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PLANNING

**Creating Local Development Frameworks
A Companion guide to PPS12**



Office of the
Deputy Prime Minister

Creating sustainable communities

Creating Local Development Frameworks

A Companion guide to PPS12

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ISBN

Printed in the United Kingdom for the Stationery Office

Product code **04PD02685**

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1 Introduction



1 Introduction

DEVELOPMENT PLANS IN THE PLANNING SYSTEMS

Local development frameworks provide scope for an approach to spatial planning that is visionary, wide-ranging, participative and deliverable. Local development frameworks will be easier to keep up-to-date with a clear focus on delivery and implementation. This guide focuses on the processes involved in preparing local development frameworks.

1.1 THE ROLE OF THIS GUIDE

Local development frameworks is the non-statutory term for the portfolio of local development documents which will comprise the spatial planning strategy for a local planning authority's area. These documents, introduced as a result of the **Planning and Compulsory Purchase Act 2004 ('the Act')**¹ and **accompanying Regulations ('the Regulations')**,² will replace the existing system of local, structure and unitary development plans. **This guide sets out advice on how to prepare local development frameworks.** Other aspects of the new system are set out in the following documents, which this guide is intended to complement:

- **Planning Policy Statement 1,**³ **Creating Sustainable Communities**, which sets out the Government's vision for planning and the key policies and principles which underpin the planning system;
- **Planning Policy Statement 11,**⁴ **Regional Spatial Strategies**, which sets out Government policy and guidance on the preparation of regional spatial strategies;

Planning Policy Statement 12,⁵ **Local Development Frameworks**, which sets out Government policy and guidance on the preparation of local development documents which will comprise the framework;

Sustainability Appraisal of Regional Spatial Strategies and Local Development Frameworks,⁶ which sets out guidance on undertaking sustainability appraisal as part of the preparation of regional spatial strategies and local development frameworks;

Local Development Frameworks – Monitoring Guidance,⁷ explaining how to monitor frameworks in terms of document preparation and policy implementation and produce annual monitoring reports;

1 *Planning and Compulsory Purchase Act 2004* (HMSO: May 2004). See <http://www.legislation.hmsso.gov.uk/acts/acts2004/20040005.htm>

2 *The Town and Country Planning (Local Development) (England) Regulations 2004 and The Town and Country Planning (Transitional Arrangements) (England) Regulations 2004* (ODPM: September 2004). See www.hmsso.gov.uk

3 At the time of publication of this guide, finalised PPS had yet to be published. However, a consultation version of PPS1 'Creating Sustainable Communities' (ODPM, February 2004) is available. All references in this guide are to the consultation version of PPS1. See http://www.odpm.gov.uk/stellent/groups/odpm_planning/documents/page/odpm_plan_027494.pdf.

4 PPS 11 *Regional Spatial Strategies* (ODPM: September 2004). See www.odpm.gov.uk/planning/

5 PPS12 *Local Development Frameworks* (ODPM: September 2004). See www.odpm.gov.uk/planning/

6 *Sustainability Appraisal of Regional Spatial Strategies and Local Development Frameworks – consultation paper* (ODPM: September 2004). See www.odpm.gov.uk/planning/

7 To be published

Guide to Policies for Spatial Plans,⁸ produced by the Planning Officers Society, which sets out advice on how to develop and prepare policies for spatial plans;

Development Plan Examinations Guide⁹, produced by the Planning Inspectorate;

Local Development Frameworks – A Guide to Procedures,¹⁰ which gives an overview of the local development framework system; and

Creating better places to live – a guide to the planning system in England aimed at the general public.¹¹

This guide is intended to assist those involved in local development framework preparation, particularly local planning authorities. It is concerned with providing practical guidance on the preparation of local development documents.

The suggestions set out in this guide in respect to local development frameworks prepared by unitary, district, Broads authority and national park authorities also apply to county councils in respect to minerals and waste development frameworks.

This guide replaces *Making Plans*,¹² published in 2002. Many users of this guide will have been involved in the production of development plans under the previous system. Others will be new to planning, or have limited previous involvement. Checklist 1a sets out the main characteristics of the new system and how these differ from the old system. The implications for local planning authorities identified in the checklist are discussed throughout the guide.

8 A public consultation version of *Policies for Spatial Plans* was launched by the Planning Officers Society in July 2004, and can be accessed via the POS website. See www.planningofficers.org.uk/

9 To be published

10 To be published

11 To be published

12 *Making Plans – a practical guide: good practice in plan preparation and management of the development plan process* (HMSO: 2002)

Checklist 1a: Changes In Plan Preparation Under The New System

Old system	New system	Implications
Finite process.	Continuous process.	<input type="checkbox"/> Vital to establish a permanent level of resources (local development framework team) for local development framework production that can be supplemented to deal with workload peaks.
Sequential process – ‘project’ management.	Scope for overlapping local development documents – ‘programme’ management.	<input type="checkbox"/> Plan and manage resources working across a wider range of tasks so need to adopt a flexible, multi-tasking approach.
Ad hoc approaches to community consultation.	Role of the statement of community involvement.	<input type="checkbox"/> Adopt a clear and proactive approach to managing community involvement, drawing on suitable resources and staff.
Managing the evidence base and monitoring not always fully integrated into the plan preparation process.	Requirement for comprehensive evidence base and monitoring underpinning document preparation. Must prepare annual monitoring reports.	<input type="checkbox"/> Need to develop structured approaches to managing the evidence base and monitoring. Comprehensive evidence base is essential to ensuring development plan documents pass ‘soundness’ tests at independent examination. <input type="checkbox"/> Clear link between monitoring and policy implementation. Annual monitoring reports will assess policy implementation and progress with local development framework production. Authorities will be required to take appropriate action in the light of these reports.
Managing representations towards the end of the preparation process.	‘Front loading’ of community and stakeholder involvement.	<input type="checkbox"/> Involve people from the earliest stage onwards. This will help to identify issues, allowing authorities to take appropriate actions thereby reducing potential conflict at examination.
No formal requirement for sustainability appraisal.	Requirement for sustainability appraisal.	<input type="checkbox"/> Sustainability appraisal is an integral part of local development framework production. It should be started at an early stage and maintained throughout local development document preparation.
Land-use planning documents – with development control the key implementation tool.	Wider spatial planning approach identifying a range of delivery mechanisms, including development management and control.	<input type="checkbox"/> Draw on a wide range of resources and expertise including other local authority departments, stakeholders and the local community. <input type="checkbox"/> Work closely with Government Offices and Planning Inspectorate in terms of programming framework preparation.
Lack of certainty at outset on timetables and contents.	The local development scheme will set out the programme for local development document preparation.	<input type="checkbox"/> Produce a local development scheme specifying contents of the local development framework, plan resources and timetables.

1.2 ACKNOWLEDGEMENTS

This guidance was prepared by the Office of the Deputy Prime Minister by Arup. ODPM would like to express its thanks to all of the many individuals and organisations, especially the Steering Group, who have contributed to this publication.

2 Main Principles for Local Development Frameworks



2 Main Principles for Local Development Frameworks

Local development frameworks are intended to streamline the local planning process and promote a proactive, positive approach to managing development and delivering change. Local development frameworks provide planning authorities with an opportunity to take a fresh look at their areas, developing strategic approaches to spatial planning that deliver sustainable development and reflect the aspirations of local communities.

2.1 INTRODUCTION

Successful implementation of local development frameworks will require the support of local communities and stakeholders, and will need to involve a wide range of delivery mechanisms. This chapter sets out the main principles underlying the new approach. Further details are set out in draft PPS1¹³ and PPS12. Some of the terms used in this Chapter are explained further in Chapter 3 and the glossary.

2.2 SUSTAINABLE DEVELOPMENT

Sustainable development is central to the reformed planning system. The Act contains a statutory requirement for local planning authorities to undertake their functions with a view to contributing to the achievement of sustainable development. The World Commission on Environment and Development has drawn up a widely used definition: “*development that meets the needs of the present without compromising the ability of future generations to meet their own needs*”. For this to be achieved, planners, commercial interests and decision-makers need to consider the long term social, environmental, economic and resource impacts of development. The Government’s commitment to sustainable development is set out in *A Better Quality of Life, a strategy for sustainable development in the UK*.¹⁴

[Paragraph 3.14 of PPS12]

2.3 A SPATIAL PLANNING APPROACH

Local development frameworks will be spatial rather than purely land use plans. Traditionally, the land use planning system has focused upon the regulation and control of the use of land. The aim is to go beyond this, to take account of the strategies and plans of other agencies not traditionally involved in the land use planning system but who also have an impact on spatial development.

[Paragraphs 1.8-1.11 of PPS12]

¹³ At the time of publication of this guide, finalised PPS1 had yet to be published. However, a consultation version of PPS1 ‘*Creating Sustainable Communities*’ (ODPM, February 2004) is available. All references in this guide are to the consultation version of PPS1. See http://www.odpm.gov.uk/stellent/groups/odpm_planning/documents/page/odpm_plan_027494.pdf

¹⁴ *A Better Quality of Life – A Strategy for Sustainable Development for the UK* (ODPM, 1999).

Whilst there is no single definition of spatial planning, it is possible to identify six principles in relation to local development frameworks. Spatial planning can instil an approach to plan-making that is:

- **Visionary** – setting out a clear, distinctive and realistic vision of how an area will develop and change;
- **Wide-ranging** – going beyond a narrow land-use focus to provide a mechanism for delivering sustainable development objectives by addressing social, environmental and economic issues and relating them to the use of land;
- **Participative** – based on strengthened mechanisms for community involvement to consider the needs, issues and aspirations of communities and stakeholders within an area, to provide a basis for making difficult choices and to build commitment to delivery;
- **Integrating** – an integrated approach which informs, takes account of and helps deliver other strategies and policy;
- **Responsive** – a flexible approach, informed by monitoring, that can respond to developments in wider policy, degree of progress with implementation, development pressures and changes on the ground; and
- **Deliverable** – focusing on implementation, setting out delivery mechanisms, including development control, and identifying how the plan will be delivered with and through other organisations with the powers and resources to make a difference.

It will be for each local planning authority to determine how best to apply these principles in their local context. However, they should avoid strategies that contain undeliverable ‘wish lists’ or require unrealistic levels of resources.

2.4 A CLEAR AND DISTINCTIVE VISION

Local development frameworks provide the opportunity to develop a clear spatial vision for an area, together with a realistic implementation strategy. This vision should emphasise local distinctiveness with a focus on delivery. The local development framework should identify sufficient land for new development to meet needs identified through the relevant regional spatial strategy (or spatial development strategy in London) as well as taking account of community and other stakeholder aspirations in terms of the location of development.

2.5 INTEGRATION WITH OTHER BODIES AND STRATEGIES

Local planning authorities are expected to work closely with the Government Offices, the Planning Inspectorate and Regional Planning Bodies. Government Offices will liaise regularly with authorities to assist with the preparation of local development frameworks, offering guidance and advice from a national and regional policy perspective. Their role is to consider whether local development documents are consistent with national planning policy. They will also assist authorities to prepare ‘sound’ documents – further advice is set out in PPS12.

[Paragraphs 4.23-4.25 of PPS12]

The Planning Inspectorate is able to offer advice to authorities on procedural issues relating to the programming of local development documents (see Chapter 5). Authorities should discuss programming issues with the Planning Inspectorate at an early stage to ensure that the resource implications are fully explored before the local development scheme is finalised.

Local development frameworks, reflecting spatial objectives, must have regard to other relevant policies and strategies at local and regional levels, particularly community strategies (see Checklist 8a). The local development framework should be informed by an assessment of the land use implications of other relevant policies and programmes including economic development, regeneration, education, health, crime prevention, waste, recycling and environmental protection. In addition, authorities must have regard to local transport plans.

[Regulation 15 (b) and Annex B of PPS12]

2.6 WIDESPREAD OWNERSHIP

Strengthening community and stakeholder involvement in planning is a key principle underlying the new planning system. There are widespread benefits of involving communities and stakeholders in the preparation of local development frameworks.

The spatial nature of local development frameworks, and the focus on implementation means that it will be important to achieve widespread ownership and community buy-in. Authorities will need to be proactive when involving stakeholders and the community, setting out their approach in the statement of community involvement. Chapter 7 provides guidance on the content and preparation of statements of community involvement.

2.7 FRONT-LOADING

Another feature of the new system is that the involvement of communities, stakeholders and commercial interests will be ‘front-loaded’ in the local development framework production process. ‘Front-loading’ means more active involvement of these groups earlier in the plan preparation process than has traditionally occurred. The aim is to seek consensus on essential issues early in the process. Front-loading also offers people and organisations an opportunity to influence plan content by sharing their knowledge and views with planners. Where consensus is difficult to achieve, front-loading allows the maximum opportunity for participants to understand each others’ positions and to negotiate. This will ensure that any issues are clearly understood by the time documents are subject to independent examination.

[Paragraphs 4.2-4.3 of PPS12]

2.8 ESTABLISHING A CLEAR CHAIN OF CONFORMITY

It is important that the interrelationships between the different local development documents are clear and that the local development framework as a whole is consistent with national policy and in general conformity with regional planning policy.

The main principles in establishing a clear chain of conformity are:

- All local development documents should be consistent with national planning policy.
- All local development documents should be in general conformity with the regional spatial strategy (or in London with the spatial development strategy). Unlike existing regional planning guidance, regional spatial strategies (and the London spatial development strategy) will have development plan status.

[Paragraphs 4.19-4.22 of PPS12]

- All development plan documents and supplementary planning documents should be in conformity with the core strategy (see Section 3.4) as it is the primary local development document. They should not contain policy that does not fit with the spatial vision, spatial objectives and policies¹⁵ outlined in the core strategy, or with saved policies if a core strategy is not in place (Unless it is those saved policies that the local planning authority is seeking to change) (see Section 5.4);

[Regulation 13(6) and 13 (8)]

- Supplementary planning documents should state clearly which development plan document policies or saved policies they support.

¹⁵ For the purposes of this guide, ‘policies’ in respect to Local Development Frameworks should be taken as referring to both policies and proposals

- The chain of conformity between local development documents should be set out clearly in the local development scheme. (Chapter 5 provides advice on the local development scheme).

Establishing a clear chain of conformity will ensure internal consistency within the local development framework. It will also help people to understand how the framework fits together. Authorities will need to consider the chain of conformity, and interrelationships between different local development documents when reviewing and taking decisions on updating documents or adding new ones.

2.9 PRODUCING A SOUND LOCAL DEVELOPMENT FRAMEWORK

Local development frameworks need to be soundly based in terms of their content and the process by which they are produced. They should be based upon a robust, credible evidence base and an appropriate level of community involvement. Sustainability appraisal will be integral to document preparation.

An independent examination will assess the soundness of each development plan document. PPS12 sets out what tests a sound plan will have to meet and Chapter 9 of this guide sets out more details regarding the examination.

[\[Paragraphs 4.23-4.25 of PPS12\]](#)

2.10 ENABLING A FLEXIBLE AND DYNAMIC APPROACH

Flexibility is a key feature of the new system. Local planning authorities can adjust local development frameworks to ensure they respond to changing local circumstances and national or regional planning policy. Local development documents can be prepared more quickly than development plans under the old system, as authorities are able to produce and review development plan documents and supplementary planning documents separately.

Plan making will be continuous, with authorities preparing, adopting, monitoring and reviewing local development documents on a rolling programme. To help structure this process, a local development scheme will be prepared by each authority, with an overall indicative timetable for document preparation. The local development scheme will be monitored and updated as necessary (see Chapter 5 for further advice on local development schemes).

The ability to produce separate local development documents to varying time scales is a key feature of local development frameworks. Authorities will need to move away from the concept of one development plan and embrace the flexibility accorded by these various documents to develop a framework which meets the needs of their particular locality.

2.11 REVIEW, MONITORING AND SURVEY

Review, monitoring and survey are crucial to the successful delivery of local development frameworks, as they will help authorities to develop comprehensive evidence bases for plan making. The Act requires authorities to keep under review matters that may affect the planning and development of their areas. Monitoring will enable authorities to assess the relative impact of policies and improve their understanding of their areas, particularly in terms of identifying drivers of change. Authorities will be required to produce annual monitoring reports to review actual progress in terms of local development document preparation and compare this against the targets and milestones in the local development scheme. The annual monitoring report will also assess the implementation of policies (see Chapter 11 for further details).

2.12 MAINSTREAMING SUSTAINABILITY APPRAISAL AND STRATEGIC ENVIRONMENTAL ASSESSMENT

The Act requires all local development documents to be subject to sustainability appraisal. The only exception is the statement of community involvement as it is a procedural document. Sustainability appraisal is integral to document preparation as a means of assessing their potential social, environmental and economic effects. As such, it is a positive tool for developing policies to ensure they reflect sustainable development principles. It will help to ensure documents are soundly based as well as providing transparency in the preparation process. The results of sustainability appraisal will also contribute to the reasoned justification of policies.

[Paragraphs 3.14-3.18 of PPS12]

When preparing documents, authorities will need to conduct environmental assessments in accordance with the requirements of the EU Directive 2001/42/EC. Whilst these requirements are separate, from sustainability appraisal, there will be a single appraisal process. For the purposes of this guide, the term 'sustainability appraisal' incorporates the requirements of the Strategic Environmental Assessment Directive.¹⁶ ODPM has issued

draft guidance¹⁷ on sustainability appraisal, incorporating strategic environmental assessment. In addition, further advice on strategic environmental assessment is set out in guidance prepared by ODPM.¹⁸

Authorities should lead the appraisal process, although they may not have all the appropriate skills and resources in-house. They should consider drawing upon the resources of neighbouring authorities, county councils, statutory agencies and amenity or voluntary groups.

16 The Directive will apply to Local Development Documents whose formal preparation begins after July 2004 as well as local plans/unitary development plans continuing under transitional arrangements not adopted by 21st July 2006

17 *Sustainability Appraisal of Regional Spatial Strategies and Local Development Frameworks – consultation draft* (ODPM: September 2004). See http://www.odpm.gov.uk/stellent/groups/odpm_planning/documents/page/odpm_plan_030923.pdf

18 *A draft Practical Guide to the Strategic Environmental Assessment Directive* (ODPM, July 2004): see http://www.odpm.gov.uk/stellent/groups/odpm_planning/documents/page/odpm_plan_029817.pdf

3 Components of the Local Development Framework



3 Components of the Local Development Framework

Local development frameworks are comprised of various local development documents. The new system is designed so that authorities can decide which combination of documents best suits their circumstances. The ability to produce various documents rather than one plan will make it easier to keep policies and proposals up to date.

3.1 INTRODUCTION

This Chapter outlines the components of the local development framework. There are two types of local development document:

- **development plan documents** that have been subject to independent examination and have the weight of development plan status as defined by Section 38(6) of the Act; and
- **supplementary planning documents**, which are not subject to independent examination and do not have development plan status. However, they will be subject to rigorous procedures of community involvement and sustainability appraisal and can constitute a material consideration in respect of decision-making.

Development plan documents include:

- i. a **core strategy**, setting out the spatial vision, spatial objectives and core policies for the development of the local planning authority area;
- ii. **site specific allocations** of land;
- iii. **area action plans** (where needed);
- iv. **other development plan documents** – these could include thematic documents, for example, housing, employment and retail development; and
- v. a **proposals map** illustrating the geographical extent of policies. (Further advice on this, and on how generic development control policies should be dealt with, is set out in Sections 3.8, 3.10 and 8.10).

[Regulation 7]

These development plan documents form the statutory development plan, together with the relevant regional spatial strategy (or in London, the spatial development strategy prepared by the Mayor of London). Under the new system, two or more authorities may produce joint development plan documents. This could include either core strategies for their combined areas or area action plans covering areas that fall across their boundaries.

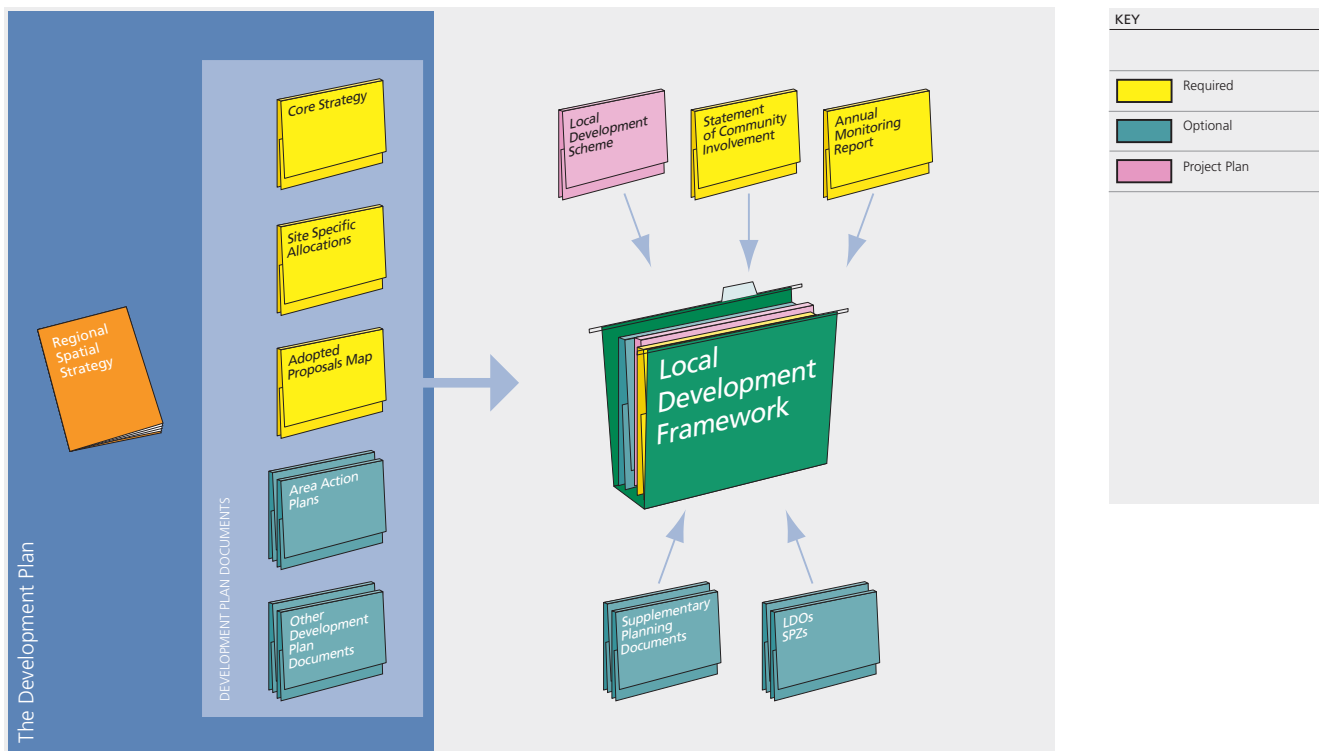
Important related documents which also exist within the local development framework include:

- A **statement of community involvement**, specifying how the authority intends to involve communities and stakeholders in the process of preparing local development documents. The statement of community involvement will be subject to independent examination although it is not a development plan document.
- A **local development scheme**, setting out details of each of the local development documents to be produced and the time scales and arrangements for production.
- An **annual monitoring report**, setting out progress in terms of producing local development documents and implementing policies.
- Any **local development orders**¹⁹ and/or **simplified planning zones**²⁰ that have been adopted.

[Paragraphs 2.39-2.41 of PPS12]

Figure 3.1 illustrates these component parts of the local development framework. County council minerals and waste local development documents will be contained within a separate minerals and waste development framework.

Figure 3.1 – Local Development Framework Contents



¹⁹ Section 40 of the Act sets out local development orders

²⁰ Section 45 of the Act sets out simplified planning zones

3.2 LOCAL DEVELOPMENT SCHEME

The local development scheme is critical to the successful programme management of the local development framework. It is a public statement identifying which local development documents will be produced, in what order and when. Producing the local development scheme is an early priority for local planning authorities, as they must submit it to the Secretary of State within six months of commencement of Part 2 of the Act.

The local development scheme will be the starting point for the community and stakeholders to find out about the authority's planning policies in respect to a particular place or issue, and the status of those policies. As part of its preparation, decisions will need to be made on the details of the documents to be produced and/or policies saved.

See Chapter 5 and PPS12 for further advice on producing the local development scheme.

[Paragraphs 3.19-3.24 of PPS12]

3.3 STATEMENT OF COMMUNITY INVOLVEMENT

The statement of community involvement will explain to local communities and stakeholders how they will be involved in the preparation of local development documents, and the steps that authorities will take to facilitate this involvement. It will set out the standards to be met by the authority in terms of community involvement, building upon the minimum requirements set out in the Regulations²¹ and PPS12. Prior to the statement being adopted, authorities must ensure that any plan preparation work meets these minimum requirements.

Chapter 7 of this guide provides advice on managing community involvement and preparing the statement of community involvement. Further guidance is set out in draft PPS1²² and *Community Involvement in Planning*.²³

3.4 CORE STRATEGY

The core strategy will set out the spatial vision, spatial objectives, policies and a monitoring and implementation framework for a local authority area. It should be kept up to date and all other development plan documents must be in conformity with it. Relevant guidance is set out in PPS12 and Chapter 8 of this guide.

[Paragraphs 2.9-2.14 of PPS12]

²¹ *The Town and Country Planning (Local Development) (England) Regulations 2004 and The Town and Country Planning (Transitional Arrangements) (England) Regulations 2004* (ODPM: September 2004). See www.hmso.gov.uk

²² At the time of publication of this guide, finalised PPS had yet to be published. However, a consultation version of PPS1 'Creating Sustainable Communities' (ODPM, February 2004) is available. All references in this guide are to the consultation version of PPS1. See http://www.odpm.gov.uk/stellent/groups/odpm_planning/documents/page/odpm_plan_027494.pdf

²³ *Community Involvement in Planning: the Government's Objectives*, (ODPM, February 2004): see http://www.odpm.gov.uk/stellent/groups/odpm_planning/documents/page/odpm_plan_027497.pdf

Core strategies should:

- contain a clear spatial vision from which spatial objectives, strategic policies, monitoring and implementation frameworks flow;
- be guided by sustainable development principles. (sustainability appraisal will have an important role to play in this regard);
- be linked to the sustainable communities agenda, helping determine the broad location of new housing and employment land necessary to meet the requirements of the regional spatial strategy (or spatial development strategy in London) or any sub-regional strategy contained within it;
- be in general conformity with regional spatial strategies (or in London, with the spatial development strategy); and
- avoid repeating national planning policy objectives or policies in the relevant regional spatial strategy (or in London, the spatial development strategy). Instead, the core strategy should articulate these policy objectives in the local context. Further guidance is set out in the Planning Officers Society guide *Policies for Spatial Plans*.²⁴

Specific land allocations should not be set out in the core strategy. Instead, the core strategy should set out the broad locations for land use, which can then be outlined in detail in site specific allocations in other development plan documents. It can also use criteria to identify locations and priorities for preparing area action plans.

3.5 SITE SPECIFIC ALLOCATIONS

The allocation of land for specific uses must be set out in a development plan document. The identification of sites should be based upon a robust and credible assessment of the suitability and availability of land (see Section 8.8 for further details).

[Paragraphs 2.15-2.16 of PPS12]

3.6 AREA ACTION PLANS

Area action plans should focus upon implementation, providing an important mechanism for ensuring development of an appropriate scale, mix and quality for key areas of opportunity, change or conservation. Action plans or area strategies with a geographic or spatial dimension will benefit from having development plan status as area action plans in contrast to their previous status as supplementary planning guidance.

[Paragraphs 2.17-2.19 of PPS12]

²⁴ A public consultation version of *Policies for Spatial Plans* was launched by the Planning Officers Society in July 2004, and can be accessed via the POS website. See www.planningofficers.org.uk/

Area action plans could be relevant in a wide range of circumstances:

- **Areas of significant development opportunity**, including urban expansion and new settlements. In these areas an area action plan could set and prioritise development objectives, specifying and co-ordinating the requirements for new infrastructure and services;
- **Areas where development is desirable but is not forthcoming**, such as development opportunities in regeneration areas. In these cases an area action plan would seek to identify the opportunities for the location, acting as a catalyst for development by addressing barriers to delivery;
- **Areas that are particularly sensitive to change or development**, such as areas of significant natural or cultural heritage value. Plans for such areas would establish the conservation and enhancement objectives and how these might be reconciled with sensitive development e.g. in an area of heritage led regeneration or a historic market town;
- **Areas in multiple ownership subject to particular development pressures**, such as town centres. An area action plan could consider the conflicting objectives of the different stakeholders, providing the basis for compulsory purchase order applications;
- **Areas in multiple ownership subject to particular change**, such as those benefiting from area-based regeneration initiatives, areas for business improvement districts or the centres of towns in receipt of market towns initiative funding;
- **Focusing the delivery of area-based initiatives**. Area action plans could help provide a delivery framework for area-based regeneration initiatives, particularly where there are important land use and development issues (e.g. housing market renewal areas). Integration with community strategy action plans is one example. In areas with a number of area-based initiatives, area action plans may provide a useful 'joining-up' role; and
- **Minerals and waste area action plans** might be required to integrate policies on land uses in areas of mineral working to ensure extraction is located to minimise impact upon the environment and local quality of life. They can also be used to safeguard important minerals for possible future uses. Regarding waste, area action plans could set out proposals for major new waste management capacity in order to ensure adequate provision.

3.7 MINERALS AND WASTE DEVELOPMENT FRAMEWORKS

County councils will continue to be responsible for minerals and waste planning issues in two-tier areas. Counties will need to produce minerals and waste development frameworks and development schemes, the latter being the equivalent of a local development scheme (see Chapter 5). Where counties agree to work with unitary authorities on a joint minerals and waste development document, these proposals must be set out in each local development scheme. For matters other than minerals and waste where a county and district wish to work together, they will need to establish a joint committee. For unitary authorities, who will also retain minerals and waste planning responsibilities, policies can be set out in a separate or joint development plan document. Where district or unitary authorities agree to prepare joint local development documents, these proposals must be set out in each authorities local development scheme.

[Regulations 46 and 47 and Paragraphs 2.35-2.38 of PPS12]

Checklist 3a: Minerals and Waste Development Frameworks

County councils should:

- ensure consistency between minerals and waste development frameworks, regional spatial strategies (or spatial development strategy in London) and district councils' core strategy proposals – they should encourage district council involvement in minerals and waste development framework preparation;
- share baseline information with districts in relation to sustainability appraisal;
- consider joint working, particularly with neighbouring unitary authorities where they are the main source of minerals and waste demand; and
- where appropriate, offer and market their minerals and waste skills to authorities within the region.

Unitary authorities should:

- consider setting up joint minerals and waste units;
- draw on the skills of the respective minerals and waste industries, environmental bodies and county councils;
- consider joint working between authorities and with neighbouring counties; and
- in exceptional circumstances, consider addressing minerals and waste issues as separate development plan documents given the potential controversy often associated with such issues. This will need to be considered carefully in the context of issues relating to minerals demand, the need for waste management facilities and any major development proposals.

District authorities should:

- for minerals and waste development, include on their adopted proposals maps safeguarded areas, minerals consultation areas and any minerals and waste allocations that have been adopted by the county council.

3.8 ADOPTED PROPOSALS MAP

The proposals map should illustrate all the policies set out in development plan documents in a way that can be understood by local communities and stakeholders alike. The adopted proposals map has the status of a development plan document and is a separate document which must be revised as each new development plan document is adopted. It should show on a map, at a registered scale, all the policies contained in development plan documents. **When an authority adopts its first development plan document, it should bring forward the adopted proposals map which also identifies any saved policies.** Guidance on how to prepare a proposals map is set out in Section 8.10.

[Paragraphs 2.20-2.23 and annex A of PPS12]

3.9 SUPPLEMENTARY PLANNING DOCUMENTS

Supplementary planning documents are intended to expand upon policy or provide further detail to policies in Development Plan Documents, but do not have development plan status. These documents can demonstrate through illustrations, text and practical examples how policies can be taken forward. Supplementary planning documents can include design guides, site development briefs, issue or thematic-based documents. **However, they must not be used to allocate land or contain policies that should be subject to independent examination.** Further advice is set out in Chapter 10.

[Paragraphs 2.42-2.44 of PPS12]

Proposed supplementary planning documents should be specified in the local development scheme (see Chapter 5) with their role and status in the 'chain of conformity' (see Section 2.8) outlined clearly.

Supplementary planning documents can be produced quickly in response to unforeseen events. For instance, an authority may wish to produce a development brief following a major plant closure or new development pressure. In these cases, authorities should discuss with the relevant Government Office how this might best be undertaken before proceeding to review their local development scheme.

Authorities must involve local communities and stakeholders in the preparation of supplementary plan documents. Authorities will also need to consider how best to incorporate parish plans²⁵ within supplementary plan documents, particularly their potential to provide further detail in respect of core strategies, area action plans and other development plan documents.

²⁵ *Parish Plans and the Planning System, Guidance and Advice for Local Authorities* (Countryside Agency: March 2003)

Checklist 3b: Supplementary Planning Documents

Supplementary planning documents should:

- be consistent with the policies in national policy, and be in general conformity with the relevant regional spatial strategy (or spatial development strategy in London);
- be in conformity with and clearly cross-referenced to the relevant development plan document(s) policies they support;
- be reviewed on a regular basis alongside reviews of development plan document policies to which they relate;
- be produced through community involvement, in accordance with the statement of community involvement;
- set out clearly their status – they should be subject to a council resolution to adopt as a local development document;
- state how they have been prepared together with a statement of compliance explaining how their preparation relates to the statement of community involvement; and
- expand or supplement policy in development plan documents, but must not be used to avoid policies being subject to independent examination.

3.10 GENERIC DEVELOPMENT CONTROL POLICIES

These policies can be included in any of the types of development plan document previously discussed or can be developed as separate documents. There should be a limited range of policies which set out the criteria against which planning applications should be considered. Policies provide the certainty and guidance that communities, stakeholders and the commercial sector need. Further guidance on their content and format is set out in the Planning Officers Society guide *Policies for Spatial Plans*.²⁶

[Paragraphs 2.28-2.30 of PPS12]

²⁶ A public consultation version of *Policies for Spatial Plans* was launched by the Planning Officers Society in July 2004, and can be accessed via the POS website. See www.planningofficers.org.uk/

4 The Main Stages in the Process for Preparing Development Plan Documents



4 The Main Stages in the Process for Preparing Development Plan Documents

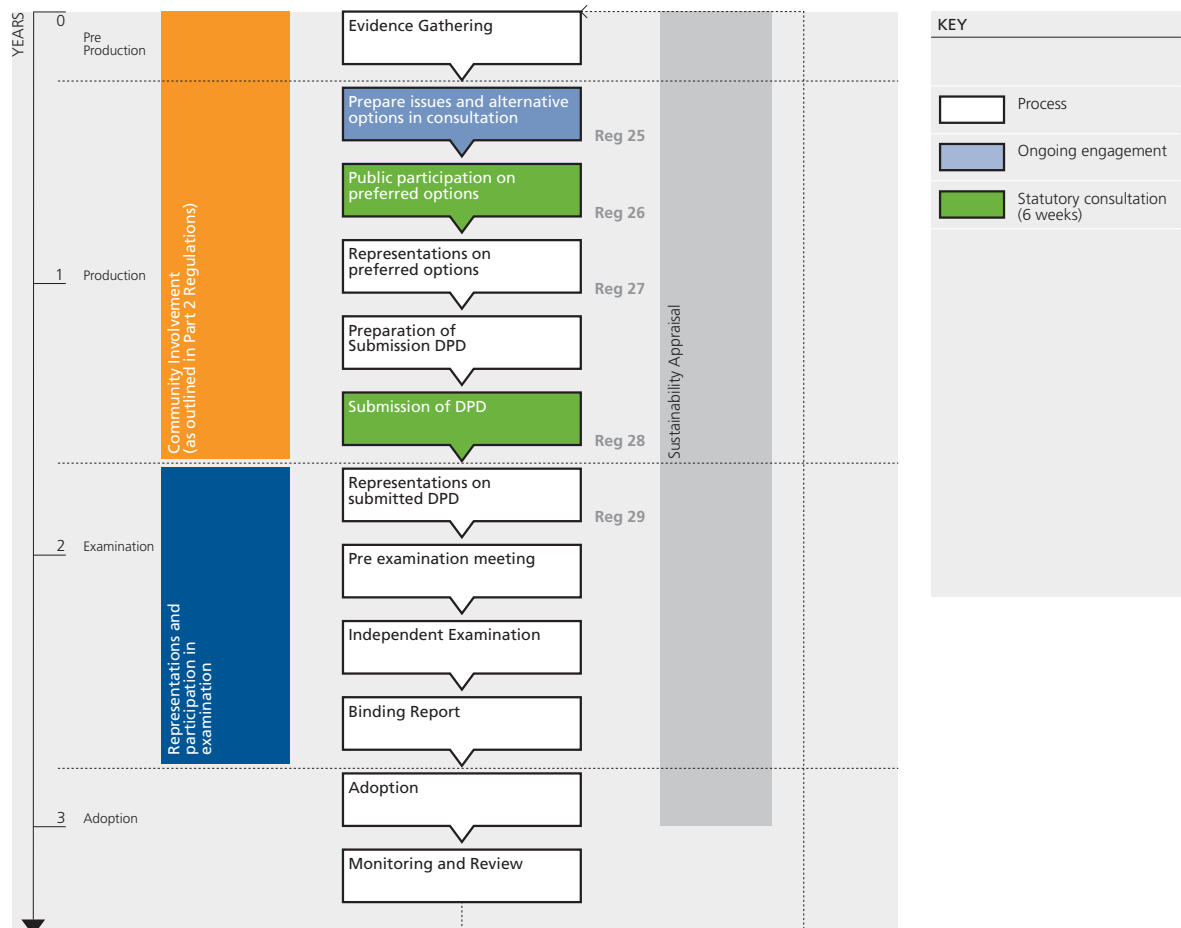
Each development plan document is prepared according to a common set of processes. There are four main stages: pre-production, production, examination and adoption. The emphasis behind preparation must be on ensuring relevance, soundness and deliverability, and document preparation should be informed by sustainability appraisal.

4.1 INTRODUCTION

This chapter outlines the four main stages in development plan document production as illustrated in Figure 4.1 below. PPS12 and the Guide to Procedures²⁷ also set out the appropriate procedures for each stage.

[Paragraphs 4.5-4.7 of PPS12]

Figure 4.1 – Preparation of a development plan document



4.2 PRE-PRODUCTION

The pre-production stage should ensure that local planning authorities have a comprehensive understanding of the main issues to be addressed through their document(s). This should enable them to set out the spatial vision and spatial objectives for their area.

[Paragraphs 4.8-4.11 of PPS12]

The main activities in the pre-production stage are:

- **Survey and evidence gathering** – a comprehensive evidence base is a vital aspect of local development document preparation. Authorities need to have a sound understanding of current and future local issues and needs in order to prepare robust and effective plans. The evidence base should include information collected by authorities, external bodies (e.g. local community interests) and original research. Section 5.2 sets out further details on developing and managing the evidence base.
- **Sustainability appraisal** – must be fully integrated into the document preparation process. It needs to begin at a sufficiently early stage to help shape the documents content from a sustainable development perspective, and should be continued throughout its preparation. The main stages coincide with the consultation and participation stages in PPS12 and this document. Draft ODPM advice has been published.²⁸

4.3 PRODUCTION

For any development plan document, the following linked steps should be carried out:

- **Preparation of issues and alternative options** and the initial sustainability appraisal report. These should be developed having regard to consistency with national policy, general conformity with regional planning policy, deliverability and local acceptability. Local communities and stakeholders must be consulted on the development of these issues and options as required by Regulation 25. Consultation means a continuous process of informal discussion with people during this phase as opposed to formal discrete public participation required by Regulation 26.

[Regulations 25 and 26]

²⁸ *Sustainability Appraisal of Regional Spatial Strategies and Local Development Frameworks – consultation draft* (ODPM: September 2004). http://www.odpm.gov.uk/stellent/groups/odpm_planning/documents/page/odpm_plan_030923.pdf

- **Preparation of the preferred options document** and formal sustainability appraisal report. Authorities will need to prepare a document setting out their suggested policy directions together with relevant issues, proposals and alternative approaches where appropriate. It will need to be accompanied by a formal sustainability appraisal report which considers the likely significant effects of the preferred options and other options considered.
- **Public participation on the preferred options document** and accompanying formal sustainability appraisal report. As required by Regulation 26, this must be undertaken in line with the statement of community involvement or minimum requirements set out in the Regulations²⁹ if the former is not in place. It is important that local communities and stakeholders are given a formal opportunity to comment at this key milestone stage on the various options and alternatives proposed.

[Regulation 26]

- **Assessment of representations to the preferred options document** and the formal sustainability appraisal report as required by Regulation 27.

[Regulation 27]

- **Preparation of the submission development plan document** and any amendments to the sustainability appraisal report. Authorities must clearly demonstrate the rationale for the policies proposed, building upon the preferred options document. It should be written with the expectation that it will be thoroughly tested for its soundness at independent examination (see Section 2.9). The submission development plan document should include proposals for monitoring and reviewing the document.
- **Submission of the development plan document** and a sustainability appraisal report to the Secretary of State for independent examination as required by Regulation 28.

[Regulation 28]

Chapter 4 of PPS12 and Chapter 8 of this guide set out further details on the preparation of development plan documents.

²⁹ *The Town and Country Planning (Local Development) (England) Regulations 2004 and The Town and Country Planning (Transitional Arrangements) (England) Regulations 2004* (ODPM: September 2004). See www.hmsso.gov.uk

4.4 EXAMINATION

All development plan documents will be submitted to the Secretary of State for independent examination. The tests at examination which the development plan document will have to meet to be 'sound' are set out in PPS12. Further advice on the examination stage is set out in Chapter 9.

[\[Paragraphs 4.23 to 4.25 of PPS12\]](#)

4.5 ADOPTION

Following the examination, the Inspector's Report will set out recommendations for changes to the development plan document which will be binding upon the local planning authority. Once the authority has integrated the changes, it will adopt the development plan document and incorporate it into the local development framework. Upon adoption of the document, a statement of how the sustainability appraisal process has been taken into account should be made available to the public. Draft ODPM guidance provides advice on the content of this statement.

5 Deciding On The Contents Of The Local Development Framework And Preparing The Local Development Scheme



5 Deciding On The Contents Of The Local Development Framework And Preparing The Local Development Scheme

The local development scheme is a critical part of the local development framework. It is a public statement setting out details of which local development documents will be produced, in what order and when. This will require planning authorities to take important decisions on the aims, scope and priorities for the local development framework. Producing the local development scheme is a priority for all authorities, as it will set out the timetable for document preparation over the coming years.

5.1 INTRODUCTION

Successful local development frameworks will require the right decisions to be made at the outset about which documents to include, as well as the time scales and approaches to preparing them.

[Paragraphs 3.19 and 3.22 of PPS12]

The local development scheme is the starting point for local communities and stakeholders to find out what local planning policies relate to their area. It will set out the current policies which relate to the planning of the area and also outline the programme for the preparation of local development documents over a 3-year rolling period.

Schemes will need to show how Public Service Agreement 6 will be met,³⁰ which requires that the planning system delivers sustainable development outcomes at national, regional and local level, through efficient and high quality planning and development management processes including achievement of Best Value standards for planning by 2008. The Service Delivery Agreement³¹ accompanying Public Service Agreement 6 explains that the key performance indicator is that authorities achieve the milestones set out in their local development schemes by 31 March 2007. This should include key milestones which are set out in PPS12. This approach is currently being reviewed as part of Spending Review 2004.³²

[Paragraph 3.22 of PPS12]

Whilst initial local development schemes should focus on the first 3 years from commencement of the Act, they should also indicate any work that has been undertaken prior to commencement (see Section 5.3.2). In addition, schemes should indicate in general terms what future work is proposed beyond 2007, particularly in terms of reviewing or supplementing the documents proposed in the local development scheme. They should set out complete timelines for production, from evidence base development to adoption, for all documents whose preparation commences within the first three years.

³⁰ *Spending Review 2004 Public Service Agreement 2005-08* (ODPM: 2004). See

http://www.odpm.gov.uk/stellent/groups/odpm_about/documents/page/odpm_about_030102.hcsp

³¹ *Spending Review 2002 Public Service Agreement technical note* – see

http://www.odpm.gov.uk/stellent/groups/odpm_about/documents/page/odpm_about_600099-09.hcsp#P735_65900

³² *Public Service Agreements 2005-2008*. See http://www.hm-treasury.gov.uk/media/668C8/sr04_psa_ch5.pdf

Local development schemes must be submitted to the Secretary of State (through the relevant Government Office) within 6 months of the commencement of Part 2 of the Act. This also applies to county councils in respect of minerals and waste development schemes.

[Regulation 10]

Authorities should adopt a structured and robust approach to producing local development schemes. They will need to develop, manage and analyse the evidence base to identify the main issues, areas of change, and priorities for their area. This should inform decisions on how they should best move from existing development plans to local development frameworks.

5.2 MANAGING, DEVELOPING AND ANALYSING THE EVIDENCE BASE

Comprehensive survey and monitoring information will be needed to develop evidence bases which help authorities to identify opportunities, constraints and issues for their areas. A lot of basic information is likely to be collected already. Authorities will need to assess and build on this to ensure they have sufficient social, environmental, economic and physical information to identify the spatial characteristics of their locality. The stronger the evidence base, the more robust the local development framework is likely to be (see Section 2.9 for further details).

Local communities, stakeholders and commercial interests should be involved in the development of the evidence base. This will help to achieve effective document preparation as well as strengthening the commitment of key delivery agencies and the wider community to the implementation of the framework as a whole.

Although a broad evidence base is desirable, authorities will need to adopt realistic approaches, drawing upon existing sources of information (e.g. from other local strategies, corporate initiatives and community-led appraisals) where possible. Authorities will need to identify where to focus their efforts in terms of preparing the evidence base.

PPS12 sets out the matters authorities are required to keep under review. Authorities should draw upon existing survey material, data and intelligence, particularly the resources and expertise of county councils as set out in Regulation 5 and PPS12.

[Regulation 5 and Paragraphs 4.8-4.11 of PPS12]

Information underpinning the evidence base should be up-to-date, and this may require further survey work. The survey work required will depend on the type of development plan document proposed. Potential components of the evidence base are set out in Checklist 5a below.

Checklist 5a: Potential Components of the Evidence Base

These could include:

- possible proposals, particularly residential and commercial uses which could be implemented during the plan period;
- land use issues including development densities, location of underused land/buildings, contamination, flood risk and instability;
- accessibility, including the location and types of facilities, availability and quality of public transport services;
- open space audits, sport/recreation and walking/cycling provision;
- housing needs and potential housing supply, including housing needs assessments, urban capacity studies and the availability of brownfield land in adjoining areas;
- economic issues, including the availability and use of buildings, the requirement of existing businesses and inward investors, rates of new business formation, enquiries about sites and accommodation, sectoral analysis and skills audits;
- the establishment of baseline information and the sustainability appraisal framework;
- town centre uses such as shopping and leisure, the availability and use of existing centres, health checks, the accessibility of centres, retail expenditure patterns and proposals in adjacent areas;
- minerals and waste issues, including minerals resources, constraints and waste arisings;
- public service uses such as health centres, hospitals, education etc. This should consider associated delivery programmes;
- social factors such as educational achievement, skills levels, crime and anti-social behaviour and deprivation levels;
- the aspirations of local communities and stakeholder groups in terms of the location of future growth and development; and
- the balance between uses in particular locations, including local access issues and opportunities for change.

5.3 TRANSITIONAL ARRANGEMENTS

5.3.1 Transition of existing plans

On commencement of the Act, all existing adopted local plans, unitary plans and relevant structure plan policies will automatically be saved for three years. Transition to local development frameworks should take place as quickly as possible whilst maintaining sufficient continuity to guide development decisions. Local development schemes will therefore be required to show for each 'saved' policy:

- if it is to be replaced, deleted or merged;
- the timing of the above; and
- within which development plan document any replacement policy is located.

[Regulation 13(5) and Paragraphs 5.3-5.5 of PPS12]

This information can be set out in the scheme in aggregated form given the need for brevity. However, authorities should be able to demonstrate their detailed thinking for each policy if requested.

The following scenarios illustrate different transitional arrangements at commencement:

- **Recently adopted plan** – authorities will need to reflect saved policies in the local development scheme. Key considerations for future document production will include how relevant and up to date these policies are. For example, if the plan has been through a protracted preparation process, it may be appropriate to review policies sooner rather than later.

[Paragraphs 5.6-5.7 and 5.18-5.21 of PPS12]

- **Review plan at inquiry and the Inspector has been appointed** – plan preparation should continue under existing development plan procedures. On adoption or approval, policies will be saved for three years. The scheme will need to set out whether saved policies will be revised over the period up to March 2007 and if so, how and when.
- **Review plan at 1st deposit stage (but no Inspector appointed)** – plans should continue under transitional arrangements i.e. re-deposit, but with a binding Inspector's report and no modifications stage. On adoption, the same principles as explained above will apply.
- **Significant work undertaken towards review but 1st deposit not reached** – authorities should move to local development framework preparation on commencement. Issues papers and any consultation undertaken should be adapted to assist with the preparation of local development documents.

If emerging plans are not adopted by 21 July 2006 they will need to undergo retrospective strategic environmental assessment. The timetable and key milestones to meet this requirement should be set out in the local development scheme.

Linked to the above, authorities will need to decide how to deal with existing supplementary planning guidance. Local development schemes will need to identify where authorities propose to link existing guidance to 'saved' policies. They could also identify guidance that they do not intend to link to 'saved' policies that will form part of the evidence base for future local development document preparation. In addition, local development schemes should outline where the authority is proposing to bring forward new supplementary planning documents linked to 'saved' policies or new development plan documents. This should include proposals to replace existing guidance with new supplementary planning documents.

[Paragraphs 5.22-5.24 of PPS12]

Development plan documents should be in conformity with the spatial vision, spatial objectives and policies outlined in the core strategy or 'saved' policies if the strategy is not in place. However, as set out in Regulation 13 (7), this does not apply where a document is seeking to replace a 'saved' policy.

[Regulation 13(7)]

Where authorities can demonstrate that 'saved' policies reflect local development framework principles, it will be possible to seek the Secretary of State's approval to extend them beyond the 3-year period. Such proposals should be identified in the local development scheme and discussed with the relevant Government Office prior to the schemes submission. This is likely to occur at a revision of the local development scheme before the expiry of the first 3 years. Further advice is set out in PPS12.

[Paragraph 5.15 of PPS12]

5.3.2 Work undertaken before commencement

The Regulations³³ allow work undertaken before commencement of the Act to count towards the preparation of local development documents. **Authorities do not have to wait until they have a local development scheme in place to begin work on such documents.** However, authorities will need to have undertaken appropriate community involvement and sustainability appraisal as well as meeting the other requirements for document preparation as set out in the Act, Regulations and guidance. Authorities will be required to provide a statement before submitting a development plan document demonstrating how these conditions have been met. The same requirement applies before supplementary planning documents are adopted.

[Paragraphs 5.25 and 5.26 of PPS12]

33 *The Town and Country Planning (Transitional Arrangements) (England) Regulations 2004* (ODPM: September 2004). See www.hms.gov.uk

5.4 DECIDING WHICH EXISTING POLICIES TO MAINTAIN

When deciding which policies to maintain, local planning authorities should consider:

- consistency with national planning policy and general conformity with regional planning policy;
- relevance to, and effectiveness in terms of addressing local needs, issues and aspirations;
- the likelihood of continued stakeholder and community support for the policy stance;
- evidence of the policies' value and 'deliverability'; and
- value of maintaining consistent policy approaches from a long-term perspective, e.g. green belt, open space, etc.

Timing and the effective life of existing policy will be critical in the decision to maintain or review 'saved' policies. Other factors to be considered include:

- **Existing plan allocations and take up.** Authorities could take unused site allocations as the starting point for development plan document preparation. In areas where most allocated land has been taken up, or current take up rates imply that it may be taken up within the short term, review work will be needed;
- **Deliverability of existing allocations.** Authorities should reconsider the extent to which existing allocations are deliverable within the proposed time scale;
- **Regional spatial strategy (or spatial development strategy in London) review timing and anticipated growth requirements.** Authorities should take into account the time scale for the adoption of new allocations coming forward within regional spatial strategies (or spatial development strategy in London) as these will need to be reflected in local development frameworks;
- **Anticipated requirements to change allocations.** Authorities may need to respond to new requirements for allocations emerging through regional spatial strategies (or spatial development strategy in London). Early work may be required to allow authorities to make informed input into the regional spatial strategy (or spatial development strategy in London) preparation process and respond quickly; and
- **Priority for policy change or development.** As local development frameworks are developed and reviewed in future, priorities will change.

Authorities should maintain up-to-date site allocations in general conformity with regional spatial strategies (or spatial development strategy in London) and may prioritise these for frequent review. Other policy areas, such as green belt boundaries or open space designations may not need to be revisited so frequently.

5.5 APPROACH TO THE LOCAL DEVELOPMENT SCHEME

The following approach is recommended in terms of preparation (see Section 11.5 for guidance on the issues that will need to be considered in the longer term):

Step 1: scope main issues to be addressed by the local development framework.

Based on their initial evidence base preparation (see Section 5.2) and appreciation of their locality, authorities should identify key issues to be addressed by the local development framework and sustainability appraisal. Identifying local issues and main areas of change will help to inform decisions on any area action plans or area-based supplementary plan documents to be produced. Consideration of the key issues for main policy themes (e.g. housing, environment and economy) will inform the approach to the core strategy and whether there is a need to produce separate development plan documents on subjects such as housing.

Step 2: review the existing plan. As considered in Section 5.4 authorities are not starting from scratch. They should assess existing development plans, in particular considering:

- how up-to-date they are;
- consistency with national planning policy and regional planning policy;
- relationship with local strategies and initiatives including the community strategy, local transport plan, and areas identified for regeneration; and
- how well they promote and deliver sustainable development.

Step 3: develop working assumptions on the core strategy and local development framework contents. Each authority will need to consider:

- the likely content of the core strategy;
- whether any local development documents need to be prepared in parallel. (For example, an authority may choose to prepare an area action plan for a key site in parallel with the preparation of their core strategy);
- whether any documents are to be prepared jointly with one or more authorities;
- locations and roles (in general terms) of potential action area plans;
- the need for supplementary planning documents (see Section 5.3);
- the main technical studies required to develop a robust evidence base;
- anticipated committee cycles which local development document production will need to be synchronised with; and
- a logical sequence for the production of documents, taking into account the links between them and their impacts upon other strategies.

Step 4: assess and allocate resources. Having identified likely local development scheme content, authorities should then assess the resources required to produce the various documents. Further advice on resource planning is set out in Chapter 6. Discussions should be undertaken with local authority colleagues to establish and secure an appropriate level of staff resources to form a local development framework project team. A commitment should also be made to provide additional resources to deal with peaks in workload. For example, it may be appropriate to allocate staff with expertise in public consultation to help during intensive periods of community involvement. Where appropriate, the authority should also secure resources from external stakeholders (see Section 6.6).

Step 5: discuss the programme with key stakeholders to ensure it complements other strategies and initiatives. Local development framework teams will need to discuss the scheme with local authority colleagues and key stakeholders to ensure:

- broad support for the approach and priorities for developing the local development framework;
- the local development framework programme fits with and complements the time scales for other strategies and initiatives; and
- opportunities and requirements for securing resources from stakeholders are explored.

Whilst there is no statutory requirement, one way of stimulating discussion could be to issue a draft local development scheme for consultation.

Step 6: work closely with the Government Office and the Planning Inspectorate.

Government Offices will be able to provide advice on the content of the local development scheme from a national and regional planning policy perspective. To ensure schemes are submitted on time, authorities should work closely with the relevant Government Office on its development and review. Any programming issues or concerns should be brought to the Government Office's attention as soon as is practicable.

[Paragraphs 3.21 and table on p28 of PPS12]

Government Office assessment of whether local development schemes are 'fit for purpose' will include the following questions:

- Is there a robust and appropriate approach to document preparation, particularly in terms of its priorities?
- Is the local development scheme deliverable and is there a realistic timetable and key milestones in line with PSA targets?
- Does the local development scheme set out a comprehensive approach to document production, especially developing the evidence base?
- Are there any obvious omissions?
- Is the local development scheme easy to understand in terms of accuracy and clarity of proposals?

Once the Government Office considers that the authority's draft proposals for the local development scheme to be 'fit for purpose' in terms of the priorities and nature of the documents identified they will discuss with the Planning Inspectorate the programme timetables particularly in respect of the independent examination. The Inspectorate will need to be assured that the time scales proposed are appropriate and achievable. Once the Government Office and the Planning Inspectorate are satisfied that the proposals are realistic, they will notify the local planning authority so that the local development scheme can be produced for final submission. The Planning Inspectorate will then enter into a strategic Service Level Agreement against the broad parameters of the programme.

There is no requirement for local planning authorities to consult on the local development scheme in draft form. The only involvement required of regional planning bodies at this stage will be as recipients of a copy of the document for their information.

Step 7: produce the local development scheme. The scheme should be produced in a clear, accessible format that can be understood by people with limited knowledge of the new planning system. There is a need for clarity of purpose; authorities should succinctly explain the rationale behind their scheme in addition to setting out the local development documents that will be produced. This will help them (and the reader) to focus on the key issues in the area.

Authorities do not have to submit the scheme to full council for approval. Regulations³⁴ to the Local Government Act (2000)³⁵ as amended allow the scheme to be submitted to the executive for approval.

Four copies of the scheme must be submitted to the Secretary of State (represented by the relevant Government Office) in paper form and one copy electronically. Schemes come into effect four weeks after being submitted to Government Offices unless the Secretary of State intervenes in this period or requests more time. Intervention could arise if the Government Office requests that further work needs to be undertaken. However, this should not occur if authorities have worked closely with the Government Office during the preparatory stages.

[Regulations 10 and 11 and Paragraph 3.24 of PPS12]

When the scheme takes effect, authorities should make copies available at their principal office during working hours and publish it on their website.

[Regulation 12]

34 The Local Authorities (Functions and Responsibilities) (England) (Amendment No. 2) Regulations 2004. See <http://www.hmso.gov.uk/si/si2004/20042211.htm>

35 *Local Government Act 2000* (HMSO: August 2000). See <http://www.hmso.gov.uk/acts/acts2000/20000022.htm>

5.6 FORMAT AND CONTENT OF THE LOCAL DEVELOPMENT SCHEME

The published scheme should be a concise, accessible and user-friendly document. It should not be longer than 20-25 pages, and in many instances could be shorter depending on the scope of the local development framework. Authors should bear in mind that it will be their community's main source of information on the local development document programme so a positive and promotional tone explaining the authority's proposals will be crucial. The scheme should clearly set out the timetables and milestones for document preparation and their proposed content.

[Regulation 6 and Paragraph 3.20 of PPS12]

It is not necessary for the local development scheme to set out all the thinking and rationale behind an authority's local development framework programme. There is a distinction to be made between the detailed 'back office' thinking required in terms of preparing the scheme as a programme management tool and the need for it to be a user-friendly document. Schemes should avoid overly technical language or jargon. They should be written in plain English and must contain:

- An **introduction** – setting out contents together with a brief overview of its role and explanation of the terminology used.
- **Brief description of proposed local development documents** – possibly in table form, showing each local development document to be produced, its status, role and content, geographical coverage and position in the chain of conformity (see Checklist 5b).
- Explanation as to how the **local development framework will be structured, particularly how different local development documents interrelate**. This will include the relationship with the relevant regional spatial strategy (or spatial development strategy in London) and between local development documents i.e. the chain of conformity, especially between the core strategy and other documents. This should include a brief description of how sustainability appraisal will relate to various stages of document preparation.
- Details of any documents that are to be prepared on a joint basis with other local planning authorities.
- In the **transitional period**, which 'saved' policies are to be replaced, deleted or merged over the period of the scheme. This should also identify if the authority intends to save policies beyond the 3 year period and its approach to supplementary planning guidance (see Section 5.3.1).

[Regulation 8(b)]

- **Profiles of each local development document** – linked to the 2nd bullet above, a brief (one-side) profile as set out in Checklist 5c. It must show how the adopted proposals map will be reviewed in line with development plan document preparation. It should also set out the planned timetable and the key milestones to be achieved.

[Regulations 8(c) and 9]

- Summary of **how the evidence base will be managed**, specifying the main background technical studies; and
- Explanation as to how **monitoring and review will occur**, including the annual monitoring report; the resources (in broad terms) to be allocated to producing the local development framework; arrangements and responsibilities for programme management; risk assessment and any proposed contingencies.

Related illustrations should include:

- overall programme (in Gantt chart format) setting out the timetables and milestones, particularly the key milestones as defined in PPS12 for the production of each local development document;

[Paragraph 3.22 of PPS12]

- diagram showing linkages between local development documents; and
- diagram showing which documents relate to particular areas of the authority where relevant.

Checklist 5b: Local Development Scheme – Indicative Schedule of Proposed Local Development Documents

(time scales are for illustrative purposes only and do not necessarily indicate likely preparation time scales)

Document title	Status (i.e. DPD/SPD)	Role and content	Geographical coverage	Chain of conformity	Dates for pre-submission consultation	Date for public participation on preferred options (DPD), draft (SPD) and sustainability appraisal report	Date for submission to Secretary of State	Proposed date for adoption
Statement of community involvement	N/a	Document setting out standards and approach to involving the community and stakeholders in the production of the local development framework.	Whole authority area	N/a	October 2004 – December 2004	January 2005 (Sustainability appraisal report n/a)	March 2005	June 2005
Core strategy	DPD	Sets out the spatial vision, spatial objectives and strategy for the development of the area and framework for development control.	Whole authority area	Consistent with national planning policy and general conformity with regional spatial strategy (or in London, with the spatial development strategy).	February 2005 – July 2005	October 2005	March 2006	March 2007

Checklist 5b (cont.): Local Development Scheme – Indicative Schedule of Proposed Local Development Documents

(time scales are for illustrative purposes only and do not necessarily indicate likely preparation time scales)

'Y' town centre Area Action Plan	DPD	Contains detailed policies and site proposals aimed at strengthening Y town centre's role as a successful retail and leisure destination.	'Y' town centre	To conform with the core strategy.	May – September 2006	December 2006	February 2007	February 2008
Village design statement for 'X'.	SPD	Sets out guidelines and standards for the design of new development in the village of 'X'.	Villages in authority area	To conform with core strategy.	N/a	October 2006	N/a	January 2007
Site development brief for site 'B'	SPD	Sets out the type, scale and standards for development of the site.	Site 'B'	To conform with 'Y' town centre action plan and core strategy.	N/a	Spring 2008	N/a	Autumn 2008

Checklist 5c: Format for Local Development Document Profiles

<p>Document details</p>	<p><input type="checkbox"/> Title</p> <p><input type="checkbox"/> Role and content</p> <p><input type="checkbox"/> Status</p> <p><input type="checkbox"/> Chain of conformity</p> <p><input type="checkbox"/> Geographic coverage</p>
<p>Timetable and milestones in months. Key milestones are in italics</p>	<p><input type="checkbox"/> Pre-production period, <i>including commencement of document preparation</i></p> <p><input type="checkbox"/> For development plan documents only:</p> <ul style="list-style-type: none"> • preparation of issues and alternative options and initial sustainability appraisal report, including public consultation as required by Regulation 25; • <i>public participation on preferred options document and formal sustainability appraisal report as required by Regulation 26;</i> • consideration of representations and discussions with community and stakeholders; • preparation of submission development plan document and any amendments to the sustainability appraisal report; • <i>submission of development plan document to Secretary of State and sustainability appraisal report;</i> • public consultation period on submission development plan document and sustainability appraisal report as required by Regulation 29; • pre-examination consideration of representations; • <i>pre-examination meeting;</i> • examination period, <i>including commencement of the examination;</i> • receipt of Inspector's binding report; and • <i>adoption and publication of document and revised proposals map.</i>

Checklist 5c (cont.): Format for Local Development Document Profiles

<p>Timetable and milestones in months. Key milestones are in italics</p>	<p><input type="checkbox"/> For supplementary planning documents only:</p> <ul style="list-style-type: none"> • preparation of draft supplementary planning document and sustainability appraisal report; • <i>draft supplementary planning document and sustainability appraisal report issued for public participation as required by Regulation 17;</i> • authority consideration of consultation representations; and • <i>adoption and publication of document.</i>
	<p><input type="checkbox"/> For statements of community involvement only:</p> <ul style="list-style-type: none"> • preparation of draft statement of community involvement with consultation as required by Regulation 25; • <i>public participation on draft statement as required by Regulation 26;</i> • preparation of submission statement; • <i>submission of statement to the Secretary of State as required by Regulation 28;</i> • pre-examination consideration of representations; • <i>pre-examination meeting;</i> • examination period, <i>including commencement of the examination;</i> • receipt of Inspector's binding report; and • <i>adoption and publication of document.</i>
<p>Arrangements for production</p>	<p><input type="checkbox"/> Which organisation/department of the authority will lead the process.</p> <p><input type="checkbox"/> Management arrangements (e.g. steering group).</p> <p><input type="checkbox"/> Resources required to produce the local development document, including specifying resources committed from external stakeholders.</p> <p><input type="checkbox"/> Approach to involving stakeholders and the community.</p>
<p>Post production</p>	<p><input type="checkbox"/> Monitoring and review mechanisms</p>

5.7 EXAMPLES OF LOCAL DEVELOPMENT SCHEME CONTENT – POSSIBLE SCENARIOS

Local development frameworks are designed to be sufficiently flexible so as to respond to a wide range of circumstances. Each local planning authority must decide on the most appropriate content and programme taking national, regional and local planning issues and priorities into account. The following examples illustrate a variety of local development scheme scenarios. They are not intended to be comprehensive, particularly in terms of the suggested work programmes. In particular, the timelines for each document are indicative and will be tested in the first few years of framework preparation. They illustrate the factors that will need to be considered and programmed. Whilst each Gantt chart below reflects the three year period covered by each scheme, they also go beyond 2007 as discussed in Section 5.1. For simplicity not all the milestones identified above are illustrated. The reference to the 'examination' refers to all the post submission steps, not just the holding of the examination sessions themselves.

SCENARIO A:

URBAN AREA REQUIRING REGENERATION

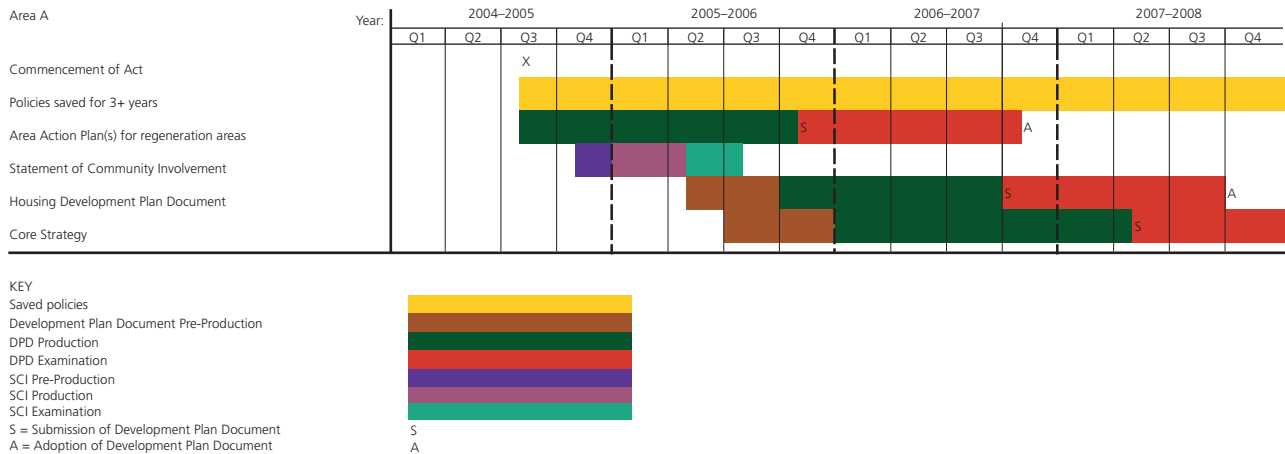
Context: economically depressed area with a traditional industry-based economy. Committed to regeneration with a recently adopted development plan that conformed with regional planning guidance. The authority has in the past produced various supplementary planning guidance including design guides and site development briefs. Work on the regional spatial strategy has commenced with a view to adoption in 2006.

Potential approach – key considerations on commencement of the Act include:

- many of the up-to-date existing policies could be ‘saved’ beyond the three-year period;
- authority should focus work after commencement on area action plans for regeneration areas e.g. housing market renewal areas; and
- start work in 2005 on a housing development plan document, commissioning an urban capacity study and commence work on core strategy in 2006.

Possible work programme is shown in figure 5.1 below:

Figure 5.1: Illustrative Scheme Content – urban area in need of regeneration



SCENARIO B:

DISTRICT WITH A LARGE MARKET TOWN ON ITS EDGE

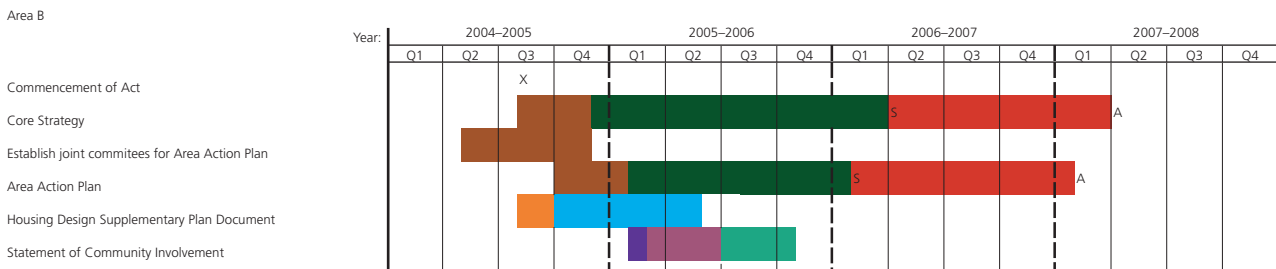
Context: area of acute housing need in terms of market and affordable housing. Has undertaken work towards 1st deposit plan. Located near to urban areas, and is comprised of either greenbelt or covered by statutory conservation designations. Principle of an urban extension was agreed as part of a recent regional spatial strategy review to meet housing requirements.

Potential approach – key considerations on commencement of the Act include:

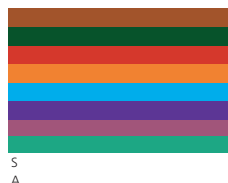
- abandon local plan preparation and move straight to core strategy production, developing affordable housing policies which are in general conformity with regional spatial strategy and consistent with regional housing strategy;
- commence work on an joint area action plan with neighbouring district to provide a policy framework for proposed urban extension; and
- linked to above, prepare housing design guidance as a supplementary plan document.

Possible work programme is shown in figure 5.2 below.

Figure 5.2: Illustrative Scheme Content – district with a large market town on its edge



KEY
 Development Plan Pre-Production
 Development Plan Document Production
 Development Plan Document Examination
 Supplementary Planning Document Pre-Production
 Supplementary Planning Document Production
 Statement of Community Involvement Pre-Production
 Statement of Community Involvement Production
 Statement of Community Involvement Examination
 S = Submission of Development Plan Document
 A = Adoption of Development Plan Document



SCENARIO C:

AREA COMPRISED OF A MARKET TOWN AND VILLAGES IN A REMOTE RURAL AREA

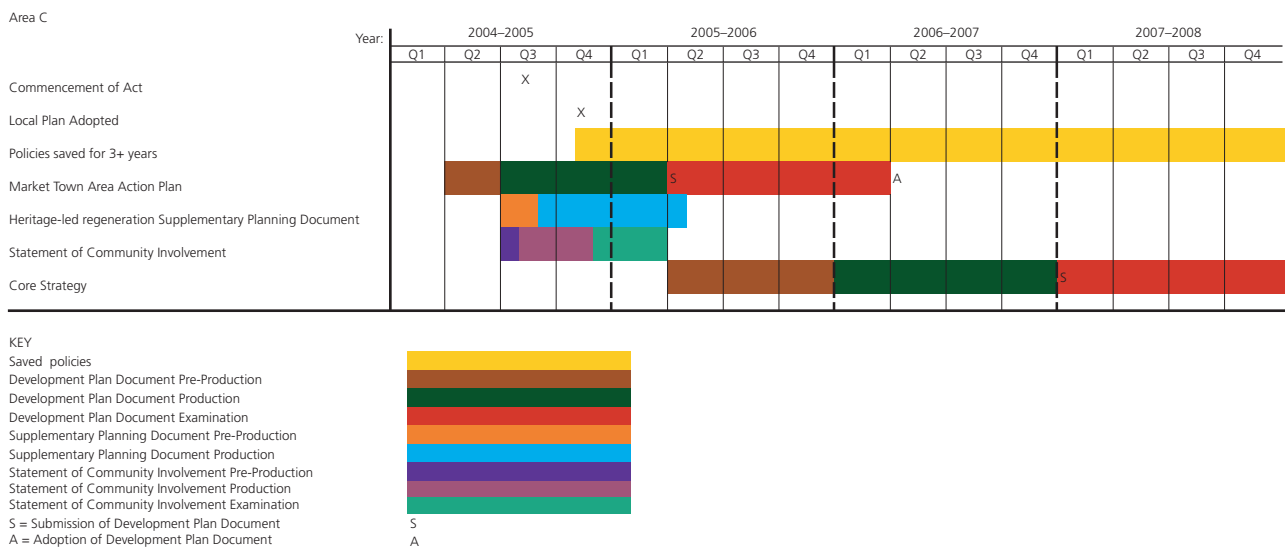
Context: priorities for area already identified in post inquiry local plan which aims to accommodate modest incremental growth, encouraging market town growth whilst protecting the natural and historic environment.

Potential approach – key considerations on commencement of Act include:

- proceed with adoption of existing local plan and consider potential to ‘save’ policies beyond the 3 year period;
- prepare an area action plan for the principal market town to support delivery of a market towns initiative programme;
- prepare supplementary plan documents on heritage-led regeneration and village design code;
- prioritise statement of community involvement production and also develop capacity amongst the community to participate fully in subsequent stages of development plan document preparation; and
- begin core strategy preparatory work in 2005.

Possible work programme is shown in figure 5.3 below.

Figure 5.3: Illustrative Scheme Content – market town and villages in a rural area



SCENARIO D:

SEASIDE TOWN IN NEED OF REGENERATION

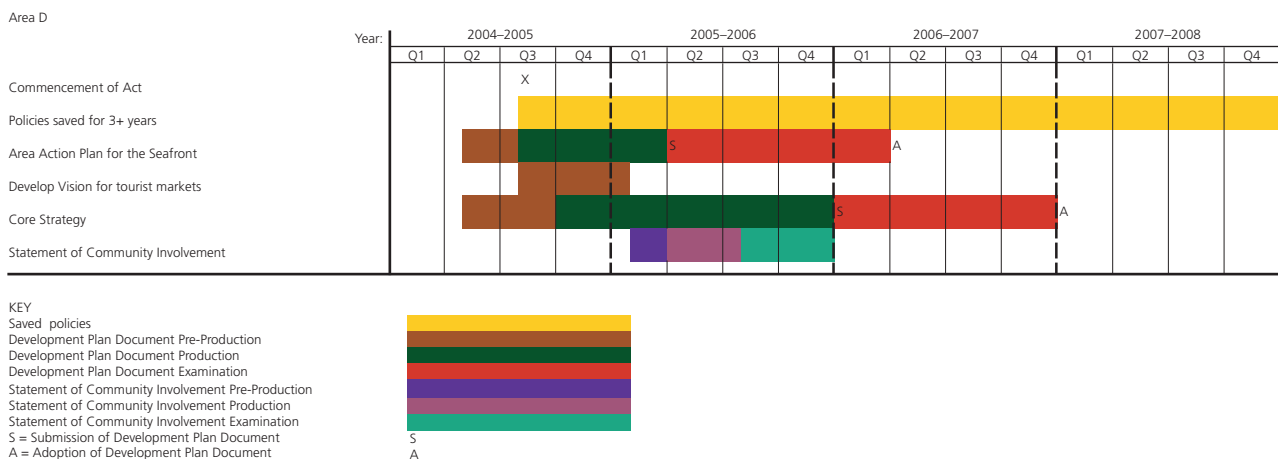
Context: seaside town in need of regeneration located in an environmentally sensitive area. Limited growth or development experienced in recent years. Authority has a recently adopted local plan but this does not reflect all key regeneration initiatives. Related economic strategy seeks to diversify local economy, which is currently based upon seasonal tourism. Need to address problems of poor housing quality in the private rented sector and pressures on services caused by an ageing population.

Potential approach – key issues on commencement of the Act include:

- potential to ‘save’ policies beyond the initial three year period;
- focus on producing area action plan for the seafront area to consolidate tourism accommodation; and
- produce a vision statement to assist with diversification away from tourism as preparation for subsequent core strategy during 2005.

Possible work programme is shown in figure 5.4 below.

Figure 5.4: Illustrative Scheme Content – seaside town in need of regeneration



SCENARIO E:

METROPOLITAN AREA

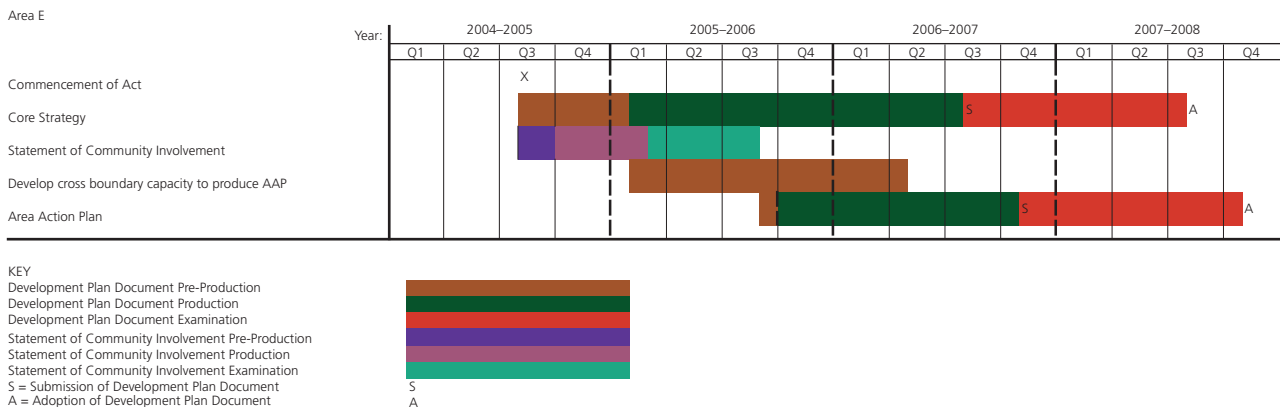
Context: metropolitan borough on the edge of a city centre. Issues include growing demand for office space, deprived neighbourhoods, high levels of housing need, declining local employment base, high property prices and increasing pressures for high density housing schemes. The existing development plan was adopted in 1998 and has an end date of 2001. It is based on community areas supported by a series of community and business forums that have been active in the preparation of the community strategy. Authority is also an active member of a sub regional regeneration partnership and several cross-boundary regeneration programmes are nearing completion.

Potential approach – key issues to consider on commencement of the Act include:

- production of core strategy to provide an up-to-date planning framework. This may provide an opportunity to review future opportunities for area action planning, some of which may be cross boundary;
- linked to above, any area action plans could also focus on major redevelopment opportunity areas, especially where there is scope for mixed use development; and
- early production of a statement of community involvement may help to consolidate existing community structures.

Possible work programme is shown in figure 5.5 below.

Figure 5.5: Illustrative Scheme Content – metropolitan area



6 Project and Programme Management



6 Project and Programme Management

Effective project and programme management will be at the heart of a successful, integrated, local development document preparation process. It is vital that clear management structures are established and resources identified to meet programmes set out in the local development scheme.

6.1 INTRODUCTION

Producing local development frameworks will be a complex technical, organisational and political task. Local planning authorities will not be successful if they simply 'get started and see how it goes'. As Chapter 5 explained, the local development scheme will be vital. Local development framework production will be a continuous rather than finite process. Consequently, resources will need to be drawn from a variety of sources. Authorities will need to manage the preparation of individual local development documents (project management) and the preparation of the local development framework as a whole (programme management).

6.2 IMPLICATIONS OF LOCAL DEVELOPMENT FRAMEWORKS FOR PROGRAMME MANAGEMENT

The continuous process of local development framework production requires good programme management. Checklist 1a sets out the implications of local development frameworks compared with the old system.

6.3 THE ROLE OF THE PROJECT MANAGER

There must be clear responsibility for planning and managing the local development framework programme. In most cases, this is best achieved through a project manager who should have sufficient skills, authority and experience to undertake the role. Checklist 6a below sets out tasks associated with the project manager although in some circumstances, it may be appropriate for these to be shared with more senior staff.

Checklist 6a: Role of the Project Manager

- Lead the production of the local development scheme and keep it up-to-date.
- Identify and bid for sufficient resources to deliver the local development framework and constituent local development documents.
- Understand the statutory and technical requirements for producing each local development document and the local development framework as a whole.
- Oversee the process for managing community involvement and undertaking sustainability appraisal to ensure the local development document production process is compliant with the statement of community involvement and sustainability appraisal guidance.³⁶
- Influence the strategic deployment of the local planning authority's resources, and where appropriate help to negotiate additional resources to be provided by external stakeholders.
- Negotiate with outside agencies, and lead communication with the community on details of the local development framework programme.
- Deal directly with elected members.
- Allocate resources and responsibilities and manage the local development framework preparation team.
- Review progress against milestones, identifying areas of risk and contingency where necessary.
- Play a role in reviewing implementation and the relevance of the local development framework, outlining further work to develop and update it as appropriate.

6.4 MANAGING TIME SCALES

Local planning authorities will be required to keep to the local development document programme agreed in the local development scheme. Considerations when setting timetables are in Checklist 6b.

Authorities will need to identify areas of risk and uncertainty in their programmes and plan appropriate contingencies. Critically, they will need to be realistic about what can be achieved within the time scales and resources available.

Risk in the political and decision-making context should also be considered. Programmes must take into account dates and time scales for key committee or cabinet meetings, full council meetings, scrutiny committees, and elections.

³⁶ *Sustainability Appraisal of Regional Spatial Strategies and Local Development Frameworks* – consultation draft (ODPM: September 2004). See www.odpm.gov.uk/planning/

Checklist 6b: Managing Timetables

Local planning authorities will need to:

- identify the main components of plan preparation into which the overall local development framework process can be broken down – the formal stages of the statutory process (see chapter 4) are the starting point;
- consider the implications of decision-making processes and timetables, including scheduling sufficient time for local development documents to be considered and approved by cabinet/committee, scrutiny committees and full council;
- identify events that will have a significant effect on what can be achieved e.g. local elections;
- allow sufficient time for developing the evidence base;
- build in sufficient time for involving stakeholders and the community;
- timetable the main tasks associated with undertaking sustainability appraisal;
- assess the staff and financial resources required to complete each local development document and allocate resources according to priorities; and
- identify the time scales for other relevant policy and strategy development cycles (e.g. regional spatial strategy, or spatial development strategy in London, and community strategy) and timetable for the development of, and revisions to, the local development framework.

6.5 MANAGING RESOURCES

Local development framework production is a continuous rather than a finite process, and resources need to be planned on this basis. Managing resources to produce local development frameworks to agreed time scales will be challenging. Staff and financial resources will need to be managed across different local development documents. Authorities should attempt to allocate resources in advance, although a flexible approach will be required.

The local development framework will be the key means for an authority to express its spatial vision and strategy for the development of its area, influencing a wide range of policy and investment decisions. As such, it will require significantly more resources than has been generally available for development plan preparation. Whilst planning delivery grant will assist, local development framework teams will need to lever in additional resources from other local authority departments, external stakeholders and local communities.

There are real benefits in authorities establishing dedicated local development framework teams to manage local development document preparation. Local development framework teams could focus on:

- developing the evidence base e.g. commissioning consultants to undertake technical studies;
- other technical assistance not available in-house e.g. masterplanning services for area action plans;
- managing and facilitating stakeholder and community involvement, including producing written and visual material, meetings and events and dealing with responses from consultation exercises; and
- publication of local development documents, including hard copies and on-line publication.

6.6 DRAWING UPON EXTERNAL RESOURCES

Linked to the above, local development framework teams may need to second staff from other local authority departments, county councils, external stakeholders or even appoint consultants. There may also be opportunities to secure external resources to produce area action plans, particularly from scheme promoters or those with major development interests in the area.

Securing external involvement is crucial to developing community buy-in and commitment. Communities and stakeholders can provide a level of familiarity with the locality or level of expertise in specialist areas that local development framework teams may not have. Local people can contribute their knowledge and understanding of the locality, particularly distinctive and valuable features which might otherwise be overlooked. The commercial sector also has a valuable role to play, particularly in respect of area action plans. Other specialist organisations can provide important input. For instance, registered social landlords can assist with housing issues and statutory agencies on environmental issues.

There may be scope to engage external organisations to assist with community consultations. Other sections of the authority or external specialists may have expertise in this area that does not exist within the local development framework team. Authorities should consider opportunities for linking with parallel consultation exercises, for example with community strategies.

District councils will need to continue to work closely with county councils given that they are responsible for transport and highways (including producing the local transport plan), education, and social services, and have research and intelligence functions relevant to

planning. Also, joint-working with neighbouring local planning authorities and/or the regional planning body is a good way of pooling resources to assess issues or produce local development documents that cut across authority boundaries. 'Spatial plan groups' could be established where authorities with common interests meet to share ideas, information and best practice.

7 Managing Community Involvement



7 Managing Community Involvement

A key objective of the new planning system is to strengthen community involvement. Statements of community involvement, to be produced by planning authorities, will set out how communities will be engaged in the preparation and revision of local development documents and consideration of planning applications. The statement must ensure the active, meaningful and continued involvement of local communities and stakeholders throughout both processes.

7.1 INTRODUCTION

The importance of effective community involvement in planning is emphasised in draft PPS1.³⁷ This recognises the role that planning can play as a tool for actively promoting civil renewal and new localism. To achieve this, authorities need to develop partnerships that encourage local people to help develop the spatial vision for their area. The reasons for, and principles behind, involving communities in planning are set out in draft PPS1 and the accompanying paper promoting community involvement in planning.³⁸ Further guidance relating to their role in preparing plans is set out in PPS12 and Section 2.6 of this guide.

[Paragraphs 1.5 and 1.32-1.39 of draft PPS1 and Paragraphs 3.1-3.13 of PPS12 and Community Involvement in Planning]

The main benefits of community involvement are:

- **strengthening the evidence base for plans, strategies and planning decisions** – stakeholders and local communities can bring a different perspective to planning, and should be valued for their expertise, opinions and insight (see Section 5.2);
- **community commitment to the future development of an area** – local people can be encouraged to make a difference in their area, with long-term benefits;
- **promoting regeneration and investment** – by publicising proposals and inviting the involvement of stakeholders and local communities, authorities can demonstrate their commitment to improving areas and facilitating joint working to achieve better quality outcomes; and
- **fostering ownership and strengthening delivery** – many elements of the local development framework will require joint working between local planning authorities, local communities and stakeholders. Involving communities at an early stage ('front-loading') of document preparation will help to resolve issues, thereby avoiding the need for lengthy independent examinations (see Section 2.7 for more on front-loading).

³⁷ At the time of publication of this guide, finalised PPS1 has yet to be published. However, a consultation version of PPS1, *Creating Sustainable Communities* was published in February 2004. All references in this guide are to the consultation version of PPS1. See http://www.odpm.gov.uk/stellent/groups/odpm_planning/documents/page/odpm_plan_027494.pdf.

³⁸ *Community Involvement in Planning: the Government's objectives*, (ODPM: February 2004). See www.odpm.gov.uk/stellent/groups/odpm_planning/documents/page/odpm_plan_027497.pdf

7.2 THE STATEMENT OF COMMUNITY INVOLVEMENT

The statement of community involvement should set out a local planning authority's policy for involving communities in the preparation and revision of local development documents and considering planning applications. This chapter considers these aspects separately although many of the issues discussed are applicable to both. The statement is not an end in itself but a means of improving the quality of the planning process. Preparing the statement will ensure authorities consider how to involve communities and benefit from their knowledge and expertise.

In terms of preparation, many authorities already consult their local communities on planning issues with considerable success. The statement is intended to build upon these practices. Authorities may find that current methods are applicable at different stages in the document process or could be expanded to involve a wider range of participants.

In its statement, authorities should address the following questions:

- **What are they seeking community involvement upon?** As well as planning applications, possible documents include the range of development plan documents, supplementary planning documents and sustainability appraisal reports identified in the local development scheme.
- **How and when will community involvement be sought?** Possible forms of involvement include receiving and disseminating information, participating in the development of policies, proposals or options for an area, responding to consultation and receiving feedback. See table 7.3 for an outline of possible methods.
- **Who will be involved?** Authorities should ensure they involve the widest possible range of interests, particularly hard-to-reach groups who do not usually participate in the planning process.

There is no single 'right answer' to these questions. Appropriate responses will vary, given that statements are intended to reflect local circumstances.

The statement of community involvement should be 'fit for purpose', recognising the limits of an authority's resources. Authorities should ensure that they propose appropriate types and scales of involvement in relation to the type of development or the aims of the local development document in question. It would be counterproductive for statements of community involvement to specify particularly complex processes of community involvement. Instead, authorities will need to achieve appropriate balances in terms of their content. Too general a statement will fail to provide communities with sufficient guidance as to what type of involvement they can expect. Alternatively, over-prescription may have considerable resource implications for all parties involved in the planning process, as well as requiring the statement to be reviewed frequently.

7.3 STATEMENT OF COMMUNITY INVOLVEMENT PRINCIPLES

[Paragraph 2.2, Community Involvement in Planning]

In the statement of community involvement, authorities should set out their main principles for community involvement, including:

- **Access to information.** Documents should be available in a variety of formats, to encourage the widest possible readership. This is likely to include paper and electronic versions of key documents, and should include languages other than English where appropriate.
- **The opportunity to contribute ideas.** Community groups and the wider public should have the opportunity to put forward their own ideas and feel confident that there is a process for considering and responding to their concerns.
- **The opportunity to take an active part in developing proposals and options.** Where appropriate, there should be opportunities for people to actively engage with planning professionals.
- **The opportunity to be consulted and make representations on formal proposals.** This is a statutory requirement as set out in Regulations³⁹ and represents the minimum in terms of community involvement.
- **The opportunity to get feedback and be informed about progress and outcomes.** Keeping local communities and stakeholders informed will foster interest in planning issues. In time, this will enable authorities to benefit from local knowledge and experience which will in turn result in better planning outcomes.

It must be demonstrated to all sections of the community that the process of community involvement is legitimate and timely with outcomes in the public interest. Processes should be simple to follow, and delivered in a fair, transparent and efficient manner. This will require authorities to identify the limits to community involvement as well as the forms it will take.

[Paragraph 1.7, Community Involvement in Planning, Paragraphs 1.32-1.39 of draft PPS1]

Authorities will need to develop a good understanding of the make up, needs and interests of all the different groups in their area and their capacity to engage in planning. The resource requirements of this should not be underestimated. Colleagues in other local authority departments and local strategic partnerships may be able to assist in identifying key groups.

³⁹ *The Town and Country Planning (Local Development) (England) Regulations 2004 and The Town and Country Planning (Transitional Arrangements) (England) Regulations 2004* (ODPM: September 2004). See www.hmsso.gov.uk

7.4 CONTENT AND FORMAT OF THE STATEMENT OF COMMUNITY INVOLVEMENT

7.4.1 Content

Statements of community involvement should set out standards to be achieved by authorities to ensure continuous and meaningful community involvement in the preparation, alteration and review of all local development documents and in the determination of planning applications. The statement must set out a pragmatic approach that does not raise stakeholder expectations unrealistically but does encourage innovation. Linked to Section 7.3, the Government's objectives in terms of the content of statements of community involvement are described below.

[Paragraph 1.32, Community Involvement in Planning]

Table 7.1: Community Involvement Objectives

The statement of community involvement must set out an approach to community involvement which as a minimum meets the statutory requirements for consultation in Regulations. In addition, an effective statement should:

- set out clearly the authority's vision and standards for community involvement, and how these link with other local initiatives e.g. the community strategy;
- recognise and express the need for front loading;
- reflect community needs, identifying the range of local groups who need to be involved;
- show that the authority understands how communities can be involved in a timely and accessible way;
- identify suitable involvement techniques that are appropriate to the level of planning;
- be clear about the different stages of involvement – information, consultation, participation, feedback etc. – and demonstrate that these will be done in different ways at different stages and for the particular communities;
- show that the authority can resource and manage the process effectively – this should include a clear understanding of the roles of members and officers;
- show how the results of community involvement will feed into the preparation of local development documents and associated sustainability appraisal reports;
- set out the authority's policy for community involvement on planning applications; and
- set out how the authority will learn from the experience and improve the arrangements where necessary.

Statements of community involvement must set out the minimum requirements for community involvement in document preparation as set out in Regulations⁴⁰ and table 7.2.

Table 7.2: Community Involvement Requirements as set out in Regulations

- Informal pre-submission consultation as required by Regulation 25.
- Formal pre-submission participation as required by Regulation 26.
- In terms of development plan document preparation, pre-submission consultation (Regulation 25) must take place with each of the specific and general consultation bodies (specified in Regulation 2) that the authority considers appropriate.
- For the statement of community involvement, pre-submission consultation must take place with the bodies specified in Regulation 25(2).
- When an authority submits a development plan document to the Secretary of State (Regulation 28), it must also make a copy available for public inspection and send a copy to the bodies referred to above.
- Consultation on supplementary planning documents is a formal requirement before they can be adopted although there will be no independent examination. They should, however, be subject to rigorous procedures of community involvement. Supplementary planning documents should be subject to public participation as required by Regulation 17. Authorities must consult with the specific and general bodies that are appropriate to the document in question.
- Consultation on an initial sustainability appraisal report during the consultation required by Regulation 25 for development plan documents and during the preparation of the draft document for supplementary planning documents.
- Consultation on the sustainability appraisal report in the case of development plan documents concurrently with Regulation 26, and in the case of supplementary planning documents concurrently with Regulation 17.

For planning applications, statutory consultation requirements are set out in Article 8 of the Town and Country Planning (General Development Procedure) order (as amended). This requires authorities to publicise applications, either by a site notice or notification to neighbours. In addition, local advertisements may be required as defined in Article 8 of this order. Similar arrangements exist for applications requiring listed building or conservation area consent.⁴¹

⁴⁰ *The Town and Country Planning (Local Development) (England) Regulations 2004 and The Town and Country Planning (Transitional Arrangements) (England) Regulations 2004* (ODPM: September 2004). See www.hmso.gov.uk

⁴¹ The statutory publicity requirements for applications for listed building and conservation area consent are laid out in Regulation 5 of the Planning (Listed Buildings and Conservation Areas) Regulations 1990 (as amended). The publicity requirements for applications for planning permission affecting the setting of a listed building or conservation area are currently laid out in Section 67 and Section 73 of the Planning (Listed Buildings and Conservation Areas) Act 1990 but these are about to be amended as the Planning and Compulsory Purchase Act 2004 introduces a provision to allow the publicity requirements to be put into secondary legislation.

7.4.2 Format

Statements should be concise and not overly prescriptive. They should be written in plain English and be no longer than 25 pages. Where appropriate, tables and diagrams should be used. Authorities should avoid over-specifying what they will do in respect to each local development document or each type of planning application. Instead, statements should set out in broad terms how and when they will involve local communities, together with a general description of the types of involvement they intend to use. An indication of content is set out in Checklist 7a below.

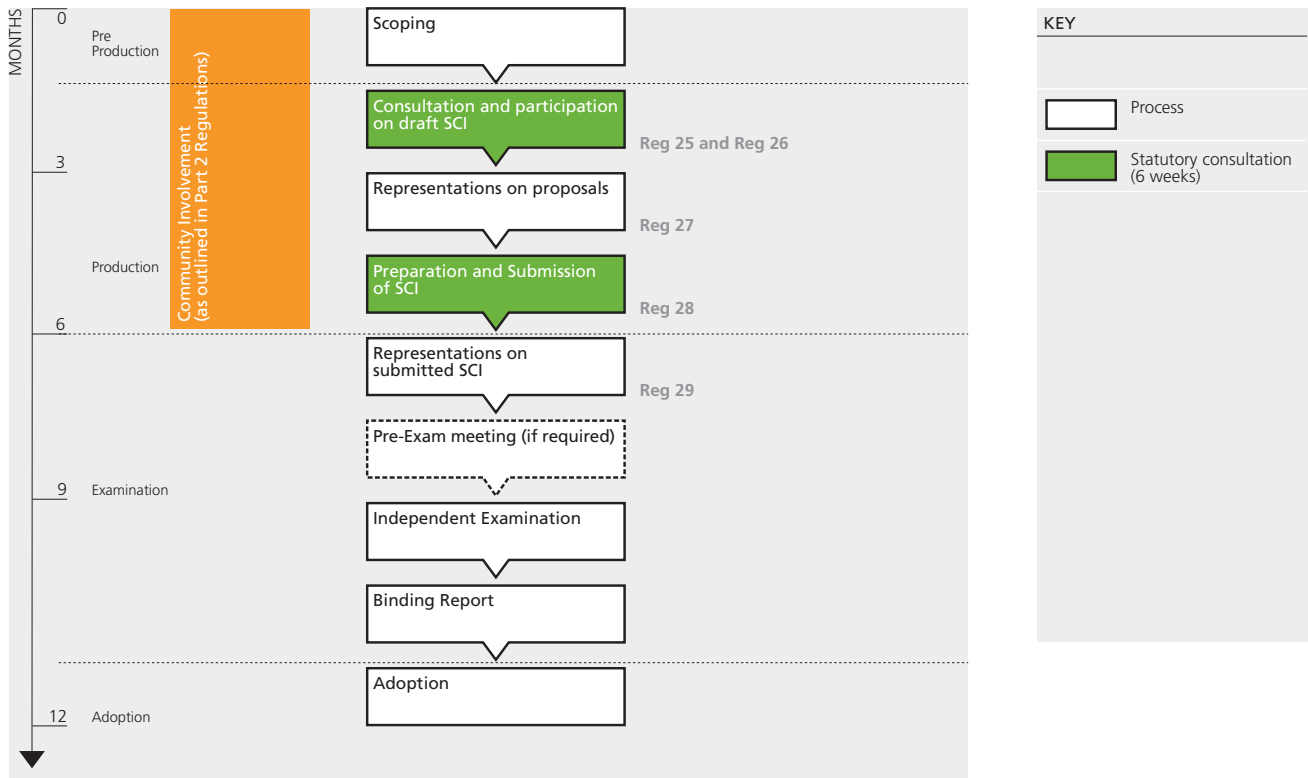
Checklist 7a: Suggested Content of the Statement of Community Involvement

- An **introduction** including an overview of the statement and its purpose. Authors should bear in mind that for some people, the statement may be their first introduction to the new planning system. Clarity and simplicity are therefore essential (Chapter 3 of this document provides an introduction to the components of the local development framework).
- A brief **summary** of the types of local development documents and sustainability appraisal reports that the authority will produce and the types of planning applications for which it will seek community involvement.
- A discussion of the **types of community involvement**, both formal and informal, that the authority intends to undertake. Authorities should prepare a few paragraphs on the benefits, method and resource implications of each type. This should identify which types of involvement are appropriate for each document, including at which stage of its preparation, and which are appropriate for planning applications and at which stage of the application process i.e. pre-application, application and post-application. Different types of involvement will be more appropriate for different documents. It may be helpful to present the range of community involvement types in a table, identifying when each method will be used. The statement of community involvement should also describe how the chosen methods will be applied (for example, the notice period(s) for responses to consultation). It should be remembered that the quality of involvement will not necessarily be proportional to the number of opportunities to be involved. Authorities should be realistic about the likely outcomes before proposing a particular method.
- A discussion of the relevant **communities and stakeholder groups**, their skills and interests and how the authority will identify them. Regulations set out those bodies that authorities must consult as does annex E of PPS12, which also sets out a wider list of bodies which authorities should consider consulting. **The statement should also include a 'long-list' of the types of groups the authority proposes to involve (not a list of names – this would change too quickly), perhaps in an appendix.** It should explain how the authority will ensure that the list is kept up to date (e.g. authorities could produce free-standing registers of local development framework consultees) and how they will reach groups that do not normally take part in the planning process. Authorities may find that community strategies are a source of local community interests and activities. Discussions with local strategic partnerships will assist with this process, particularly in terms of accessing hard-to-reach groups.
- Commitment to **reporting back**. Authorities should clearly state how they will deal with representations received. Authorities should also consider how they will report on what has changed as a result of any community involvement undertaken.
- An estimate of the likely **resource implications** of the proposed community involvement.

7.5 PREPARING THE STATEMENT OF COMMUNITY INVOLVEMENT

The statement of community involvement is a local development document but is not subject to sustainability appraisal. Its preparation differs to that of other development plan documents (see Chapters 8 and 9), as shown below in figure 7.1.

Figure 7.1 – Preparing a Statement of Community Involvement



As figure 7.1 shows, authorities should consult with communities and stakeholders as part of the preparation of the draft document and must consult the regional planning body (or Mayor of London), each relevant authority, any part of whose area is in or adjoins the area of the local planning authority, and the Highways Agency in accordance with Regulation 25. They should then publish a draft statement of community involvement and invite representations over a period of 6 weeks as required by Regulation 26.

[Regulations 25 and 26 and Paragraph 3.9 of PPS12]

Having considered the representations received, authorities should prepare and submit the statement of community involvement to the Secretary of State for independent examination as required by Regulation 28. The procedure for publishing the statement of community involvement is the same as that required for development plan documents. In requesting representations on the submission statement of community involvement, authorities should follow the steps set out in Sections 9.2-9.4 of this guide.

[Regulation 28 and Paragraph 3.9 of PPS12]

When preparing statements of community involvement, authorities should have regard to the fact that they will be tested at independent examination in accordance with the tests of soundness set out in PPS12. The procedures for statement of community involvement examinations are set out in annex D of PPS12. The requirement to request representations on the submission of the statement of community involvement will ensure that people have an opportunity to express their views on the scope and form of community involvement proposed, which will then be examined (preferably by written representations although there is a right to be heard).

The procedures for the Inspector producing a binding report are similar to those required for development plan documents as set out in Section 9.6. The report will set out the Inspector's recommendations as to how the statement of community involvement should be changed. It will be sent to authorities for a fact check before being formally issued to them. Once adopted, copies of the statement of community involvement should be sent to local organisations and bodies.

[Paragraphs 3.10-3.12 of PPS12]

Once the statement of community involvement is adopted, authorities will need to ensure that all documents are prepared, and planning applications are considered, in accordance with its requirements in terms of community involvement. Authorities will have to submit a *statement of compliance* with each submission development plan document. This will set out in detail exactly how the authority has met its community involvement requirements for that particular development plan document as set out in the statement or the minimum requirements in Regulations (see table 7.2) if the former is not in place.

[Paragraphs 3.12-3.13 of PPS12]

Inspectors, when testing the soundness of development plan documents at examination, will use the statement of compliance to determine whether the statement of community involvement has been followed correctly. If there has been a failure to comply with the statement or Regulations in a way that undermines the soundness of the document, the Inspector will be able to recommend the document be withdrawn.

7.6 PREPARING THE STATEMENT OF COMMUNITY INVOLVEMENT: LOCAL DEVELOPMENT DOCUMENTS

In terms of developing the statement of community involvement from a local development document perspective, authorities should adopt the approach set out in Checklist 7b below.

Checklist 7b: Process for Preparing Statements from a Local Development Document Perspective

- Establish who the local communities and stakeholders are;
- Identify the key stages of the local development document preparation process;
- Identify the resources available to manage community involvement;
- Discuss with local communities the possible nature and scale of their involvement;
- Consider which methods of community involvement to deploy and when;
- Set out the process for reporting back to communities;
- Prepare the statement of community involvement and submit draft for public consultation;
- Consider representations and revise the statement of community involvement accordingly; and
- Submit statement of community involvement to independent examination.

Reflecting the above, authorities should undertake the following steps:

STEP 1: ESTABLISH A BASELINE STRUCTURE

Identify all sections of the community especially under-represented groups. Authorities should then consider how these groups might be represented and involved in the preparation of documents. This could be through existing organised groups but may also involve building capacity to secure the involvement of under-represented groups.

STEP 2: IDENTIFY MAIN AREAS WHERE THE INVOLVEMENT OF THE COMMUNITY AND STAKEHOLDERS WILL BE NEEDED TO PREPARE SOUND DOCUMENTS

It may be helpful to begin by considering what each type of document is intended to achieve, and how the involvement of the community and stakeholders will help authorities in this respect. Authorities should then identify areas of work where community or

stakeholder inputs will be important. For example, policies in relation to some topic areas (e.g. housing, health and retailing) should be considered by those groups involved in their delivery or affected by their implementation. Authorities should identify the type of groups whose involvement will be crucial to each topic, but should make clear that contributions from other groups and the wider public are also welcome.

**STEP 3:
ASSESS RESOURCES AVAILABLE FOR MANAGING COMMUNITY
INVOLVEMENT**

A realistic approach to community involvement must reflect the resources available, otherwise the quality of community involvement will suffer. Managing participation can be a time-consuming task, and it is important that local development framework teams are not overstretched. Resources will need to be balanced with other production and management tasks. Authorities will need to consider how they can make the most effective use of resources by employing external facilitators and combining capacity-building participation exercises with other initiatives like the community strategy. Also, authorities should build flexibility into the statement of community involvement to allow additional community involvement work to be undertaken as issues emerge or develop.

**STEP 4:
DISCUSS WITH THE COMMUNITY AND STAKEHOLDERS HOW THEY WISH
TO BE INVOLVED IN DOCUMENT PREPARATION**

Building on steps 1 and 2, discussions on the statement will help to:

- generate local interest and identify aspirations and priorities;
- identify issues where likely high levels of interest will require authorities to prioritise resources for managing participation;
- identify limitations on the ability, time and resources of the community and stakeholders to get involved in document preparation; and
- manage expectations in terms of involvement in the process.

**STEP 5:
CONSIDER WHICH METHODS OF COMMUNITY INVOLVEMENT TO DEPLOY
AND WHEN**

The statement of community involvement should outline the participation techniques to be used for different types of local development document (and associated sustainability appraisals) and different stages of their preparation.

Local development framework teams will need to consult with local communities and colleagues within the authority as to what techniques might be most appropriate. In addition, they will need to ensure that the appropriate skills are in place for the chosen techniques to work, recognising that this may on occasion require external expertise.

At an early stage of document preparation, community involvement might include special events organised by facilitators, ‘planning for real’ exercises, focus groups, one-to-one meetings and open meetings (see table 7.3 for further details). A useful starting point will be to consider the different target audiences within the area, and how innovative techniques could be developed to involve traditionally ‘hard-to-reach’ groups, such as young people, ethnic minorities, and new residents. Authorities should stop short of listing particular organisations as these may date rapidly (see Checklist 7a for further details).

Authorities will also need to consider when formal consultation processes are required and less formal approaches are appropriate. The formal processes should reflect the requirements for community involvement set out in Regulation 26 while the less formal processes may be more appropriate for particular stakeholder groups. Continuous consultation will be less formal as required by Regulation 25. Meetings with selected groups will assist in brokering agreements around policies or obtaining informal feedback on detailed policy wording.

[Regulations 25 and 26]

Reflecting tables 7.1 and 7.3, local development framework teams should work closely with colleagues and other local initiatives to ensure a joined-up approach to community involvement. In particular, links should be developed with community strategies and local strategic partnerships (see Section 8.2), as they may have established community involvement approaches including area committees, community forums, community liaison groups and community involvement committees. As Section 8.2 explains, there may be benefit in co-ordinating the preparation of the community strategy and local development frameworks, particularly in terms of community involvement. Links with local strategic partnerships are likely to encourage buy-in from other parts of the authority and other stakeholders in the planning process.

STEP 6:

IDENTIFY THE PROCESS AND COMMITMENTS TO REPORTING BACK

The approach to reporting back on public participation representations as required by Regulation 27 will help to build community and stakeholder confidence in the document process. Authorities should set out minimum standards for acknowledging and (where appropriate) reporting back on formal representations. The statement of compliance (see Section 7.5) required for each development plan document will help in this respect.

[Regulation 27]

7.7 PREPARING THE STATEMENT OF COMMUNITY INVOLVEMENT: PLANNING APPLICATIONS

In terms of preparing statements of community involvement from a planning applications perspective, many of the steps set out in Section 7.6 are relevant, especially step 5 (consideration of appropriate methods). The statement of community involvement will need to cover the minimum legal requirements for consultation and publicity for planning applications, setting out how authorities intend to implement these requirements at the local level.

Recognising the limits of its resources, the needs and aspirations of local community groups and the nature of planning applications, authorities should ensure they propose appropriate types and scales of community involvement. In particular, they will need to consider how involvement should relate to the different stages of the planning application process i.e. pre-application, application and post-application. Statements of community involvement should not be specific in terms of the type of community involvement required for each application, and a ‘menu’ approach is suggested – (see Section 7.7.4 for more details).

For small applications, it is likely to be sufficient to meet the statutory requirements⁴² that apply once they are submitted to authorities. The statement of community involvement provides an opportunity for authorities to set out minimum standards, the statutory requirements for publicising such applications as well as the ground rules for community participation. This could involve identifying the circumstances when authorities will use neighbour notification letters, explaining how such letters will be circulated, how the community can find out more information regarding applications, how comments should be subsequently made and the timetable for doing so.

Other planning proposals, such as those that may give rise to local controversy, those that are on sensitive sites, or those that are significant in scale, may require wider community consultation. In these cases, it is advisable to commence consultation at the pre-application stage (see Section 7.7.1). This will require the participation of the developer or applicant (see Section 7.7.2). Statements of community involvement should encourage developers to undertake pre-application discussions and early community consultation although they cannot prescribe that this is done.

⁴² The statutory requirements for publicity for applications for planning permission are laid out in Article 8 of the Town and Country Planning (General Development Procedure) Order (as amended) [‘the GDPO’]. The GDPO requires the local planning authority to publicise planning applications, either by a site notice or by notification to neighbours. In addition, a local advertisement is required in some cases, for instance for ‘major development’ as defined in Article 8 of the GDPO. The statutory publicity requirements for applications for listed building and conservation area consent are laid out in Regulation 5 of the Planning (Listed Buildings and Conservation Areas) Regulations 1990 (as amended). The publicity requirements for applications for planning permission affecting the setting of a listed building or conservation area are currently laid out in Section 67 and Section 73 of the Planning (Listed Buildings and Conservation Areas) Act 1990 but these will be amended as the 2004 Act introduces a provision to allow the publicity requirements to be put into secondary legislation.

The statement should also set out the authority's policy for consulting and involving communities once applications have been formally submitted, including its policies for consultation if an application is later revised. This provides an opportunity for authorities to outline the role of planning committees, including the availability of committee reports, meeting formats, arrangements for publicising meetings and the role of the general public at such meetings. Statements should also explain the authority's policy for informing communities and interested parties of planning decisions.

7.7.1 Pre-application discussions

The objective of pre-application discussions should be to confirm whether the principle of development is acceptable and to clarify the format, type and level of detail required to enable the authority to determine an application. Pre-application discussions should involve a partnership approach whereby authorities, applicants and interested groups work together. The arrangements for such partnerships should be set out in statements. There are significant benefits from developing partnerships at this stage, including:

- better quality applications which are straightforward and can be quickly processed;
- means of resolving problems, thereby avoiding possible public objections at a later stage;
- overcomes perceived 'closed door' approach to determining applications, ensuring an inclusive and transparent approach;
- better design of buildings more in keeping with their surroundings as well as meeting the needs and aspirations of local communities;
- savings in developer time and resources by avoiding the need to revise proposals at an advanced stage, which in turn leads to resource savings for authorities;
- early availability of good quality information, enabling issues and problems to be addressed up-front; and
- more responsive delivery by authorities.

7.7.2 The role of the applicant

As well as setting out the authority's role, the statement of community involvement should actively encourage applicants to undertake early community consultation. Authorities should emphasise the role of the applicant during the pre-application stages, with the results of pre-application community consultation being reported as part of the planning application process.

It is suggested that authorities adopt a 'watching brief' to ensure that their impartiality is maintained. This will involve applicants providing authorities with reasonable access to information relating to the community involvement undertaken to ensure that the procedures followed are in accordance with the statement of community involvement.

Applicants who undertake pre-application community involvement should be encouraged to meet, as a minimum, the consultation arrangements set out in the statement. The extent to which pre-application consultation undertaken by the applicant can be taken as contributing to any requirements of the statement will depend upon a number of factors, including the:

- extent and scope of pre-application discussions with the authority and the wider community;
- extent to which the developer has undertaken consultation in accordance with an agreed approach with the authority;
- transparency and inclusiveness of the process;
- extent to which the process and outcomes of the consultation can be 'validated' by the authority;
- extent of joint partnership working between the authority and the applicant in the consultation process;
- submission of a 'consultation' supporting statement with the application; and
- degree to which potential problems and possible public objections identified at the initial pre-application stage have been addressed.

Authorities cannot refuse to accept valid applications because they disagree with the way in which an applicant has consulted the community. However, failure by the applicant to consult could lead to objections being made which could be material to the determination of the application. The aim of the process should be to encourage discussion before formal applications are made to avoid unnecessary objections at a later stage.

7.7.3 Cost Implications

There may be significant costs associated with undertaking pre-application discussions and community involvement on planning applications. However, it is worthwhile given that it enables communities to 'buy into' schemes as well as improving the quality of applications. This can help to reduce the amount of staff time spent in determining applications, resulting in quicker decisions. The additional resources that the Government is making available through planning delivery grant could be used to finance pre-application activities.

Authorities can currently charge for 'discretionary activities' under the Local Government Act 2003,⁴³ including pre-application advice. However, this can only be used to recover the costs of providing the service. The Act introduces powers to increase the scope of fees whilst maintaining the recovery principle. Alternatively, authorities may wish to recommend that applicants take financial responsibility for community involvement at the pre-application stage. ODPM intends to consult on planning fees in autumn 2004 with the aim of implementing a revised fees system from spring 2005.

⁴³ *Local Government Act 2003* (HMSO: September 2003). See <http://www.legislation.hms.gov.uk/acts/acts2003/20030026.htm>

7.7.4 Thresholds

As already explained, the statement should adopt a ‘fit for purpose’ approach, recognising the limits of an authority’s resources. Authorities should ensure that they propose appropriate types and scales of involvement reflecting the nature of the planning application. Table 7.3 below sets out potential approaches, which authorities should consider including in statements of community involvement.

For smaller applications, meeting the statutory publicity requirements is likely to be sufficient. However, for other applications, authorities may wish to consider adopting thresholds to help determine the most relevant type and level of community involvement at each stage of the application process. A menu or a three tiered approach is proposed in table 7.4, with those applications requiring the highest level of community involvement in tier 1 compared to the lowest level in tier 3. **Whilst the table sets out indicative examples of types of applications that could fall into each tier, these are not meant to be prescriptive. It will be for authorities to decide if thresholds or tiers are necessary and, if so, what applications fall into each tier.**

7.8 METHODS OF COMMUNITY INVOLVEMENT

Table 7.3 suggests a range of possible approaches to community involvement in terms of preparing local development documents and planning applications. The table begins with methods requiring basic levels of involvement followed by more intensive methods. Other methods may be appropriate so the list below is not definitive.

Methods	Main considerations
Documents available for inspection at local planning authority offices during set consultation period	Minimum requirement – it should be clear how and when people should respond. Offices and documents should be accessible to those with disabilities.
Letters to statutory bodies (listed in Regulations)	Minimum requirement – authorities should identify such bodies as it considers necessary and consult them in writing.
Internet (website, e-mailshot)	Increasingly the first port of call for the public and professionals seeking detailed information. Should be user-friendly and include all relevant documents in pdf and Word format. Useful means of providing feedback to consultation exercises.

Methods	Main considerations
Media (local press, TV, radio, etc)	In addition to statutory requirements for advertising planning applications, can use local newspapers/radio station to carry articles and stories about proposals. Can also raise profile of the local development framework, particularly when combined with 'hotlines' (see below).
Leaflets/brochures	Can publicise an outline of the proposed document or application, and inform the public about further opportunities to get involved.
Public exhibitions/ displays/stalls/roadshows	Good medium for disseminating information, allowing communities to air their views. Fairly resource-intensive and attendees are self-selecting. Should be held in accessible locations that are relevant to the subject under discussion. May need to be held over a number of days and varying times to ensure all sections of the community have an opportunity to attend. Material should be presented in a format that is easy to understand.
Formal written consultation/referenda/ community surveys	Good introduction to main issues. Responses can help identify key interests and groups. Benefit in focusing consultation around a number of key questions.
Hotline	Information for people without internet access. For optimum benefit, should be a staffed service rather than a recorded or automated system.
One-to-one meetings with selected stakeholders	Useful means of identifying key issues, getting key people involved and achieving alignment with other strategies and initiatives. Resource intensive requiring senior staff involvement together with expectation that commitments will be made and fulfilled.
Public meetings/area, town and village meetings	Particularly relevant to core strategies, area action plans and planning applications. Open and inclusive way for people to engage in robust debate on the issues although attendees are self-selecting. Meetings must be carefully prepared and effectively chaired. Can be resource intensive.
Focus groups (selected groups of participants with particular characteristics) or citizen panels (randomly selected participants)	Useful for area-based discussions and presentation of options. Can help authorities to gain more understanding of public concerns. Provides opportunity to explore issues in depth but may need to be complemented by other methods.

Table 7.3: Potential Methods of Community Involvement *(continued)*

Methods	Main considerations
Pre-existing panels, forums and design teams	Developer panels comprising 'regular applicants' can provide a forum for authorities to disseminate information and canvass professional opinion on proposed documents or applications.
Workshops (interactive): e.g. 'enquiry by design' and 'planning for real' exercises	Means of engaging local communities on planning applications and developing 'ownership' of proposals. Need to involve right people and require significant preparation to allow a structured approach and report back. Useful for identifying and focusing discussion around difficult issues and key themes.
Area forums (standing groups with geographical remit)	Tailor-made forums to discuss issues relevant to the area, especially appropriate for area-based policies or specific applications.
Planning aid	Planning aid is a valuable source of planning advice and help. The Government is funding planning aid so it can enhance its service, become more proactive, and develop a greater role in targeting communities which traditionally do not get involved in the planning system as well as increasing their capacity to participate.
Steering/advisory group	Mechanism for getting key organisations involved in overseeing or acting as a sounding board for the production of local development documents. Particularly appropriate for area action plans or topic-based policies. Role of the group (steering or advising) needs to be clear and there should be a transparent approach to selecting members.

In addition, town and parish councils are a possible means of involving communities in planning. They are democratically elected, cost effective and offer continuity of representation at grass roots level. They have an interest in community strategies, local development documents and planning applications (they are statutory consultees). Furthermore, many parish councils are preparing parish plans, which could contribute to the development of evidence bases.

7.9 APPROPRIATE COMMUNITY INVOLVEMENT METHODS FOR LOCAL DEVELOPMENT DOCUMENTS AND PLANNING APPLICATIONS

7.9.1 Local development documents

Linked to table 7.3, the following methods of community involvement may be appropriate for particular local development documents:

- Statements of community involvement: traditional formal (written) consultation methods are likely to be the most appropriate as these are essentially procedural documents. Could be helpful to hold one-to-one meetings with people with particular concerns;
- Core strategy – spatial vision and spatial objectives: key issues for local communities will relate to the authority's vision for future development in their area. Potential methods include public meetings, facilitated discussion meetings, individual meetings with stakeholder groups, written consultation and wider publicity of the proposed vision for the area;
- Core strategy – policy themes: meetings with key stakeholder groups and commercial interests and correspondence with appropriate statutory consultees;
- Area action plans: interactive workshops such as 'planning for real' and other visioning exercises; and
- Supplementary planning documents: public exhibitions, displays, workshops and steering/advisory groups.

7.9.2 Planning Applications

Table 7.4 illustrates a range of community involvement methods appropriate to the three different tiers of planning application suggested. **It also provides indicative examples of the types of applications that could fall into each tier. The table is not meant to be prescriptive as it will be for authorities to decide if thresholds or tiers are necessary.**

Table 7.4: Community Involvement in Planning Applications

Approach	Tier 1: applications where there are issues of scale and controversy, or are contrary to/out of line with local development framework policy ⁴⁴	Tier 2: applications broadly in accordance with the local development framework but raising controversial issue or detail ⁴⁵	Tier 3: applications of a scale or on a site for which authorities require wider community involvement. Also, applications that fall within sites that are 'sensitive' to development pressures.
Public meetings	✓		
Public exhibition	✓	✓	
Surgeries	✓	✓	
Development briefs	✓		
Workshops	✓		
Enquiry by design and/or planning for real	✓	✓	
Citizen panels	✓	✓	✓
Consultation panel	✓		
Towns/parish councils	✓	✓	✓
Media	✓		
Website	✓	✓	✓
Planning aid	✓	✓	✓
Local architectural or design panel	✓	✓	

⁴⁴ These could include those applications that fall within the shopping direction large scale developments and major infrastructure projects and developments which would be a 'departure' from the Development Plan

⁴⁵ For example, those that require a Transport Assessment and EIA

8 Development Plan Documents Production Stage



8 Development Plan Documents Production Stage

Development plan documents are the key documents within a local development framework as they have development plan status as accorded by Section 38(6) of the Act. As the key spatial planning documents, they will be subject to extensive community involvement and independent examination.

8.1 INTRODUCTION

There are a series of linked tasks involved in producing development plan documents as set out in Chapter 4, including:

- developing the evidence base and scoping sustainability appraisal;⁴⁶
- preparing **issues and alternative options** and the initial sustainability appraisal report;
- preparing the **preferred options document** and formal **sustainability appraisal report**; and
- addressing representations on preferred options and preparing the submission **development plan document** and **sustainability appraisal report**.

This chapter sets out a methodology for producing a development plan document. Whilst the steps outlined are most relevant to preparing the core strategy, they are sufficiently generic as to be applied to other development plan documents. However, additional guidance is also provided on the production of area action plans, site allocations, generic development control development plan documents and the proposals map.

8.2 DEVELOPING THE EVIDENCE BASE AND SCOPING SUSTAINABILITY APPRAISAL

This is a critical stage in terms of producing a development plan document and should include:

- **Drawing upon and developing the evidence base.** Linked to Section 5.2, survey information should provide a means of identifying the issues and needs of the area. The output from this analysis will assist with the development of alternative options.
- **Consideration of objectives, especially the need for general conformity with regional spatial strategies (or in London the spatial development strategy).** Authorities should be clear as to how each document fits within the wider strategy of the local development framework and regional spatial strategy, and what is expected of it. Every document should be realistic and deliverable with clear mechanisms for implementation.

[Paragraphs 4.19-4.22 of PPS12]

⁴⁶ See *Sustainability Appraisal of Regional Spatial Strategies and Local Development Frameworks – consultation draft* (ODPM: September 2004). See www.odpm.gov.uk/planning/

- **Consider the implications of other local strategies and initiatives.** In particular, authorities will need to consider how community strategies relate to development plan documents. Community strategies are concerned with improving well-being and also have sustainable development principles. They are produced by local strategic partnerships, which bring together a wide range of relevant stakeholders and community interests. Local development frameworks are the land-use delivery mechanism for community strategies.

[Paragraphs 1.8-1.11 of PPS12]

Recent ODPM research⁴⁷ provides advice as to how effective relationships can be developed between community strategies and local development frameworks from both policy and process perspectives. Its findings are set out in Checklist 8a below. Authorities should use the community strategy to inform and shape the development plan documents' spatial vision and spatial objectives.

⁴⁷ *The Relationship Between Community Strategies and Local Development Frameworks* (ODPM: November 2003) See: www.odpm.gov.uk/stellent/groups/odpm_control/documents/contentservertemplate/odpm_index.hcst?n=3769&l=3

Checklist 8a – Developing Effective Relationships Between Local Development Frameworks and Community Strategies

Theme	Good practice pointers
<p>Giving spatial expression to elements of the community strategy which relate to the use and development of land</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Undertake a comprehensive evaluation of the community strategy to identify land-use related elements that are in conformity with higher-level policy and deliverable through the local development framework. <input type="checkbox"/> Prepare a spatial report based upon the evaluation. <input type="checkbox"/> Consider the complete range of local development documents which may assist in delivering the land-use related elements of the community strategy. <input type="checkbox"/> Review the role the local development framework can play in addressing wider spatial and quality of life issues raised in the community strategy. <input type="checkbox"/> Have regard to the need for 'community infrastructure' as expressed in the community strategy, and consider how these could be reflected in core strategy policies and area action plans.
<p>Shared spatial vision</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Adopt the vision of the community strategy in the local development framework where appropriate, and where it truly represents the community's aspirations. <input type="checkbox"/> Consider (in two tier areas) whether consistent visions have been developed in community strategies at county and district levels, and translate into district local development frameworks and county waste and minerals development frameworks as appropriate. In two tier areas where there are national parks, regard should be had to their purposes and responsibilities, given that they do not produce community strategies. <input type="checkbox"/> Influence community strategy visions to ensure they are locally distinctive and consider approach in relation to land-use policy.

Checklist 8a (cont.) – Developing Effective Relationships Between Local Development Frameworks and Community Strategies

Theme	Good practice pointers
Sustainable development as a common framework	<input type="checkbox"/> Ensure community strategy visions make explicit reference to social, environmental and economic issues and to the achievement of sustainable development. <input type="checkbox"/> Adopt and, where necessary, develop community strategy approaches to sustainable development (i.e. benefits, objectives, principles and processes) in local development frameworks where applicable, particularly in core strategies.
Core strategy and spatial objectives	<input type="checkbox"/> Adopt the community strategy's strategic objectives where appropriate in the local development framework, particularly the core strategy, providing they reflect community aspirations.
Action plans	<input type="checkbox"/> Identify opportunities to compare, link and merge community strategy action plans and area action plans wherever possible to strengthen deliverability and maximise benefits for local communities.
Targets and indicators	<input type="checkbox"/> Adopt common targets and indicators, where possible and appropriate, between the community strategy and local development framework. <input type="checkbox"/> Ensure indicators and targets are specific, measurable, achievable, relevant and time-based.

Authorities will also need to have regard to other local and regional strategies including local and regional transport plans, housing strategies, economic strategies and regional spatial strategies (or in London, the spatial development strategy). It may be appropriate to involve relevant transport stakeholders and infrastructure and service providers at this stage:

- **Scope the sustainability appraisal.** At the outset of document preparation, authorities need to consider the scope of the sustainability appraisal. During this process authorities should consult with statutory bodies and must prepare a sustainability appraisal scoping report. Regard should be had to strategic sustainability appraisals undertaken as part of the preparation of regional spatial strategies, as these may mean documents need not re-consider strategic issues and objectives.
- **Agree a spatial vision.** Each development plan document needs to demonstrate a sense of local distinctiveness (see Section 2.4). Whilst developing a spatial vision is particularly

relevant to the core strategy, other documents should reflect a sense of local identity. Spatial visions should consider the functional relationships between centres and the key social, environmental, economic and physical features of the area.

- **Define spatial objectives.** These should be derived from the spatial vision and be clearly defined and measurable. They should build upon national and regional planning policy objectives as well as having regard to other development plan documents.

8.3 PREPARING ISSUES AND ALTERNATIVE OPTIONS AND THE INITIAL SUSTAINABILITY APPRAISAL REPORT

Following the preparatory work, Regulation 25 requires authorities to ensure development plan documents are genuinely front-loaded by informally involving communities in the development of issues and alternative options. **This involvement should be a continuous process during this stage rather than one discrete exercise.** It is vital that authorities encourage a meaningful response based upon a genuine choice of options. They should use a variety of community involvement measures – some suggestions are set out in table 7.3. For example, it may be appropriate to involve local communities and stakeholders in a series of events at which the evidence base is presented and alternative options for the area are identified. The outcome of this stage should be consensus around preferred options which can then be developed and taken forward as set out below.

[Regulation 25 and Paragraph 4.12 of PPS12]

Linked to the above, authorities must also undertake sustainability appraisal of the emerging issues and options and consult upon an initial sustainability report. Further advice is set out in PPS12, draft ODPM sustainability appraisal guidance⁴⁸ and the Planning Officers' Society *Policies for Spatial Plans*⁴⁹ guide which contains additional advice on developing spatial visions, objectives and spatial policies.

[Paragraph 3.14-3.18 of PPS12]

8.4 PREFERRED OPTIONS DOCUMENT AND THE FORMAL SUSTAINABILITY APPRAISAL REPORT

This stage is concerned with setting the strategic direction of the development plan document having prepared issues and alternative options in conjunction with the community. The preferred options document should build upon the previous stage, setting out an authority's proposed policy direction together with relevant issues, proposals (including sites if relevant) and alternative approaches where appropriate. The document

⁴⁸ *Sustainability Appraisal of Regional Spatial Strategies and Local Development Frameworks – consultation draft* (ODPM: September 2004). See www.odpm.gov.uk/planning/

⁴⁹ A public consultation version of *Policies for Spatial Plans* was launched by the Planning Officers Society in July 2004, and can be accessed via the POS website. See www.planningofficers.org.uk/

must be accompanied by a formal sustainability appraisal report, considering the social, environmental and economic effects of the options proposed. The likely content of both the preferred options document and the formal sustainability appraisal report is set out in Checklist 8b. However, this checklist is only indicative and should be used in conjunction with ODPM's draft guidance on sustainability appraisal.⁵⁰

[Regulation 26 and Paragraph 4.13 and table on p23-25 of PPS12]

The preferred options document, to be consulted upon over a 6-week period, should:

- **stress the unique circumstances and characteristics of the area**, including its spatial vision and spatial objectives;
- **be consistent with national planning policy and be in general conformity with regional planning policy**;
- **have regard to the community strategy** and other local/regional strategies and initiatives;
- **be in conformity with the core strategy (where applicable) and consistent with other local development documents** already adopted by the authority;
- **set out a comprehensive approach** – for reasons of equity and transparency, all proposed options should be assessed in the initial sustainability appraisal report; and
- **propose deliverable options** – options must be credible in terms of the resources likely to be available to implement them with clear mechanisms for delivery.

Authorities are required to formally consult on the preferred options document at this key milestone stage as required by Regulation 26. Formal consultation must also be undertaken on the sustainability appraisal report as required by the SEA Directive.⁵¹ Details regarding the publication process are set out in PPS12. This public participation should reflect the standards set out in the statement of community involvement (if adopted) or the minimum requirements as explained in table 7.2. The document should be presented as an opportunity for communities and stakeholders to respond to the options proposed and bring forward alternative proposals, providing they meet the development plan documents' objectives and are compatible with its spatial vision and spatial objectives.

Front-loading requires authorities to actively encourage communities, stakeholders and commercial interests to come forward at this stage with their future plans and proposals in respect to development (see Section 2.7 for further details). Identifying all known proposals likely to come forward, or required to meet identified needs, at this stage will give authorities time to resolve emerging issues prior to the submission of the development plan document to independent examination. Failure to do so may result in an unsound plan and time-consuming discussions at examination on issues that should have been addressed prior to submission of the document.

⁵⁰ *Sustainability Appraisal of Regional Spatial Strategies and Local Development Frameworks – consultation draft* (ODPM: September 2004). See www.odpm.gov.uk/planning/

⁵¹ *A draft Practical Guide to the Strategic Environmental Assessment Directive* (ODPM, July 2004): see http://www.odpm.gov.uk/stellent/groups/odpm_planning/documents/page/odpm_plan_029817.pdf

Checklist 8b: Content of the Preferred Options Document and the Formal Sustainability Appraisal Report

Preferred Options Document	Formal Sustainability Appraisal Report
<ul style="list-style-type: none"> <input type="checkbox"/> Issues, needs, natural resources and constraints facing the area. <input type="checkbox"/> Spatial vision and spatial objectives. <input type="checkbox"/> Summary of regional spatial strategy (or spatial development strategy in London) requirements. <input type="checkbox"/> Relationship to other development plan documents or saved policies. <input type="checkbox"/> Impact of other regional/local initiatives and strategies e.g. regional and local housing strategy, economic strategies, community strategy, local neighbourhood renewal strategy. <input type="checkbox"/> Details of broad locations for required allocations or proposed development, including site allocations if relevant. <input type="checkbox"/> Summary of proposed strategy, including options for the type, mix and location of development. This can include an outline of draft policies. Policy themes will vary according to the type of development plan document but may include: <ul style="list-style-type: none"> • population and housing growth; • employment and economic strategy including locations for growth; • community and local service needs; • open space and leisure strategy; • specific area or site strategy; • identification of areas for regeneration and economic development; • identification of broad areas for environmental protection; 	<ul style="list-style-type: none"> <input type="checkbox"/> Non-technical summary. <input type="checkbox"/> Methodology and details as to whom carried out the sustainability appraisal. <input type="checkbox"/> Purpose of the sustainability appraisal. <input type="checkbox"/> Proposed spatial objectives. <input type="checkbox"/> Sustainability objectives. <input type="checkbox"/> Baseline environmental and sustainability data. <input type="checkbox"/> Environmental and sustainability issues. <input type="checkbox"/> Difficulties in collecting, assumptions and limitations of data. <input type="checkbox"/> Significant environmental and sustainability effects of the issues and options proposed. <input type="checkbox"/> How environmental and sustainability issues were considered in choosing the issues and options. <input type="checkbox"/> Other alternatives considered, and why they were rejected. <input type="checkbox"/> Significant environmental and sustainability effects of the preferred options. <input type="checkbox"/> How environmental and sustainability effects were considered in developing the preferred options. <input type="checkbox"/> Proposed mitigation measures. <input type="checkbox"/> Proposals for monitoring.

Checklist 8b (cont.): Content of the Preferred Options Document and the Formal Sustainability Appraisal Report

Preferred Options Document	Formal Sustainability Appraisal Report
<ul style="list-style-type: none"> • approach to the maintenance and review of designated areas e.g. green belt, designations, including proposals for release or extension; • approach to design and access; <p>[Paragraphs 1.11-1.13 of PPS12]</p> <ul style="list-style-type: none"> • approach to conservation areas and heritage; and • waste management and minerals supply options. <p><input type="checkbox"/> Key diagram showing how development or uses relate to one another (or reference to key diagram already provided in the core strategy to which development plan conforms).</p> <p><input type="checkbox"/> Maps identifying various sites and alternatives considered for development and areas of land to which policies would relate.</p> <p><input type="checkbox"/> Proposal for the structure and scope of the submission development plan document.</p> <p><input type="checkbox"/> Details of specific consultation arrangements, in accordance with the statement of community involvement or Regulations if former is not in place.</p> <p><input type="checkbox"/> Information on how to respond.</p> <p><input type="checkbox"/> Response form.</p>	

The local planning authority should provide a comments form with the preferred options document and formal sustainability appraisal report in electronic and/or paper format. This form should be similar to that used at the development plan document submission stage (see Section 9.2) in terms of recording respondent details and the nature of comment(s) made in respect to particular issues.

The formal sustainability appraisal report is intended to accompany the preferred options document. Comments can be made on the report in the context of any representations submitted in respect to the preferred options document. **Representations made at this stage will not be taken forward as representations to be considered at the independent examination.**

8.5 ADDRESSING REPRESENTATIONS TO THE PREFERRED OPTIONS DOCUMENT

Managing and addressing representations will require a systematic administration process combined with a structured approach to considering comments, including:

- **Establish a consultation database.** As Checklist 8c shows, it is necessary to record responses received and ensure transparency in analysis. Software can be used to generate acknowledgement and updating letters. Although pre-submission consultation representations will not be submitted to the independent examination, there are advantages to setting up a database system that can be used at the later submission stage in terms of tracking individuals or groups concerns and any subsequent action taken;

Checklist 8c: The Consultation Response Database

- Give each respondent a unique reference number.
- Differentiate between supporters, objectors and counter objectors in respect to specific options.
- Contain the respondent's and any agent's name, address, phone and fax numbers and e-mail details.
- Summarise specific points identified.
- Give the location and reference of any specific site (including a scaled map with the site outlined in red).
- Record when responses have been acknowledged.
- Explain the method for considering (if any) further responses.
- Contain records of associated revisions, and changes in responses.
- Provide the framework for committee reports.

Analyse representations. As required by Regulation 27, authorities must consider representations received, particularly:

[Regulation 27 and Paragraph 4.13 of PPS12]

- i. the weight of support and objection to the preferred options and proposed alternatives;
- ii. implications for the integrity of the development plan document's spatial vision and spatial objectives;
- iii. implications for the findings of the sustainability appraisal;
- iv. suggestions for rethinking particular options; and
- v. how they relate to the time and resources anticipated to produce the submission development plan document.

Authorities must explain how they have dealt with representations received and how these will affect policies in the submission development plan document;

- **Use sustainability appraisal** to assess revised or new options resulting from public participation, comparing the results with the preferred options assessment;
- **Respond or meet with those who submitted representations.** Dialogue at this stage will help to reduce representations at the submission development plan document stage as well as helping participants to appreciate and understand the plan-making process;
- **Report to the relevant council cabinet or committee member(s)** in terms of:

- i. appraising them of the degree of support for the preferred options, and the nature of any contentious or unresolved issues;
- ii. determining the general scope of the submission development plan document;
- ii. reporting on the sustainability appraisal, including suggested amendments to the proposed options arising from representations received; and
- iv. establishing the need for formal decision-making mechanisms during the submission development plan document stage and in the run-up to (and even during) the independent examination.

This report could be accompanied by a schedule of representations received, together with actions that the authority intends to take in response. Both should be made available to respondents in paper and electronic formats (i.e. on the council's website) to allow stakeholders and local communities to understand the authority's position.

8.6 PREPARING THE SUBMISSION DEVELOPMENT PLAN DOCUMENT AND NEED FOR AMENDMENTS TO THE SUSTAINABILITY APPRAISAL REPORT

Authorities should begin to consider developing policies as soon as the preferred options document is published, although drafting will be informed by the consultation response. Assessing the focus and weight of representations will enable the authority to prepare its submission development plan document, ensuring issues raised are adequately covered as well as:

[Paragraphs 4.14-4.15 of PPS12]

- correcting factual errors e.g. incorrect terminology or inappropriate references;
- clarifying preferred options; and
- correcting its interpretation of national or regional planning policy.

This will enable authorities to be clear as to the scope and justification for accommodating representations. In terms of drafting policies and supporting reasoned justification, authorities are recommended to follow the advice set out in the Planning Officers Society guide *Policies for Spatial Plans*.⁵² Other relevant pointers are set out in Checklist 8d below.

[Regulation 13(1) and paragraphs 2.31 and B1-B2 of PPS12]

⁵² A public consultation version of *Policies for Spatial Plans* was launched by the Planning Officers Society in July 2004, and can be accessed via the POS website. See www.planningofficers.org.uk/

Checklist 8d: Good Practice Pointers in Drafting Policies

- Use specialised training courses to improve drafting skills.
- Arrange local development framework team meetings to include policy drafting workshops.
- Read other development plan documents, particularly those modified after examination.
- Include staff from outside the local development framework team (e.g. development control and regeneration) to act as critical peers.
- Ensure policies are 'Plain English' approved using the crystal mark scheme found at – <http://www.plainenglish.co.uk/crystalmark.html>.
- Involve Government Offices.

When preparing the submission development plan document, authorities will need to:

- **Ensure effective editorial supervision.** This is required for the purposes of internal consistency and will help to consider potential differences with other strategies or initiatives as well as identifying issues for the examination stage. The local development framework editor should be responsible for co-ordinating inputs from officers across the authority, local communities and stakeholders. The editor is likely to be a planner and where possible should be independent of day-to-day activities so that they can maintain an objective overview. Their role is to collate and reconcile the various aspects of development plan document policy as they emerge, ensuring consistent lines of argument;
- **Make the most of external resources.** Experienced Inspectors and Government Office staff will regularly liaise with authorities to discuss issues (see Section 2.5). This is an opportunity to tap into their skills and knowledge;
- **Prepare a statement of compliance.** This should explain how the preparation of the development plan document has met the requirements for consultation as required by Regulation 25, how representations have being sought in accordance with Regulation 26 and how authorities have addressed representations received under Regulation 27 whilst preparing the submission development plan document. This should refer to either the statement of community involvement or the minimum requirements in Regulations (see table 7.2) if the statement of community involvement is not in place; and

[Regulations 25, 26 and 27]

- **Consider the need to amend the formal sustainability appraisal report.** The report that is submitted to the Secretary of State should reflect the content of the submission development plan document. It should be amended to reflect any changes made to the submission document following consultation upon the preferred options document.

The likely content of the submission development plan document is set out in Checklist 8e below.

In addition, authorities must prepare a submission proposals map (see Section 8.10 for further details).

Checklist 8e: Content of the Submission Development Plan Document

Submission development plan document:

- Spatial vision and spatial objectives.
- Summary of requirements to meet regional spatial strategy (or spatial development strategy in London).
- Relationship to other development plan documents and 'saved' policies.
- Impact of other regional/local initiatives and strategies.
- Details of document time scales.
- Spatial strategy, including the type, mix and location of development. This can include identifying broad locations, proposals or sites if relevant. Policy themes may include:
 - settlement policy and identification of locations for population and housing growth to meet regional spatial strategy (or spatial development strategy in London) allocations;
 - policy for affordable housing and justification;
 - policy to support employment and economic strategy, including locations for growth;
 - policy to support open space and leisure strategy;
 - town centre strategy, hierarchy and policy;
 - identification of areas for regeneration;
 - policy and identification of broad areas for environmental protection;
 - green belt boundaries, including proposals for release or extension of green belt;
 - rural issues;
 - renewable energy;
 - design, access and crime prevention;
 - conservation areas, including heritage; and
 - policy for waste management and minerals and policy, including locations for development (as appropriate).

Submission development plan document:

For area action plans, this may also include:

- the location, massing and phasing of proposed development;
 - access arrangements; and
 - specific site requirements for servicing, social infrastructure, etc.
- Key diagram, where applicable, indicating longer-term expansion options and/or illustrating the spatial strategy.
 - Submission proposals map, where applicable, showing the proposed changes to the adopted proposals map.
 - Explanation of proposals in relation to area action plans.
 - Proposals for monitoring.

8.7 AREA ACTION PLANS

Authorities should consider the following key issues with regard to preparing area action plans:

[Paragraphs 2.17-2.19 of PPS12]

- **Leadership** – in most cases area action plan production will be led by the local authority, although in some cases the technical work can be led (and co-funded) by a developer or a key strategic body, such as an urban regeneration company.
- **Community and stakeholder involvement** – authorities will need to develop a variety of ways of involving people having regard to different levels of interest, relevance, commitment, time available, and skills.
- **Use of consultants** – in some cases it may be appropriate to commission consultants to prepare masterplans or development frameworks. Authorities will need to ensure that work undertaken meets expectations, and that the use of consultants does not absolve the main partners from making difficult decisions.
- **Timing** – as explained in Section 5.2, although conformity with the core strategy is required, area action plans can be prepared in parallel, or prior to, core strategies providing there is a clear link and conformity with ‘saved’ policies. However, as set out in Regulation 13 (7), the need for conformity does not apply where a document is seeking to replace the ‘saved’ policy.

[Regulation 13(7)]

- **Implementation** – area action plans will need to be realistic in terms of implementation but this should not result in an overly cautious approach. Area action plans should aim high, identifying the mechanisms needed and options for delivery.
- **Joint approach** – area action plans may be produced jointly between authorities as some major areas of opportunity or zones of change may straddle authority boundaries. In these cases, authorities should liaise at an early stage so that, if appropriate, the location for the area action plan and relevant policies can be set out in their respective core strategies.

Where joint area action plans are produced, they will need to be carefully managed, which in practice is likely to require joint project teams and management arrangements. Key milestones will need to be agreed at the outset to enable them to be included in local development schemes and also to inform co-ordination in relation to main decision-making processes.

Checklist 8f recommends a possible approach to preparing an area action plan.

Checklist 8f: Producing an Area Action Plan

Pre-production stage

- When making decisions on which development plan documents to produce, identify the main areas of change or development pressure where an area action plan approach would be beneficial.
- Set out details of the area action plans to be produced in the local development scheme.
- Develop the evidence base by undertaking and analysing assessments of the relevant area, its physical characteristics, natural resources, constraints and relevant socio-economic trends.
- Engage in discussions with relevant stakeholders and the community (in accordance with the approach set out in the statement of community involvement) to strengthen the evidence base and identify the main issues and goals of stakeholders.
- Identify and secure resources for producing the area action plan, drawing on staff and financial resources from outside the planning department where necessary or appropriate.

Production stage

- Undertake overview of issues, natural resources, needs and constraints facing the area action plan area, and how these relate to the wider spatial strategy for the local planning authority area as a whole.
- Develop spatial vision and spatial objectives for the area.
- Consider linkages with policies in the regional spatial strategy (or spatial development strategy in London).
- Consider linkages with policies in other development plan documents, establishing the chain of conformity with these.
- Consider linkages and fit with other local strategies and initiatives including the community strategy, strategies for regeneration areas and the local transport plan.
- Set out details of the locations, type, allocations and quantum of proposed development.
- Summarise the proposed strategy, including options for development which may include:
 - quantum and locations of development including sites;
 - principles for urban design, heritage management/conservation, landscape and accessibility;
 - proposed improvements to physical infrastructure and transport;
 - proposed improvements to community infrastructure (education, health, leisure etc.) to meet additional needs resulting from development;
 - outline details of planning gain that will be sought, and any other criteria for development (e.g. accessibility standards); and
 - outline strategy for maximising positive impacts (e.g. training initiatives) and mitigating negative impacts.
- Set out details of the implementation framework.
- Set out details of the monitoring framework, including relevant targets and indicators.
- Explain consultation arrangements.

8.8 SITE SPECIFIC ALLOCATIONS OF LAND

Local planning authorities can produce a document detailing site specific allocations of land. However, they should not form part of the core strategy. This will allow authorities to update allocations in light of changes to other local development documents or implementation on the ground. It will be important for the site specific allocations document to set out clearly the links to relevant policies in other development plan documents. A suggested approach to preparing site specific allocation documents is set out in Checklist 8g below.

[Paragraphs 2.15-2.16 of PPS12]

Checklist 8g: Producing Site Specific Allocations

- Hold discussions at an early stage with developers, landowners and the community to identify and consider their site-specific proposals.
- Consult on these proposals and assess alternative options (using the sustainability appraisal) to produce the preferred options document.
- Consult on the preferred options document, and consider any alternative proposals submitted as representations.
- In the submission development plan document set out a schedule for each allocation that:
 - is linked clearly to the submission proposals map;
 - sets out links to relevant policies in other development plan documents (which may include area action plans);
 - specifies where and how supplementary planning documents will apply (e.g. planning brief); and
 - provides details of any specific criteria for development (or sets out links to specific policies that provide relevant criteria) e.g. affordable housing requirements, planning gain sought, accessibility thresholds.
- Keep the site specific allocations development plan document up-to-date in light of:
 - changes to national policy or the regional spatial strategy (or spatial development strategy in London);
 - changes to other development plan documents and supplementary planning documents;
 - implementation on the ground e.g. completion of specific developments; and
 - information from the annual monitoring report regarding progress on policy implementation. For example, if the rate of housing completions is behind or ahead of targets, there may be a need to alter the phasing of sites.

8.9 GENERIC DEVELOPMENT CONTROL POLICIES

Authorities should consider the merit of producing a separate development plan document for generic development control policies. The benefits of this include enabling other documents to be shorter and clearer, as well as providing greater flexibility for updating, amending or replacing development control policies in the light of monitoring information. Checklist 8h below sets out considerations in terms of producing generic development control documents.

[Paragraphs 2.28-2.30 of PPS12]

Checklist 8h: Producing Generic Development Control Policies

- Consider the merits of including development control policies in a separate development plan document.
- Focus should be on limited number of generic policies rather than many individual policies.
- Work closely with development control colleagues as part of developing policies. Analyse which policies have been used in practice and their effectiveness.
- Hold discussions with developers and the community to consider the best approach to development control policies.
- As part of developing criteria-based policies, identify the evidence base that will be required to inform and defend planning decisions made using these policies.
- In the submission document set out clearly:
 - how specific policies link to the core strategy and other documents;
 - the main designations used, linked clearly to the submission proposals map;
 - areas where generic policies do not apply e.g. an area covered by an area action plan;
 - links to any relevant supplementary planning documents e.g. design guides, house extensions etc.; and
 - cross-referencing between policies, indicating where necessary which policy has primacy.
- Keep generic development control policies up-to-date by monitoring their effectiveness and considering their appropriateness in the context of other monitoring information (e.g. completion rates) from the annual monitoring report.

8.10 PROPOSALS MAP

As required by Regulation 6, authorities must include in their local development frameworks an adopted proposals map giving geographical expression to adopted policies. As a separate document in the local development framework, the adopted proposals map must be revised as each new development plan document is adopted. It should always reflect the up-to-date spatial plan for the area, including where a policy is deleted or when a saved policy ceases to be part of the framework. It can only be changed as a result of a development plan document being adopted. Checklist 8i below sets out possible adopted proposals map content.

[Regulations 6, 14 and Paragraphs 2.20-2.23 and annex A of PPS12]

Checklist 8i: Proposals Map Content

Proposals Maps should include:

- areas of protection, such as nationally protected landscape and local nature conservation areas, green belt land and conservation areas; and
- locations and sites for particular land uses and development proposals included in any adopted development plan documents. They should set out the areas to which specific policies apply i.e. illustrate in map form all site specific policies in all the adopted development plan documents.

Other policy themes that maps may give spatial expression to could include:

- employment and economic development/regeneration;
- housing, including densities and affordable housing;
- design, including tall buildings;
- protected views;
- transport, including roads, rail links and cycle paths;
- community and local services, including schools, hospitals and town centres;
- open space and leisure uses;
- environmental protection, including contamination, air quality, water, flooding and pollution;
- biodiversity;
- rural issues; and
- waste, minerals and renewable energy.

Adopted proposals maps should be on ordnance survey maps or similar maps at a registered scale which allow policies and proposals to be illustrated clearly. They should be cross-referenced to relevant policies in documents.

When an authority adopts its first development plan document, it must bring forward the adopted proposals map which also identifies any saved policies. District planning authorities must also include on their adopted proposals map minerals and waste matters, including safeguarded areas, minerals consultation areas and any minerals and waste allocations which are adopted in a development plan document by the county council.

[Regulation 14(4)]

Separate inset maps may be used to show policies for part of the authority's area, such as the policies for area action plans, which must all be shown on the adopted proposals map. Where inset maps are used, the geographical area they will cover will be identified on the main adopted proposals map. The boundaries of each inset map must be shown precisely on the adopted proposals map but the policies shown on the inset must not appear on the main adopted proposals map.

[Regulation 14(2) and (3)]

As part of the preparation of a development plan document, authorities may wish to illustrate proposals and options on maps. This could require:

- throughout the pre-submission stages, as part of undertaking community consultation in accordance with Regulation 25, identifying areas of search for a particular policy. (This may be undertaken on a map base or in diagrammatic form.)

[Regulation 25]

- at the preferred options stage, in accordance with Regulation 26, preparing map(s) to accompany the preferred options document. (these could identify various sites and alternatives which are being considered for development and areas of land to which policies would relate)

[Regulation 26]

- as part of submitting their development plan document in accordance with Regulation 28, including a submission proposals map. It must be made clear how the policies in the submitted document will change the adopted proposals map either through additions, amendments or deletions. This may be in the form of an overlay to the adopted proposals map or on a separate base.

[Regulations 13(4) and 28]

Authorities can produce key diagrams in core strategies illustrating the spatial strategy underpinning a document as expressed by its spatial vision and spatial objectives. Key diagrams can express broad strategies in a similar fashion to those used in existing structure plans. They are likely to be most useful in areas of significant change where there might be a need to illustrate social, environmental and economic functional linkages with surrounding areas.

[Paragraph 2.13 and annex A of PPS12]

9 Development Plan Documents Examination and Adoption



9 Development Plan Document Examination and Adoption

The independent examination of the development plan document will test its 'soundness'. The outcome of the examination is a report by the Inspector which will be binding upon the local planning authority.

9.1 INTRODUCTION

Local planning authorities will need to be well prepared for independent examinations. Unlike the old system there will be limited scope for significant change to the development plan document between submission and examination although authorities can suggest minor alterations or revised wording to improve its clarity. **Pre-examination changes should not be proposed at this stage as they will result in considerable delays to the examination process.** They should not be required if the process of continuous community involvement has been applied and alternatives considered during the preparation stage.

9.2 SUBMISSION

Authorities must submit the submission development plan document, the statement of compliance and the final sustainability appraisal report to the Secretary of State. They should arrange for the publication of all three documents as set out in PPS12. At the same time as submission, the authority must send a copy to the relevant regional planning body (or in London, to the mayor). If the authority receives no response within the statutory six-week period, it may proceed as if the document is in general conformity with the relevant regional spatial strategy (or London spatial development strategy). Any opinion from either party that the document is not in conformity will be treated as a representation to be dealt with at examination. PPS12 provides further details.

[Regulations 28 and 30 and Paragraphs 4.19-4.22 of PPS12]

A representations form should be included with the submission development plan document. Work on an electronic representations service is currently being progressed by ODPM. Authorities should ensure that the form identifies what the tests of a sound plan are.

When submitting documents for examination, authorities must publish a notice and formally invite representations for the statutory 6-week period as required by Regulation 29, commencing from the date of submission to the Secretary of State. The authority should publicise the event (e.g. press releases) explaining the status of the submission documents and their key features. Details of where representations should be sent must also

be given. Further details of the submission process, particularly in terms of authorities seeking and dealing with representations to the submitted document are set out in PPS12.

[Regulation 29 and Paragraphs 4.17-4.18 and annex C of PPS12]

9.3 SETTING UP THE EXAMINATION

The Planning Inspectorate is a source of advice and guidance on the examination stage including the procedures prior to examination. In particular, it can advise on administrative processes to be adopted in terms of setting up databases to record representations. The Inspectorate's *Development Plans Examination*⁵³ will be a useful reference document whilst their specialist development plans team can provide detailed advice on particular procedural issues.

Following the preparation of the preferred options document, authorities can arrange an advisory visit by an Inspector to discuss the appointment and role of the programme officer and the handling of the examination, including time scale and potential issues. This will assist in the appointment of an appropriate Inspector or team of Inspectors. A further advisory meeting can be arranged prior to the development plan document submission or at the time an Inspector is requested.

The most likely source of an experienced programme officer is from a pool of independent programme officers. Programme officers should be in post no later than the close of the submission consultation period.

The expected date of the examination should have been included in the local development scheme as discussed with the Planning Inspectorate (see Section 5.5, step 6). Service Level Agreements between the Planning Inspectorate and authorities will clarify arrangements.⁵⁴

Authorities ought to consider the time needed to prepare for the examination and the resources required. Work ought to be prioritised according to the main issues identified by the representations received. Authority reports and documents produced in response to representations should be made available prior to the examination and be provided to the appointed Inspector(s).

⁵³ To be published

⁵⁴ Contact the Planning Inspectorate for further details: www.planning-inspectorate.gov.uk/pins/index.htm

9.4 RESPONSE TO REPRESENTATIONS ON THE SUBMISSION DEVELOPMENT PLAN DOCUMENT AND SUSTAINABILITY APPRAISAL REPORT

Linked to Regulation 31, authorities will need to prepare a summary of the representations made on the submission development plan document and the sustainability appraisal report. This can begin during the representation period and should be completed as soon as possible after it closes to minimise the time taken between the acceptance of formal representations and the independent examination. Where representations have been made which include proposals for alternative site allocations or for the boundary of a site identified in a submitted document to be changed, the authority must advertise this fact immediately after the period for making representations has expired, in accordance with Regulation 32.

[Regulations 31, 32, 33 and Paragraphs 4.17-4.18 of PPS12]

Authorities must submit to the Secretary of State a summary of the main issues raised in representations as discussed above, together with copies of all representations and a statement of the number of representations made. This also applies to site allocation representations, including any representations to a site allocation representation. Four copies of each document should be sent in paper form and one electronically.

[Regulation 33]

Authorities should not propose changes to the submission document prior to examination. Such changes are not likely to be required if the processes of continuous community involvement and front-loading have been effective. Where, exceptionally, changes are proposed, they should be subject to the same process of sustainability appraisal, publicity and opportunity to make representations as with the submitted document.

[Paragraph 4.13 and table on p27 of PPS12]

After analysing the representations, authorities may propose minor wording changes to a submission development plan document. However, they should not seek to make changes that will affect the substance of the document or sustainability appraisal such as the introduction of other sites or new policies that will not have been through the participatory processes and will not have been subject to sustainability appraisal. Training and awareness initiatives may be required to ensure that the community and stakeholders fully understand that there is a presumption against substantial changes at this stage.

9.5 EXAMINATION

The purpose of the examination is to determine whether the plan is sound (see Section 2.9). Further details as to the tests of soundness are set out in PPS12. If required, the Inspector appointed by the Secretary of State to consider the document will hold a pre-examination meeting no later than 2 months in advance of the opening day of the examination. Its purpose is to discuss the management of the examination. The Inspector will indicate at this stage how the examination is to be run, and will determine the procedures to be adopted. Detailed guidance regarding the types of procedure for examination and the role of pre-examination meetings are set out in annex D of PPS12.

[Regulation 34 and Paragraphs 4.23-4.26 and D7-D46 of PPS12]

The Government expects that the majority of representations will be considered by way of written representations. Written representations are an efficient way for the majority of representations to be dealt with and they carry equal weight to those ‘heard’ by the Inspector. The nature of the examination will depend in part on the extent to which those submitting representations feel that it is necessary to explain their representation to the Inspector in person.

For those who wish to exercise their right to an oral hearing, the Inspector will be able to select any of the following procedures to consider whether the plan is sound having regard to the representations:

- round table discussions;
- informal hearing sessions; or
- formal hearing sessions.

The Inspector has the power to ask any person who may assist him or her to determine whether the plan is sound to appear at the examination. Annex D of PPS12 provides detailed guidance regarding accommodation and programming the examination. If no objectors request to be heard orally, the examination may proceed wholly by written representations.

Guidance in terms of preparing for the examination, the scope and scale of evidence submitted, opening session, attendance and keeping the examination open and site visits are set out in PPS12. More detailed guidance will be provided by the Planning Inspectorate in their Development Plan Examinations guide.⁵⁵

9.6 ADOPTION AND THE BINDING INSPECTOR'S REPORT

After the examination, the Inspector will produce a report that is binding upon the local planning authority. The report will give specific recommendations as to how the development plan document and the proposals map must be changed. The report will be sent to authorities for factual checking before it is formally issued.

[Regulation 35 and Paragraphs 4.27-4.29 of PPS12]

The Inspector may also report upon matters that need further consideration and should be brought forward as a review to the development plan document. This is most likely to happen where evidential problems are revealed at the examination. In exceptional circumstances, a review might be required if the Inspector is asked to consider new sites that were not considered as part of the preparation of the document and have not been subject to sustainability appraisal. Such additions could impact upon the soundness of the plan as well as resulting in considerable delay. It is important therefore that at the examination stage, all participants seek to avoid bringing forward new material not considered by the authority as part of the document preparation process. The report will be subject to a fact check with authorities.

[Paragraphs 4.30-4.37 of PPS12]

Authorities must adopt the submitted development plan document as changed by the Inspector's binding report unless the Secretary of State has intervened. Details of the Secretary of State's intervention powers are in PPS12.

[Regulations 35 and 38-45 and Paragraphs 4.30-4.37 of PPS12]

At the time of adoption of the document the authority must ensure that the following information is made available to the public:

- an adoption statement;
- the adopted document including the revised proposals map; and
- a statement summarising how sustainability issues have been integrated into the document, how the sustainability appraisal and consultation has been taken into account, and the reasons for choosing the document as adopted in light of other reasonable alternatives.

[Regulation 36 and table on p42-43 of PPS12]

10 Producing Supplementary Planning Documents



10 Producing Supplementary Planning Documents

Supplementary plan documents, whilst not having development plan status, will exist within the local development framework. They can be used to expand policy or provide further detail to policies in development plan documents. However, like development plan documents, they will be informed by extensive community involvement and sustainability appraisal. Community involvement will be important in preparing supplementary plan documents, but they will not be subject to independent examination.

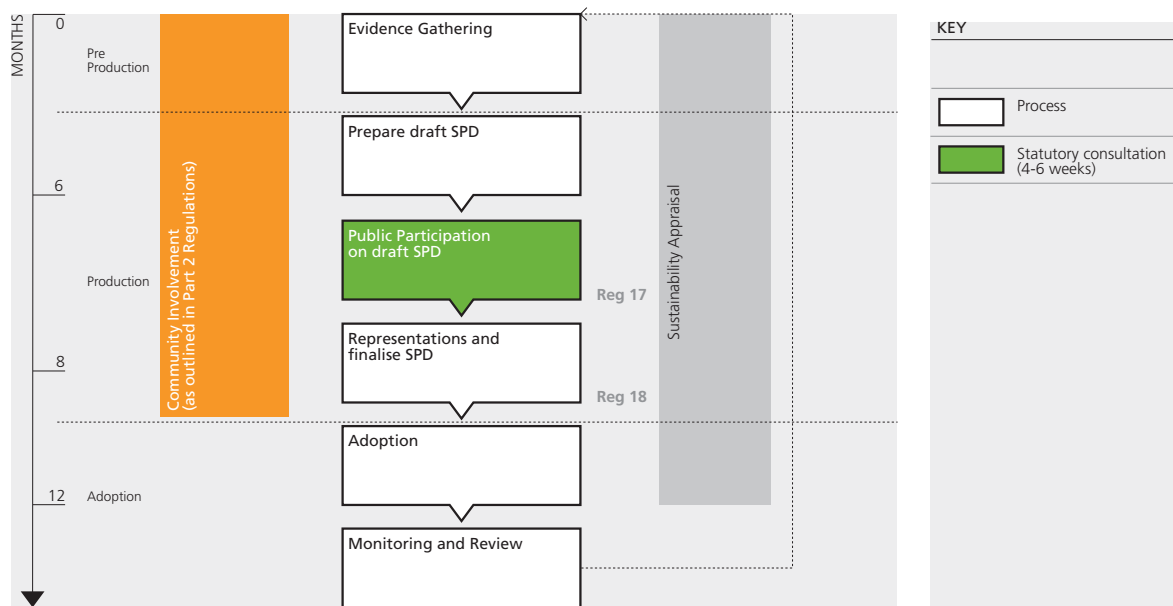
10.1 INTRODUCTION

As figure 10.1 below shows, the process for preparing supplementary planning documents is broadly similar to that for development plan documents, except there is no requirement for an independent examination. There will be a three-stage process of pre-production, production (including a 4-6 week consultation period) and adoption following consideration of consultation responses.

[Paragraphs 4.39-4.41 of PPS12]

Supplementary planning documents can be produced within 6-12 months. Supplementary planning documents are also subject to statutory procedures in terms of their preparation. This will result in the production of documents that are both credible and authoritative. Used properly, supplementary planning documents can strengthen the effectiveness of the local development framework by expanding or providing further detail on policies. Details of the documents to be produced, both in terms of timing and content, should be specified in the local development scheme.

Figure 10.1: Preparing a Supplementary Planning Document



As figure 10.1 shows, authorities can move directly from evidence gathering (see Sections 4.2 and 5.2) to preparing a draft supplementary planning document. As part of this preparation, authorities should informally involve local communities and stakeholders in the development of policies.

Regulation 17 requires authorities to publish (both in hard copy and electronically) the draft document for formal public participation and invite representations together with a statement setting out how consultation was undertaken and the main issues emerging. This must be accompanied by a final appraisal of its sustainability and statement of conformity similar to those required for development plan documents (see Chapter 8). Consultation arrangements should be set out in the statement of community involvement, or reflect the minimum requirements in Regulations if the statement is not yet adopted. The length of consultation must not be less than 4 weeks or longer than 6 weeks. Copies should be sent to the relevant Government Office if they have indicated they wish to see such documents.

[Regulations 17, 18(3) and Paragraphs 3.14-3.18 of PPS12]

As part of considering the representations received, authorities must consider valid representations and prepare a report summarising the main issues raised and how they are

addressed in the document. Authorities should then make changes as appropriate and then adopt the document. However, the Secretary of State can direct authorities not to adopt documents and can require them to be modified.

[Regulations 18(4), 22 and 23]

At the time of adoption of the document the authority must ensure that the following information is made available to the public:

[Regulation 19]

- an adoption statement;
- the adopted supplementary planning document;
- statement explaining how representations were dealt with as discussed above; and
- a statement summarising how sustainability issues have been integrated into the document, how the sustainability appraisal and consultation has been taken into account, and the reasons for choosing the document as adopted in light of other reasonable alternatives.

Similar publicity processes should be applied as for development plan documents (see Section 9.6).

10.2 POINTERS FOR PREPARING SUPPLEMENTARY PLAN DOCUMENTS

Authorities will need to consider the following factors when preparing supplementary planning documents:

- A **'fit for purpose' approach**. Such documents can cover diverse issues and be in different formats e.g. design guides, practice advice notes and masterplans;
- They must be **consistent with national planning policy and in general conformity with regional planning policy**. Authorities should assess whether the document is in general conformity with the relevant regional spatial strategy (or London spatial development strategy) and can seek the opinion of the regional planning body (or London mayor) to this end. This should usually be achieved through ensuring that the document is in conformity with the relevant development plan document or saved policies;
- **Sustainability appraisal** will be required although the degree to which such documents will require extensive appraisal will be influenced by the degree to which the linked development plan document or saved policies have undergone sustainability appraisal and the nature of the document itself;

- **Partnership production.** In the case of area or site specific documents, there is scope for surveys and drafts to be undertaken in close partnership with a range of local organisations including those concerned directly with the development of the site or area; and
- **Priority, skills and management.** The preparation process allows for documents to be prepared quickly. However, this will only occur if sufficient priority and resources are allocated within the authority and the process is managed well.

10.3 EVOLVING EXISTING SUPPLEMENTARY PLANNING GUIDANCE INTO THE NEW SYSTEM

Existing or emerging supplementary planning guidance cannot automatically be transferred into the local development framework nor can it automatically become a supplementary planning document. However, supplementary planning guidance can be linked to 'saved' policies and should be included in the local development scheme (see Section 3.9).

Both existing and emerging supplementary planning guidance can form part of the evidence base and production of new supplementary plan documents. To be adopted as supplementary planning documents the requirements of the Regulations must be met during preparation (see Section 5.3.2).

11 Revising Local Development Frameworks



11 Revising Local Development Frameworks

Local development frameworks should be continually reviewed and revised. A structured approach will be essential to ensuring that the local development framework is kept up to date. The annual monitoring report will be the main mechanism for reviewing the relevance of local development documents and identifying any changes necessary.

11.1 INTRODUCTION

There are several possible types of revisions to local development frameworks, including:

- **Full revisions to the core strategy.** A full review would involve re-appraising its spatial vision, spatial objectives and policies. The timing for full reviews should be identified in advance and set out in local development schemes. Where possible, the timing of full reviews should be co-ordinated with that of other policy cycles, for example the publication of an adopted regional spatial strategy, community strategies or 3-year public sector spending review cycles.
- **Partial revisions to the core strategy.** Annual monitoring reports should be used to identify any changes required if a policy or set of policies is not working, if targets (e.g. housing completions) are being missed or the core strategy needs to be revised in respect to a new area action plan. When considering revisions, authorities should assess implications for other local development documents.
- **Revising area action plans.** They may need revision in light of progress with implementation or changes on the ground. In particular, new development pressures or proposals may also necessitate alterations.
- **Supplementary planning documents** should be regularly reviewed to ensure they are relevant and up-to-date. Progress with implementation or changes on the ground may result in particular documents (such as development briefs) becoming obsolete. Topic-based documents will need to be reviewed in the light of changes to, or progress with implementation of, the core strategy. When reviewing supplementary planning documents, authorities should have regard to the chain of conformity with the relevant development plan documents (see Section 2.8).
- **Revising the statement of community involvement.** Reviews could be undertaken as appropriate in the light of joint working experiences and consultation with local communities and stakeholders. Changes may be required to reflect best practice in community/ stakeholder involvement, managing stakeholder expectations more effectively or addressing specific problems or concerns in relation to joint working.

11.2 MAIN FACTORS INFLUENCING THE TYPE, EXTENT, AND TIMING OF REVISIONS

The overall aims in revising the documents contained in the local development framework should be to:

- ensure consistency with national policy and general conformity with regional planning policy, and integration with other strategies and initiatives e.g. community strategy;
- enhance the internal consistency of the local development framework;
- follow up monitoring of progress with implementation; and
- respond to unforeseen changes in circumstances or opportunities.

There are several factors that will affect the type, extent and timing of revisions to the local development framework:

- **External consistency** – the local development framework should have regard to changing external conditions.
- **Policy/strategic fit** – changing policy and guidance at national, regional (particularly regional spatial strategy, or in London, spatial development strategy), sub-regional or local level.
- **Baseline conditions/trends** – changing socio-economic, environmental or land-use conditions and trends that have implications for the local development framework strategy e.g. closure of a major employment site.
- **Development pressures/issues** – changing development pressures or needs and investment strategies of major public and private investors e.g. need for new hospital.
- **Internal consistency** – the chain of conformity (see Section 2.8) will be an important consideration, particularly consistency with the core strategy.
- **Progress with implementation** – linked to the annual monitoring report, revisions may be required as a result of:
 - i. analysis of the use (or lack of use) of policies for development control and other purposes;
 - ii. successful implementation – revisions may be necessary where local development documents have become obsolete or are superseded due to successful implementation or changing real world conditions;
 - iii. pace of progress – unexpectedly slow or rapid progress against allocations or key targets e.g. housing allocations as shown in housing trajectories; and
 - iv. problems with implementation – changes may be needed to address problems and barriers to implementation.

11.3 REVIEW AND MONITORING OF THE LOCAL DEVELOPMENT FRAMEWORK

Local development schemes should indicate in general terms what future work is proposed to review or supplement proposed local development documents. In addition, local development frameworks will be reviewed on an annual basis as required by the annual monitoring report. Authorities should adopt a structured approach to reviews as set out in Checklist 11a below.

Checklist 11a: A Structured Approach To Revising The Local Development Framework

- Timetabling** – link to the annual monitoring report. Consider need for revisions to local development documents or ‘saved’ policies to address new or unforeseen circumstances. This could include new or revised national planning policy statements, regional spatial strategy (or in London, spatial development strategy) or changing local circumstances.
- Review the evidence base** – assess the relevance of the local development framework in terms of other strategies and initiatives, change on the ground and progress with implementation, using the annual monitoring report as a key tool.
- Identifying and scoping proposed changes** – identify the areas of the local development framework where change is needed, and consider the implications of these for the strategy as a whole and individual local development documents. This may identify the need for more extensive revisions.
- Involving stakeholders and the community** – discuss and consult on proposals for revisions. This is likely to include draft changes to the local development scheme to set out the timings, rationale and areas for proposed changes.
- Discussions with the Government Office and the Planning Inspectorate** – identifying the most appropriate approach and time scales for examination.

11.4 CONTENT OF THE ANNUAL MONITORING REPORT

Authorities are required to prepare annual monitoring reports to assess the implementation of the local development scheme and the extent to which policies in local development documents are being achieved. The first Annual Monitoring report will need to be submitted by the end of December 2005. On policy content the first report should establish data on the range of indicators, as far as practicable, that will be needed to monitor policies. On the progress monitoring of local development documents, the first report should refer to the Local Development Scheme and the milestones contained within the scheme. The local planning authority should give an indication of progress and note if any adjustments to the scheme are considered necessary since it was published. ODPM will issue guidance explaining how local development framework monitoring⁵⁶ should be undertaken, particularly in respect to the format and content of annual monitoring reports.

[Paragraph 4.45 of PPS12]

11.4.1 Plan production progress

Annual monitoring reports will need to compare actual document preparation over the year against the targets and milestones for local development document production set out in the local development scheme. The report should assess whether the authority has met these targets and milestones, is on target to meet them, is falling behind schedule or will not meet them. If an authority is falling behind schedule or has failed to meet a target or milestone, the report should set out the reasons for this and identify what steps the authority will take to address any problems. The local development scheme may need to be updated in light of this assessment.

[Regulations 48(3), 48(5) and Paragraph 4.47 of PPS12]

11.4.2 Plan output

Both annual and ad-hoc monitoring may indicate the need to submit adjusted schemes to the Secretary of State that identify the need for revised or additional local development documents.

[Paragraphs 3.20 4.47 of PPS12]

In terms of policy implementation, authorities will need to develop robust monitoring systems to judge the effectiveness of local development documents. This will include:

- assessing actual progress in terms of spatial objectives, policies and related targets and milestones, and reasons for the pace of progress;

- considering planning policy implementation against national, regional, local and other targets as appropriate;
- evaluating the effectiveness of existing policies and any need for adjustment or replacement as a result, particularly in the context of changing national or regional planning policy; and
- any actions proposed to policies to address the issues raised.

Effective monitoring requires a set of appropriate indicators against which to monitor actual progress. In line with existing regional monitoring, there should be an objectives-led approach to local development framework monitoring which:

- ensures a clear link from objectives through to policies, implementation programmes and to output targets and related indicators;
- focuses on key objectives rather than monitoring a wide range of indicators not directly relevant to policy performance;
- is consistent with wider local authority monitoring work;
- links to key targets and indicators already being monitored at the regional level;
- allows transparency and accountability in terms of delivery; and
- facilitates more informed policy and decision-making.

Local planning authorities should consider the need for output indicators appropriate to their area which could be reflected in the annual monitoring report. This is linked to their survey function discussed in Section 5.2. Core local development framework output indicators will be set out in the forthcoming ODPM guidance on monitoring⁵⁷ which authorities will need to address as part of these reports.

11.4.3 Performance trajectories

As a means of assessing policy implementation, authorities could consider using trajectories to demonstrate past and likely future performance. In particular, Regulation 48 requires local development documents to include information on housing policy and performance, particularly in terms of net additional dwellings built. To this end, authorities should produce housing trajectories showing how policies will deliver housing provision in their area. Annual monitoring reports should include information on housing provision, identifying any shortfall or surplus to be assessed together with any actions required to ensure delivery of agreed housing numbers. Further details will be set out in the forthcoming monitoring guidance.

[Regulation 48(5) and Paragraph 4.49 and annex B25-29 of PPS12]

11.4.4 Significant sustainability effects

Sustainability appraisal has specific monitoring requirements. As it identifies and assess the impacts of local development documents from social, environmental and economic perspectives, it can assist in formulating targets and indicators consistent with sustainable development objectives. Annual monitoring reports could include information on the significant sustainability effects of the plan. Further guidance on monitoring as part of sustainability appraisal is set out in draft ODPM guidance.⁵⁸

11.4.5 Structure

Annual monitoring reports could be broadly structured to reflect their principal objectives set out above. Beyond this, their structure is a matter for local judgment although formats could include:

- dividing reports thematically e.g. housing, economic development, transport, regional services etc;
- detailed sub-area analysis to illustrate particular themes or issues;
- appropriate use of illustrations e.g. charts, graphs and maps; and
- presentation of data on a consistent format year on year.

11.4.6 Integration with other strategies and initiatives

Local development framework monitoring should be undertaken in the context of wider community and local initiatives, particularly the community strategy. As the local development framework is a key spatial delivery mechanism for the community strategy, there could be linked or even shared monitoring approaches, targets and indicators used by both initiatives as suggested in Checklist 8a. Public service agreement targets⁵⁹ and accompanying best value indicators are also a potential source of objectives, targets and indicators. If they are used in annual monitoring reports, the links to best value should be made clear.

[Paragraph 4.52 of PPS12]

Monitoring is a key aspect of developing the evidence base (see Section 5.2). At the pre-production stage, there will need to be a shared understanding between authorities, communities and stakeholders as to what the monitoring principles are and what developing a monitoring framework will entail. In two tier areas, county councils have an important role in survey and monitoring work. Regulation 5 requires counties to survey various matters which could be used to assist with the collection and provision of information for the local development framework.

[Regulation 5 and Paragraph 4.51 of PPS12]

⁵⁸ *Sustainability Appraisal of Regional Spatial Strategies and Local Development Frameworks – consultation draft* (ODPM: September 2004). See www.odpm.gov.uk/planning/

⁵⁹ *Spending Review 2002 Public Service Agreement: technical note.*

See http://www.odpm.gov.uk/stellent/groups/odpm_about/documents/page/odpm_about_600099.hcsp

Authorities must submit annual monitoring reports for each financial year (April 1st to 31st March) no later than nine months later. Authorities will need to liaise with the relevant regional planning body to ensure that these monitoring reports feed into the preparation of regional annual monitoring reports. Reports must be published on authorities' websites.

[Regulation 48 and paragraph 4.46 of PPS12]

12 Publishing and Disseminating the Local Development Framework



12 Publishing and Disseminating the Local Development Framework

All local development documents must be readily accessible to the public and other stakeholders. This will require the use of plain language and clear illustrations such as proposals maps and diagrams. Authorities will need to keep these up-to-date. As well as traditional paper versions, there is an opportunity to utilise new media, including the internet, to ensure that the local development framework is available to the widest range of people.

12.1 INTRODUCTION

Local development documents should be accessible to all members of the community. As well as paper and electronic versions, authorities will need to consider whether versions are required in languages other than english, in braille and in audio format. The fact that local development frameworks will be updated regularly poses challenges. A loose-leaf folder format may be the best way forward so that new or altered sections can be replaced or inserted. Authorities will need to decide on the format of local development documents when they prepare the local development scheme. They will need to ensure that users of the plan are kept up-to-date with possible changes and new sections so that people are clear on the contents of the local development framework. Checklist 12a below sets out possible solutions.

Checklist 12a: Publishing and Disseminating Local Development Documents

Issues	Possible solutions
Regular reviews, alterations and additions to the local development framework will make full scale reprinting costly, impractical, and (given the nature of changes) inappropriate.	<input type="checkbox"/> Produce local development framework as a loose-leaf folder so it can be re-printed in parts. <input type="checkbox"/> Keep an up-to-date version available on-line. <input type="checkbox"/> Link to on-line version of the local development scheme.
The dynamic nature of local development frameworks may cause confusion in terms of their content.	<input type="checkbox"/> Clear local development scheme and contents page, with the date indicated (including a footer on each page) so that users can check they have the up-to-date version of local development documents.
It may be difficult for users of the plan to keep up-to-date on alterations and new local development documents.	<input type="checkbox"/> Establish a mailing/e-mail list of individuals and groups that need to be informed of changes to the local development framework. <input type="checkbox"/> The local development scheme should explain what changes have occurred and when.
Need to ensure widespread community involvement in local development document preparation based on equal access to information.	<input type="checkbox"/> Ensure wide access to adopted local development documents, documents under production and key background papers and reports – publish on the web and make available in hard copy.

12.2 PUBLISHING THE LOCAL DEVELOPMENT FRAMEWORK ELECTRONICALLY

Because of their flexible format, local development frameworks are suited for online publication. Several authorities have already established a separate website or a clearly distinguishable part of their website in respect of existing development plans. Such an approach is recommended.

[Regulation 4]

Creating on-line local development frameworks will require authorities to think about the format and content of local development documents. Relevant questions include:

- Will the document be easily understood when accessed on-line?
- Are the notations and colours used on proposals maps and key diagrams easily understood?
- How will links be indicated with other local development documents or supporting background information also available on-line, and what is the scope for using hyperlinks?
- How easy is it to print off copies of local development documents from the web, and how suitable is the format for working in both web-based and hard copy formats, or should there be separate formats? Is the document suitable for print in both colour and black and white? Many users like the option of printing the 'hard copy' version from the web e.g. in pdf format.

The need for stakeholders and communities to be able to access the latest versions of local development documents suggests that electronic versions should be on-line and in web-friendly formats.

Checklist 12b: Publishing and Disseminating the Local Development Framework

- Develop a local development framework website, or clearly identified area of the authority's main website, which should be used to make available adopted local development documents, documents under production, and key background papers.
- Make widely available an up-to-date contents list for the local development framework, linked to the local development scheme, outlining all the local development documents and their status, and indicate the time period for which this list will remain valid.
- Establish a mailing/e-mailing list to inform stakeholders and interested others when new or revised local development documents are adopted and available to download or purchase in hard copy. This could operate on a subscription basis for making hard copy local development documents available as and when they are adopted.
- Recognise that the plan should be available in full on the internet and design it to make best use of this technology.
- Establish the intended audience for parts of the plan at different stages in its preparation and inform decisions about formats for publication accordingly.
- Build into local development framework programmes time for designing, drafting, checking and printing documents, including proposals maps and key diagrams.
- Seek simplicity and clarity in the design and production of every part of the local development framework package.
- Consider a common 'brand' for all local development documents, for consistency and ease of recognition.

As part of the Government's e-planning initiative,⁶⁰ work is being progressed to assist with the e-publication of local development documents. This will consider the potential for a standardised 'template' approach to document production, the need for different formats of document depending upon the audience and use, the value of drawing on standardised datasets and the potential use of geographical information systems for offering interactive access to information. The latter two points are particularly important in terms of the potential to e-enable proposals maps.

⁶⁰ See http://www.odpm.gov.uk/stellent/groups/odpm_control/documents/contentservertemplate/odpm_index.hcst?n=5158&l=1

13 Glossary



13 Glossary

(note: terms in *italics* are explained elsewhere in the glossary)

the Act: the Planning and Compulsory Purchase Act 2004.

Annual monitoring report: part of the *Local Development Framework*, the annual monitoring report will assess the implementation of the Local Development Scheme and the extent to which policies in *Local Development Documents* are being successfully implemented.

Area action plan: used to provide a planning framework for areas of change and areas of conservation. Area Action Plans will have the status of *Development Plan Documents*.

Community strategy: local authorities are required by the Local Government Act 2000 to prepare these, with aim of improving the social, environmental and economic well being of their areas. Through the Community Strategy, authorities are expected to co-ordinate the actions of local public, private, voluntary and community sectors. Responsibility for producing Community Strategies may be passed to *Local Strategic Partnerships*, which include local authority representatives.

Core strategy: set out the long-term spatial vision for the local planning authority area, the spatial objectives and strategic policies to deliver that vision. The Core Strategy will have the status of a *Development Plan Document*.

Development plan: as set out in Section 38(6) of the Act, an authority's development plan consists of the relevant *Regional Spatial Strategy* (or the Spatial Development Strategy in London) and the *Development Plan Documents* contained within its *Local Development Framework*.

Development plan documents: spatial planning documents that are subject to independent examination, and together with the relevant Regional Spatial Strategy, will form the *development plan* for a local authority area for the purposes of the Act. They can include a *Core Strategy*, *Site Specific Allocations of land*, and *Area Action Plans* (where needed). Other Development Plan Documents, including generic Development Control Policies, can be produced. They will all be shown geographically on an *adopted proposals map*. Individual Development Plan Documents or parts of a document can be reviewed independently from other Development Plan Documents. Each authority must set out the programme for preparing its *Development Plan Documents* in the *Local Development Scheme*.

Generic development control policies: these will be a suite of criteria-based policies which are required to ensure that all development within the areas meets the spatial vision and spatial objectives set out in the *Core Strategy*. They may be included in any *Development Plan Document* or may form a standalone document.

Issues and Options: produced during the early production stage of the preparation of *Development Plan Documents* and may be issued for consultation to meet the requirements of Regulation 25.

Key diagram: authorities may wish to use a key diagram to illustrate broad locations of future development.

Local development document: the collective term in the *Act* for *Development Plan Documents*, *Supplementary Planning Documents* and the *Statement of Community Involvement*.

Local Development Order: allows local planning authorities to introduce local permitted development rights.

Local development framework: the name for the portfolio of *Local Development Documents*. It consists of *Development Plan Documents*, *Supplementary Planning Documents*, a *Statement of Community Involvement*, the *Local Development Scheme* and *Annual Monitoring Reports*. Together these documents will provide the framework for delivering the spatial planning strategy for a local authority area and may also include local development orders and simplified planning zones.

Local development scheme: sets out the programme for preparing *Local Development Documents*. All authorities must submit a Scheme to the Secretary of State for approval within six months of commencement of *the Act*.

Local strategic partnership: partnerships of stakeholders who develop ways of involving local people in shaping the future of their neighbourhood in how services are provided. They are often single non-statutory, multi-agency bodies which aim to bring together locally the public, private, community and voluntary sectors.

Local transport plan: 5-year strategy prepared by each local authority for the development of local, integrated transport, supported by a programme of transport improvements. It is used to bid to Government for funding transport improvements.

Minerals and waste development framework: in two-tier areas, counties will be responsible for producing Minerals and Waste Development Frameworks and Schemes. The latter will be the equivalent of the Local Development Scheme. In unitary authorities and National Parks, minerals and waste policies should be included in their local development frameworks.

Preferred options document: produced as part of the preparation of *Development Plan Documents*, and is issued for formal public participation as required by Regulation 26.

Proposals map: the adopted proposals map illustrates on a base map (reproduced from, or based upon a map base to a registered scale) all the policies contained in *Development Plan Documents*, together with any saved policies. It must be revised as each new *Development*

Plan Document is adopted, and it should always reflect the up-to-date planning strategy for the area. Proposals for changes to the adopted proposals map accompany submitted *development plan documents* in the form of a submission proposals map.

Regional planning body: one of the nine regional bodies in England (including the Greater London Authority) responsible for preparing *Regional Spatial Strategies (in London the Spatial Development Strategy)*.

Regional spatial strategy: sets out the region's policies in relation to the development and use of land and forms part of the *development plan* for local planning authorities. Planning Policy Statement 11 'Regional Spatial Strategies' provides detailed guidance on the function and preparation of Regional Spatial Strategies.

The Regulations: Town and Country Planning (Local Development) (England) Regulations 2004, and the Town and Country Planning (Transitional Arrangements) Regulations 2004.

Saved policies or plans: existing adopted development plans are saved for three years from the date of commencement of *the Act*. Any policies in old style development plans adopted after commencement of the Act will become saved policies for three years from their adoption or approval. The *Local Development Scheme* should explain the authority's approach to saved policies.

Simplified Planning Zones: grant planning permission for the types of development it specified subject to any conditions or limitations attached.

Site specific allocations: allocations of sites for specific or mixed uses or development to be contained in *Development Plan Documents*. Policies will identify any specific requirements for individual proposals.

Statement of community involvement: sets out the standards which authorities will achieve with regard to involving local communities in the preparation of *local development documents* and development control decisions. The statement of community Involvement is not a *development plan document* but is subject to independent examination.

Strategic environmental assessment: a generic term used to describe environmental assessment as applied to policies, plans and programmes. The European 'SEA Directive' (2001/42/EC) requires a formal 'environmental assessment of certain plans and programmes, including those in the field of planning and land use'.

Supplementary plan documents: provide supplementary information in respect of the policies in *Development Plan Documents*. They do not form part of the Development Plan and are not subject to independent examination.

Sustainability appraisal: tool for appraising policies to ensure they reflect sustainable development objectives (i.e. social, environmental and economic factors) and required in the Act to be undertaken for all local development documents.