

# Report to Development Control Committee

Agenda  
Item:  
**A.3**

Meeting Date: 30th August 2013  
Portfolio: Economy and Enterprise  
Key Decision: No  
Within Policy and  
Budget Framework Yes  
Public / Private Public

Title: GUIDANCE NOTES - HISTORIC ENVIRONMENT  
Report of: Director of Economic Development  
Report Number: ED 23/13

**Purpose / Summary:** Publication of guidance in two leaflets relating to the historic environment: 'Listed Buildings – A guide for owners and occupiers' and 'Windows and Doors in Historic Buildings – A guide for owners and occupiers for listed buildings and conservation areas'

**Recommendations:** That the two guidance leaflets are approved for planning officer use and made available as advisory notes to the public.

## Tracking

Executive:	
Overview and Scrutiny:	
Council:	

## **1. BACKGROUND**

- 1.1** The Planning (Listed Buildings and Conservation Areas) Act 1990 imposes a duty on Local Authorities to designate as conservation areas any "areas of special architectural or historic interest, the character or appearance of which it is desirable to preserve or enhance". The Act emphasises that the appraisal and designation of conservation areas are not to be considered ends in themselves. The City Council is tasked with the safeguarding and enhancement of Conservation Areas of which there are 19 in the District and part of this could be said to be the dissemination of appropriate advice to owners and occupiers of historic buildings regarding the protection and restoration of the fabric of their property.
- 1.2** Listed buildings are buildings of special historic or architectural interest which have been recorded by the Department for Culture, Media and Sport. Buildings on the list are graded I, II\* and II, Grade I being the most important. Listed Building Consent is required for virtually any proposals which result in change. Applications affecting Grades I and II\* listed buildings and those involving demolition are required to be referred to the Secretary of State for Culture, Media and Sport.
- 1.3** Internal and external works to listed buildings may require listed building consent. Listed Building Consent is required for repairs alterations and/or extensions which materially alter the appearance, structure or historic interest of a listed building. This is in addition to any requirement for planning permission for a proposal.
- 1.4** There are over 1500 listed buildings in the Carlisle City Council area. Again, the dissemination of appropriate advice to owners and occupiers of listed buildings assists in the preservation of these buildings.

## **2. PROPOSALS**

- 2.1** Two draft leaflets have been produced - 'Listed Buildings – A guide for owners and occupiers' and 'Windows and Doors in Historic Buildings – A guide for owners and occupiers for listed buildings and conservation areas'. These contain basic information regarding the protection of historic buildings, and design advice for owners to enable them to consider appropriate measures in the maintenance of their building or the replacement of building elements.

**2.2** The information within the leaflets is a combination of advice regarding the statutory requirements relating to either listed buildings or conservation areas, and advisory guidance on the preservation or enhancement of the character of historic buildings.

**2.3** The leaflet 'Windows and Doors in Historic Buildings' updates and formalises an existing A4 note which has been used informally as a guidance tool for a number of years.

### **3. CONSULTATION**

**3.1** Consultation has been carried out with officers in Development Management and Planning Policy regarding the accuracy and accessibility of the guidance notes.

### **4. CONCLUSION AND REASONS FOR RECOMMENDATIONS**

**4.1** The guidance notes set out in brief existing national legislation regarding conservation areas and listed buildings in a digestible and accessible format.

**4.2** The leaflet 'Windows and Doors in Historic Buildings' updates an existing un-illustrated A4 note which has been used informally by Conservation Officers for several years.

**4.3** The leaflets summarise advice frequently given verbally and allow for a more consistent approach to disseminating this advice to the public.

### **5. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES**

**5.1** Helps create a pleasant environment in which to live and work and engendering a pride in place.

**Contact Officer: Roger Higgins**

**Ext: 7077**

#### **Appendices**

#### **attached to report:**

- Listed Buildings – *A guide for owners and occupiers*
- Windows and Doors in Historic Buildings – *A guide for owners and occupiers for listed buildings and conservation areas*

**Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers: None**

## **CORPORATE IMPLICATIONS/RISKS:**

**Chief Executive's - None**

**Community Engagement – None**

**Economic Development – None**

**Governance – None**

**Local Environment – None**

**Resources - None**



# LISTED BUILDINGS

a guide for owners and occupiers



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Historic buildings are a major part of our national heritage, held in trust for future generations. Since 1932, various Acts of Parliament have been passed with the intention of helping to preserve these buildings.

This leaflet briefly explains the responsibilities for owners and occupiers of listed buildings.

## What is a listed building?

A listed building is one included on a list made by the Secretary of State for National Heritage. It includes buildings and other structures which are of special architectural or historic interest. All buildings built before 1700 which survive close to their original condition are included. Most buildings dating between 1700 and 1840 will qualify. After that, selection is needed. Only buildings of definite quality are on the list. This applies even more to buildings built after 1914.

There are three grades showing the importance of listed buildings:

- Grade 1 of exceptional interest.
- Grade II\* of particular importance and perhaps containing outstanding features.
- Grade II of special interest which warrant every effort being made to preserve them.



The grade of each building is based on a number of factors which include:

- The building's age and the extent to which original features have survived.
- The originality of its design, particularly where innovative techniques and materials have been used.
- If it is a documented work by an important architect.
- If it is associated with important historic or social events. The term "building" in this sense can mean any structure ranging from a Cathedral to a milestone.

## Restrictions

If you want to do work which affects the character of a listed building, ranging from demolition to internal alteration, you must get listed building consent (LBC). The whole of a listed building is protected, externally and internally. Consent is required before such internal features as staircases, fireplaces and doors can be removed, repositioned or altered.

Listed building control extends to:

- o any object or structure fixed to the building
- o any structure or object built before the 1st July 1948 relating to and forming (or which once formed) an integral part of the curtilage of a listed building. e.g. outhouses, greenhouses, garden walls, barns, farm outbuildings, stables and statues.

## Caring for a Listed Building

Like any building, a listed building requires care and maintenance and individual owners are responsible for this. It should be noted that listed buildings are frequently constructed with materials and methods that differ somewhat from those employed in most modern construction. Repairs and maintenance of the building should be carried out in sympathy with these methods – indeed some modern building approaches may actively cause harm to a traditionally constructed building and use of such methods might trigger the need to apply for listed building consent. For example, most pre 1919 buildings will have been constructed using a lime mortar and will have been lime plastered internally.

Use of some modern materials may be both visually inappropriate and can sometimes actively cause a building to deteriorate, e.g. Re-pointing of brick or stonework in cement pointing can accelerate the decay the stone/brick and can cause damp within the building fabric.

Although traditional materials can be more expensive, this is not necessarily true. Where the use of particular traditional materials is required, these are often likely to last significantly longer than modern materials, will save you the cost often incurred by the consequences of having used modern materials on a traditionally built house, and are usually more sustainable.



▲ Accelerated decay of bricks caused by inappropriate cement pointing

## Repairs

If you own a listed building you are encouraged to keep it in reasonable repair. Repair works carried out on a like for like basis do not normally need listed building consent. Listed buildings which are left unoccupied and fall into a state of disrepair may, be repaired by the City Council and the cost of these repairs will be recovered from the owner. Where a listed building is deliberately neglected, we can serve a Repairs Notice. This will specify the work needed to bring the building up to reasonable condition and give a time limit for carrying it out.



◀ Removal of cement pointing and replacement with lime pointing, St Giles Church, Great Orton – image Copyright NECT



◀ Window repairs on Castle Street

## Making an application

To apply for listed building consent you need a special form from our Development Management team. It is a separate procedure from a planning application, as sometimes listed building consent is needed when planning permission is not necessary.

Carlisle City Council works in partnership with the Planning Portal to provide an online application service. We prefer electronic submission of planning applications but applications can also be sent in the post.

You can apply for planning permission through the Planning Portal (<http://www.planningportal.gov.uk>) which will also let you:

- Create a site location plan (compulsory for all applications)
- Attach supporting documents (such as plans or photographs)
- Pay the application fee online.

If you wish to apply online, then please visit

**<http://www.planningportal.gov.uk>.**

Every planning application needs a site location plan and block plan showing the location and boundaries of the site you are planning to work on. The most common reason for planning applications being rejected is that the accompanying plans are invalid.



Example of plans for an application.



You can use the Planning Portal “Buy a Plan” (<http://www.planningportal.gov.uk>) service to ensure that you meet our requirements.

Paper copies of site location plans can also be obtained from **Carlisle Library, 11 Globe Lane, Carlisle, CA3 8NX**  
Tel: **01228 607310** Fax: **01228 607333**  
Email: **[carlisle.library@cumbriacc.gov.uk](mailto:carlisle.library@cumbriacc.gov.uk)**

## Penalties

Anyone doing alterations, extensions or demolition work, without getting listed building consent, is guilty of an offence. They could get a large fine and/or period of imprisonment. Ignorance of the listed status of the building in question is not a valid defence. Even if the work is considered reasonable, it is still a criminal offence to carry out work to a listed building unless it has been authorised.

The only time work may be allowed in advance of granting listed building consent is when it is essential for public safety. This is not easy to prove, and usually a Dangerous Structure notice has to be served. Even then you must apply for listed building consent before doing the work the notice requires.

## Design and Access Statements/Heritage Statements

A Design and Access statement is usually required when making a planning application. This is an opportunity for an applicant to explain the reasoning and design approach behind a proposal, and to show how the application addresses issues of design and access. This might include both the design of a proposal, and a description of how this design relates to its context. In a listed building consent application, an applicant is required to submit a 'heritage statement' – It may be possible to combine the two under a joint heading.

The scope and degree of detail necessary in a Heritage Statement will vary according to the particular circumstances of each application. Applicants are advised to discuss proposals with either a planning officer or a conservation officer before any application is made. We advise that any planning application affecting a heritage asset contains a heritage statement which contains the following information:

- Assessment of significance
- Assessment of impact on significance
- Justification for works.

Below are some suggestions as to the sorts of issues you might consider in producing a heritage statement.



## **Assessment of significance**

- Basic information about the listed building or conservation area
- Grade of listed building and listed building description (Grade II, Grade II\*, Grade I)
- Date of building
- Name of architect/builder (if known)
- Description of features of the building
- Name and character of the conservation area (if relevant)
- Its contribution to the setting of the listed building or conservation area (if relevant)
- Description of the significance of specific part affected by proposal.

## **Heritage impact assessment**

- An assessment of impact the proposal will have upon the heritage asset (Listed building or conservation area)
- Will the proposal harm, enhance or preserve the significance of the heritage asset?
- How will the proposal impact upon the heritage asset?  
Justification
- Demonstrate why the works required
- If harmful impact, what is public benefit, e.g. securing optimum viable use of heritage asset in interests of its long-term conservation?
- Are there alternatives which would cause less or no harm?
- The more the harm, the greater the justification needed.

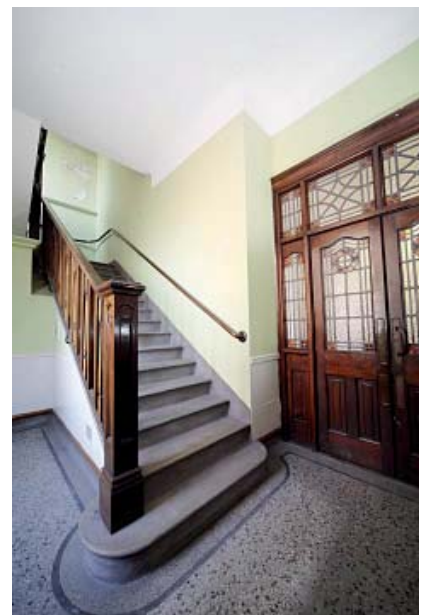
## VAT exemption

Prior to the 2012 budget, works requiring listed building consent were exempt from VAT. This is now no longer the case and works to listed buildings now attract VAT at the normal rate.

## Other provisions of listed building legislation

**Building Preservation Notice:** this can be served by the City Council if we think that a non-listed building is at risk. It works, in effect, by 'listing' the building for six months. After this time it must be confirmed as a listed building by the Secretary of State as the notice will no longer apply.

**Listed Building Purchase Notice:** if you are refused listed building consent or feel the conditions imposed are so restrictive that the land and buildings are 'incapable of reasonably beneficial use' you can ask the City Council to buy the building from you. In serving this notice you will need professional advice, as certain rules apply.



▲ Carlisle Methodist Central Hall D&H Photographers



**Immunity from listing:** this can be sought and, if granted, will last for five years. Applications for certificate of immunity must be made directly to the Secretary of State for National Heritage.

▼ Cathedral grounds



▼ Floor at Victoria Place



▼ Coving at Victoria Place



## Useful addresses

**The Society for the Protection of Ancient Buildings**  
**37 Spital Square**  
**London**  
**E1 6DY**

 **020 7377 1644 020 7247 5296**

 **info@spab.org.uk**

 **www.spab.org.uk**

**English Heritage**  
**3rd Floor Canada House**  
**3 Chepstow Street**  
**Manchester**  
**M1 5FW**

 **0161 242 1400**  
**0161 242 1401**

 **northwest@english-heritage.org.uk**

 **http://www.english-heritage.org.uk**

### **Planning Portal**

 **http://www.planningportal.gov.uk**

Listed building legislation is there to protect the country's heritage. It is worth taking care and getting skilled advice. It can be expensive to go it alone, as you can be made to alter work already carried out if it is not satisfactory.

If you would like a copy of this document in another format such as large print, Braille, audio or in a different language please call **01228 817200** or email **customerservices@carlisle.gov.uk**.





# WINDOWS AND DOORS IN HISTORIC BUILDINGS

a guide for owners and occupiers for listed buildings and conservation areas



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▲ Georgian door with cast iron fanlight above.



▲ Traditional bay window with sashes.

# Windows

Windows and doorways have a significant impact upon the character and appearance of any building through their form, scale and detailing. When the original windows or doors of a historic building are altered or removed an important element of the building's history is lost and the original character of the property is compromised.

This is extremely important not only with regards to Listed Buildings but to all historic buildings, notably those within Conservation Areas. As a local planning authority we have a duty to preserve and enhance the character and appearance of historic buildings and their setting.

This guidance note provides advice on windows and doorways in historic buildings and outlines when permission is required for repair and/or replacement, what will be acceptable and what plans and drawings are required to submit an application.



▲A consistent approach to windows in a terrace can help preserve its visual integrity and enhance the value of properties. These are unlisted buildings in the conservation area in Brampton.



# Is planning permission required?

**Listed Buildings:** If your property is Listed then you will require consent to replace or alter the windows or doors. Listed Building Consent is required for any alterations that would affect the building's character and form. Any alterations to the original design, materials, glazing or opening methods will require consent.

**Conservation Areas:** In Conservation Areas planning permission will not normally be required for the replacement of windows in a single dwelling house. Planning Permission will however be required for proposals relating to flats and commercial properties as well properties situated within particularly sensitive areas such as Article 4 Areas (Stanwix Conservation Area).

If you live in a Conservation Area but your property is not listed, you are encouraged to consider this guidance in order to preserve the character and appearance of your property and its setting for future generations to enjoy.

If you are in any doubt as to whether you require permission please contact Planning Services to discuss your proposals.



▲ New timber vertical sliding sash window with dimensions to match the original joinery.

## Should windows be repaired or replaced?

Traditional windows and doors should always be repaired and retained wherever possible as they represent a finite resource of historic material that when lost cannot be replaced. Replacement should always be a last resort and will only be considered acceptable if the original windows/doors have deteriorated beyond practicable economic repair. If the building is listed, neglect of basic maintenance will not justify replacement.

In many cases window replacement is sought to increase insulation and reduce heat loss. In these instances it is often more cost effective to fit weather strips to combat draughts and also increase noise insulation, ease rattling and improve the operation of the windows. In instances when this is not sufficient, secondary double glazing in a removable inner frame may be appropriate. No consent is required for this.

## What will be acceptable for a replacement?

If the traditional windows are beyond economic repair then like-for-like replacement may be acceptable. Replacement windows should preserve the character of the building. In such instances, the original design should normally be reproduced as closely as possible including details such as:

- overall design and appearance (i.e. casement/sash, horns, number and scale of glass panels)
- frame moulding
- glazing bar profile
- method of opening, hanging and fixing



- position within the opening i.e. window frames should not be brought flush with the opening if they were originally designed to be recessed

**Materials & Finishes:** Window frames should be high quality, joinery grade timber. All external joinery should usually be painted with an appropriate joinery paint system.

**Glazing:** All original glass should be carefully removed and retained for re-use where possible. Replacement with modern sheet glass will materially alter the appearance of the window and will not be acceptable. In a listed building where the original glass can not be reused horticultural glass can be used in replacement sashes and casements as it displays some of the imperfections found in old glass which gives the glass its unique character. Glazing should be held in place externally using putty rather than beads.



▲ Fanlight over door in Victorian terrace, Portland Square.

**Glazing Bars:** Glazing bars traditionally formed a key part of the structural integrity of the window. False glazing bars applied to the window is usually very unconvincing and should generally be avoided in any window or door installation.

**Ironmongery:** In Listed buildings, the ironmongery may form part of the character of the door or window and is expected to be retained.



▲A sash window is designed to be easily removed for painting/maintenance.

## What materials should be avoided and why?

The use of the following materials should be avoided for the replacement of windows on historic buildings:

**PVCu:** PVCu is not a traditional vernacular material and current design quality makes its installation unacceptable in listed buildings. Some PVCu designs make an acceptable approximation of traditional sash windows and can be acceptable in conservation areas where buildings are neither Listed nor protected by an Article 4 direction, in preference to more poorly designed PVCu alternatives. A well-designed PVCu window is shown on page opposite and has a far better appearance than many PVCu windows installed in recent years.

**Metal:** The appearance of modern metal aluminium or steel windows generally makes it inappropriate for use in Listed or

traditional buildings. However, many 20th century buildings may have been built with metal framed windows e.g. by Crittall, and the history of metal windows extends to blacksmith produced wrought iron medieval windows, and in later centuries, cast-iron casements. These were used extensively in the 18th and 19th centuries in domestic, commercial and industrial buildings.

**Mass-produced timber windows:** Factory standard timber windows can often show little regard for the subtleties that give traditional windows their character and architectural interest and are usually inappropriate in Listed or historic buildings.

## Doors

Like windows, doors and other joinery items are likely to contribute to the significance and value of historic buildings. Loss of these items and inappropriate replacement can mar their quality significantly.



▲ 'PVCu sash window that might be considered suitable for unlisted traditional properties'

## What will be acceptable?

If a building is Listed the listing protects all integral fixtures including joinery, moldings, architraves and interior and exterior doors. Few items will be genuinely beyond practical repair if basic maintenance is carried out. If items are beyond repair the replacement must preserve the character of the building. In such

instances, the original design should normally be reproduced exactly.

**Materials & Finishes:** Doors should be constructed from an appropriate timber such as joinery grade pine or oak, and will normally be painted. Many paint manufacturers now produce ranges of heritage colours which may be suitable.

**Fanlights & Glazing:** Glazed features often form part of the design of historic doorways. If such features exist they should be removed carefully and, where-ever possible, re-used in the replacement door.

**Door Fixtures:** Original door furniture (knockers, door knobs, letterboxes etc) should be retained and re-used where possible. Replacement, where necessary, should match the original materials, detailing and positions as closely as possible.

## What should be avoided and why?

The use of the following materials should be avoided for the replacement of doors on historic buildings:



**PVCu/aluminium:** Such materials are not traditional and are out of keeping with the character of historic buildings.

▲ Plastic doors and windows of a design alien to the original terrace. The ubiquitous 'mock Georgian' fanlight design.



**Mass-produced doors:** Factory standard doors are generally not acceptable for historic buildings and may be detrimental to the character and architectural interest of the building.

**Glazing:** 'Mock historic' glazing details should be avoided e.g. integral fanlights as these are historically inaccurate.

**Blocking Up Doors:** The blocking up of existing doorways should be avoided. Redundant doors should normally remain in situ and fixed closed in a manner which is reversible.

**Converting Doors to Windows:** The conversion of doors to windows is difficult to achieve without disturbing the architectural character of a building and should usually only be considered in subsidiary locations.

## What plans and drawings are required to submit an application?

In order to assess your proposals we will require the following to be submitted along with your application form:

- Location plan to a scale of 1:2500 or 1:1250
- Site plan of 1:100, 1:200 or 1:500
- Existing elevation drawings to a scale of 1:50 or 1:100 clearly identifying the windows which will be affected by the proposals



- Proposed elevation drawings to a scale of 1:50 or 1:100
- Elevations of proposed windows to a scale of 1:20
- Vertical and horizontal sections to a scale of no less than 1:20
- Detailed drawings of joinery and decorative details to a scale of 1:1

It may also be useful to include photographs of the existing building and the windows which will be affected by the proposals.

## Quick Checklist

- 1.** Do I need permission? If your property is Listed or covered by an Article 4 Direction or is a flat or commercial property within a Conservation Area then you will require permission for any alterations to your windows.
- 2.** Is it possible to repair the windows rather than replace them? Repair is always preferable as it is the most effective means of preserving the historic fabric of the building. It is usually the most cost effective solution as well.
- 3.** Have I submitted the necessary drawings and plans to an appropriate scale? Guidance on preparing an application is provided on page 11. Your application can not be assessed without this information.

If you live in a historic building within a Conservation Area that is not Listed or covered by an Article 4 Direction we recommend you follow this guidance in order to preserve the character and appearance of your property and its setting.

## Need further advice?

Copies of the statutory list for Carlisle are available at

**[www.carlisle.gov.uk](http://www.carlisle.gov.uk)**

For advice on listed building consent call us on **01228 817000**.