

## Grant Guidance and Criteria

### Stockton Northern Gateway Townscape Heritage Project

#### Purpose of the Guidance

This guidance provides advice and information for applicants to the Stockton Northern Gateway Townscape Heritage (TH) Grant Scheme. Please read this guidance carefully and speak to the TH Project Officer before starting the grant application for your project (Contact details are given at the end of this guidance). The separate document 'Principles of repair for historic buildings' should also be read prior to preparing a grant application.

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# Background

The Stockton Northern Gateway Townscape Heritage project will focus on heritage around the Northern end for the High Street leading into Norton Road which suffers from vacancy, neglect and decay. It will seek to restore many of the architectural features and thus conserve the physical appearance of the historic built environment of the area. The five year project (2019 – 2024), which has been awarded a £1.8m National Lottery Heritage Fund grant, will focus on restoring up to 16 buildings around the National Lottery funded Globe Theatre and Victoria Estate housing development, deliver a public realm scheme and run a comprehensive heritage focused activity programme which will raise public awareness of and engagement in the TH project and the heritage at the northern end of the High Street.

Grants are available for exterior repairs and reinstatement of historic features using high quality natural materials and traditional methods, and for structural requirements to ensure the future viable use of the premises. Works must be carried out in a way which protects and enhances the fabric and character of historic buildings and which preserves or enhances the character and appearance of the TH area. These will be based on the works identified within the Scheme Plan approved by the Council and the National Lottery Heritage Fund, however schemes can be modified based on recommendations of the building condition survey. The overall aim of the project is to have a positive impact on the local environment and economy within the Stockton Northern Gateway Townscape Heritage area and wider conservation area by improving and bringing back into use historic buildings in the area.

As part of the process in securing the funding from the National Lottery Heritage Fund, properties have been identified within the project area for grant support. Identified properties have been categorised as high, medium and reserve properties.

## Building Restoration Grants

The objective is to put into sound repair the structure and external envelope of buildings which make a positive contribution to the character or appearance of the conservation area. Repairs should be comprehensive in scope, using appropriate techniques or methods of construction and high quality natural or traditional materials, normally on a like-for-like basis. Substitute or artificial materials are ineligible and their use generally unacceptable on grant-aided projects. Routine maintenance, including redecoration, is ineligible unless the decoration is needed as a direct result of eligible repairs. Normally, interior repairs are ineligible for assistance, although the specification for such works should be included within the application to ensure these works do not damage the integrity of the building or diminish the grant towards external works. Interior works are eligible only if they result directly from repairs to the structure, are vital to the buildings historic preservation and assist in bringing vacant floorspace back into use.

### Grant Rate

The grant rate available is 73.5% of eligible costs. The maximum grant available is property dependent, the TH Officer is able to advise further on this.

Professional and statutory fees to support your project development are eligible for grant support at the above grant rate. Appropriate procurement must be undertaken.

## Eligible Repairs Details

- Consolidation or reinforcement of the existing structure, using the most conservative approach that is practicable, although limited reconstruction as existing is eligible if unavoidable. The survival of traditional building techniques is very important, and repair should be in compatible materials.
- Appropriate repairs to timber frames, roof structure, beams, floor joists and other structural timbers, based on a careful and comprehensive survey of the existing structure. In-situ reinforced resin repairs to structural timbers are not acceptable unless justified on the grounds of avoiding major disturbance of historic fabric.
- Reinstatement and installation of traditional style shopfronts to historic buildings, where the works would enhance the appearance of the historic building and the wider townscape.
- Reinstatement of missing architectural details where evidence survives of the original detailing.
- Dry rot eradication and timber preservative treatments, based on an analysis and specification by an independent consultant and using non-destructive techniques and non-toxic applications wherever possible.
- Damp-proofing by traditional methods, but only where damp is causing structural damage to the building; damp-eradication measures, such as improved drainage, the introduction of French drains, or the lowering of ground levels, are preferable where practicable. Post-application DPC or DPM are ineligible and often further damage or exacerbate damp problems in historic buildings. Experience has shown that the provision of inappropriate damp-proof courses (DPC) and membranes (DPM) in historic buildings has often diverted damp problems to other areas.
- The repair (or if unavoidable, replacement), to an approved historic pattern and detail, and in the historic material, of windows, external doors and other external joinery which contributes to the character of the building and/or the conservation area. This includes the repair or restoration of historic dormer windows.
- Re-roofing in natural materials traditional to the area, normally to match the historic covering, using new materials and/or re-using sound existing materials where possible. Repairs to the roof structure and high level external elements should be undertaken concurrently. Re-roofing with artificial or alternative materials, such as concrete tiles, asbestos cement slates, 'reconstructed' slates or 'artificial stone' slates, is not eligible for grant, nor is the use of roofing felt for flat roofs or lining gutters.
- Repairs to chimneys, including lining or rebuilding if structurally essential, provided that the chimney is reinstated accurately to the historic height and profile; also replacement of the historic style of chimney pots. The retention and repair of existing stacks may be a condition of grant offered to other work.
- Repair, renewal or reintroduction of leadwork, the provision of weatherings, and the reforming of gutters to adequate falls, normally in accordance with the details and weights recommended by the Lead Sheet Association in The Lead Sheet Manual.
- The repair, replacement or reintroduction of rainwater goods or a rainwater disposal system to a building, to match the historic material and sections. Generally, this will be in cast iron, but occasionally in lead or timber, where appropriate. Plastic, PVCU or GRP rainwater goods are not eligible.
- The repair of external stonework and brickwork, including decorative elements, to an appropriate specification. 'Plastic' in-situ resin-based mortar repairs to brickwork and stonework are not normally acceptable or eligible, except for minor areas.

- Repairs to external render or stucco and limited areas of renewal (there should be a presumption against total or substantial renewal, unless this is unavoidable), to an approved specification. If such a coating has been removed in recent years to the detriment of the performance and appearance of the building, its reinstatement may be the most appropriate form of repair. Also eligible is the repair of applied details and features, such as cornices, string courses, window architraves, columns, pilasters, 'rusticated' rendering and the like. These should be repaired carefully and accurately to the historic form or profile, and as near as possible to the historic composition. Generally, GRP or similar replacement mouldings are not acceptable for grant, nor are proprietary in-situ resin-based repair techniques.
- Selective rebuilding of existing stonework and brickwork, if structurally necessary and to an agreed specification. Generally, this will be using salvaged existing materials, and/or new matching materials and should be preceded by a record survey of the existing. Only repointing which is structurally necessary, kept to the absolute minimum required and carried out to an appropriate specification, is eligible. Comprehensive repointing for cosmetic reasons is not eligible, unless this is for the replacement of unsuitable cement based mortar.
- The external cleaning of stonework and brickwork only where there is such a build-up of dirt, paint or built-up resin coatings on the surface that it must be removed in order to assess the extent of necessary repair, or where the surface build-up is damaging the fabric of the building by chemical action. Cleaning for cosmetic reasons is normally not eligible. Unapproved cleaning may render the project ineligible. Any cleaning which is agreed to be eligible must be undertaken to an approved specification and carried out by specialist conservation contractors.
- The repair and reinstatement of historic distinctive architectural features, for example decorative ironwork such as balconies, canopies, railings, tiling and other historic finishes (for example traditional signage), and architectural sculpture, cornices, string courses, and architraves.
- Where works of repair involve existing historic shopfronts consideration should be given, where appropriate, to the character of the building and to the provision of appropriate access to meet building regulations. This work may be eligible for assistance where it forms part of a wider scheme of works assisted through the TH.

## Non-Eligible Works

Grant aid is not available for installation of fittings (e.g. shop counters), decoration (unless as a direct result of eligible repair), or routine maintenance.

Eligible and non-eligible works can be undertaken in the same programme of work, but costs must be identified separately. Non-eligible works must still comply with the requirements and principles of repairs to historic buildings, even if assisted by other grant bodies, so as to not damage the integrity of the historic building's fabric and diminish the value of the Townscape Heritage grant assistance.

# General Information and Terms

## 1) Applicant

The applicant must own the freehold of the property or hold a lease of it with an unexpired term of at least 10 years without a break clause. If the property is held on a lease for less than 10 years or if it contains a break clause which may terminate the lease within 10 years, the landlord must be named on the grant application and agree to be bound by the grant conditions if a grant is awarded. The grant cannot be transferred.

## 2) Standard of Work

All work must be carried out to a high standard using good quality materials, in accordance with current best practice in the conservation of historic buildings. Work must be undertaken with respect to the character and integrity of the building or structure and to the area in which it lies, in accordance with the relevant national conservation legislation and local policies, acting on any recommendations the Council or any professional working on its behalf makes in respect of the works.

Work must be carried out to the satisfaction of the Council and local planning / building control officers (where appropriate) in compliance with the approved plans and specifications.

The applicant must provide access to the property to enable the Council to assess the application and monitor progress as well as the satisfactory completion of works.

Any variations to the proposed scheme of works or the contractor completing the works must be agreed in writing with SBC prior to the works or change being undertaken and, if necessary, amended statutory permissions must be acquired. It is the responsibility of the applicant to ensure that the work is completed to their satisfaction. The Council cannot be held liable for any design or construction faults or any failures on behalf of your appointed contractor. If you defer from your named builder in your application, you will need to discuss this with the TH Project Officer.

Photographs must be taken by the applicant before, during and upon completion of the works and must be submitted to the TH Project Officer. These may be used by SBC and the National Lottery Heritage Fund.

### 3) Procurement

Grant can only be paid towards costs relating to works and services which have been properly procured. The information that must be submitted in support of a TH grant is dependent upon the nature and scale of the proposed scheme. The thresholds for competitive process are as follows: -

- a. Where the goods, works or services costs are up to £50,000, you must obtain three written tenders for the Works;
- b. Where the value of the Working Costings is over £50,000 a formal tender process is required.

You must only invite tenders from contractors that can demonstrate a reputable experience of working on heritage conservation projects.

In all cases the most competitive quote/tender will be selected to base the grant offer upon (this can be assessed on a most economically advantageous tender basis). If you want to accept a tender other than the winning one, you must submit written reasons to justify why when submitting your application. If the Grants Panel does not agree with these, any grant awarded will be reduced by a percentage, which reflects the difference between the winning tender to the Grants Panel and the one you accept.

The contracts you enter into in undertaking the Grant Eligible Works must be on terms which do not differ materially from those that would be entered into by a reasonably experienced building employer engaging contractors to provide similar work or services for projects of the size, value, complexity and prominence of the Grant Eligible Works. The costs of works and any additional project costs should, if possible, be itemised in the contract.

If the Grant Eligible Works are completed for less than the cost estimate on which our grant offer was based the grant will be reduced proportionately. Grant for these purposes will be deemed to have been spent pro rata with funds provided to carry out the works from other sources. The grant will not be automatically increased if there is any overspend, any increase in project costs must be reported to the Senior Townscape Heritage Project Officer, the appropriate process will be followed to seek agreement for any increases to grant offers.

### 4) Appointment of Professional Advisors

If the total cost of the proposed project will exceed £25,000, development of a project must involve a competent professional with appropriate heritage and conservation knowledge, ability and experience to plan and specify the works in detail, to inspect and certify the works while they are in progress and on completion. If you intend to carry out a mixed schedule of works (e.g. windows and roof repairs) you must likewise appoint a professional advisor regardless of the cost of these works. An agent is an independent building professional (architect, surveyor) who will prepare a detailed specification of the works and will give guidance on all other information required to support the grant application.

Expenditure on fees is eligible for grant assistance, provided services have been procured appropriately. Other forms of fee, including archaeological work and specialist reports from independent damp and timber decay consultants are similarly eligible. Fees should be detailed in the application form and schedule of costs.

The following information and guidance is available on the appointment of professional fees:

- TH Professional Advisor Guidance
- TH Guidance - How To Find Professional Advisors With Appropriate Conservation Expertise

## **5) Specification**

The application must be accompanied by a copy of the priced specification and schedule of works and drawings of the proposed works. Quotes / tenders based on the specification and drawings must be provided, copies of which must be supplied. Suitable photographs of the building are also required.

## **6) Availability of Financial Records**

You must make available any financial records that we may reasonable require in respect of the works including, but not limited to, receipts, invoices and banks statements.

## **7) Grant Assessment**

The grant application process is managed by the Senior Townscape Heritage Project Officer. Once satisfied that all required information has been provided and necessary consents are in process the application will be considered for formal approval. The grant approval process includes the TH Programme Group who will recommend and refer grant applications to the TH Approval Panel. In addition grant applications may need to be referred to the National Lottery Heritage Fund for approval.

## **8) Start of Work**

No work may be started until written approval is given and a signed Third Party Agreement has been returned to the Council. A grant will not be offered if the work for which it is sought has commenced prior to submission of the application or if such work commences thereafter without the Council's written consent.

## **9) Payment of Grant**

The Council will only release a payment of grant in arrears. Grant will only be paid in response to a claim, accompanied by relevant invoices, certificates and evidence of payment and only against eligible work and subject to work being carried out to the required standard. The applicant must make available any financial records reasonably required in respect of the works. Payments will be made as a proportion of the eligible costs incurred calculated at the same percentage as the grant offer. Should the actual cost of the grant assisted works be less than envisaged, the grant will be reduced accordingly. There is no general provision to increase the grant award. The Council will withhold 10% of the grant offered until all the grant-eligible works to the property have been completed and the Council is satisfied that the conditions of grant have been met.

## **10) Grant Repayment and Clawback**

Due to the scheme being funded by public money, it is necessary to ensure that private property owners do not benefit unduly from the grant funding they receive. In the event of sale or lease of the property before the terms of the grant agreement have expired (i.e. within ten years of the works being completed) a proportion of the grant received may be required to be repaid. This amount will decrease incrementally over time. All assessment of clawback will be assessed on a case by case basis. It is a condition of any grant offer that notification is given to the Council prior to the sale/lease of a grant aided building. Valuations of the property will be made as part of the grant process and will be kept on file until the clawback period has expired.

Where repayment is due, the level of clawback will be calculated as follows:

	Amount of Grant to be Reclaimed
0-6	Up to 100%
6-7	Up to 80%
7-8	Up to 60%
8-9	Up to 40%
9-10	Up to 20%

Disposal after a lapse of 10 years (from completion of the grant project) will not trigger clawback. Any repayment due must be made on or as soon as possible after the sale or lease of the property has been completed.

In addition, the Grant will become repayable, and any future payments stopped if: -

- a. There is a breach of any grant conditions;
- b. The grant recipient ceases to operate, is declared bankrupt or placed in receivership or liquidation;
- c. There is fraudulent or misleadingly activity in connection with a grant application or in carrying out an/or completing the works.
- d. The grant recipient acts fraudulently or negligently in carrying out the Project; or
- e. Any competent authority directs the repayment of the Grant.

We may agree that repayment is not required if any breach is capable of being remedied and is remedied within whatever period we prescribe; or in relation to any element of the Grant Eligible Works which has been completed, the heritage benefit of which we agree, is not jeopardised by failure to complete the remainder.

## 11) Restriction

A Restriction on Title and / or Land Charge may be applied (arranged by the Council) which states that no disposal of the property can be made without the Council's consent and ensure that public funds can be recovered in the event of change of ownership. This will also advise potential new owners and tenants of the liability to retain the grant aided works.

## 12) Term of Contract

The grant agreement will remain in force for 10 years from practical completion of the project.



## 13) Insurance

The applicant must insure the property during the course of the work and following completion of the work for its full reinstatement value. We need to protect Lottery investment and so we ask you, with your contractors, to take out insurance for any property, works, materials and goods involved. All of these must be covered for their full reinstatement value against loss or damage, including inflation and professional fees. If your scheme is affected by fire, lightning, storm or flood to the extent that you cannot achieve the outcomes set out in your application, we may have to consider claiming back our grant payments.

While the works are in progress the grant recipient must maintain adequate insurance cover on the building, the work undertaken to date, and any unfixed materials and goods delivered to the building, against any loss or damage arising as a consequence of the works being undertaken. Insurance should be held in joint names of the grant recipient and the contractor unless otherwise agreed in writing by the Council. The proceeds of all claims under the insurance must be applied by the grant recipient towards the cost of the reinstatement of the works and the building, the rectification of any loss or damage caused to the works, and the replacement of any goods or materials damaged or lost.

## 14) Maintenance

Following completion of the work, the applicant must also maintain the property in good repair and condition and in a manner consistent with the works undertaken to the building and the area's character and appearance.

The applicant is encouraged to take part in the annual drone and cherry picker maintenance projects run through the Stockton Northern Gateway Townscape Heritage project. In addition copies of the Maintain to Gain Guidance and Conservation Area Management Plan will be made available to guide applicants on future care for their building.

Until 10 years after the completion date, work must not be carried out to the property (other than the Project) that detracts, in our opinion, from the property's value or integrity as a heritage asset, unless we agree otherwise in writing. Undertaking such works may require grant repayment.

## 15) Value Added Tax

VAT may be payable on eligible repair costs where it cannot be recovered. The inability to recover VAT must be confirmed at application stage. Grant can only be paid towards irrecoverable VAT. If you are subsequently able to recover the VAT towards which grant has been paid, you will be required to repay the relevant amount of grant. VAT should be shown as a separate item in the schedule of costs.

## 16) State Aid Rules

The state aid rules of the EU prevent unfair competition between member states by favouring one undertaking over another. Grants below 200,000 Euros are not affected, providing that the commercial concern has not received assistance from state sources within the past three years. Large commercial concerns should seek legal advice for themselves as to whether they may breach these regulations by accepting a grant, as any challenge will be made against the recipient, not the grant awarding body. Applicants will be required to declare that they have not received any grant aid from state sources in the past three years. Please note that this may be updated as position following post Brexit transition period becomes clear.

## 17) Economic Outputs and Evaluation

A condition of grant will be the requirement to provide evidence of the economic outputs (e.g. number of residential units created, new businesses, new jobs) achieved by the project. The Council will reserve the right to do this for 10 years after the date of the grant contract, this will allow for the collection of legacy information post completion of the grant works. Grant recipients will also be required to provide information to assist with the evaluation of the Townscape Heritage Project.

## 18) Permissions

All necessary statutory permissions such as Planning Permission, Listed Building Consent, Building Regulations and Advertisement Consent must be obtained prior to work commencing. Please note that such fees are eligible for grant funding.

## 19) Construction (Design and Management) Regulations 2015

The applicant must do all things required of a 'client' during the construction of the building works as set out in the CDM Regulations 2015. A summary guide to the regulations is available at <http://www.hse.gov.uk/pubns/indg411.pdf>.

## 20) Timetable

The Third Party Agreement must be accepted in writing within one month of the contract date and the agreed works must commence within 3 months from the date of the Third Party Agreement and be completed within 12 months of the date of the Third Party Agreement. In exceptional circumstances project extension can be agreed in writing by SBC. Progress must be regularly reported to the Senior Townscape Heritage Project Officer.

For project timescales, applicants should note that it is expected to take up to 2 months to approve applications and issue Third Party Agreements for signing. Under no circumstances should works commence prior to a signed Third Party Agreement being returned to the Senior Townscape Heritage Project Officer.

## 21) Publicity

During grant works, material provided by the National Lottery Heritage Fund should be displayed and following completion of the grant works a permanent grant acknowledgement is required. Guidance will be provided on this and acknowledgement materials are available free of charge, in requested a bespoke option maybe an acceptable alternative, this would need to be costed as part of a scheme and approved by the Senior Townscape Heritage Project Officer.

# Contact

For more information on the Stockton Northern Gateway Townscape Heritage Scheme, further guidance on grant eligibility or to arrange a site visit please contact:

## Fiona Riley

Senior Townscape Heritage Project Officer

Stockton-on-Tees Borough Council,  
Municipal Buildings,  
Church Road,  
Stockton-on-Tees,  
TS18 1LD

Telephone: 01642 524551

Email: [fiona.riley@stockton.gov.uk](mailto:fiona.riley@stockton.gov.uk)

## Laura Buckley

Senior Townscape Heritage Project Officer

Tel: 01642526708

Moblie: 07471147064

Email: [Laura.Buckley@stockton.gov.uk](mailto:Laura.Buckley@stockton.gov.uk)

# Useful Contacts

## Planning

Your works may require planning permission or listed building consent.

For further information on planning and the informal advice service that Stockton-on-Tees Borough Council offers see

<https://www.stockton.gov.uk/planning-applications>

tel: 01642 526022

email: [planningdevelopmentservices@stockton.gov.uk](mailto:planningdevelopmentservices@stockton.gov.uk).

## Building Control

Your works may require a building regulations application.

For further information on building control services offered by Stockton-on-Tees Borough Council visit

<https://www.stockton.gov.uk/building-control>

tel: 01642 526040.

It is your responsibility to ensure that any required permissions are obtained as part of the grant application process.

## Business and Enterprise Team

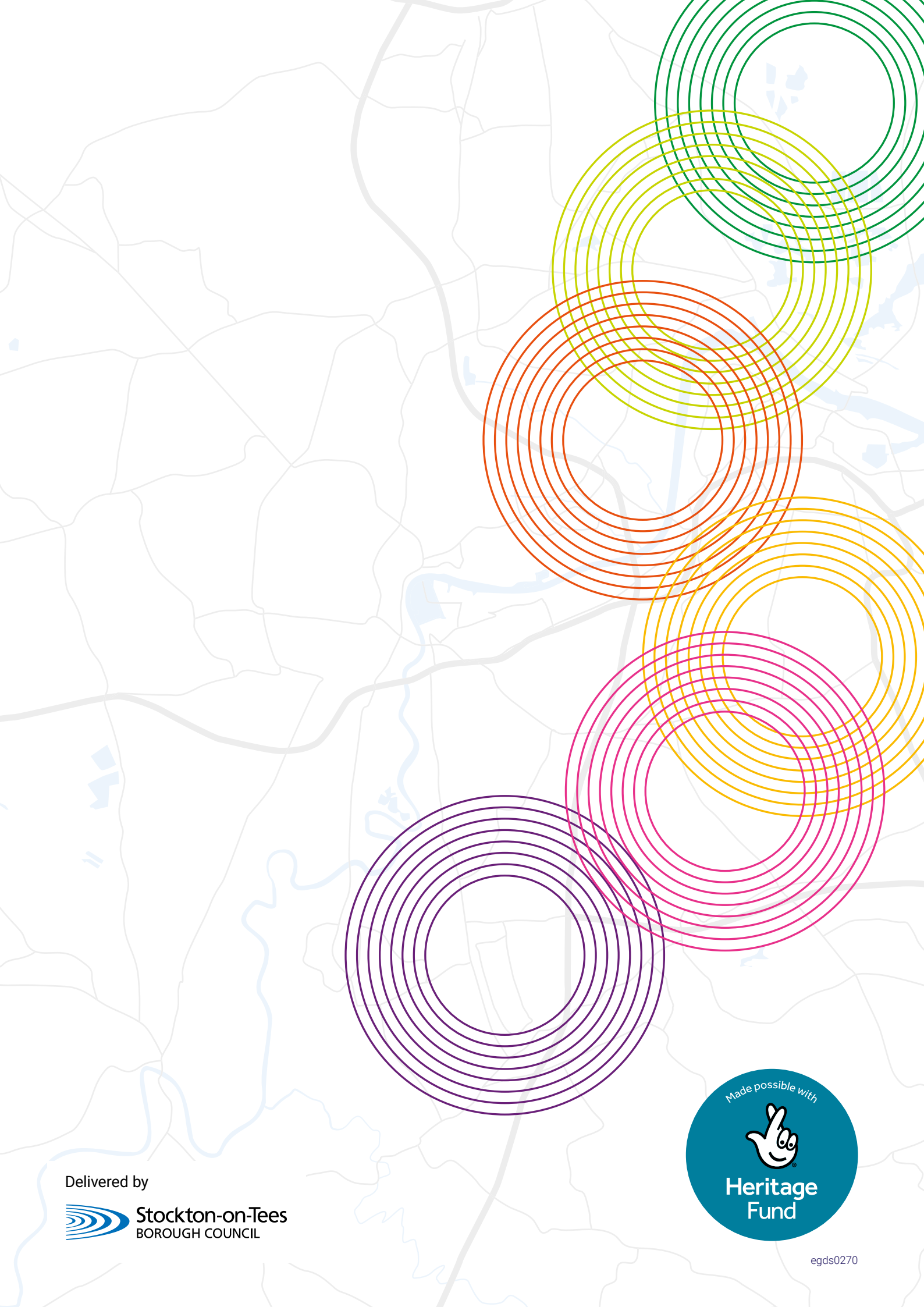
Stockton-on-Tees Borough Council's Business and Enterprise Team offer a range of services to support new and local businesses.

For further information on the support they offer, view

<https://www.stockton.gov.uk/Help-for-businesses>

tel: 01642 528384

email: [business.enquiries@stockton.gov.uk](mailto:business.enquiries@stockton.gov.uk).



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