Heritage Lottery Fund
Management and maintenance plan guidance

1. Introduction
If you are applying to HLF for a grant under our Grants for Places of Worship, Heritage Enterprise, Townscape Heritage Initiative or Heritage Grants programmes for a project that involves capital works, the creation of new material, or the purchase of a historic building, structure, transport heritage or land, we will ask you to prepare a management and maintenance plan as part of your second round application.

Good management and maintenance are crucial to the long-term care of heritage sites, collections and assets – which means having the right skills and procedures to ensure that they are looked after. Poor management and maintenance puts your heritage at risk, and can lead to higher costs in the future.

As part of our standard terms of grant, we will ask you to ensure that the work we have funded is kept in good condition. But within reason we will also encourage you to ensure your management and maintenance plan covers the entire heritage you are responsible for. The plan can help you look after your heritage in the future.

We will expect your organisation to adopt your management and maintenance plan, to integrate it into your existing policies for management and care, and to provide financial resources to implement that plan for ten years after project completion.

This guidance note will help you to prepare a management and maintenance plan. It tells you what information they should contain, and how they can help you manage your site and design your project.

If you are applying to HLF for a Heritage Grant of £2 million or more towards a project that involves capital works to a site, building or landscape (including parks and gardens), or if your project is complex and involves conserving several different types of heritage that are important in their own right, we will ask you to prepare a conservation plan in addition to your management and maintenance plan as part of your second round application.

If you already have a collections management plan, archives preservation plan, species/habitat action plan or similar document that tells us how you will look after the heritage we are funding, who will do it and how much it will cost for 10 years after project completion, then you may not need to prepare a new one. Ask us for advice before submitting your first round application.

If you are applying for a grant under our Townscape Heritage Initiative programme, your management and maintenance plan should be integrated into your Conservation Area Management Plan document.

2. About management and maintenance planning
Many of the problems facing heritage collections, sites or assets are the result of long-term neglect or lack of maintenance. If you do not maintain a habitat such as a heath, it soon reverts to scrub and trees; if you do not maintain a building, water can get in and cause damage within a short period of time; if you do not migrate digital material to new formats it may become obsolete.

A management and maintenance plan is a document in which you set out what maintenance and management you need to do, when you will do it, and who will do it. It also tells us how much it will cost and how you will monitor the work. A plan can help you to care for your heritage, develop your project, to think about resources, and hopefully to ensure that the same problems don’t arise again in the future.
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For the purposes of this guidance note we have defined management and maintenance as follows.

Management includes all of the activities that can keep heritage in good condition, such as having procedures or arrangements for:

- environmental monitoring and control;
- safe and appropriate handling;
- emergency preparedness;
- storage and security;
- acquisition and disposal;
- complying with legislation and regulations and obtaining consents or licenses where needed;
- welcoming visitors and other users;
- having access to the specialist skills needed to look after your heritage;
- providing training for volunteers and others who look after your heritage;
- community involvement;
- monitoring;
- meeting management standards for heritage (e.g. Green Flag Award for parks or BS5454 for archives);
- documenting sites, species, collections, buildings or landscapes; and
- meeting other standards (e.g. operating standards for historic railways).

Maintenance is the routine everyday work needed to prevent decay such as:

- maintaining interpretation, exhibitions, and interactives;
- maintaining lighting;
- maintaining facilities for visitors and other services;
- keeping paths, fences and means of access in good condition;
- clearing gutters and keeping drains clear;
- painting woodwork and replacing slipped roof tiles;
- keeping working objects in good operational condition;
- keeping digital outputs working as intended;
- migrating digital files to an appropriate format to avoid obsolescence;
- dealing with litter, waste collection and disposal;
- housekeeping and routine cleaning;
- regular inspections of equipment, structures and services; and
- caring for trees and other vegetation.

Before you prepare a management and maintenance plan, you will probably need a condition report on your heritage, such as a building survey, or a survey of a species, habitat or collection. You should also make sure that you understand how your building functions in terms of its environmental performance. If you do not have a condition survey, we would strongly recommend that you commission one before your project develops further.

HLF will consider the costs of managing and maintaining your heritage over a 5 year period as match-funding within your application. Ask HLF for advice before submitting your first round application.

We will send you an evaluation questionnaire one year, five years, and ten years after your project is complete to ask you how you are looking after the heritage that we have funded and to ensure the management and maintenance plan is being implemented. We will follow up on a sample of projects as part of our standard programme of evaluation.
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The information in the plan will help you think about:

**Whole-life project costs**
In your application we will expect you to tell us about the whole-life costs of the project, which means both the short-term and long-term costs. Your plan will help you determine how much you will need to spend on management and maintenance after the project ends.

**Conservation and new design**
It is important to think about management and maintenance costs when you design your project. Poor-quality work and materials can lead to higher management and maintenance costs in the long term. If your project involves an architect, engineer, landscape architect or surveyor, or other conservation specialist, they should be able to advise you on the long-term management and maintenance of the work that they have specified.

**Digital technology**
If your project involves the creation of digital material you will need to think ahead and decide how you will manage and maintain your digital outputs once the project has finished. You will need to take into account our requirement for outputs to be 'usable' and 'available'. We require the digital product you have created to continue to function as intended and be kept up-to-date for 5 years from project completion. In addition, the core digital files will need to be kept securely and in such a way that you can give access to them on request by HLF or others for as long as your terms of grant last. There is more detail on managing and maintaining digital material in the *Thinking about using digital technology in heritage projects* guidance.

**Implementing your activity plan**
Your management and maintenance plan should tell us how you will maintain and manage any facilities or equipment that are necessary to deliver your activity plan; for example:

- exhibitions or interpretation;
- education spaces; or
- interactives.

It should also indicate what training you will provide to make sure that your staff and volunteers have the skills to maintain and manage your heritage after the project has finished, and when and how you will provide this training.

**Effects on the environment**
Your management and maintenance plan should help you maintain and manage any environmental benefits from your project. For example, our guidance on *Reducing environmental impacts* encourages you to consider the feasibility of designing and constructing a building that does not need heating or air conditioning – not only does this reduce energy consumption, it may also reduce long-term management and maintenance costs. Your management and maintenance plan should also help to ensure that you are able to maintain a healthy building environment. More information can be found in our guidance on *Building Environment and Performance*.

3. Steps in preparing a management and maintenance plan

**Before you begin**
Find out who is in charge of management and maintenance for your heritage, what their roles are and what resources they have available. If it is your organisation, make sure that your organisation can afford to maintain and manage the project you are asking HLF to fund. If you are a volunteer or friends group, or a tenant in a building or site, and your organisation
is not in charge of looking after the heritage, you must make sure that there is a formal agreement with the organisation that is in charge of management and maintenance to meet future costs. You will also need to involve them in preparing the management and maintenance plan, and you will need to show HLF that they have formally agreed to do the work identified in the plan.

**Step 1 Understand your heritage and why it is important**
Describe your heritage, and explain why it is important and to whom. You should be able to summarise this from your first-round application or from your conservation plan (or similar document) if you have one. You should also be able to identify any heritage designations. There is more detail on understanding heritage and its significance in our *Conservation plan guidance*.

**Step 2 Find out how it is managed today**
Gather information about how the heritage is managed today. Find out about any management and maintenance requirements that you need to comply with such as standards for archives or collections management and cataloguing, or operating standards for historic machinery or transport. Check whether there are any legal requirements for maintaining and managing your site and identify what work will require consent or a license. Identify any existing plan or document that is used to look after the heritage.

**Step 3 Identify risks to the heritage**
Make a list of all of the things that might put your heritage at risk or damage it, and what you can do to prevent that. Risks might include disasters such as:

- fire or flooding;
- storms or other adverse weather conditions;
- theft; and
- arson, vandalism or other attacks.

Risk might also include lack of regular maintenance or care due to:

- lack of specialist skills;
- lack of resources;
- lack of access to areas of a building;
- split responsibility for maintenance; and
- shortage of equipment.

Other risks might relate to:

- not understanding the heritage;
- poor record keeping; and
- conflicts between different kinds of heritage.

**Step 4 Decide on your management and maintenance aims**
Once you have a clear idea of what your heritage is, why it is important, and how it could be at risk, you can determine what your aims are to manage and maintain your site, collection or asset in the long term. Your aim might simply be to maintain and manage your heritage in good condition and to prevent decay, but you might need to be more specific about what you want to achieve. For example:

- If your site includes grass, do you want it to be a closely mown lawn or left longer to encourage wildflowers and biodiversity?
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- If you are conserving a historic vessel, do you want to keep it in operational condition or not?
- If you are conserving paper archives, do you want to do it in such a way that you can allow the public to handle them?
- If you are creating a website or database, do you intend for it to continue to grow through the addition of new content?

Your list of aims and objectives might cover different activities (such as security, training, access or visitor management) as well as different aspects of the heritage (other parts of the site or collections). There should be an aim relating to each risk.

Step 5 Make an action plan
This involves making a list of what needs to be maintained and managed, and identifying who will do it and when. Start by making a detailed list of what needs to be maintained and managed, including:

- new building work;
- habitats and species;
- digital content, such as files, websites and software applications;
- collections and archives;
- existing features structures or buildings;
- external areas such as car parks, paths, fences and gates;
- buried archaeology;
- improvements funded by HLF; and
- services and facilities.

For each item on the list, identify when work needs to be done. For example:

- when regular inspections need to be carried out;
- what specific tasks need to be done regularly and when; and
- what minor works will need doing and who will do them.

Many inspections are best done at a particular time or under particular conditions. For example check that gutters are working when it is raining. Some maintenance plans are set out on a month by month basis, and identify what work needs to be done each month. Some tasks – such as mowing, clearing leaves and snow from gutters – will be seasonal or may need to be done when your site is closed to visitors.

Then decide who will do the work. It might include volunteers, your own staff or outside contractors. Make sure that whoever does the work has the skills and knowledge to do it, and that they have safe access and equipment. If possible look for the contractors with the relevant professional accreditation and experience in working with heritage. If people don’t have the right skills, you could include training for them in your activity plan. See Activity plan guidance for further information.

Step 6 Identify costs and resources
It is vital that you identify how much it will cost to maintain and manage your heritage in the future, once your HLF project is complete. Even if some of the work will be done by staff or volunteers and does not have an extra cost to you, you need to allow for this and plan for it. Staff may not be able to do other jobs, or volunteers may need training or support. Add up all of the new and future management and maintenance costs, and then make sure that your organisation can afford to meet these costs in the long term. Confirm this with the person who is in charge of budgets in your organisation.
Include the future management and maintenance costs in the income and expenditure section table in your application to HLF.

**Step 7 Update your plan during your project**
During your project you might find that more information emerges about your heritage or its management and maintenance. For example if more survey work is done during your project, you might learn more about the condition of your site, collections or other heritage assets. If so, update your management and maintenance plan with the new information.

**Step 8 Use your plan after your project is complete**
A good management and maintenance plan is vital for ensuring your heritage is properly cared for in the long term. We will expect you to adopt the plan formally, as part of your organisation’s management policies. We will also expect you to use the plan on a regular basis to maintain and manage the heritage.

### 4. Contents of a management and maintenance plan

#### 4.1 Introduction
- who wrote the plan, when and why;
- what their expertise is;
- who was consulted;
- scope of the plan;
- links to other planning work;
- a very brief description of your HLF project and what it will cover;
- any gaps in the plan; and
- whether the plan covers all of your heritage, or just the HLF project.

#### 4.2 Section one - understanding the heritage
- Description of the heritage;
- How the heritage has changed through time; and
- Explain why it is important and to whom.

#### 4.3 Section two - current situation
A list of the current management and maintenance arrangements on the site, including:
- who is currently responsible for management and maintenance;
- what they do, when they do it and with what resources;
- what condition your heritage is in now (using your condition survey);
- what management and maintenance standards you need to meet; and
- briefly mention your project and what work it will involve.

#### 4.4 Section three - risks
Potential risks to heritage including:
- natural factors;
- human factors; and
- resource issues.

#### 4.5 Section four – management and maintenance aims and objectives
These should include aims and objectives for managing and maintaining:
- the historic site, collection or asset; and
- the skills, activities, equipment and facilities required to support them.
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4.6 Section five – action plan and costs
A list or table that sets out:

- what needs to be maintained and managed;
- what work is involved;
- who will do it;
- when and how often they will do it; and
- what resources (money, people and skills) are required.

4.7 Review
Explain when and how you will monitor and review the plan. Ideally you should review it every year, and every five years you may need a more strategic review.
Tell us who has copies of the plan and where it will be kept.

4.8 Bibliography
Provide a list of other documents or references that are relevant to the plan and explain how to find them. For example, mention any surveys such as wildlife surveys, building condition surveys or other relevant studies.

5. Tips for successful planning

Do it for the right reasons
Use the process as a positive management tool. If you just produce the plan because you think we want you to, the process will be of limited benefit.

Get specialist help
In the long term you and your team must be able to implement the management and maintenance plan. But you might require help to prepare it, or help in training your staff to implement it, especially if you are not familiar with all of the different kinds of heritage on your site or if your project involves the creation of digital content. For example, if you are a railway preservation or canal organisation, you may not have the expertise to manage the biodiversity at your sites; or a wildlife organisation may not know about managing archaeology; as a building manager you may have less experience in managing interpretation; and as a local society you may not know how to ensure digital material continues to be useable. If you need specialist help to prepare your management and maintenance plan, make sure you identify the cost as part of your project development work. The right advice can also save you time and money in the long term.

Involve people
Use the process to bring together the people who will be essential to the success of your project or management strategy. Make sure the document includes a wide range of views. Delays and extra costs can arise if the right people are not involved. Also, give copies of the completed plan to anyone who is involved in looking after your site including volunteers, staff and contractors.

Manage it
Be prepared to take an active role in managing the planning process. Make sure that the plan you prepare or commission helps you care for the asset. Manage the process from the first discussion of the idea through to the commissioning process, to make sure that people use the plan in the long term.
Mediate
Use the plan to mediate between different ideas about heritage. For example, archaeology specialists and landscape management specialists might have different ideas about how to look after your site.

Reject poor drafts
The plan is there for you to read and use. It will be useless if it is poorly presented, difficult to read, badly organised or inaccurate.

Organise information
Use the plan to organise information. A plan can easily be overwhelmed by the amount of information needed to care for a complicated heritage asset. Keep a secure management and maintenance file for your site and regularly update it. Keep copies of surveys and other information in the file, as well as a copy of your management and maintenance plan in it. You may also want to have a have an up-to-date working copy.

Working with consultants
If you do ask consultants to prepare a plan, make sure you work closely with them. Help them to help you. Make sure you are happy with their work, that they are making use of your knowledge and that of your staff or volunteers, and that they produce a document that helps you.

Adopt it and use it
We will expect you to adopt the plan formally, as part of your organisation’s management policies. There is no point in preparing a plan unless you are going to use it.

Publish it
Make sure that everyone who needs to use the plan has a copy of it. Keep a master copy in a secure archive. Ideally we would like you to publish it or make it available on your website so that other people can learn from it.

Appendix 1 Resources

Building Environment and Performance – good practice guidance
This guidance is intended to help you understand and control the risks that the physical changes brought about by your project might pose to the fabric of your building and its contents.

Conservation plan guidance
This guidance note explains how to write a conservation plan, but it also contains useful advice on how to understand heritage and its values and how to engage people in the planning process.

Reducing environmental impacts – good practice guidance
This guidance document deals with the main environmental impacts that arise on projects that are funded by the Heritage Lottery Fund. It is of most relevance to applicants whose project involves building construction, but it is also relevant for projects involving no building construction at all – for example, landscape and parks projects, and transport impacts for any project that encourages more visitors to heritage sites.

Thinking about using digital technology in heritage projects
General guidance on digital technology in heritage projects, including advice on how to manage and maintain digital outputs to keep them usable and available.
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Other guidance and resources

Historic buildings

Maintenance that prevents decay to historic buildings should avoid the need for expensive repairs later on. Any building, whether it is historic or not, can deteriorate very rapidly without maintenance which in turn may put other heritage (such as wall paintings) at risk. Lack of maintenance can also lead to danger to the public through things like falling masonry.

The main factors that can damage historic buildings are the weather, wildlife, people, and disasters such as fires and flood. Top tips for keeping buildings in good condition are:

- making sure roofs are in good condition;
- checking gutters, downpipes and drainage are clear and working;
- regularly inspecting services and flues; and
- regular repainting.

Buildings benefit from regular inspections. However, one of the biggest problems with maintaining historic buildings is often access to areas that need maintenance, such as roofs and gutters. If you are doing new work or conservation on a historic building, ask your architect to make sure that they have designed access for maintenance into the scheme.

Be aware that poor quality maintenance can be very costly to repair. For example, in Scotland, chemically cleaned stone was found to decay nearly 50% faster than uncleaned stone.

Historic buildings also need to be managed. You will need to ensure that there is public access, you comply with health and safety, fire and environmental regulations, and manage visitors in a way that does not damage the heritage.

You should make sure that your staff and volunteers have the skills to care for their building and that you have access to appropriate external advice such as an architect or surveyor accredited in building conservation.

If you already have a facilities management system in place for your building, make sure that it takes the historic value of the building into account, as well as its modern function. Make sure your facilities manager understands the conservation issues associated with the building.

If we have funded new work such as improved access, new facilities or even a new building, we will also expect you to tell us how you will maintain and manage that new work as part of your management and maintenance plan.

If you have a large or complex historic building, we strongly recommend that you ask a building surveyor experienced in heritage conservation to undertake an inspection every five years in order to identify any problems.

Finally, many historic sites – such as churchyards or historic landscapes – are also havens for wildlife. If your heritage does include bats, lichens or other wildlife, make sure your management and maintenance plan covers them.

Resources

Useful resources on historic building management and maintenance can be found at the following websites:
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Cadw
Cadw is the Welsh Government’s historic environment service, providing a wide range of guidance.

ChurchCare
Although this site is specific to churches it has advice that is useful for many other historic buildings.

Historic Environment Scotland
Historic Environment Scotland is an executive non-departmental public body with responsibility for the historic environment. It provides an extensive range of general guidance and technical advice notes.

Historic England
Historic England is a public body responsible for protecting England’s historical environment. Their website includes guidance on a wide range of historic environment issues, including advice on good management and maintenance.

The Institute of Historic Building Conservation (IHBC)
IHBC is the main professional organisation for building conservation practitioners and historic environment specialists. Its website contains a wide range of guidance, advice and links to other resources.

Northern Ireland Environment Agency (NIEA)
NIEA is an Executive Agency for the natural and historic environment in Northern Ireland. It provides an extensive range of advice and guidance on the conservation and promotion of the environment.

Society for the Protection of Ancient Buildings (SPAB)
SPAB provides an excellent website resource dedicated to the care of old buildings, including its Maintain Your Building website.

Upkeep
Upkeep promotes the management and maintenance of all types of buildings. Its website contains useful resources as well as information on a wide range of upcoming training courses on building management and maintenance.

Landscapes – including historic designed landscapes
The Association of Gardens Trusts
This website provides links to local gardens trusts and useful information on historic parks and gardens.

Natural Resources Wales
Natural Resources Wales is a Welsh Government sponsored body responsible for sustaining Wales’ natural environment. They provide practical advice on how best to sustain the natural environment of Wales, both on land and sea.

Green Flag
The Green Flag Award scheme, judged against eight key criteria, is the benchmark national standard for parks and green spaces in the UK and rewards the best green spaces in the country.

Historic England
This Historic England website includes guidance on managing historic landscapes, including:
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- Paradise Preserved: an introduction to the assessment, evaluation, conservation and management of historic cemeteries;
- Farming the historic landscape: caring for historic parkland; and
- Managing earthwork monuments.

National Biodiversity Network
The National Biodiversity Network (NBN) manages the largest biological information database for any country in the world – the NBN Atlas. The Network’s priority is to grow the national commitment to openly sharing biological data and information.

National Federation for Biological Recording (NFBR)
If you want to find out about important biodiversity on your site, you can start by contacting your local record centre. The website for the National Federation of Biological Recording includes a database of local record centres throughout the UK.

Natural England
Natural England is the Government’s adviser on the natural environment. They provide practical advice on how best to safeguard England’s natural heritage including its wildlife, habitats, geodiversity and landscapes.

Scottish Natural Heritage
Scottish Natural Heritage is the Scottish Government body responsible for Scotland’s wildlife, habitats, landscapes, geodiversity and natural beauty. Their website includes policy, advice and guidance on promoting and improving natural heritage.

The Wildlife Trusts
There are 47 Wildlife Trusts around the UK who are working locally for an environment rich in wildlife. Local Trusts are able to provide local expertise and advice.

Working industrial, maritime and transport heritage

The Transport Trust
The Transport Trust is a national charity established to promote and encourage the preservation and restoration of Britain’s unique transport heritage. The website includes links to many other transport sites and museums.

British Aviation Preservation Council (BAPC)
BAPC has held a series of seminars on historic aircraft. The conference papers are free to members and available from the secretary for a modest price. They cover issues such as maintaining aircraft outdoors, finding equipment for environmental monitoring and aviation materials.

Heritage Railways Association (HRA)
HRA represents the majority of heritage and tourist railways and railway preservation groups in the UK and Ireland and provides technical advice for members on its website.

Inland Waterways Association (IWA)
IWA campaigns for the use, maintenance and restoration of Britain’s inland waterways. The website includes policy and guidance including the environment, trees and the management of waterways, as well as standards for construction and health and safety. For members there is also a practical restoration handbook.

National Association of Road Transport Museums (NARTM)
NARTM is an informal organisation of over 60 road transport museums. The website includes guidance on restoration and other practical matters for members.
National Historic Ships UK
National Historic Ships UK is a government funded independent body that gives advice on all matters relating to historic vessels in the UK. It has published valuable guidance on understanding and conserving historic vessels.

New buildings and extensions
Design Council Cabe
Design Council Cabe provides advice and guidance to improve the design quality of the built environment and open spaces.

Institution of Civil Engineers (ICE)
ICE is the lead organisation for the civil engineering profession, promoting innovation and excellence. It publishes advice, guidance and standards for the industry.

Royal Institution of Chartered Surveyors (RICS)
RICS is the organisation for chartered surveyors and is the leading source of land, property, construction and related environmental knowledge.

Royal Institute of British Architects (RIBA)
This is the UK body for architecture and the architectural profession. The website includes guidance on finding an architect. There is also a Register of Architects Accredited in Building Conservation.

Royal Society of Architects in Wales (RSAW)
RSAW is a national organisation within RIBA for chartered architects in Wales.

Royal Incorporation of Architects Scotland (RIAS)
This is the professional body for chartered architects in Scotland.

The Royal Society of Ulster Architects (RSUA)
RSUA is the professional body for chartered architects in Northern Ireland.

Museums, Libraries and Archives
Association of Independent Museums (AIM)
AIM (the Association of Independent Museums) is the national UK body connecting, supporting and representing independent museums.

Collections Trust
The Collections Trust works with museums, libraries, galleries and archives across the UK to improve the management of their collections.

MALD: Museums Archives and Libraries Wales
MALD is the division of the Welsh Assembly Government that advises and supports museums, libraries and archives in Wales

Museums Galleries Scotland (MGS)
MGS is the development agency for museums and galleries throughout Scotland.

Northern Ireland Museums Council (NIMC)
NIMC is the development agency for museums in Northern Ireland.

The Institute of Conservation (ICON)
The lead body for conservation of cultural heritage in the UK and a useful source of professional conservators.
The National Archives (TNA)
The National Archives is the leadership body for archives in England. They work with all archives from national institutions, local authorities, universities, libraries and museums to businesses and charities, and private and specialist institutions.

Digital technology
Archaeology Data Service (ADS)
The ADS promotes good practice in the use of digital data in archaeology, it provides technical advice to the research community, and supports the deployment of digital technologies.

Collections Trust
This site has advice on a range of collections-based topics, including digital preservation and digital copyright.

Digital Curation Centre (DCC)
Anyone who can benefit from storing, managing and protecting digital data can turn to the DCC for expert advice and practical help.

JISC
JISC is the UK’s expert on information and digital technologies for education and research; its free online resources are useful for any project.