

## Members' Library Service Request Form

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Originator	Margaret O'connor
Originator's Ref (if any)	
Document Title	Historic Building Recording - Guidance for Curators and Commercial Archaeological Contractors

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Authorised By	Tom Shearer
Designation	Head of Community Wellbeing
Date	05/05/06

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**REPORT TO:** Members' Library Service

**MEETING DATE:**

**BY:** Head of Community Wellbeing

**SUBJECT:** Historic Building Recording: Guidance for Curators and Commercial Archaeological Contractors

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## **1 PURPOSE**

- 1.1 To invite the Council to formally adopt Guidance for Curators and Commercial Archaeological Contractors on Historic Building Recording.

## **2 RECOMMENDATIONS**

- 2.1 That the Council approves the Guidance for Curators and Commercial Archaeological Contractors on Historic Building Recording.
- 2.2 That the Council notes the consultation process that has informed the development of this guidance.
- 2.3 That the Council notes the value of the guidance as a tool for safeguarding the heritage of East Lothian.

## **3 BACKGROUND**

- 3.1 The Archaeology Service can recommend that an historic building recording survey is undertaken and the Planning Authority can make this a condition of planning consent.
- 3.2 Commercial archaeological contractors are increasingly being called upon to conduct historic building record surveys and would benefit from guidance on how this work should be undertaken.
- 3.3 The existing national guidance for historic building recording –Royal Commission on the Historical Monuments of England (RCHME) 1996 and Royal Commission on the Ancient and Historical Monuments of Scotland (RCAHMS) 1997 - is not appropriate for development control purposes and officers are not aware of any other guidance produced by any other local authority.

- 3.4 Officers in the Council's Archaeology Service identified the need for guidance and prepared a draft document.
- 3.5 It was envisaged that the guidance would be used primarily by the East Lothian Archaeology Service and archaeological contractors undertaking work in East Lothian and Midlothian. East Lothian Council provides an archaeological service to Midlothian Council through a service level agreement.
- 3.6 The Guidance defines the different levels of building recording, as set out by the RCHME in 1996 and the RCAHMS in 1997, and puts forward an alternative approach for development-control led historic building recording projects.
- 3.7 The East Lothian Council Archaeology Service's own experience has indicated that, even with the guidance documents provided by RCHME, the RCAHMS and the IFA, greater clarity is needed in terms of levels of building recording, building terms and definitions.
- 3.8 The guidance has been prepared in consultation with the Association of Regional and Island Archaeologists, Historic Scotland, the Institute of Field Archaeologists (Buildings Archaeology Group), Perth and Kinross Heritage Trust and a number of commercial archaeology contractors including AOC Archaeology, CFA Archaeology, Headland, EASE and Scotia Archaeology. Colleagues in the Council's Environment Division have also been consulted and consultation has also taken place with the RCHME and RCAHMS.
- 3.9 The consultation process generated a number of extremely useful comments and suggestions from a wide audience and final version of the Guidance has been shaped by these valuable contributions.
- 3.10 The consultation process has also highlighted the need for this guidance throughout the UK and a number of other council archaeology services may wish to formally adopt this document.
- 3.11 In view of the quality of the guidance and its value to the sector, officers propose to submit the Guidance for Curators and Commercial Archaeological Contractors on Historic Building Recording for consideration by the biennial British Archaeological Awards panel.

#### **4 POLICY IMPLICATIONS**

- 4.1 Approval is sought to adopt the Guidance for Curators and Commercial Archaeological Contractors on Historic Building Recording as a formal East Lothian Council publication.
- 4.2 The Guidance for Curators and Commercial Archaeological Contractors on Historic Building Recording will inform the development of the Council's Heritage Strategy.

## **5 RESOURCE IMPLICATIONS**

- 5.1 Financial – There are no financial implications.
- 5.2 Personnel - There are no Personnel implications.
- 5.3 Other - There are no other implications

## **6 BACKGROUND PAPERS**

- 6.1 Guidance for Curators and Commercial Archaeological Contractors on Historic Building Recording.

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<b>DATE</b>	Feb 2006

# Historic Building Recording

Guidance for Curators and Commercial Archaeological Contractors

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By B. Simpson and D. Connolly  
East Lothian Council Archaeology Service  
February 2006

 **East Lothian Council**

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Ventilation slot, Bankhead, Humberie

Cover Page Illustrations (clockwise): Hedderwick Steading, East Lothian; High Street, Haddington; Newton Grange, Midlothian; Town House, Haddington.

## 1. Introduction

- 1.1. Increasingly, archaeologists are being called upon to conduct historic building recording surveys in relation to conditions attached to planning consents. These conditions are usually imposed by either the Local Authority Archaeologist (or Archaeological Service which provides the Local Authority with information and planning advice) and/or the Local Authority Conservation Officer.
- 1.2. This guidance builds upon the Historic Building Recording (HBR) guidelines set out by the RCHME in 1996 and RCAHMS in 1997 with reference to the Association of Local Government Archaeological Officers (ALGAO) 1997 document - *Analysis and Recording for the Conservation and Control of Works to Historic Buildings*; the *Standard and Guidance for the archaeological recording of standing building and structures* published by the Institute of Field Archaeologists (IFA) in 2001; English Heritage's 2003 publication *Measured and Drawn: Techniques and practice for the metric survey of historic buildings*; and, Historic Scotland's recently published *Guide for Practitioners-Measured Survey and Building Recording* (2003), in an attempt to produce a clear and common document which **both** curators and archaeological contractors can use to facilitate consensus on the requirement and type of historic building recording that is required for a particular building or set of buildings.
- 1.3. During the early phase of this guidance report, it was envisaged that this document would be used primarily by the East Lothian Council Archaeology Service (ELCAS) and those archaeological contractors undertaking buildings archaeological work in East and Mid Lothian, however, it has become apparent that other council archaeological services may adopt this guidance to facilitate historic building survey work on other Scottish counties.
- 1.4. This guidance defines the different levels of building recording, as set out by the RCHME in 1996 and RCAHMS in 1997 and puts forward an alternative approach for development-control led historic building recording projects.
- 1.5. The East Lothian Council Archaeology Service's own experience has indicated that even with the guidance documents provided by RCHME, the RCAHMS and the IFA, greater clarity is needed in terms of levels of building recording, building terms and definitions.
- 1.6. For these reasons East Lothian Council Archaeology Service has put together the following guidance so that archaeological contractors feel more confident about what is expected in terms of building recording. For each particular HBR project a Specifications Checklist will additionally be made available to the contractor, which will define what

Historic Building Recording  
Guidance for Curators and Commercial Archaeological Contractors

level of Historic Building Recording is required and its specific content (see Section 5).

- 1.7. This guidance has been written in consultation with the Association of Regional and Island Archaeologists (ARIA), Historic Scotland, the Institute of Field Archaeologists (Buildings Archaeology Group), Perth and Kinross Heritage Trust, AOC Archaeology, CFA Archaeology, Headland, EASE and Scotia Archaeology.



Gifford and the Village Green, Dirleton

*“...buildings in their own right are like archaeological sites. They hold intimate information about how the building was designed, how it has subsequently developed, how it was used and who perhaps used the building, giving either a snapshot of a specific period and/or tradition or a palimpsest of architectural developments. Often it is only by the careful examination of buildings (externally and internally), the examination of their fabric, their make-up and their foundations, that tell-tale clues and vital information about their history can be found and recorded leading to a fuller understanding of the building in hand...”*

East Lothian Council Archaeology Service 2002



## 2. Planning Background and Policy

### 2.1. The Role of Historic Scotland

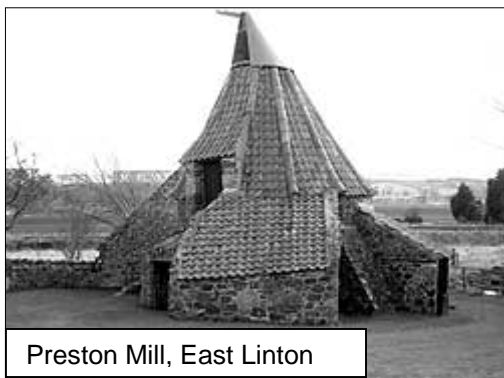
In NPPG 18 Section 17 states that:-

*Historic Scotland is an executive agency of the Scottish Executive responsible for discharging the Scottish Ministers functions in relation to the protection and presentation of Scotland's built heritage and advising them on built heritage policy. It administers their statutory duties for the listing and protection of historic buildings and for the scheduling and protection of ancient monuments under the Ancient Monuments and Archaeological Areas Act 1979. It considers on their behalf the classification of conservation areas as 'outstanding' for grant purposes and is jointly responsible for the compilation of the Inventory of Historic Gardens and Designed Landscapes. Historic Scotland also administers grant schemes for the repair of buildings of special architectural or historic interest, for buildings and townscape within 'outstanding' conservation areas, and for ancient monuments. The agency is also responsible for producing the Memorandum of Guidance on Listed Buildings and Conservation Areas. A series of Technical Advice Notes (TANs) offer detailed guidance on various issues related to the use and repair of historic buildings and traditional building materials. Historic Scotland is also responsible for the direct management and promotion of over 300 historic properties in state care. Historic Scotland seeks, therefore, to secure the protection and enhancement of the historic environment by working in partnership with local authorities and others in administering their respective powers, in the positive management of the historic environment and by promoting a greater awareness of the need to protect and conserve the built heritage.*

It should be noted that Historic Scotland advises local planning authorities in relation to **the need to protect and conserve the built heritage** but the planning requirement **to record** the built heritage (unless scheduled) falls within the remit of the local authority archaeologist.

## 2.2. The Role of the RCAHMS

The RCAHMS has a statutorily defined role in recording listed buildings, and



unlisted buildings in conservation areas, for which permission to demolish or part-demolish has been granted. They also carry out emergency recording where information can be salvaged from buildings or other structures and monuments under threat or at risk. Such cases may be brought to the attention of the RCAHMS from a variety of sources, including the Buildings at Risk Register<sup>1</sup> for Scotland, Historic Scotland and other national and

local agencies and organisations. The RCAHMS also carries out topographical and thematic programmes of recording where survey work is concentrated on a particular geographical area or building type. Recent examples of thematic survey subjects include civic buildings, asylums and farms. The RCAHMS also carries out the recording of structures and processes from Scotland's industrial past.

Under NPPG 18 (Section 52) all applications for consent involving demolition of listed buildings, or of unlisted buildings in conservation areas, must be notified to the RCAHMS. Notification may also be appropriate in cases of significant alteration. Under the same directive, planning authorities should also inform the RCAHMS of cases where recording has been made a condition of consent and of all recording works carried out in their area.

*52. The Royal Commission on the Ancient and Historical Monuments of Scotland (RCAHMS) must be formally notified of all proposals to demolish listed buildings, and also unlisted buildings where these lie within conservation areas. This provides them with an opportunity to compile an archaeological or architectural record. Notification may also be appropriate in cases of significant alteration. In all cases of demolition or significant alteration of historic buildings, structures and streetscape, planning authorities are also encouraged to make it a condition of consent that applicants arrange suitable programmes of recording features that would be destroyed in the course of the proposed works. Planning authorities should inform RCAHMS of such conditions and of all recording works carried out in their area. Archaeological or architectural surveys should be deposited in the National Monuments Record of Scotland or within local sites and monuments records where these exist. Where important hidden features or buried remains may be revealed*

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<sup>1</sup> A Building at Risk is defined by the Buildings at Risk Register for Scotland as usually a listed building, or an unlisted building within a conservation area, that meets one or several of the following criteria: Vacant with no identified new use; Suffering from neglect and/or poor maintenance; Suffering from structural problems; Fire damaged; Unsecured; Open to the elements, and/or; Threatened with demolition.

*during the course of the works, planning authorities should ensure that suitable arrangements can be made for their retention or recording.*

It should be noted that, due to resource constraints, the RCAHMS will give priority to recording listed buildings, or unlisted buildings in conservation areas, where permission to demolish or part-demolish has been granted.

Four additional points should be made:-

- 1) The Historic Building Survey level undertaken by the RCAHMS may not necessarily correspond to the Historic Building Survey level deemed appropriate by the local authority archaeologist and takes account of a different set of factors and criteria. Unlike Local Authority archaeologists or planning officials, RCAHMS staff have no role in specifying planning conditions or outcomes;
- 2) Unlisted buildings would not normally be recorded by the RCAHMS unless they were in a conservation area. There is no statutory mechanism for the RCAHMS to be informed of the proposed demolition of unlisted buildings, which are not located in a conservation area;
- 3) There is no statutory mechanism requiring the RCAHMS to be informed of minor works affecting listed buildings such as renovation and/or the making of a structure 'wind and water-tight'; and,
- 4) Recording programmes carried out by the RCAHMS are for the primary purpose of providing appropriate coverage for the National Monuments Record of Scotland. The level of detail required by the RCAHMS may not necessarily equate with that required by a Local Authority archaeologist as part of the planning process.

Therefore, the Local Authority Archaeologist may also demand a Historic Building Survey requirement to be attached as a negative suspensive condition on any planning consent.

### **2.3. The Role of the Local Authority Archaeology Service**

If buildings, that appear to the Council Archaeology Service to have archaeological/historical potential, are threatened by demolition or significant alteration and have not:

- 1) Received any form of historic building recording; or,
- 2) Require additional recording work (to complement recording work that the RCAHMS may have already undertaken)

East Lothian Council Archaeology Service will recommend, to the planning case officer, that a Programme of Archaeological Work (Historic Building Survey) should be undertaken, as part of a negative suspensive condition on any given planning consent.

## 2.4 Policies relevant to Historic Buildings and their Recording

2.4.1 Buildings can be Listed because of their special architectural or historic interest and graded either of A (national or international importance), B (regional or more than local importance) or C (local importance). In the Planning (Listed Buildings and Conservation Areas) (Scotland) Act 1997 it states that “In considering whether to include a building in a list compiled or approved under this section, the Secretary of State may take into account not only the building itself but also-(a) any respect in which its exterior contributes to the architectural or historic interest of any group of buildings of which it forms part, and (b) the desirability of preserving, on the ground of its architectural or historic interest, any feature of the building consisting of a man-made object or structure fixed to the building or forming part of the land and comprised within the curtilage of the building. The list of the criteria by which Historic Scotland, on behalf of the Scottish Ministers, assesses buildings for listing can be found at <http://www.historic-scotland.gov.uk/index/historicbuildings/whatwelist/listingsprinciples.htm>

An unlisted building, in contrast, is a building (historic or modern), which has not, as yet, been listed and as such, is unprotected.



*“Traditional rural buildings are an integral part of Scotland’s heritage. They are both visually important to the landscape and of value themselves as documents of social and architectural history. The character of rural buildings results from and reflects their original functions. Rural vernacular buildings are a vulnerable and relatively under protected category of building, but together with other aspects of the historic environment, are important to understanding how rural landscapes has developed and changed over time.”*

Bankhead, Humber

Historic Scotland 2000

2.4.2 NPPG 18 specifically makes reference to **Listed buildings and unlisted buildings within conservation areas** (see Section 42, 43, 50-52 below),

*42. It is a requirement of planning legislation that applications for planning permission shall be determined in accordance with the plan [Local Government Development Plan Policy Framework-see NPPG 18 (40)] unless material considerations indicate otherwise. Where a planning proposal affects a listed building or its setting an important material consideration is the desirability of preserving the building, or its setting, or any features of special architectural or historic interest, which it possesses. The primary consideration in the determination of applications for listed building consent is however, the statutory requirement to have special regard to the desirability of preserving the building, its setting, and any features of special architectural or historic*

*interest. Development plan policies that relate to listed buildings, along with relevant supplementary guidance, should still be taken into account when determining applications for listed building consent but should not be afforded as much weight as the statutory requirement.*

*43. Issues generally relevant to the consideration of all applications for listed building consent and applications for planning permission affecting listed buildings include:*

- the impact of development proposals upon particular physical features of the building that justify its listed status. Whilst list descriptions are useful in identifying individual buildings, they are not intended as exhaustive lists of features worth preserving*
- the building's setting and its contribution to the townscape or landscape, having particular regard to the impact of development upon the views to and from the listed building*
- the extent to which the proposed works would bring benefits to the community, in particular by contributing to the economic regeneration of the area or the enhancement of its environment (including other listed buildings)*

*There should be a presumption against development that adversely affects the character of a listed building or its setting. Appendix 1 of the Memorandum sets out guidelines for the treatment of historic buildings. These should be used by planning authorities to help establish the impact of development proposals upon their character. Technical guidance in support of the Memorandum is available from Historic Scotland in the form of TANs and Research Reports.*

*50. In considering proposals for the demolition of unlisted building within conservation areas, planning authorities should bear in mind the statutory requirement to have special regard to the desirability of preserving or enhancing the character or appearance of the conservation area. The general presumption should be in favour of retaining buildings that make a positive contribution to the character or appearance of conservation areas, particularly where it can be demonstrated that the building is able to support a new viable use. The main guidance on Government policy and the procedures relating to control over the demolition of unlisted buildings within conservation areas is contained within paragraph 4.26 — 4.32 of the Memorandum.*

*51. In cases of demolition or significant alteration of historic buildings and townscape planning authorities, should, wherever practicable, seek to ensure that as many fixtures, fittings and architectural details are salvaged from the works as possible. Planning authorities should inform applicants of the importance of the construction materials and details such as doors, windows, shop-fronts, ashlar and fireplaces prior to the application being determined. Planning authorities should also consider attaching conditions to any consent to ensure their long-term preservation and re-use.*

52. *In all cases of demolition or significant alteration of historic buildings, structures and streetscape, planning authorities are encouraged to make it a condition of consent that applicants arrange suitable **programmes of recording** features that would be destroyed in the course of the proposed works...Where important hidden features or buried remains may be revealed during the course of works, planning authorities should ensure that suitable arrangements can be made for their retention or **recording**.*

2.4.3 In addition, in the Listed Buildings and Conservation Areas (Scotland) Act 1997, provision is given for Local Authorities to protect a **building or structure that has not yet been listed** (see Sections 31 below) by affording it “...*the same legal provisions as a building which has been statutorily listed*” (see Section 32 below) and therefore under Section 52 of NPPG 18, an unlisted building in a conservation area, should be recorded in all cases of demolition or significant alteration.

31. *By serving a building preservation notice, planning authorities have the power to protect, as yet, unlisted buildings which they consider to be of special interest and which are threatened by demolition or extensive alterations.*

32. *A building subject to a building preservation notice is protected by the **same legal provisions as a building which has been statutorily listed** [see NPPG 18 (52) above]. Such a notice is effective for a maximum of 6 months, during which period the Scottish Ministers will decide whether or not the building in question merits inclusion in the statutory list.*



*“... each building is part of a larger jigsaw. No matter how seemingly insignificant they may appear on their own, together, they can tell us about the building traditions of an area and how these traditions have changed, they can tell us of how architectural space (both within the interior of a building and outside the building) was used in addition to reflecting the socio-economic dynamics of a building in relation to the landscape in which it sits and the people who used that building.”*

Loanhead Cottage, Stenton

East Lothian Council Archaeology Service 2002

2.4.4. Provision for **the recording of unlisted buildings out with a conservation area** is provided in NPPG 5 (Archaeology and Planning) and PAN 42 where it states that:-

NPPG 5

3. *Archaeological remains are a crucial part of this heritage...Archaeological remains are a finite and non-renewable resource, and should therefore be regarded as a part of the environment to be protected and managed. The primary policy objectives are that they should be preserved wherever feasible and that, where this proves not to be possible, procedures should be in place to ensure **proper recording** before destruction, and **subsequent analysis and publication**.*

5. *Today's rural and urban landscape is the product of human activity over thousands of years. There are settlements and remains of every period, from the camps of the early hunter-gatherers 10,000 years ago to remains of 20th-century industrial and military activities. They include **places of worship, settlements, defences, burial grounds, farms, fields, and sites of industry**, in some cases forming broader archaeological landscapes.*

20. *A primary function of development plans is to reconcile the requirements for development land with the conservation of our natural and **built heritage**. These plans provide the policy framework for authorities to safeguard archaeological sites and monuments in their areas...*

PAN 42 :

3. *There are remains of every period and of many types. They vary enormously in their state of preservation and in the extent of their appeal to the general public. **Upstanding remains** are familiar enough - the great prehistoric stone circles, the castle and abbey ruins of the Middle Ages or more modern abandoned coastal defence systems.....*

6. *Because of the many demands of modern society, it is not feasible to save all archaeological remains. There are archaeological records of over 70,000 sites and monuments in Scotland and over 5600 of these had been protected by 1 January 1993 as nationally important scheduled monuments under the Ancient Monuments and Archaeological Areas Act 1979. However, not all nationally important sites have yet been scheduled and there is a continuing programme of scheduling. Certain categories of site, particularly those in the historic burghs, may not be effectively protected by scheduling, and the best way forward here may be through **survey** and the identification of archaeologically sensitive areas in local plans. There is also a large number of sites of more local significance as well as many other locations (findspots) where apparently stray artefacts have been found. As NPPG 5 indicates, nationally and*

*more locally important archaeological remains and their settings should be preserved wherever feasible. Where archaeological remains of lesser importance are affected by proposed development, planning authorities should weigh their importance against other factors, including the benefits of the proposed development. Regardless of the circumstances, taking decisions will be easier when archaeological aspects of a development site are considered early in the planning process.*

2.4.5 East Lothian Council Archaeology Service's remit is to ensure that historic buildings and other elements of our built heritage are both protected and recorded to a level that upholds not only the guidance in the NPPG documents but also those within the ALGAO, IFA, RCHME and RCAHMS documents. To aid in a clear and concise understanding of what will be needed in each recording exercise, the following sections provide information on definitions of standard HBR terms and sets out in detail the requirements associated with each Historic Building Recording level. Further to this, a checklist of requirements has been produced to be used for each Historic Building Recording specification to highlight exactly what is expected.



### 3. Desk-Based Assessments

#### 3.1. Definition and Purpose of Desk-Based Assessments

The IFA define Desk-Based Assessments as:-

*“...a programme of assessment of the known or potential archaeological resource within a specified area or site on land, inter-tidal zone or underwater. It consists of a collation of existing written, graphic, photographic and electronic information in order to identify the likely character, extent, quality and worth of the known or potential archaeological resource in a local, regional, national or international context as appropriate” (IFA 1999).*

The purpose<sup>2</sup> of Desk-Based Assessments is also defined, by the IFA, as:-

*“...to gain information about the known or potential archaeological [historical and architectural] resource within a given area or site (including presence or absence, character and extent, date, integrity, state of preservation and relative quality of the potential archaeological resource), in order to make an assessment of its merit in context...”*

ELCAS would further define the purpose of DBAs as:-

1. To equip the recorder with sufficient background information about the development site **in advance** of going into the field (for example, expected architectural features or chronological changes);
2. To gain information on the archaeological and historical resource; and,
3. To put the findings of the survey into context

Therefore the generic term Desk-Based Assessment perhaps should be further divided into three different types of desk-based research:

- 1) Archival Appraisal (of predominantly secondary sources)**
- 2) Detailed Archive Research (of predominantly secondary sources but also some primary source material)**
- 3) Comprehensive Archive Research (of primary and secondary sources).**

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<sup>2</sup> DBA's are also undertaken as part of consultancy work and in this case, a DBA may be accompanied by mitigation recommendations

### 3.2. Level of DBA required.

ELCAS policy is that a certain degree of DBA will **always** be required in advance of any form of field-work. The purpose of desk-based assessments is to gain information on the archaeological and architectural resource in order to make both an assessment of its merit/potential in context, but also leading to an appropriate level of fieldwork and further research, if necessary and/or appropriate.

Three types of DBA are defined below with each DBA type enhancing the previous.

#### 3.2.1. Archival Appraisal:

An archive appraisal should always be undertaken before any form of field-work. It includes a familiarisation with the most available and easily accessible records such as the National Monuments Record Scotland (including aerial photographs), National Map Library, Historic Environment Record/Sites and Monuments Record, Statutory List of Buildings of Special Architectural or Historic Interest and the Inventory of Gardens and Designed Landscapes. This level of DBA will equip the recorder with sufficient background information about the development site, in advance of going into the field.

#### 3.2.2. Detailed Archive Research:

A more detailed archive research will include an initial archive appraisal and further research to put the findings of the survey work in context. It will include a **more detailed examination** of archived records such as the National Monuments Record Scotland (including aerial photographs), National Map Library, Historic Environment Record/Sites and Monuments Record, Statutory List of Buildings of Special Architectural or Historic Interest and Inventory of Gardens and Designed Landscapes **in addition to the Local Studies Records, the National Archives of Scotland, Estate Plans/ Town Plans (where available) and Statistical Accounts**. This level of DBA will equip the recorder with sufficient evidence about the development site to provide an account that complements the fieldwork report. The archaeological contractor should list what sources will be consulted in both the Written Scheme of Investigation and final Data Structure Report.

#### 3.2.3. Comprehensive Archive Research:

A comprehensive archive research builds on the aims and objectives of the detailed archive research by undertaking an **in depth examination** of archived records such the National Monuments Record Scotland (including aerial photographs), National Map Library, Historic Environment Record/Sites and Monuments Record, Statutory List of Buildings of Special Architectural or Historic Interest, Inventory of Gardens and Designed Landscapes, Local Studies Records, the National Archives of Scotland and

Estate Plans/ Town Plans (where available) as well as Statistical Accounts. **Further work can be carried out by looking at deeds, wills, manuscripts, charters, MOD collections, mining records, newspaper archives, local historical society collections, journals and magazines, paintings and prints, previous relevant site surveys, Burgh and Local Authority records, Dean of Guild records etc.** The advice of an architectural historian should also be considered to compliment the desk-based research undertaken and the findings of the historic building recording survey<sup>3</sup>. This level of DBA will equip the researcher with detailed evidence and records about the site, locale and associated characters to provide a comprehensive account that can form a distinct and complete part of any final report. The archaeological contractor should list what sources will be consulted.



Town House, Haddington

*“Understanding a historic building is the first step towards decisions about management, repair and alteration. By identifying architectural, historic and archaeological interest, the analysis of fabric and structure contributes to successful conservation, which carefully balances the significance of the building, the owner's requirements and appropriate techniques.”*

ALGAO 1997

It should be noted that during the course of appraising what information is available for a given site, the researcher may identify additional and relevant sources of information that to collate would fall out with the remit of the level of DBA required. ELCAS strongly recommend that rather than discounting this information from inclusion within the DBA report, a summary of the resources should be listed, thereby allowing the prospective reader to locate this additional information and/or the curator to recommend further research work.

### 3.3. Sources of information

The following sources of information should be used as a matter of course:

**Royal Commission on the Ancient and Historic Buildings of Scotland**  
**Statutory List of Buildings of Special Architectural or Historic Interest**  
**Inventory of Gardens and Designed Landscapes**  
**Historic Environment Record/Sites and Monuments Record**  
**The National Library of Scotland**

<sup>3</sup> If the advice of an architectural historian is a prerequisite to the successful interpretative aspect of the HBR report this should be clearly stipulated in the Specification Checklist ‘Desk Based Assessment Level’ field and/or project design.

Other locations which may provide additional information would include:

**Local History Centre** (i.e. Haddington (East Lothian), Loanhead (Midlothian))

**The National Library of Scotland** (for maps, charters, registers, manuscript collections, books etc.)

**National Archives of Scotland** (for genealogical records, public records, census information etc.)

**The General Register Office for Scotland** (for family history records, census information etc.)

**National Galleries of Scotland**

**National Trust for Scotland**

**Statistical Accounts** (1791-1799, 1834 and 1845, 1951-1952, 2004-2005)

**Estate Records** (for prints and paintings, estate maps and other documents)

## 4. Historic Building Appraisals (or Standing Building Assessments)

### 4.1. Definition and Purpose

A building appraisal (or standing building assessment) is a form of site evaluation that assesses the structure/s character, extent and significance. It provides an informed and coherent report that, details the potential for relevant further works or provides an adequate record of the structure(s), if no further recording is deemed necessary or appropriate. A Historic Building Appraisal could be seen as being equivalent to a Level 1 RCHME Historic Building Survey.



Alloo Tower, 3DM digital reconstruction

*“An appraisal is a rapid inspection of the building, its listed description and relevant data held in any local records systems for historic buildings. Its purpose is to identify whether clarifying the impact of proposed works of repair, alteration or demolition requires more information than is immediately available.”*

ALGAO 1997

### 4.2. HBA Field Records and Report Structure

A Building Appraisal report should generally include;

- *An Archive Assessment*
- *A general Description of the Structure(s)*
- *Photographs*
- *An annotated ground plan*

This should be collated into a short report following the site visit, which adequately illustrates the nature, location and form of the structures to be appraised, in addition to its extent and significance.

Field records should include the following:-

#### Drawings

- Location map of structure within the landscape (1:10,000 or better)
- A ground plan (the architectural plan/s are acceptable, if relatively accurate).
- A map regression depicting 1st / 2nd edition Ordnance Survey map locations (additional historic OS maps may also be relevant) and earlier historic maps of the development area with the location of the site clearly marked.

### Written

- The location, name, site code, parish, grid reference, status etc.
- A descriptive summary of the structure, such as type of building; its place in the wider topographical landscape; materials used in construction; any visible changes in build/additions; etc.
- The planning background and reasons for the appraisal.
- A structure description (a general appraisal of the external elevations/features and any other relevant constructional details).
- A short narrative section describing the significance of the findings of the historic building appraisal and setting the findings within their geographical, architectural and historical context.

### Photographs

- Photographs of the building in its setting (35mm slide and digital)
- External elevation photographs (35mm slide and digital) that relate to descriptions within the text

The buildings appraisal report should satisfy the specifications of the local authority or client and provide adequate detail to inform the level of any further works, if needed. Further work may only be appropriate in the cases where it is obvious that the buildings or structures contain features or details that would benefit from a further phases of investigation, using the appraisal survey as a basis for further study.

This record will be made publicly available and should be written in a style that reflects both the need for accessibility as well as informing the relevant local authority archaeologist, conservation officer or buildings officer about the nature of the structure.



“Buildings can often be a seemingly unobvious doorway into the past. Building archaeologists are trained to look for nuances and subtle differences, which tell us of a site or building’s past and present. These observations can then be fed back to architects and conservation officers, alike, to inform, guide and help with any future management and conservation issues

surrounding that building.....”

School Rooms, Luggate Burn East Lothian Council Archaeology Service 2002

## 5. Historic Building Recording Levels and Specification Checklist

5.1. The RCHME (1996) define 4 levels of historic building recording and these can be summarised as follows (with an additional 5<sup>th</sup> level identified by the RCAHMS (1997)).

Level	Record	Written	Drawings	Photographic
1	Visual	Simple record	Sketch (generally exteriors only)	General
2	Descriptive	Basic record	Scaled plans	General (external and internal)
3	Analytical	Full record	Scaled plans, sections, measured details.	Comprehensive
4	Comprehensive	Full record	Scaled plans, sections, measured details, elevations, reconstructions.	Comprehensive

Figure 1: A summary of the RCHME (1996) Historic Building Recording survey levels

Commonly, however, a typical building recording survey may require elements from different levels. For example, a predominantly early 19th century steading may warrant a Level 2 descriptive historic building record but what if it has a number of fine architectural elements which are to be removed (and therefore require a more detailed level of recording) and a northern elevation displaying the remnants of a possible earlier building? This might suggest that, at least parts of this steading, require a level 3 survey.

5.2 For these reasons ELCAS believe that the existing RCHME and RCAHMS guidelines should be adapted and built upon in order to provide an alternative approach for development-control led, historic building recording projects, with the potential to embrace different survey type requirements (Figures 2-5).

5.3 Appraisal and Basic Survey types (Figure 3) should include an Archive Assessment, a general photographic record, a ground plan and a general written description of the structure, including some detail of the construction.

5.4 An Enhanced Survey type (Figure 4), builds on the Basic Survey type by requiring that all significant elevations should be illustrated, either by means of annotated photographs or annotated illustrations and that all ground/floor plans and elevations should show any evidence of phasing. The main elevations and ground/floor plans should now contain feature numbers, so that the text and drawings can be easily cross-referenced. A more, enhanced description of the building/s is now required, which also includes information about any architectural phasing. The photography should include

general views of all external and main internal elevations, with details as appropriate. A Detailed Archive Research (as per Section 3.2.2) should also be undertaken to put the findings and analysis of the building into its wider context.

- 5.5 A Detailed Survey type (Figure 5) builds on the Enhanced Survey type. All significant external elevations and phased ground/floor plans should now be drawn and should contain feature numbers and additional subdivisions, which will aid with the description of the building/s. For a Comprehensive Survey type, all external elevations and phased ground/floor plans should be drawn. For both a Detailed and Comprehensive Survey, the main purpose for ascribing numbers to sub-features is a) to make a distinction between the different components of a feature, e.g. a door may be of a different phase than that of the surround in which it sits; and, b) so that they can be easily cross-referenced to the text. The photography should include general and detailed views of all external and main internal elevations, with any unusual and/or important details and elements of the structure additionally being recorded photographically.
- 5.6 For a Detailed Survey, a Detailed Archive Research (as per Section 3.2.2) should be undertaken to put the findings and analysis of the building into its wider context, whereas for a Comprehensive Survey, a Comprehensive Archive Research (see Section 3.2.3) will be required and the advice of an architectural historian may be specified as part of the project brief. In addition, the analysis of mortars and paint, as well as other specialist sampling strategies such as dendrochronology, may be specified in the project brief. For both survey types it is highly likely that one of the products of this type of survey work will be the presentation and publication of the survey work and its findings to both a popular and academic audience.
- 5.7 Prior to a HBR project, ELCAS will supply a Specification Checklist (Figure 6) so that both the curator and buildings archaeologist contractor are clear about what is required for a specific project.
- 5.8 Even with this checklist, however, it is appreciated that further definition may be required so that there is a climate for fair competitive tendering. For example, how many elevations need to be drawn, which ones specifically, at what level do they need to be drawn etc. Text boxes have, therefore, been inserted so that additional information can be included. If the curator does not have time to visit the site they have the option of a) either making a rough estimation of the level and specifics of a HBR and/or b) suggesting a buildings appraisal, as a first phase of the programme of works (historic building survey), which will then inform the most appropriate level/s of recording, thereafter.
- 5.9 Many Local Authority Archaeology Service's do not have in-house buildings expertise and therefore, if the specification checklist appears to be inadequate or too excessive then archaeological contractors should feel comfortable to voice any concerns and suggest alterations.



- 5.10 If during the course of building recording, it is discovered that the building is more complex than previously thought, but no provision has been set aside for further work in or out of the field, then a) the Local Authority archaeologist should be informed straight away so that the Written Scheme of Investigation and Specification can be modified to accommodate this new information and/or b) this new information should be flagged up in the draft Data Structure Report, thereby allowing the Local Authority archaeologist to ask for a further, complementary phase of building recording, if necessary and appropriate.
- 5.11 The specification checklist differentiates between annotated architectural plans/elevations and measured plans/elevations. Archaeological contractors should include in their costed tender documents caveats whereby if, during the course of fieldwork, it becomes apparent that the architectural plans and elevations are inaccurate, there will be a requirement from the curator that elevations and plans are re-drawn.
- 5.12 The content of this Specification Checklist will be revisited on an annual basis to appraise the need for any modifications. Any suggestions and comments will be gratefully received.

Survey Type	Record	Written	Drawings	Photographic
<b>Appraisal<sup>4</sup></b>	Visual	Basic description Archive Assessment	Sketch and/or annotated ground plan	General (exterior)
<b>Basic</b>	Visual	Basic description Archive Assessment	Sketch and annotated ground plan	General (exterior)
<b>Enhanced</b>	Descriptive	Enhanced description Detailed Archive Research	Annotated/measured ground plan (phased), annotated significant elevations with main features described	General (exterior and interior) and details of features
<b>Detailed</b>	Analytical	Fully enhanced description Detailed Archive Research	Annotated/measured ground/floor plans (phased), measured significant elevations with all features and fabric described	General (exterior and interior) and details of features
<b>Comprehensive</b>	Comprehensive	Comprehensive Comprehensive Archive Research	All measured and phased plans/elevations/sections with all features and fabric/s described	Comprehensive coverage

Figure 2: A summary of the ELCAS Historic Building Recording survey types

<sup>4</sup> An Appraisal is regarded as a separate, stand-alone stage and is a common requirement if the building/s has not been viewed and assessed by the Local Authority archaeologist and/or the appropriate level of historic building recording is unclear, from an initial field visit. For a consultancy DBA, a buildings appraisal is commonly undertaken to provide information to either form a conservation strategy and/or a mitigation strategy.

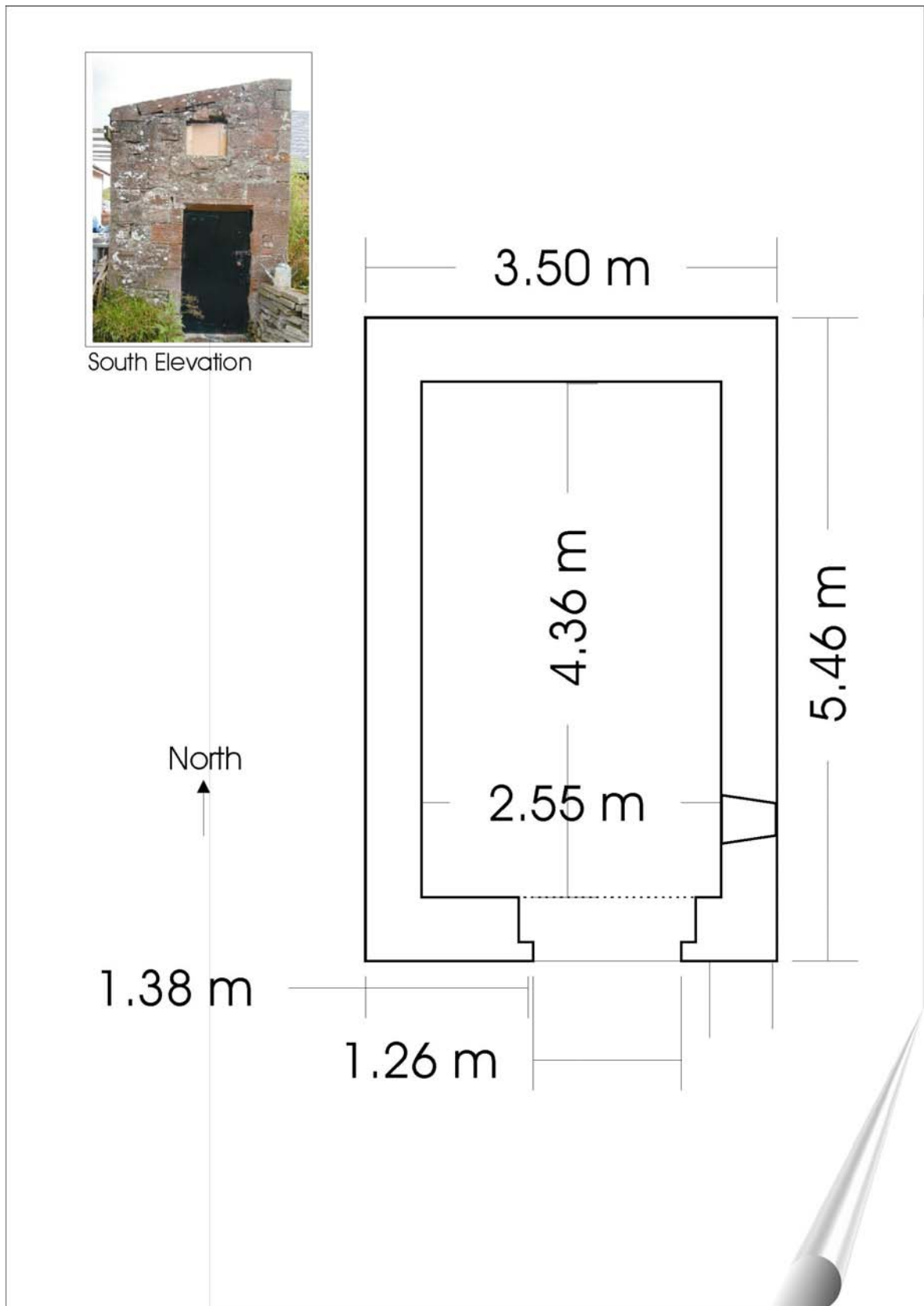


Figure 3: Appraisal and Basic Survey types (see in relation to Section 5.3)

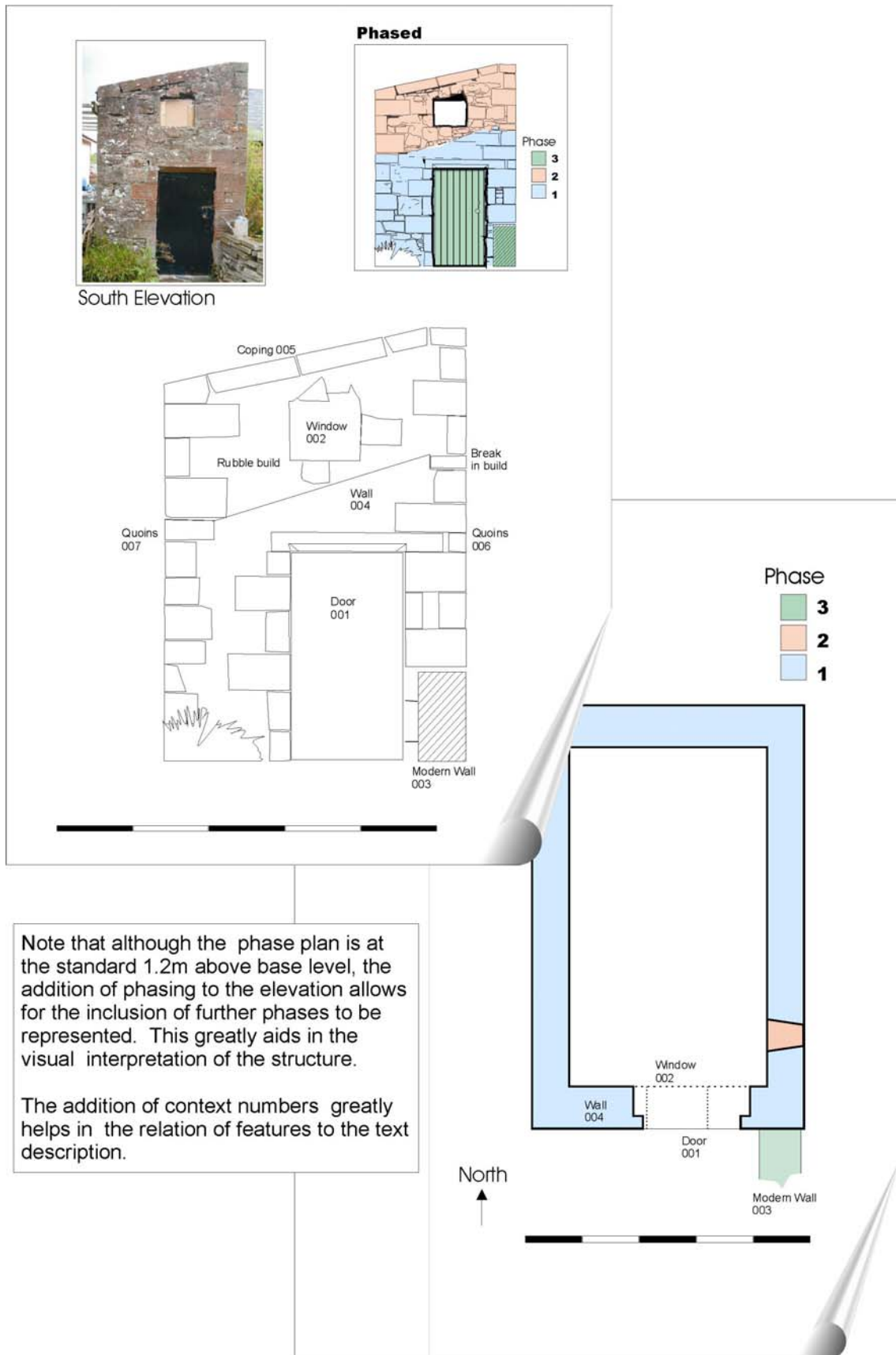


Figure 4: Enhanced Survey type (see in relation to Section 5.4)

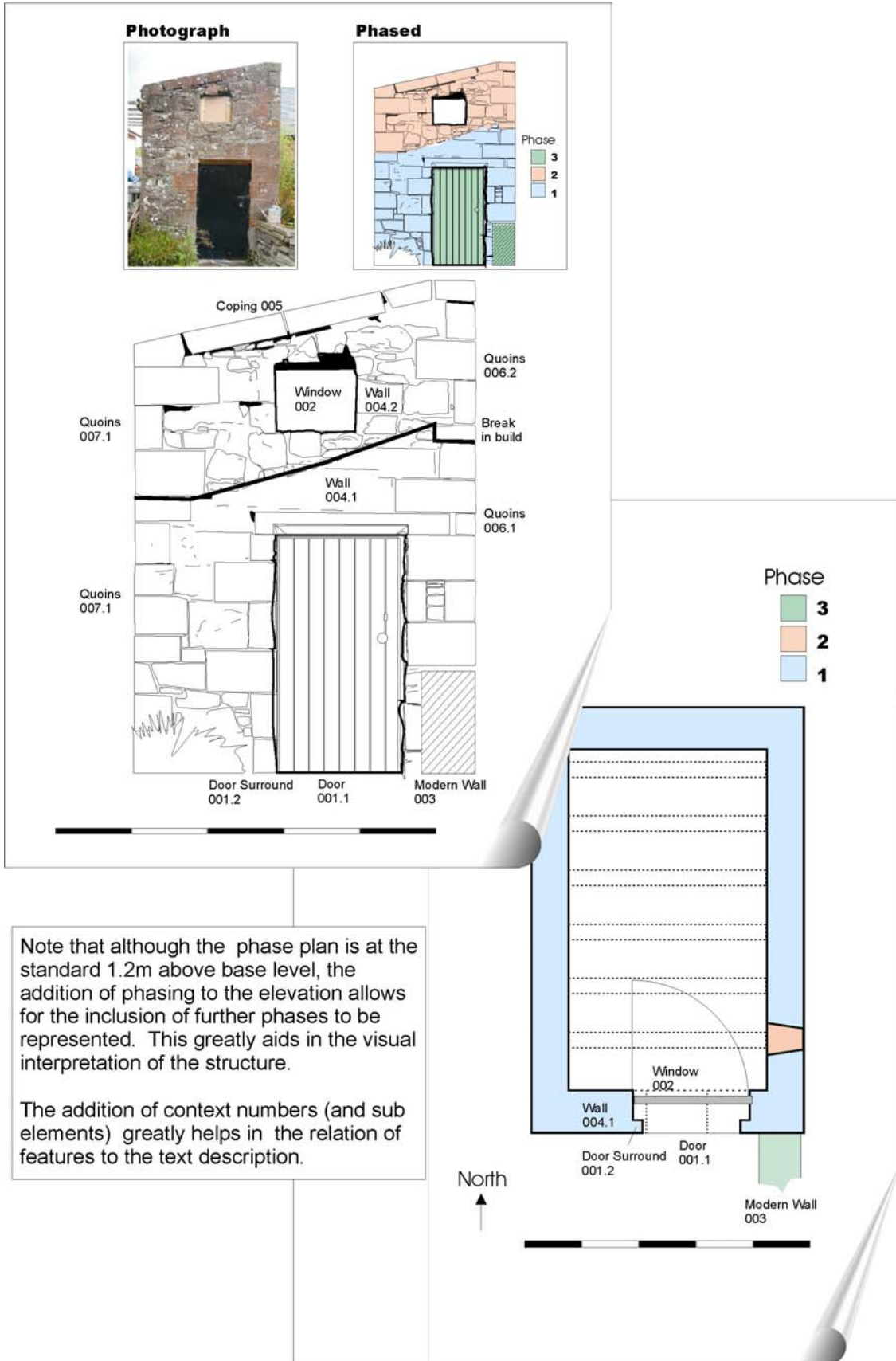


Figure 5: Detailed and Comprehensive Survey types (see in relation to Section 5.5-5.6)



**Historic Building Recording Specification Check List 2006**

Planning Application No:-

Date:-

Address of Planning Application:-

HBR Survey Type required:-

Desk Based Assessment Level:-

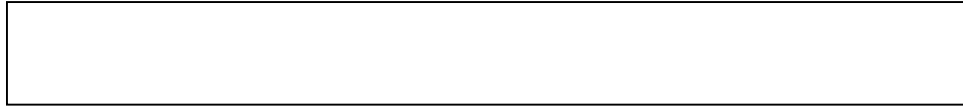
Purpose of the Work:-

## Section A: Drawings

All drawings need to be included in the final report and produced at an appropriate scale

### 1. Location

- a.  Location map of structure within landscape (1:10,000 or better)
- b.  Location map of structure in landscape (topographic plan)



### 2. Plans

- a.  A rough plan of the property, drawn by eye, and a front elevation. Measure main dimensions should be put on the plan.
- b.  Annotated architects plans (checked for dimensions if inaccurate then c. and/or d. required)
- c.  Measured ground plan
- d.  Measured floor plans
- e.  Phased ground and floor plans
- f.  Roof and truss plans
- g.  Location of unusual and important features (labelled)
- h.  Reconstructions of each phase (as a ground plan)
- i.  Reconstructions of each phase (as a 3-dimensional view)



### 3. Elevations

- a.  Annotated architects elevations (checked for dimensions if inaccurate then c., d. and/or e. as appropriate)
- b.  Annotated digital photographs of elevations (acceptable, but only if elevations not too complex and/or show little detail that would preferably require a line drawing)

*Define which ones*

- c.  Measured principal elevations (phased where complex vertical relationships are apparent)

*Define which ones are principal elevations and what level of recording*

- d.  Measured additional external elevations (to compliment descriptive text and where they show historical development of the structure/s and phased where complex vertical relationships are apparent)

*Define which ones*

- e.  Measured internal elevations (to compliment descriptive text and where they show historical development of the structure/s and phased where complex vertical relationships are apparent)

- f.  Cross Sections (to 1) compliment descriptive text; 2) where they reveal vertical relationships not easily identifiable through elevations/photographs alone; 3) where they show historical development of the structure/s; and, 4) phased where complex vertical relationships are apparent)

- g.  Location and detail of unusual or important features (labelled)

### 4. Other

- a.  Details (*specify type of detail*) of other unusual or important features not included on ground/floor plans or elevations i.e. an external water pump trough etc.
- b.  Details of additional features such as mouldings, fittings, graffiti, mason marks, complex constructional details etc.

## B. Written

1.  The location, name, site code, parish, grid reference, status of the structure/s etc.
2.  An introduction, outlining the reasons for the survey, including a summary of the basic findings and conclusions
3.  The aims and objectives of the project, in addition to the archaeological and planning background
4.  A descriptive summary of the structure, such as the type of building; its place in the wider topographical landscape; its relationship with other nearby structures; the materials used in its construction; any visible changes in build/additions, history of the structure/s and the evolution of the structure/s based on physical evidence etc.
5.  A more detailed report of the structure, where the summary of 8 is expanded to provide **additional** information which should include an outline of the buildings form, function, development, architectural and/or historical context, dates and any relevant additional material such as architect, owners or associated local traditions. The report should also make reference to similar buildings and how the building/s fit into a wider architectural, historical and socio-economic context, together with an assessment of its significance.

6.  A general discussion, including flow diagrams, of the social, industrial or historic movement relating to the building/s, including any changes over time<sup>5</sup>.
7.  Structure by structure description (where the record is involving a multi-structure building).

Define the level of description i.e. Basic/Detailed

8.  Room by room description (this includes courtyards, hallways or any discreet space).

Define the level of description i.e. Basic/Detailed

9.  A description of relevant and significant elements/features with individual numbering (features such as windows, doors, fireplaces, blocking etc.) Similar features can be described as a group.

Define the level of description i.e. Basic/Detailed

<sup>5</sup> For example, in the case of a mill, this could relate to the industrial processes involved with the building i.e. how the workers and the goods moved around and/or how the machinery worked.



10.  Minor feature description with numbering or sub-numbering (such as skirting, dado, wallpapers, fittings, gratings, gutters and down pipes)

11.  A description of any details such as butt jointing, repairs, mortar, constructional details, signs of wear or damage etc.

12.  Any other pertinent details or information that is of relevance to the project objectives.

### C. Photographs

Relevant digital photographs to be included in the main body of the final Data Structure Report with all remaining digital photographs to accompany the DSR in a CD format

1.  Photographs of the building in its setting (35mm slide and digital)
2.  Principal elevations (35mm slide and digital)
3.  Additional external elevation (35mm slide and digital)
4.  Internal elevations, where possible (35mm slide and digital)
5.  Details such as chimneys, decorative features and windows (Representative selection if they are all the same) (35mm slide and digital)
6.  Details of minor features and items of interest, such as wallpaper/s, wood joints, graffiti, finishes, constructional and demolition (35mm and digital). If features such as these are discovered during the course of the building recording work then it will be expected that these minor features will be recorded.
7.  Video footage within and around building.
8.  Specialist photography such as B/W, Medium Format, Rectification etc.

#### D. Samples, Details and Oral Evidence

To be taken on site and described in the Data Structure Report with the final results being discussed in any follow up post excavation reports

1.  Samples such as mortar, wallpaper, stone types, wood etc.
2.  Samples of timber for dendrological dating purposes
3.  Physical recovery (salvage) of details such as mouldings, beams, old machinery, columns and fittings for use elsewhere.
4.  Recording and recovery of local knowledge (Oral History) associated with the structure, including oral stories.

#### E. Additional Work

Any additional fieldwork will also need to be described in the final Data Structure Report

1.  Provision will need to be made to further record features after the demolition/removal of later fabric (material, architectural etc.).
2.  A watching brief of the building/s foundations being grubbed out.
3.  An intrusive archaeological evaluation of the site, after the building/s has been demolished.

## F. The Report : Additional Requirements

1.  A thumb-nailed sequence of digital photographs as an appendix to the final report.
2.  A historic map regression with the location of site clearly marked.
3.  Copies of any relevant estate maps (where possible)
4.  Copies of any historic maps (where possible)
5.  Copies of any historic photographs (where possible)
6.  A complete hard copy of all the photographs for the Sites and Monuments Record archive
7.  Inclusion on CD ROM or other suitable stable recording medium, all of the digital photographs for the Sites and Monuments Record archive
8.  An appendix containing relevant feature lists, photographs lists, drawings register, samples list etc.
9.  A summary report that will be sent for inclusion to Discovery & Excavation in Scotland.
10.  A complete archive of the project to be deposited in the National Monuments Record of Scotland within 6 months of completion of the fieldwork
11.  A digital copy of the full report with plans and DES entry on CD – in PDF and doc formats. The inclusion of photographs, plans and illustrations should fall within the current guidelines for archival standards set by the Archaeology Data Service and RCAHMS. A full copy of all digital photographs and digital data should be produced and presented on CD in archive stable format.
41.  Depending on the importance and significance of the findings from the Historic Building Survey the site may warrant publication in either an academic and/or popular publication.
42.  Prior to full distribution of a report, a draft copy should be sent for approval by the Local Authority Heritage Officer to allow any amendments, corrections or additions to be discussed. It should be remembered that this is a public document and should be of sufficient accessibility for public dissemination.

## 6 Conclusion

The East Lothian Council Archaeology Service is dedicated to making sure that provision is made for the appropriate recording of all historic buildings prior to their renovation, conversion or demolition.

This guidance attempts to build on the guidance and standards originally provided by the RCHME and RCAHMS to create a clear document, which will enable both curators and contractors to understand each other's needs and requirements.

It must be stressed that although a historic building recording survey may be requested as part of a planning condition, the products of that historic building survey will be of interest to the wider public. The full survey archive will be housed with the NMRS with the survey Data Structure Report, accompanying drawings and photographs additionally housed with the Sites and Monuments Record and Local History Centre. The East Lothian Council Archaeology Service is committed to making sure that provision is made for the appropriate dissemination of archaeological work and therefore, in addition to the above, there may be a requirement for the buildings archaeology contractors to publish the findings of any survey work in both popular and academic journals and to provide talks and lectures.

“A full understanding of the historic building's development, fabric, components and materials can only be achieved by the careful recording of information gathered by inspection, documentary research and measured survey. This data can be obtained in a number of ways, and, increasingly, by the use of sophisticated recording and surveying techniques and equipment with which many of those who commission and use surveys and records may not always be familiar. Ideally, the repair or conversion of traditional buildings should only take place following an appropriate survey and recording exercise.”

Ingval Maxwell, Director TCRE Group, Historic Scotland 2003

The East Lothian Council Archaeology Service would very much like to thank everyone who spent time appraising earlier drafts of this guidance and for all their helpful and constructive comments. It is clear from the comments received that there is a real need for further guidance in relation to building recording and development control and, hopefully, this document will go some way to making sure that both curators and contractors can more easily communicate about historic building recording projects, their purpose, methodology and level of specification.

## 7. References

- |  |      |  |
|--|------|--|
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| Historic Scotland                        | 2000 | Guide for Practitioners 1. Rural Buildings of the Lothians: Conservation and Conversion.   |
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| Historic Scotland                        | 2003 | Guide for Practitioners: Measured Survey and Building Recording.   |
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| Scottish Office                          | 1997 | Planning (Listed Buildings and Conservation Areas (Scotland) Act 1997, Scottish Office (now Scottish Executive), Edinburgh                       |
| Scottish Office                          | 1999 | National Planning Policy Guideline 18: Planning and the Historic Environment, Scottish Office (now Scottish Executive), Edinburgh                |

Historic Building Recording  
Guidance for Curators and Commercial Archaeological Contractors

RCHME	1996	Recording Historic Buildings: A Descriptive Specification. Third Edition
RCAHMS	1996	Recording Scotland's Historic Buildings.
RCAHMS	1997	Survey and Recording Policy. Version 2.0.