding &amp; Managing</b>		
<b>Outreach/Education</b>		
<b>Other (please specify)</b>		

66. Please indicate how many jointly funded heritage projects have been initiated by your service this year, giving brief details of each

	<b>No. of projects</b>	<b>Brief details</b>
<b>Protection, Care &amp; Enhancement</b>		
<b>Understanding &amp; Managing</b>		
<b>Outreach/Education</b>		
<b>Other (please specify)</b>		

**C: QUALITY OF SERVICE**

**1. Performance Monitoring**

67. Does your authority collect data against national Best Value Performance Indicators for HE services? 1. Yes 2. No

68. If yes, please specify what these are:

BV157 E-government	
BV109 Planning applications within 8 weeks	
BV205 Quality of Planning Services Checklist	
BV219 Preserving the Special character of Conservation Areas	
Other (please specify)	

69. In relation to the national performance indicator BV219, please provide the information requested below regarding conservation areas:

No. of Conservation Areas currently designated your local authority	
No. of Conservation Areas with up-to-date appraisals	
No. of Conservation Areas with up-to-date management policies	

70. In relation to the national performance indicator BV157, please give detailed of targets reached.

71. Has your authority adopted other local performance indicators for it HE services? 1.Yes 2. No

72. If yes, please specify what these are:

73. Does your authority undertake surveys of customer satisfaction for its conservation service? 1. Yes 2. No

**2. Progress towards HPR**

**Local List**

74. Does your service maintain an up-to-date local list? 1.Yes 2. No

**Buildings at Risk register**

75. Does your service maintain an up-to-date Buildings at Risk register?  
1.Yes 2. No

**Heritage Consents**

76. Who currently processes LBC applications? *Tick as appropriate*

1. Historic Buildings professionals	2. DC staff with advice from HB professionals	3. DC staff	4. Other (Please specify)

**Heritage Partnership Agreements**

77. Is your service currently engaged in any Local Management Agreements? 1.Yes 2. No

**HER**

78. If your authority has access to or maintains an HER, is it online?  
1. Yes 2. No

79. Do you have plans to put you HER online? 1.Yes 2. No

80. If your authority has access to or maintains an HER, which kinds of assets are currently included on it?

<b>Terrestrial archaeology</b>	
<b>Marine archaeology</b>	
<b>HLC</b>	
<b>Historical ecology datasets</b>	
<b>Historic Buildings</b>	
<b>Historic areas</b>	
<b>Other (Please specify)</b>	

81. Is your service formally working towards EH benchmarks for HER standards 1. Yes 2. No

**Unified working between HE professionals**

82. At present, how regularly do providers of conservation services and providers of archaeological services to your local authority work directly together to delivery services/historic environment outcomes?

1. All the time	2. Frequently	3. Sometimes	4. Rarely	5. Never	6. N/A

83. Which specialist services do this partnering/skills sharing deliver on?

*Tick boxes as appropriate*

<b>Development Control</b>	
<b>Enhancement &amp; Regeneration work</b>	
<b>HER/UAD provision</b>	
<b>Archaeological fieldwork</b>	
<b>Policy/Strategy formulation</b>	
<b>Education/Outreach</b>	
<b>Projects (please specify)</b>	
<b>Funding bids</b>	
<b>Other (please specify)</b>	

**3. Heritage Counts**

84. Are you aware of *Heritage Counts*? 1. Yes 2. No

85. Have *Heritage Counts* research reports informed or altered your approach to delivery and support of the historic environment? 1. Yes 2. No

*If yes, please briefly explain how.*

86. Does your authority produce its own State of the Historic Environment Report? (Yes/No)

#### **4. HE outcomes**

##### **Funding Bids**

87. How many funding bids have been won by the local authority this year in which your service has played a part?

<b>Heritage specific projects</b>	
<b>Mainstream projects</b>	

##### **Buildings at Risk**

88. If your authority maintains a Buildings at Risk register, please indicate:

<b>No of buildings at risks</b>	
<b>No. of buildings removed from at risk register</b>	

89. How many buildings or what area of vacant floor space has been brought back into use?

<b>No of buildings</b>	
<b>Area of vacant floor space</b>	

90. Has this created any new jobs or new businesses? 1. Yes 2. No

*If yes, please specify how many:*

<b>No of jobs</b>	
<b>No. of businesses</b>	

##### **S106 enhancements**

91. In how many instances has enhancement of the historic environment been secured through S106 (and its successor)?

<b>No. of Enhancements secured through S106</b>	
---	--

##### **ESS**

92. How many sites/buildings have been improved with management from Defra's Environmental Stewardship Scheme?

<b>No. of sites/buildings improved via ESS</b>	
--	--

**Outreach & Education**

93. Please indicate how many users have consulted your HER in the year 2004/5

<b>No. of HER users</b>	
-------------------------	--

94. Have you developed programmes/packages to enable educational use of your HER? 1. Yes 2. No

95. Which groups do your outreach activities currently focus on?

<b>Schools</b>	
<b>Wider Community</b>	
<b>Local History/Archaeology/ Volunteer groups</b>	
<b>Elderly</b>	
<b>Young Offenders</b>	
<b>Unemployed</b>	
<b>Other (please specify)</b>	

**General Comments**

If you would like to make any additional comments not covered by the questionnaire, please use this space.

## APPENDIX 2

### MODEL 2

#### HISTORIC ENVIRONMENT LOCAL DELIVERY QUESTIONNAIRE

Name & Address of authority	
Telephone Number	
Fax Number	
Email Address	
Name of person completing questionnaire	
Position in Authority/Job Title	

#### Notes for completion of questionnaire

1. The information you provide in response to this questionnaire will contribute to annual state of the environment reports. These reports identify the principal trends affecting the historic environment and the threats, challenges and opportunities faced by those responsible for managing it. This will also inform the strategic direction of national bodies and professional groups concerned with the historic environment.
2. Please try to provide an answer to **all** questions even if it is a 'nil' or 'not applicable' response.
3. Unless otherwise stated all statistics should be quoted as at 31<sup>st</sup> March 2005 or for the immediately preceding financial or calendar year.
4. For the purposes of this survey the definition of an 'Historic Environment professionals' is somebody whose primary responsibilities include protection, management, exploitation and promotion of the historic environment, and provision of expertise with regard to below-ground archaeology, listed buildings, conservation areas, historic landscapes and the historic environment in a local authority context.

## A: SERVICES DELIVERED

### 1. Protection & Conservation

#### Services Provided

1. Which of the following services for the protection and conservation of the Historic Environment does your service provide? *Please tick boxes as appropriate*

Development Control	
Enhancement & Regeneration	
Maintenance/Enhancement of HERs (UADs, other information systems)	
Historic Landscape Characterisation (EUS or similar)	
HE management plans/appraisals/strategies	
Strategic Planning Policy work	

#### Service Throughput

2. Please provide the quantitative data requested below regarding development control-related service throughput:

	No. of
Planning applications received by the local authority	
Pre-application consultations	
Applications advised on by HE professionals	
Recommendations issued for below ground archaeological pre-determination assessments	
Project briefs or requirements for archaeological evaluation	

Project briefs or requirements for archaeological excavation or watching brief	
Project briefs of requirements for historic building recording	
Planning applications where a negative condition was recommended for below ground archaeology	
Planning applications where a negative condition was recommended for historic building recording	
Reports produced for the year which were initiated in response to impact assessment advice or planning conditions	

	No. of
Listed building consent applications determined	
Conservation Area consent applications determined	
Planning applications registered affecting Parks & Gardens/Historic battlefields etc	
Scheduled monument consent applications decisions	
Refusals given on historic environment grounds	

3. Please provide the quantitative data requested below regarding work caring for the built and natural environment:

	No of.
Article 4 Directions served related to conservation issues	

Enforcement notices served	
Prosecutions served	
Repair notices served	
Urgent works notices served	
Hedgerow Removal notices	
Consultations on design and access statements	
Consultations on projects involving historic buildings	

4. Please indicate the number of environmental schemes and assessments that you service has been consulted on or contributed to:

	No. of
Environmental Impact Assessments	
Farm Environment Plans (FEP) (for Higher Level Stewardship, Environmental Stewardship Schemes)	
Environmental Stewardship Schemes (in general)	
Strategic Environmental Assessments	
Shoreline Assessments	
Other	

5. Please indicate the number of strategies/management plans that your service has been consulted on or contributed to:

	No. of
Design briefs and urban design frameworks	

Land use strategies	
Management plans (buildings or areas)	
Area grant schemes	
Regeneration master plans	
Area, thematic or site specific planning guidance	

6. Have you been consulted for input to the Local Development Framework on historic environment issues? 1. Yes 2. No

7. If possible, briefly explain the mechanisms through which HE issues are to be covered in the new policy framework (e.g. as part of Core Strategy, via AAPs, SPDs, within DC handbook)

**Projects**

8. Does your authority operate a Historic Environment Grant Scheme?

1. Yes 2. No

9. If yes, please indicate the budget for it and the number of grants made this year

<b>Total authority budget</b>	
<b>No of grants made</b>	

10. How many projects have been initiated this year by your service for the protection & conservation of the HE? Please include brief details of each project, amount and sources of funding (e.g. jointly funded, externally funded; by whom?)

<b>Project Details</b>	<b>Source of funding</b>	<b>£ (K)</b>

## Performance Monitoring

11. Does your authority collect data against national Best Value Performance Indicators for your work in protection and conservation of the historic environment? 1. Yes 2. No

12. If yes, please specify what these are:

<b>BV157 E-government</b>	
<b>BV109 Planning applications within 8 weeks</b>	
<b>BV205 Quality of Planning Services Checklist</b>	
<b>BV219 Preserving the Special character of Conservation Areas</b>	
<b>Other (please specify)</b>	

13. Do HE services work towards any other specific local performance indicators, corporate objectives or service targets in relation to protection and conservation of the historic environment? 1. Yes 2. No

14. If yes, please specify which and provide brief details:

<b>PI/objectives</b>	<b>Y/N</b>	<b>Brief details</b>
Best Value Performance Plan		
Corporate Plan		
Community Strategy		
Shared Priorities		
Service objectives		
Other (Please specify)		

15. In relation to the national performance indicator BV219, please provide the information requested below regarding conservation areas:

<b>No. of Conservation Areas currently designated your local authority</b>	
<b>No. of Conservation Areas with up-to-date appraisals</b>	
<b>No. of Conservation Areas with up-to-date management policies</b>	

### Outcomes

#### Funding Bids

16. How many funding bids have been won by the local authority this year in which your service has played a part, as protector and conservator of the HE?

<b>Heritage specific projects</b>	
<b>Mainstream projects</b>	

#### Local List

17. Does your authority maintain an up-to-date Local List? 1. Yes 2. No

#### Buildings at Risk

18. Does your authority maintain an up-to-date Buildings at Risk register?

1. Yes 2. No

19. If your authority maintains a Buildings at Risk register, please indicate:

<b>No of buildings at risks</b>	
<b>No. of buildings removed from at risk register</b>	

20. How many buildings or what area of vacant floor space has been brought back into use?

<b>No of buildings</b>	
<b>Area of vacant floor space</b>	

21. Has this created any new jobs or new businesses? 1. Yes 2. No

*If yes, please specify how many:*

<b>No of jobs</b>	
<b>No. of businesses</b>	

#### S106 enhancements

22. In how many instances has enhancement of the historic environment been secured through S106 (and its successor)?

<b>No. of Enhancements secured through S106</b>	
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ESS

23. How many sites/buildings have been improved with management from Defra's Environmental Stewardship Scheme?

<b>No. of sites/buildings improved via ESS</b>	
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## **2. Outreach & Education**

### **Services Provided**

24. Which of the following educational/outreach activities has your service has undertaken this year? *Please tick boxes as appropriate*

	<b>No. of</b>
Promotional leaflets	
Exhibitions/events	
Guided walks	
Talks to local groups/amenity societies	
Education packages	
Schools Projects	
Community Research Projects	
Community Fieldwork Projects	
Heritage craft skills courses	
Councillor Training courses	
Officer Training courses	
Other (please specify)	

25. If your authority maintains an HER, is it available online? 1. Yes 2. No

26. If no, do you have plans to put your HER online? 1. Yes 2. No

27. Have you developed programmes/packages to enable educational use of your HER? 1. Yes 2. No

### **Projects**

28. How many projects exploiting the historic environment as an outreach/educational resource have been initiated this year by your service? Please include brief details of each project, amount and all internal and external sources of funding

<b>Project Details</b>	<b>Source of funding</b>	<b>£ (K)</b>

**Performance Monitoring**

29. Does your authority collect data against national performance indicators for your work exploiting the historic environment for outreach/educational purposes? 1. Yes 2. No

30. If yes, please specify what these are:

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31. Do HE services work towards any other specific local performance indicators, corporate objectives or service targets in relation to educational/outreach activities? 1. Yes 2. No

32. If yes, please specify which and provide brief details:

<b>PI/objectives</b>	<b>Y/N</b>	<b>Brief details</b>
Best Value Performance Plan		
Corporate Plan		

Community Strategy		
Shared Priorities		
Service objectives		

**Outcomes**

33. How many funding bids for educational/outreach projects have been won by the local authority this year in which your service has played a part?

<b>Heritage specific projects</b>	
<b>Mainstream projects</b>	

34. Please indicate how many users have consulted your HER in the year 2004/5

<b>No. of HER users</b>	
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35. Which groups have your outreach activities focused on this year?

<b>Schools</b>	
<b>Wider Community</b>	
<b>Local History/Archaeology/ Volunteer groups</b>	
<b>Elderly</b>	
<b>Young Offenders</b>	
<b>Unemployed</b>	
<b>Other (please specify)</b>	

## B: CAPACITY TO DELIVER

### 1. Service Structure

36. Where does your service sit within the local authority structure? *Please indicate the title of your service and the department and directorate within which it sits*

<b>Service</b>	
<b>Department</b>	
<b>Directorate</b>	

37. Does your authority formally procure HE services from outside the local authority to provide any aspects of its HE services? 1.Yes 2.No

38. If yes, please indicate which aspects, and the sources from which provision is procured.  
*Tick boxes as appropriate*

	<b>Other LA</b>	<b>Other advisory service</b>	<b>Private Sector Supplier</b>
1. Development Control			
2. Regeneration & Enhancement work			
3. HER/UAD provision			
4. Archaeological fieldwork			
5. Policy/Strategy formulation			
6. Education/Outreach			
7. Projects (please specify)			
8. Funding bids			

9. Other (please specify)			

39. Does your service provide formal advice and/or services to other local authorities? 1. Yes 2. No

40. If yes, please indicate how many and indicate which services are provided

<b>No. of LAs</b>	
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1. Development Control	
2. Regeneration & Enhancement work	
3. HER/UAD provision	
4. Archaeological fieldwork	
5. Policy/Strategy formulation	
6. Education/Outreach	
7. Projects (please specify)	
8. Funding bids	
9. Other (please specify)	

## **2. Staff Profile**

41. Please give details of the number of HE posts within your service and sources and level of funding for them.

	<b>No. of staff (FTE)</b>	<b>LA funding £K</b>	<b>Funding via formalised arrangement with other LAs £K</b>	<b>EH funding £K</b>	<b>Other sources £K (please specify)</b>
1. Established HE posts (number of					

FTE staff)					
2. Dedicated administrative/ technical support					
3. Any other staff who routinely spend time delivering aspects of HE services					

42. Please provide the details requested below regarding HE staff in your service (Do not give names)

Staff member	Salary range	F/T or P/T	Length of time in post	Professional/Academic qualification	IHBC, ALGAO or IFA member (please specify)
1					
2					
3					
4					
5					
6					

### Skills, Training & CPD

43. Does the authority provide support for membership of a relevant professional body? 1. Yes 2. No

44. Does the authority support in-service training/CPD in support of the HE?

1. Yes 2. No

45. If yes, what sources of funding support this training?

	£K
LA funding	

£K	
Funding via formalised arrangement with other LAs £K	
EH funding £K	
Other sources £K (please specify)	

46. If there are no HE professionals within the local authority, who is the main provider of advice to the LPA on historic environment matters?

1. DC staff	
2. Policy Staff	
3. County Council	
4. Private Sector suppliers	
5. Other	

47. Who currently processes LBC applications? *Tick as appropriate*

1. Historic Buildings professionals	2. DC staff with advice from HB professionals	3. DC staff	4. Other (Please specify)

48. Is your service currently involved in any Local Management Agreements administered by the LA? 1. Yes 2. No

#### Internal Influencing

49. Does the leading HE professional sit on the departmental/service area management committee? 1. Yes 2. No

50. Does the leading HE professional sit on the planning committee or equivalent decision making body 1. Yes 2. No

51. Does the leading HE professional have regular direct contact with elected members? 1. Yes 2. No

52. Is there an elected HE Champion within the LA? 1. Yes 2. No

**3. Information Systems**

53. Does your authority have access to an HER? 1. Yes 2. No

54. Does your authority maintain an HER? 1. Yes 2. No

55. How regularly do you consult an HER in the course of your work?  
Please choose an option from 1-6 below

<b>1. Rarely</b>	<b>2. Once every 6 months</b>	<b>3. Once every 3 months</b>	<b>4. Once a month</b>	<b>5. Once every 2 weeks</b>	<b>6. Every week</b>

56. If your authority has access to or maintains an HER, which kinds of assets are currently included on it?

<b>Terrestrial archaeology</b>	
<b>Marine archaeology</b>	
<b>HLC</b>	
<b>Historical ecology datasets</b>	
<b>Historic Buildings</b>	
<b>Historic areas</b>	
<b>Other (Please specify)</b>	

57. Is your service formally working towards EH benchmarks for HER standards 1.Yes 2. No

58. Please specify any additional techniques, information systems, or kinds of data that you use to support delivery and promote understanding of the historic environment. *Tick as appropriate below*

<b>UAD</b>	
<b>Historic Landscape</b>	

<b>Characterisation data/tools</b>	
<b>Paper/Electronic archives</b>	
<b>Photograph archive</b>	
<b>Specialist library</b>	
<b>Personal casework notes</b>	
<b>Personal knowledge</b>	
<b>Other (please specify)</b>	

#### **4. Guidance**

59. Who do you consult for expertise, guidance and support in the course of your work?

	<b>1. Every week</b>	<b>2. Once every two weeks</b>	<b>3. Once a month</b>	<b>4. Once every 3 months</b>	<b>5. Once every 6 months</b>	<b>6. Rarely/ Never</b>
Conservation/Historic Buildings colleagues						
Archaeology colleagues						
HER colleagues						
Parallel discipline colleagues						
Professionals at other LAs						
English Heritage						
HELM						

ALGAO						
IHBC						
CABE						
Regional bodies (e.g. RDA, Rural Development Service)						
Charitable Trusts/ Voluntary sector (e.g. NT, Heritage Link)						
Other (please specify)						

60. How would you rate the quality of guidance that you receive from these sources?

	<b>1. Excellent</b>	<b>2. Good</b>	<b>3. Fair</b>	<b>4. Poor</b>	<b>5. Very Poor</b>	<b>6. N/A</b>
Conservation/Historic Buildings colleagues						
Archaeology colleagues						
HER colleagues						
Parallel discipline colleagues						
Professionals at other LAs						
English Heritage						
HELM						
ALGAO						
IHBC						

CABE						
Regional bodies (e.g. RDA, Rural Development Service)						
Charitable Trusts/ Voluntary sector (e.g. NT, Heritage Link)						
Other (please specify)						

**5. Internal Relations**

61. How regularly do providers of conservation services and providers of archaeological services to your local authority work directly together to delivery services/historic environment outcomes?

1. All the time	2. Frequently	3. Sometimes	4. Rarely	5. Never	6. N/A

62. Which specialist services do this partnering/skills sharing deliver on?  
Tick boxes as appropriate

<b>Development Control</b>	
<b>Enhancement &amp; Regeneration work</b>	
<b>HER/UAD provision</b>	
<b>Archaeological fieldwork</b>	
<b>Policy/Strategy formulation</b>	
<b>Education/Outreach</b>	
<b>Projects (please specify)</b>	
<b>Funding bids</b>	

<b>Other (please specify)</b>	

63. Please grade the quality of working relationships between your services and the various internal parties indicated below. *Your answers will be treated in confidence.*

	<b>1. Excellent</b>	<b>2. Good</b>	<b>3. Fair</b>	<b>4. Poor</b>	<b>5. Very Poor</b>	<b>6. N/A</b>
<b>Conservation</b>						
<b>Archaeology</b>						
<b>HER</b>						
<b>Planning</b>						
<b>Economic Development</b>						
<b>Building Control</b>						
<b>Highways</b>						
<b>Estates</b>						
<b>Housing</b>						
<b>Natural Environment</b>						
<b>Museums</b>						
<b>Culture/Leisure/ Tourism</b>						
<b>Education</b>						
<b>Social Services</b>						
<b>Environmental Health</b>						
<b>Fire Officer</b>						
<b>Policy/Performance/ Strategy</b>						
<b>Elected Members</b>						

64. How would you rate your own authorities' commitment to support of the historic environment? *Please tick as appropriate*

1. Excellent	2. Good	3. Fair	4. Poor	5. Very Poor	6. N/A

### **6. External Relations**

65. Please grade the quality of working relationships between your services and the various external parties indicated below. *Your answers will be treated in confidence.*

	1. Excellent	2. Good	3. Fair	4. Poor	5. Very Poor	6. N/A
<b>Other local authorities</b>						
<b>Other Advisory services</b>						
<b>Private sector suppliers</b>						
<b>Regional Assembly</b>						
<b>RDA</b>						
<b>Regional Cultural Consortium</b>						
<b>RHEF</b>						
<b>English Heritage</b>						
<b>HLF</b>						
<b>Amenity Societies</b>						
<b>Building Preservation Trusts</b>						
<b>Volunteer/Local History groups</b>						
<b>Local Residents/Community groups</b>						
<b>Owners</b>						

### **General Comments**

If you would like to make any additional comments not covered by the questionnaire, please use this space.