

### **Appendix 3. Quantitative results from questionnaires sent to heritage and non-heritage organisations**

## Conservation principles

### *Heritage organisations*

- All the heritage organisations reported that conservation principles guided their approach to maintenance. Less than 60 percent of these, however, said that conservation principles were incorporated in their written maintenance guidance.
- The main sources of official guidance for conservation maintenance most often referred to were Society for the Protection of Ancient Buildings (SPAB) and English Heritage (EH).
  - One of the English organisations mentioned a Scottish source. None of the three Scottish organisations mentioned an English (based) source.
  - Only one organisation mentioned the British Standard and that same organisation was the only one to mention international charters.
  - All the key national conservation agencies referred to internal reports or processes as sources of official guidance.
- There was some conceptual confusion evident in some replies, for example, the suggestion that quinquennial surveys could be considered as a source of guidance rather than simply a data and/or information source.
- Eighty-three percent of the heritage organisations listed their key conservation principles. Most of the principles which were regularly mentioned were not surprising and could be traced back to concepts in international and national guidance (The Principles of SPAB, ICOMOS charters, EH guides such as Brereton, etc.). Most of the commonly accepted conservation principles were found. Only one organisation, however, clearly identified all these principles.
- It was noteworthy that 50 percent of those who listed their ‘key conservation principles’ did not include minimal intervention as one of these.
- Twenty percent of those who listed their ‘key conservation principles’ said that the conservation of significance was a key principle.
- It is worth noting that some of the conservation trusts in particular, confused practice and processes with principles, for example, referring to ‘specification writing’ or to employing ‘good people’ as principles.

### *Non heritage organisations*

- Only 70 percent of non-heritage organisations said that conservation principles guided their approach to maintenance. It is noteworthy that these principles were part of written guidance in only 36 percent of these cases.
- Of the 70 percent of respondents who said that conservation principles guided their approach, only 70 percent of were able to list their key conservation principles.
- Although in general usage the term ‘principles’ might be ambiguous, it can be argued that the term has a precise meaning in relation to historic buildings. Therefore, it is interesting that only one of the replies indicated some sense of awareness of principles as laid down or alluded to in national or international guidance documents. The organisation in question, a local authority listed ‘conservative repair, minimal intervention, reversibility and matching materials and traditional techniques’. Two others referred to minimum intervention by implication, for example, ‘retention of the historic fabric and utilisation of

traditional materials’ and ‘the principle of repairing and maintaining as much of the original material is adhered to’.

- The rest of the replies indicated a rather vague good intent. For example, references to an emphasis on the need to use ‘traditional materials’, or the use of ‘a competent workforce’ and a number of references were made to potentially vague concepts such as ‘sensitivity to original structure’.
- Some organisations referred to seeking advice from, for example, EH, consultants etc, as a conservation principle.
- It is not surprising that organisations such as universities and local authorities who operate under regimes which are highly process driven with a culture of internal and external audits and quality assurance all said that conservation principles guided their approach. It was surprising, however, that this was not universal among the housing associations and governmental organisations, who operate in a similar organisational culture to other public bodies. More surprising still was the fact that of all the public sector organisations who reported that they were guided by conservation principles, only the governmental organisations and one of the universities had these as part of written guidance.
- The most commonly used source of guidance mentioned by the respondents were local authorities/conservation officers, followed closely by national conservation agencies (English Heritage, Cadw and Historic Scotland). SPAB was referred to by a smaller number of respondents. Two other amenity societies were individually mentioned. The British Standard (BS 7913) and PPG 15 were only mentioned once.

## **Strategic plans**

### *Heritage organisations*

- Eighty-three percent of heritage organisations said that they had a strategic maintenance plan.
- All heritage organisations reported that they had assessed the relative historic significance of their listed buildings and 92 percent had assessed the relative historic significance of elements within these buildings and took this assessment into consideration when management decisions about maintenance priorities were made.
- It is noteworthy that, despite the fact that all respondents said they had assessed the historic significance of their buildings, only four referred to conservation plans or conservation statements when asked to give examples of policies to ensure that the historic significance of their buildings was maintained. Of those, one referred to ‘knowing the significance’ rather than having a plan based on the identification of significance. The four were all national conservation bodies/agencies. Another organisation referred to ‘conservation based research’ which may or may not imply having a conservation plan. The policies that some organisations identified such as, minimum intervention (identified by three) conserve as found (identified by one) and arguably, maintaining records (identified by one) are clearly about maintaining significance. Some referred to policies that might be part of a strategy for maintaining significance, but could not do so effectively in isolation or without an identification of significance, for example, ‘the use of high quality materials’ and ‘regular inspections’. Others gave even more vague statements such as, ‘being aware’ or ‘as a government department being required to set an

example'. One national agency implied that the processes involved in attaining of statutory permissions for their own stock, ensured that significance was maintained.

#### *Non-heritage organisations*

- A smaller proportion (70 percent) of non-heritage organisations said that they had a strategic maintenance plan.
- In contrast to the heritage organisations only half of the non-heritage organisations had undertaken an assessment of significance, although all of these indicated that they had assessed the individual elements within buildings. Only 70 percent of non-heritage respondents, however, used this assessment when considering maintenance management priorities.
- Not surprisingly, a greater proportion (that is, 69 percent versus 50 percent) of the organisations who reported that conservation principles guided their approach to maintenance reported that they had assessed the relative historic significance of their buildings.
- When asked to give examples of policies, only two respondents referred to a conservation plan or statement of significance. In addition one referred to the 'government nine point plan'. There was a reference to 'internal controls' by two organisations and one organisation said the policy was to refer to 'other conservation bodies'. One said that they 'employ specialists' and one to 'research and recording'.
- Seven organisations had no policy in place to ensure that significance is maintained. But of these seven, two assessed the significance of their buildings. A further five assessed significance but did not refer to the use of conservation plans or conservation statements as an example of policy.
- In answer to another open question (on minimum intervention), two commercial organisations implied that they only sought to protect specific features/elements but neither had analysed the significance of buildings nor individual features.

### **Minimal intervention**

#### *Heritage organisations*

Not surprisingly all heritage organisations reported that this was a policy. In response to the request to list key conservation principles, however, only 50 percent referred to minimum intervention.

- When asked why they adopted a minimum intervention approach the heritage organisations' responses were not particularly reflective and tended to refer to it as being 'best practice' or a fundamental principle.

#### *Non-heritage organisations*

- Minimal intervention for the fabric of their listed buildings was a policy for 80 percent of non-heritage organisations. Only one of the eight respondents who replied to the open question asking them to list their key conservation principles, mentioned minimum intervention specifically. Two respondents referred to it indirectly, however.
- The reasons for not adopting the policy were broadly that it could produce problems of image and/or options for reuse/development. These responses came from the two commercial organisations and one large government organisation. On the other hand, one

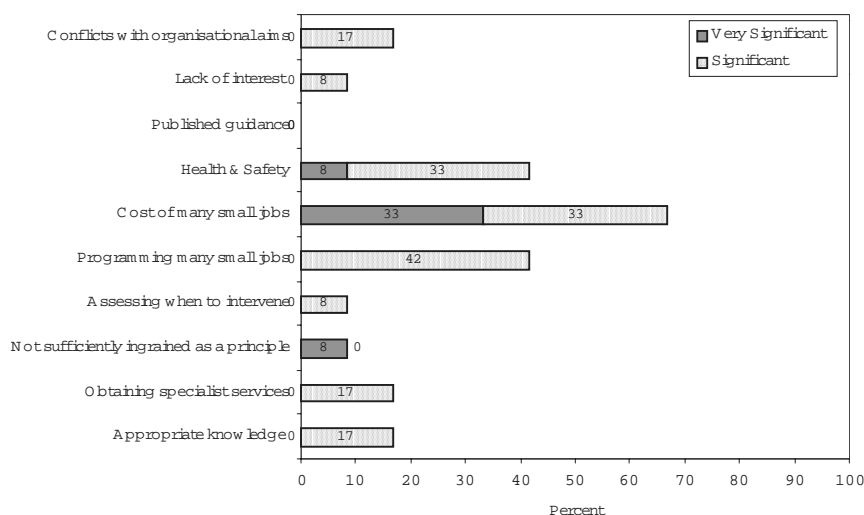
respondent, whose organisation did have minimum intervention as a policy, stated that its value was that it helped ensure that adaptations were acceptable.

- As with the heritage organisations a number of respondents who adopted a minimum intervention policy said that it was best practice, or referred to it being an important conservation principle. Additional reasons included two references to it being an implied statutory obligation and one suggesting that it was more economic, as well as protecting significance.
- Three of the respondents who adopted a principle of minimum intervention indicated that it would not be adopted in situations where there were tensions with the wishes of the users or with new functional requirements (including image).

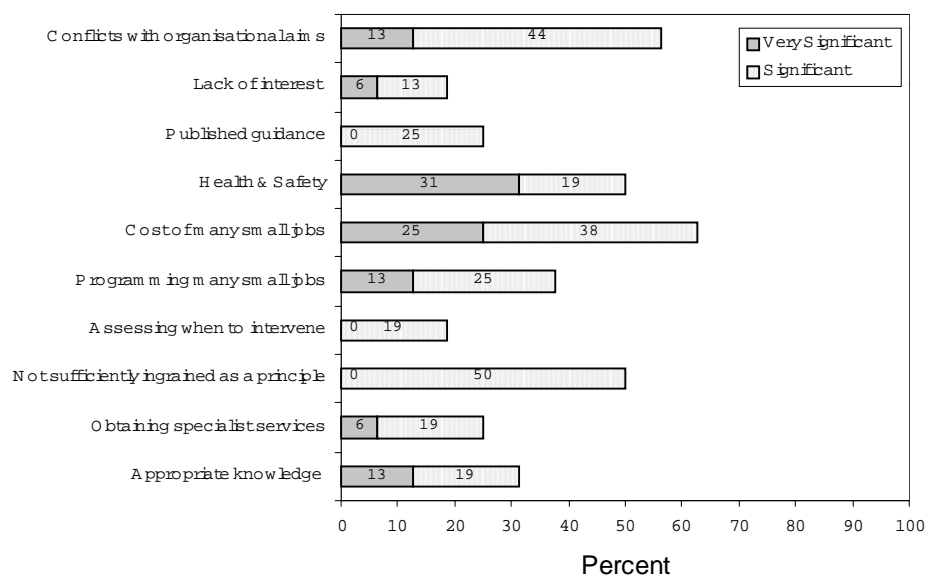
### Factors constraining a minimal intervention approach

- Of particular significance for both sectors were the financial costs involved in programming many small jobs, health and safety and the practical difficulties in programming numerous small tasks.
- In addition, the non heritage organisations reported that significant constraining factors to the adoption of minimal intervention policies included:
  - conflict with other organisational aims,
  - minimal intervention not being sufficiently ingrained as a principle within the organisation,
  - a lack of appropriate knowledge within the organisation.

**Figure 2.1: Factors constraining a minimal intervention approach in heritage organisations**



**Figure 2.2: Factors constraining a minimal intervention approach in non-heritage organisations**



## Planning and programming

### *Heritage organisations*

- Ninety-two percent of heritage organisations said that they operated a planned maintenance programme.
- Ninety percent of the heritage organisations, who had a strategic plan also operated a planned maintenance programme.
- In answer to the question ‘why have you or why have you not adopted a planned maintenance programme?’ four organisations did not answer, of these, three operated a planned maintenance system and one did not. The most common reason for operating a planned maintenance programme was its effectiveness in protecting and enhancing the buildings (referred to six times). Respondents said for example, ‘a planned maintenance programme is both effective and fundamental to good conservation’ and ‘a planned maintenance programme is the only effective way we have found in looking after buildings’.
- There were also vague references to it being ‘good practice’. One respondent said that the driver was the fact that the properties were open to the public and therefore ‘need to be properly maintained’. Whether this was a health and safety or a presentational issue (or both) was not made clear.
- There were also references to the relationship between planned maintenance and financial planning, suggesting that the purpose is to prepare budgets as well as minimise costs and protect fabric. Some respondents made specific reference to the connection between protection and financial planning:

‘The Trust is ever mindful that it is preferable to carry out routine work now rather than store up major works in the future for which we may not have the resources’.

‘Regular maintenance is a proactive involvement in the condition of a building. Problems identified and dealt with in the early stages can minimise the need for more intervention and costly repairs later on’.

#### *Non-heritage organisations*

- Eighty two percent of non-heritage organisations said that they operated a combined planned maintenance programme for listed and non-listed buildings, and 15 percent had a separate planned maintenance programme for their listed and non-listed stock.
- All non-heritage organisations with a strategic maintenance plan also operated a planned maintenance programme.
- The reasons for operating a system could be broadly categorised as being:
  - Either a statutory or an organisational requirement (eight mentions, including that it is seen as ‘best practice’),
  - Ensuring functionality (five mentions),
  - Protection of the asset (three mentions),
  - Minimising response repairs/early detection of technical problems (three mentions)
  - It is seen as financially advantageous (three mentions).

One respondent, said for example, ‘a better expenditure is achieved by proactively maintaining our premises than having to spend money reactively’. Another said ‘planned maintenance based on a rationalised programme formulated from knowledge of stock condition and priorities maximises benefit from limited funds’. A third respondent said, ‘Proactive method of avoiding problems in a cost effective manner’. One respondent made the important point that there is an issue of ‘aesthetic integrity’ and another referred to it ‘making a statement about the organisation’.

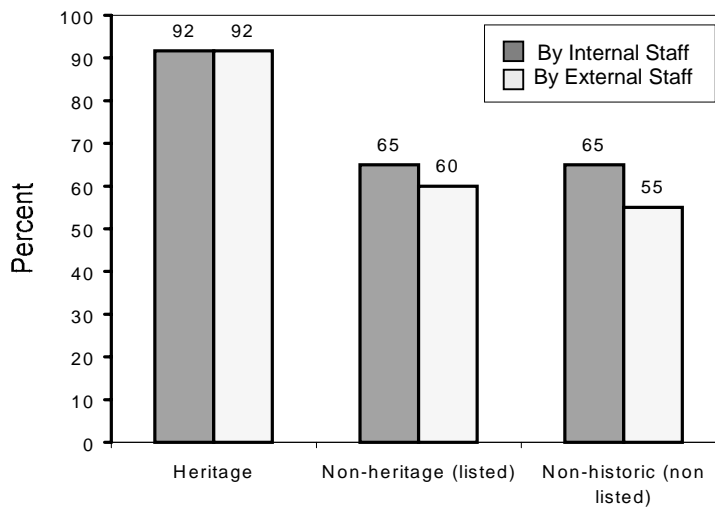
## **Inspection regime**

#### *Heritage organisations*

A summary of the stock on which condition surveys were carried out and whether these were carried out in-house or by external consultants (both heritage and non heritage organisations is shown in Figure 2.3.

- Condition surveys were carried out by all heritage organisations that responded to the questionnaire.
- Eighty three percent of these used a combination of internal staff and external consultants for this purpose. Eight percent of the respondents said that conditions surveys were carried out exclusively by internal staff, whilst a further eight percent reported that condition surveys were carried out exclusively by external consultants.
- The common pattern for frequency of inspection is for a 5-year inspection making use of external consultants. Though for one organisation this occurred on a quarterly basis and for another this occurred every 3-years. Generally this is supplemented by more frequent inspections undertaken by in-house staff the most commonly adopted interval is 6 months with only one organisation inspecting every 2 – 3 years.

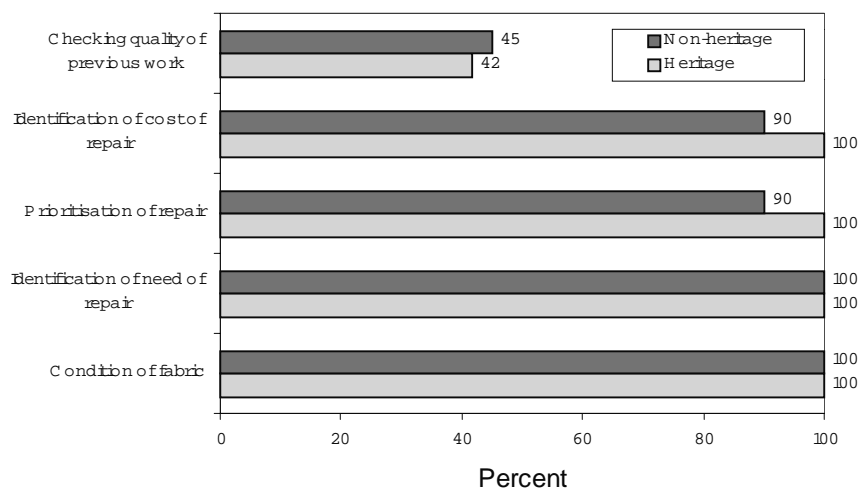
**Figure 2.3: Condition surveys and who carries them out**



- Of the four organisations who do not regularly use external consultants, there is not a particular pattern of frequency by which the in-house inspections are undertaken. Three of the four organisations, who do not commission external consultants to undertake condition surveys, are building preservation trusts.

A summary of the purposes for which organisations said condition surveys were carried out is shown in Figure 2.4.

**Figure 2.4: The purposes of condition surveys**



- Only two heritage organisations had reasons for carrying out condition surveys that were in addition to the prompts contained within the questionnaire. Each referred to one of the following:
  - public safety and disabled access,
  - generally health and safety issues.

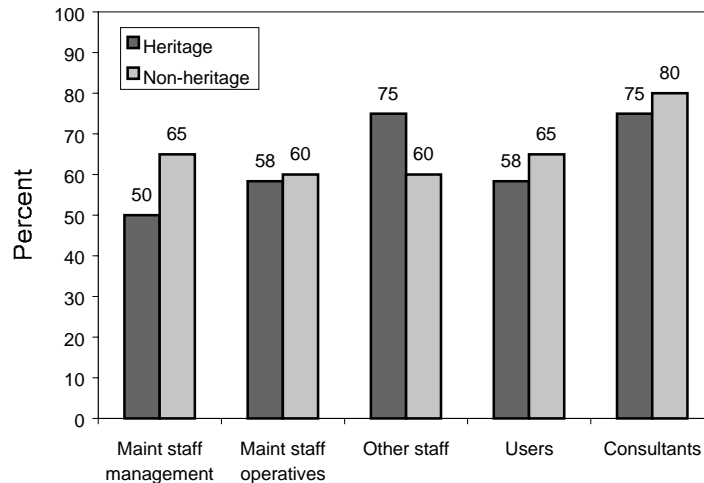
*Non-heritage organisation*

- All non-heritage organisations also carried out some kind of condition survey (Figure 2.3). There was some degree of variation in the source of the staff carrying out the survey.
- Only 20 percent of the organisation used a combination of in-house and external consultants to undertake this function. (This compares with 83 percent in the heritage organisations). Forty-five percent used in-house staff only for condition surveys and 35 percent use external consultants exclusively for this function.
- Twenty percent of organisations said that they used both internal staff and external consultants for their listed and non-listed stock. Forty percent used internal staff only for both types of stock, whilst 35 percent reported that they used external consultants only for both types of stock. Only five percent of the organisations said that they treated their listed and non-listed stock differently in that they used both internal staff and external staff for the listed stock, whilst using internal staff only for their listed stock. A lower percentage (65 percent) of the non-heritage focused organisations, therefore, made use of in-house staff to undertake condition surveys for their listed buildings.
- Ninety percent of the organisations did not differentiate between listed and non-listed stock when it came to the frequency and pattern of in-house or external consultants undertaking condition survey inspections. Of those that did differentiate, one organisation had external consultants inspecting non-listed buildings annually and listed buildings every four years. Another had its listed buildings inspected every five years by in-house staff and 10 years by external consultants but the non-listed buildings were only inspected by in-house staff at the same five yearly interval.
- Sixty percent of the organisations carry out condition surveys on their listed buildings at a 5-yearly interval that is, with no inspections in the intervening years. The single most identifiable group within this 60 percent are diocese, where the five-yearly interval is a statutory obligation under the Churches Measure. In addition, one organisation only inspects its listed buildings every seven years and one at a 4-yearly interval. The remaining organisations inspect on an annual or 6-monthly basis.
- In addition to reasons for carrying out condition surveys provided by the questionnaire, five organisations each referred to one of the following reasons:
  - fire /health and safety issues,
  - disabled access,
  - checking outstanding repairs,
  - checking the condition of historic furniture and artefacts,
  - listing fixtures and fittings.

## Informal observations of building condition

Results relating to the use of staff, users and consultants to report informal observations of building condition are summarised in Figure 2.5.

**Figure 2.5: Use of staff, users and consultants to report informal observations of building condition.**



### *Heritage organisations*

- Ninety-two percent of heritage organisations said that they made use of some of these groups to report informal observations of building condition.
- Thirty-three percent made use of all five groups, the remaining 67 percent, who said that they reported informal observations from these individuals, each used a different combination of staff/users/consultants.

### *Non-heritage organisations*

- Ninety percent of respondents reported that they made use of these groups to report informal observations of building condition.
- Forty percent made use of all five groups, that is, both types of maintenance staff, other staff, users and consultants to report informal observations. Of the remaining organisations, each used a different combination of staff/users/consultants.
- It is significant to note that respondents who said that they had a minimal intervention policy made a greater use of users (that is, 81 percent versus 65 percent) and other staff (that is, 69 percent versus 60 percent) to report informal observations of building condition.

## Finance and budgeting

- Only one third of the heritage organisations had analysed the relative costs of planned and sporadic maintenance. This compares with just over half of the non-heritage organisations that had undertaken this exercise. Heritage and non-heritage organisations, reported that the results of these analyses indicated that planned maintenance was more cost effective (that is 75 percent of the heritage organisations and 82 percent of the non-heritage organisations).

## **Information management/requirements**

- Only 42 percent of heritage organisations said that they had an integrated database for maintenance.
- A slightly higher proportion (50 percent) of non-heritage organisations reported that they had an integrated database for maintenance. Five percent of these reported that they had a separate database for listed and non-listed stock.
- All but one of the respondents said that the integrated database was used to analyse the cost of maintenance work over time.
- Organisations with a strategic plan were no more likely to have an integrated database than those who did not have a strategic plan. To effectively implement a strategy a management plan is necessary and it can be suggested that the efficacy of these is reduced unless they are informed by an integrated database.
- Eighty percent of heritage organisations and 75 percent of non-heritage organisations with integrated databases had analysed the relative costs of planned versus sporadic maintenance.

## **Performance monitoring**

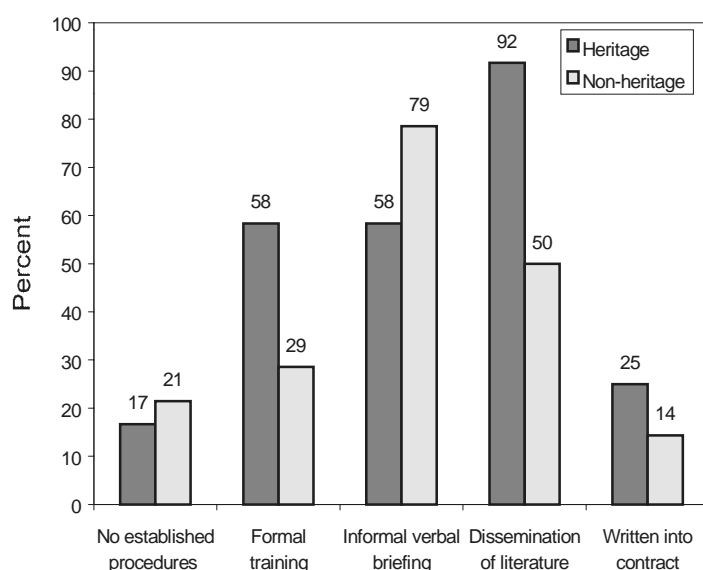
- There was a significant difference between the heritage and non-heritage organisations in terms of the use of performance indicators. Only 25 percent of heritage organisations compared with 45 percent of non-heritage organisations used performance indicators.
- Eleven percent of the non-heritage organisations who used performance indicators reported that they used performance indicators that were specific to their listed building stock.
- The low percentage of organisations in each sector who used performance indicators is noteworthy given that any best practice management regime must incorporate some component of monitoring and feedback.
- The incidence of non-heritage organisations that used performance indicators was not higher among those organisations who said that they had policies in place to ensure that the historic significance of their listed buildings was maintained. This raises the question of how they could be sure that their policies were effective in ensuring that historic significance was maintained.
- The presence of a strategic maintenance plan appears to make little difference to whether both heritage and non-heritage organisations make use of performance indicators.

## **Staffing and management**

### *Communication of conservation principles to internal staff*

- Seventeen percent of heritage organisations and 21 percent of non-heritage organisations reported that they had no established procedures for the dissemination of conservation principles to internal staff. This does not mean, however, that they do not make any attempt to disseminate these principles, but that they have no fixed method for doing this.

**Figure 2.6: The communication of conservation principles to in-house staff**



- It is noteworthy that with regard to internal staff, heritage organisations make much greater use of formal training (58 percent versus 29 percent for non-heritage organisations).
- An equal proportion (that is 58 percent) of heritage organisations also made use of informal verbal briefing. The proportion of non-heritage organisations who use informal verbal briefings was significantly higher than those who said that they undertook formal training (79 percent versus 29 percent).
- Literature is clearly a very important vehicle for dissemination of conservation principles with 92 percent of heritage organisations reporting that they used this method. This compares to only 50 percent of non-heritage organisations that used this method.
- Twenty five percent of heritage organisations and 14 percent of non-heritage organisations said that conservation principles were part of a contract of employment for internal staff. These figures are surprisingly high and the form which this took and why organisations used this procedure is an issue that will be pursued in the qualitative research.

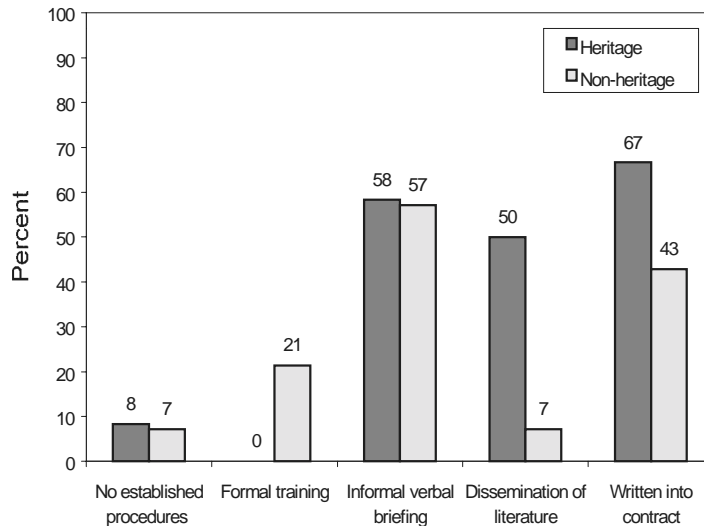
#### *Communication of conservation principles to external staff*

The incidence of organisations reporting that they had no formal procedures for disseminating conservation principles was lower for both heritage and non-heritage organisations in relation to external consultants.

- No heritage organisations gave formal training to external consultants. Almost as many non-heritage organisations as used this method for internal staff, reported that they also used it for external staff (that is 21 percent for external versus 29 percent for internal).
- An almost equal proportion of heritage and non-heritage staff reported that they disseminated conservation principles to external staff through informal verbal briefings.
- It is surprising to note that only 50 percent of organisations that used literature to disseminate conservation principles to their internal staff said that they also used this

method for external consultants. The implication is that they have the literature to hand but are choosing not to make use of this in relation to external consultants. This appears to be an important opportunity missed to ensure that external consultants are well informed of the organisations' conservation principles.

**Figure 2.7: The communication of conservation principles to external staff**



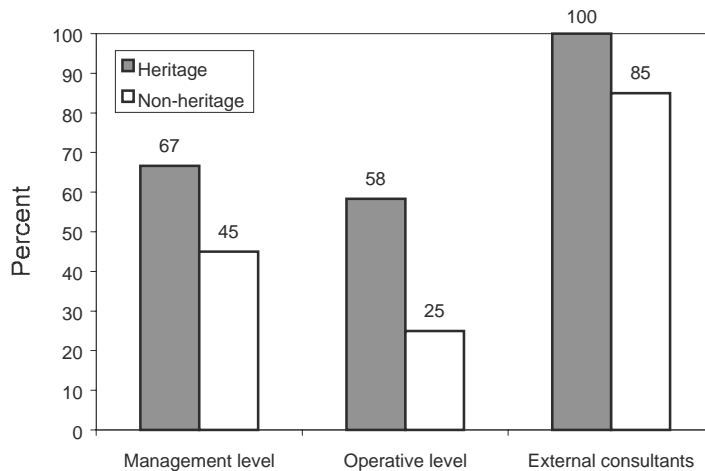
- Generally a lower proportion of non-heritage organisations used literature to disseminate their conservation principles. Where they do use literature, as with heritage organisations, a lower proportion uses this to disseminate principles to external consultants. For non-heritage organisations the proportion was significantly lower compared with the heritage organisations. Only 50 percent of the non-heritage organisations used literature to disseminate principles to internal staff, and only seven percent of non-heritage organisations disseminated conservation principle to external consultants by literature. Clearly they have the literature, but use it almost exclusively to inform internal staff.
- Sixty seven percent of heritage organisations disseminated their conservation principles to external consultants through the written contract. This means however, that one third of the respondents did not use the contract for this purpose. The proportion of non-heritage organisations that used the written contract to disseminate conservation principles to external staff was lower at only 43 percent.
- For both heritage and non-heritage organisations there was no discernible pattern in the combination of procedures that they adopted to communicate conservation principles to internal and external staff.

### **Employment of internal staff and external consultants and contractors with specialist conservation knowledge**

- All the heritage organisations employed specialist staff at some level Figure 2.8. Fifteen percent of the non-heritage organisations, however, reported that they did not employ staff with specialist conservation knowledge. Significantly two of these organisations were diocese.

- Forty two percent of heritage organisations employed staff with specialist conservation knowledge in all three categories. This was true of only 15 percent of non-heritage organisations.

**Figure 2.8: Employment of internal staff and external consultants and contractors with specialist conservation knowledge**



- A piece of latent data to emerge from the questionnaire is that at least 58 percent of the heritage organisations appear to be directly employing staff at operative level. This is surprising given the generally acknowledged trend not to make use of directly employed labour. It is perhaps not surprising, however, that these were operatives with specialist conservation knowledge. By contrast only 25 percent of non-heritage organisations employed internal operative level staff with specialist conservation knowledge.
- A relatively small proportion (17 percent) of the heritage organisations reported that the only staff that they employed with specialist conservation knowledge were external consultants and contractors. This compares with a far higher proportion (that is 40 percent) of non-heritage organisations.
- Fifty percent of the non-heritage organisations reported that the criteria that they used when selecting external consultants and contractors to work on their listed building stock was different to the criteria that they would use for their non-listed stock.

### **Encouraging a prevention not cure policy**

Respondents were asked to identify, within the context of their own organisation what single factor would encourage or improve their prevention and not cure approach to maintenance.

#### *Heritage organisations*

- Finance was the over-riding factor mentioned by respondents. This was largely explained in terms of the specific costs of processes, for example the costs of additional surveys. Two respondents referred specifically to uncertainties of funding to enable such a long-term approach to be adopted.
- Despite being asked to identify a single issue, half of those respondents who raised financial issues, also mentioned a need for a corresponding increase in staff resources.

*Non-heritage organisations*

- Only two respondents said that a prevention not cure approach is already part of their maintenance philosophy.
- One of the commercial organisations suggested that, ‘... in all honesty, some form of legislation and policing...’ would be the single factor most likely to encourage such an approach.
- Finance was the most commonly raised issue by the respondents with 45 percent of respondents mentioning additional funding/finance/budget. The majority implied they would need additional funding to adopt this approach. Two respondents, however, (both diocese), specifically said that proof of financial advantages of such an approach were necessary. These same organisations also said that more frequent inspections would encourage and improve their prevention and not cure approach to maintenance.
- One respondent said that the ‘use of a clerk of works, smaller more responsive contracts and greater flexibility and mobility of response would encourage and improve our preventative approach to maintenance’.
- Four organisations highlighted the lack of information and knowledge of a prevention - not cure approach. Two specifically identified training and education for internal and external staff as an important factor.
- One respondent who did not have a planned maintenance programme said that a Preventive Planned Maintenance (PPM) regime would encourage and improve a prevention and not cure approach to maintenance.