



Local Plan Legal Compliance Checklist (April 2013)

This checklist has been updated for PAS by SNR Denton. It supersedes the previous checklist and is based on **Town and Country Planning (Local Planning) (England) (Amendment) Regulations 2012**. It should be used with the Soundness Self Assessment Checklist (also updated January 2013).

Remember that the evidence you provide to support your plan should be relevant and proportionate. Please don't use this checklist as a reason to assemble more than is needed.

Glossary:

"Act" means the **Planning and Compulsory Purchase Act 2004 (as amended)**

"NPPF" means the **National Planning Policy Framework** published March 2012

"Regulations" means the **Town and Country Planning (Local Planning) (England) (Amendment) Regulations 2012**

LDS means **Local Development Scheme**

SCI means **Statement of Community Involvement**

DPD means **Development Plan Document**

Stage one: The early stages

Where the 'possible evidence' column refers to a document that will not be complete until a later stage (for example, the sustainability appraisal report), documents that will contribute to that report are relevant at the earlier stages. This way, the submitted report provides the evidence at submission, with an audit trail back to its source.

In terms of legal compliance, the main issues for the early stage are in relation to:

- planning for community engagement
- planning the sustainability appraisal (including consultation with the statutory environment consultation bodies)
- identifying significant cross boundary and inter-authority issues



- ensuring that the plan rests on a credible evidence base, including meeting the Act's requirement for keeping matters affecting the development of the area under review.

Regulation 17 notes that a statement setting out which bodies and people the council invited to make representations under Regulation 18 is one of the proposed submission documents. In this tool, the term 'consultation statement' is used to describe this statement.

Section 33A of the Act (introduced by the Localism Act 2011) introduces a duty to cooperate as a mechanism to ensure that local planning authorities and other bodies engage with each other on issues which are likely to have a significant effect on more than one planning area. This pervades every stage of the plan preparation. A plan may be found unsound if a council cannot show that it has taken reasonable steps to comply with the duty.

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Stage one: The beginning

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
1. Is the DPD identified in the adopted LDS? Have you recorded the timetable for its production?	The Act section 15(2) and section 19(1)	NPPF para 153		<ul style="list-style-type: none"> i. The adopted LDS at the time of commencement, publication and submission of the DPD ii. The relevant authority monitoring report (if changes need to be explained) 	<p>Yes.</p> <p>Local Development Scheme (LDS) adopted and updated as plan preparation progresses. Latest LDS approved for Publication and Submission December 2017.</p>
2. How will community engagement be programmed into the preparation of the DPD?	The Act section 19(3) Regulation 18	NPPF paras 150, 155 and 157	If the SCI is up-to-date, use that. If not set out any changes to community engagement as a result of changes in legislation.	<ul style="list-style-type: none"> i. The SCI ii. The project plan for the DPD 	Statement of Community Involvement (SCI) adopted 2006, revised SCI adopted 20 March 2018.
3. Have you considered the	Regulation 18	NPPF paras 4.25 - 4.26	Regulation 2 defines the general and	<ul style="list-style-type: none"> i. The SCI ii. Reports and decisions setting 	Yes. See: Duty to Cooperate Statement (March 2018) Reg 22 Statement of Consultation (March 2018)

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
appropriate bodies you should consult?			<p>specific consultation bodies.</p> <p>The possible evidence may duplicate each other. Only use what you need to.</p>	<p>out the approach to specific and general consultation bodies</p> <p>iii. Consultation statement</p>	<p>Adopted Statement of Community Involvement (SCI).(March 2018)</p>
4. How you will co-operate with other local planning authorities, including counties, and prescribed bodies, to identify and address any issues or strategic priorities that will have a	<p>The Act- section 33A(1)(a) and (b), section 33A(3)(d) (e) & (4)</p> <p>The Act Section 20(5)(c)</p> <p>Regulation 4</p>	<p>NPPF paras 178 to 181 (which comprise the guidance referred to in the Act section 33A(7))</p> <p>Under NPPF Para 182, to be 'Effective' a</p>	<p>Section 33A(4) defines a "strategic matter".</p> <p>Under section 33A(6) the required engagement includes considering joint approaches to the plan making</p>	<p>i. Reports and decisions setting out the approach to be taken</p> <p>ii. Consultation statement</p>	<p>The Duty to Cooperate Statement (March 2018) provides details along with associated committee resolutions.</p> <p>See also Reg 22 Statement of Consultation.(March 2018)</p>



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Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
significant impact on at least two planning areas?		<p>plan should be based on effective joint working on cross-boundary strategic priorities.</p> <p>Strategic priorities are listed at NPPF Para 156</p>	<p>activities (including the preparatory activities) and considering whether to agree joint local development documents under section 28.</p> <p>The bodies prescribed by section 33A(1)(c) are set out at Regulation 4(1).</p>		
5. How you will co-operate with any local enterprise partnerships (LEP) or local nature	The Act section 33A(1)(c) and section 33A(9), section 33A(3)(d) and (e)	NPPF paras 178 to 181	Section 33A(4) defines a "strategic matter". Strategic priorities are listed at NPPF	<ul style="list-style-type: none"> i. Reports and decisions setting out the approach to be taken. ii. Consultation statement 	The Duty to Cooperate Statement (March 2018) details ongoing engagement with Leeds City Region LEP, and York and North Yorkshire LEP, and Local Nature Partnership.

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
<p>partnerships (LNP) to identify and address any issues or strategic priorities that will have a significant impact on at least two planning areas?</p>	<p>The Act section 20(5)(c). Regulation 4</p>		<p>Para 156. Regulation 4(2) prescribes LEPs and LNPs for the purposes of section 33A(9). Under section 33A(6) the required engagement includes consulting on joint approaches to relevant activities.</p>		
<p>6. Is baseline information being collected and</p>	<p>The Act section 13 *</p>	<p>NPPF paras 158 - 177</p>		<p>i. Documents dealing with collection of baseline information</p>	<p>Yes. See evidence base available here: https://www.cravendc.gov.uk/planning/planning-policy/planning-policy-facts-and-figures/</p>



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Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
evidence being gathered to keep the matters which affect the development of the area under review?				<ul style="list-style-type: none"> ii. Relevant technical studies iii. The annual monitoring report 	
7. Is baseline information being collected and evidence being gathered to set the framework for the sustainability appraisal?	The Act section 19(5)	NPPF paras 165 and 167 Strategic Environmental Assessment Guide, chapter 5		<ul style="list-style-type: none"> i. Sustainability report scoping document ii. Sustainability appraisal report 	Yes – Sustainability Appraisal Scoping Report (January 2018) Sustainability Appraisal Report (March 2018)
Have you consulted the statutory	Regulations 9 and 13 of The Environmental	NPPF paras 165 and 167	The Strategic Environmental Assessment	Copies of the consultation letters sent to and any	Yes. SA-SEA Scoping Report (Draft December 2013) Craven District Council consulted with the



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<p>environment consultation bodies for five weeks on the scope and level of detail of the environmental information to be included in the sustainability appraisal report?</p>	<p>I Assessment of Plans and Programmes Regulations 2004 No 1633.</p>	<p>SEA Guide chapter 3</p>	<p>consultation bodies are also amongst the 'specific consultation bodies' which are defined in Regulation 2).</p>	<p>responses from the bodies</p>	<p>statutory environmental consultation bodies on the draft report for five weeks during January and February 2014. Useful information on the scope and level of detail of the environmental issues to be included was received in February 2014, and these were incorporated into the updated report Sustainability Appraisal Scoping Report (January 2018).</p>



Stage two: Plan preparation - frontloading phase

Information assembled during this phase contributes to:

- showing that the procedures have been complied with
- demonstrating cooperation with statutory cooperation bodies
- developing alternatives and options and appraising them through sustainability appraisal and against evidence.

The council should record actions taken during this phase as they will be needed to show that the plan meets the legal requirements. They will also show that a realistic and reasonable approach has been taken to plan preparation.

Stage two: Plan preparation

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC evidence
1. Have you notified: <ul style="list-style-type: none"> the specific consultation bodies? the general consultation bodies that have an interest in the subject of the DPD and invited them to make representations about its contents? 	Regulation 18(1) and (2)(a) (b)	NPPF paras 159 – 173	Specific and general consultation bodies are defined in Regulation 2.	i. Consultation statement ii. Copies of documents consulting these bodies iii. Record of discussions iv. Copies of representations made v. A brief statement setting out the reasons why any bodies have been omitted from or included in consultation	Yes. See: Reg 22 Statement of Consultation (March 2018) Consultation database
2. Are you inviting representations from people resident or carrying out business in your area about the content of the DPD?	Regulation 18(1) and (2)(c)	NPPF paras 159 – 173		i. Consultation statement ii. Copies of documents consulting these persons iii. Record of discussions iv. Copies of representations made	Yes – see Reg 22 Statement of Consultation (March 2018), consultation database. Also, mailchimp database and records.

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC evidence
3. Are you engaging with stakeholders responsible for delivery of the strategy?	Regulation 18	NPPF para 155	NPPF paras 160-171 4.29 give examples of relevant bodies which should be consulted.	<ul style="list-style-type: none"> i. Consultation statement ii. Copies of documents consulting these people iii. Record of discussions 	Yes, see Reg 22 Statement of Consultation (March 2018), Infrastructure Delivery Plan.
4. Are you taking into account representations made?	Regulation 18(3)	NPPF para 155	Evidence from participation is part of the justification. Show how you have taken representations into account.	<ul style="list-style-type: none"> i. Consultation statement ii. Any reports on the selection of alternatives and options for the DPD 	<p>Yes.</p> <p>See Reg 22 Statement of Consultation (March 2018), Housing Growth Options paper, and Spatial Strategy Options Paper</p> <p>See also policy and site response papers. Spatial Planning Sub Committee reports to show consideration of comments and how plan proposals have</p>



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Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC evidence
					been refined.
5. Does the consultation contribute to the development and sustainability appraisal of alternatives?	The Act section 19(5) Regulations 12 and 13 of The Environmental Assessment of Plans and Programmes Regulations 2004 No 1633	NPPF paras 165 – 168 SEA Guide, chapter 3		i. Consultation statement ii. Any reports on the selection of alternatives and options for the DPD iii. Sustainability appraisal report	Yes. See Sustainability Appraisal report, Housing Growth Options paper and Spatial Strategy Options Paper ,
6. Is the participation: <ul style="list-style-type: none"> • following the principles set out in your SCI? • integrating involvement with the sustainable community strategy? • proportionate to the scale of issues involved in the DPD? 	The Act section 19(3)	NPPF para 155		i. Consultation Statement ii. The SCI iii. The relevant sustainable community strategies	Yes – SCI update adopted March 2018. Reg 22 Statement of Consultation (March 2018)
7. Are you keeping a	The Act	NPPF paras 158	You will need to	i. Consultation	Yes, See:

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC evidence
record of: <ul style="list-style-type: none"> • the individuals or bodies invited to make representations? • how this was done? • the main issues raised? 	section20(3) Regulation 17	- 171	submit a statement of representations under Regulation 22 (1) (c): see Submission stage below. Regulation 35 deals with the availability of documents and the time of their removal.	statement ii. Reports by the council on the consultation iii. Copies of representations and relevant correspondence iv. Technical reports on the engagement process	Reg 22 Statement of Consultation (March 2018) and Consultation database. Policy response papers are also published which details plan amendments and resulting refinement.
8. Are you inviting representations on issues that would have significant impacts on both your areas from another local planning authority? Or county issues from an affected county council that is not a planning authority? Or significant cross-boundary issues and strategic priorities of a body prescribed under Section 33A(1)(c)?	The Act section 33A(1)(a) (b) and (c), section 33A(3)(d) & (e) section 33A(4) section 33A(9) The Act section 20 (5)(c)	NPPF paras 178 to 181	Section 33A(3)(d) and (e) requires cooperation on significant cross-boundary issues before and during plan preparation. Section 33A(2) requires you to engage constructively, actively and on an ongoing basis.	i. Consultation statement ii. Reports by the council on the consultation iii. Copies of representations and relevant correspondence iv. Technical reports on the engagement process	Yes, see Duty to Cooperate Statement, addenda, and Memoranda of understanding on cross boundary matters. .

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC evidence
<p>9. Are you inviting representations on cross-boundary issues and strategic priorities from a local enterprise partnership (LEP) or a local nature partnership (LNP)?</p>	<p>The Act section 33A(1)(c) and Section 33A(9).</p> <p>The Act section 20(5) (c).</p> <p>Regulation 4</p>	<p>NPPF paras 178 to 181</p>	<p>Section 33A(3)(d) and (e) requires cooperation on significant cross-boundary issues before and during plan preparation.</p> <p>Section 33A(2) requires you to engage constructively, actively and on an ongoing basis.</p>	<ul style="list-style-type: none"> i. Consultation statement ii. Reports by the council on the consultation iii. Copies of representations and relevant correspondence iv. Technical reports on the engagement process 	<p>Yes. See Reg 22 Statement of Consultation (March 2018) and Duty to Cooperate Statement.(March 2018)</p> <p>Reporting to and engagement with Leeds City Region LEP, North Yorkshire and York LEP, also York and North Yorkshire Local Nature Partnership. Consultation comments received.</p>
<p>10. Are you developing a framework for monitoring the effects of the DPD?</p>	<p>The Act section 35</p> <p>Regulation 34</p> <p>Regulation 17</p>	<p>NPPF paras 165 - 1687</p> <p>SEA Guide, Chapter 5</p>	<p>It is a matter for each council to decide what to include in their monitoring reports while ensuring they are prepared in</p>	<ul style="list-style-type: none"> i. Sustainability appraisal report ii. The authority monitoring report iii. Reports or documents setting out the appraisal and 	<p>Yes. See: Authority Monitoring Reports, Sustainability Appraisal Report.</p>



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	of The Environmental Assessment of Plans and Programmes Regulations 2004 No1363		accordance with relevant UK and EU legislation” Chief Planning Officer letter 30 March 2011 withdrawing ODPM guidance.	monitoring framework	Section 9: Monitoring - A monitoring framework with indicators and targets is set out in the plan pages 232 to 237.



Stage three: Plan preparation - formulation phase

This stage has many legal matters, for process and content, to address. The council should be beginning to formulate the preferred strategy for the local plan or supplementary planning document with which the council chooses to address Regulation 18 requirements, using the information gathered and previous collaborative work with stakeholders.

Para 182 of the NPPF makes it clear that explicit consideration of alternatives is a key part of the plan making process.

You should evaluate the reasonable alternatives identified in 'stage two: frontloading phase – plan preparation' phase against the:

- completed body of information from evidence gathering
- results of sustainability appraisal
- findings from community participation
- findings from engagement with statutory cooperation bodies.

This may be written up as a preferred strategy report. The results of participation on the preferred strategy and an accompanying sustainability report will enable the council to gauge the community's response and receive additional evidence about the options. The council can then decide whether, and how, the preferred strategy and policies should be changed for publishing the finished DPD.

Alternatives developed from the evidence and engagement during the frontloading stage need to be appraised to decide on the preferred strategy. Participation will also need to be carried out on it.

These matters need to be considered, and dealt with, in good time, and not left until publication. Supporting documents will assist in providing evidence that decisions on alternatives and strategy are soundly based. These documents will, in due course, become part of the proposed submission documents in stage four.

The council should tell all parties that this is the main participation opportunity on the emerging plan. The publication stage is a formal opportunity for anyone to comment on an aspect of the DPD's soundness, and to propose a change to the plan accordingly. The more effectively this message is put across, the lower the chance of late changes being brought forward following publication.

Stage three: Plan preparation – writing the plan

Activity	Statutory requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
1. Are you preparing reasonable alternatives for evaluation during the preparation of the DPD?	Regulation 12 (2) of The Environmental Assessment of Plans and Programmes Regulations 2004 No. 1633	NPPF paras 152 - 182 SEA Guide, Chapter 5	The sustainability appraisal report and supporting documents relevant to the preparation of the DPD are part of the proposed submission documents (see Regulation 17).	Documents supporting decisions on alternatives and any preferred strategy	Yes. See Sustainability Appraisal report; Housing Growth Options Paper (June 2017); Housing Growth Option Paper - Addendum (November 2017); Spatial Strategy Options - Summary and Update (September 2015) A Spatial Strategy for Growth Distribution in Craven (options appraisal, April 2016) with consideration of alternative options. See also Employment Land Review March 2017 and addendum November 2017.
2. Have you assessed alternatives against: <ul style="list-style-type: none"> consistency with national policy? general conformity with the regional spatial strategy where still in 	The Act section 19 (2), section 24	NPPF para 151	For London boroughs and local authorities where regional strategies are still in force general conformity is tested formally later but you need to consider	i. Supporting documents ii. Correspondence with Mayor of London (London Boroughs and Mayoral Development Corporations only)	Yes: See Sustainability Appraisal report,



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Activity	Statutory requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
force?			it during preparation of the DPD.		
3. Are you having regard to (where relevant): <ul style="list-style-type: none"> • adjoining regional spatial strategies? • the spatial development strategy for London? • Planning Policy for Wales? • the National Planning Framework for Scotland? 	The Act sections 19 (2) and 24 (1) and (4) Regulation 10 and 21		Where the regional strategy has been revoked you should record that fact.	i. Supporting documents ii. Correspondence with the Mayor of London, relevant Welsh or Scottish regional planning bodies (as appropriate) iii. CLG notice of revocation of the regional strategy	No, RSS revoked January 2013 and no longer applicable in this case.
4. Are you co-operating with other local planning authorities including counties, to address significant cross	The Act section 33A(2)(a) Section	NPPF paras 181 and 185	.	i. Supporting documents ii. Correspondence with LPA/County Council	Yes. See Duty to Cooperate Statement and addenda, memoranda of understanding and related correspondence,



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Activity	Statutory requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
boundary issues? Have you discussed doing joint local development documents?	33A(6)(a)(b) Section 20(5)(c)				
5. Are you cooperating with a person prescribed for the purposes of Regulation 33A(1)(c) to address significant cross boundary issues including preparing joint approaches?	The Act section 33A(2)(a), section 33A(6)(a) The Act section 20 (5)(c) Regulation 4	NPPF paras 181 and 182	The bodies prescribed by The Act section 33A(1)(c) are set out at Regulation 4 (1).	i. Supporting documents ii. Correspondence with prescribed bodies	Yes. See Duty to Cooperate Statement, associated evidence, correspondence and addenda.
6. Are you cooperating with having regard to the activities of the LEP and LNP?	The Act section 33A(2)(b) and section 33A(9). Regulation 4 (2)	NPPF para 181 and 182		i. Supporting documents ii. Correspondence with LEP/LNP	Yes. See Duty to Cooperate statement, established Duty to Cooperate practices, Leeds city region and York North Yorkshire LEPs and Local Nature Partnership engaged with.
7. Are you having regard to:	The Act section 19(2)			i. Supporting documents	Yes. Sustainable Communities



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Activity	Statutory requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
<ul style="list-style-type: none"> • your sustainable community strategy or of other authorities whose area comprises part of the area of the council? • any other local development documents adopted by the council? 				<ul style="list-style-type: none"> ii. The sustainable community strategies iii. Relevant local development documents iv. Correspondence with the local strategic partners 	<p>Strategies have been superseded by North Yorkshire Partnerships. See Duty to Cooperate statement.</p> <p>http://www.nypartnerships.org.uk/</p>
<p>8. Do you have regard to other matters and relevant strategies relating to:</p> <ul style="list-style-type: none"> • resources • the local/regional economy • the local transport plan and transport facilities and services • waste strategies 	<p>The Act section19(2)</p> <p>Regulation 10</p>		<p>As well as the matters and strategies listed in the Act and Regulations there are likely to be other matters identified in planning policy statements, regional and local strategies that you will need to have regard to in</p>	<ul style="list-style-type: none"> i. Supporting documents ii. Correspondence with the relevant bodies 	<p>Yes:</p> <p>See North Yorkshire County Council Local Transport Plans. Emerging joint minerals and waste local plan, prepared by North Yorkshire County Council, City of York Council and North York Moors National Park Authority.</p>



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Activity	Statutory requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
<ul style="list-style-type: none"> hazardous substances 			preparing the DPD.		
9. Are you having regard to the need to include policies on mitigating and adapting to climate change?	The Act section19(1A)	NPPF paras 93 -108		Supporting documents	Yes: Draft Policy SD2 in place to consider climate change mitigation and adaptation.
10. Have you undertaken the sustainability appraisal of alternatives, including consultation on the sustainability appraisal report?	The Act section19(5) Regulation 12 and 13 of The Environmental Assessment of Plans and Programmes Regulations 2004 No 1633	NPPF para 182 SEA Guide, Chapter 5	Regulation13 of The Environmental Assessment of Plans and Programmes Regulations 2004 No 1633 sets out the consultation procedures.	<ul style="list-style-type: none"> i. Reports on the sustainability of alternatives ii. Record of work undertaken on sustainability appraisal iii. Supporting documents 	Yes, see Sustainability Appraisal report and housing Growth Options paper and consideration of alternatives.
11. Are you setting out reasons for any preferences between alternatives?	Regulation 8(2)	NPPF para 182	This will include Information from the sustainability appraisal.	<ul style="list-style-type: none"> i. Any reports setting out alternatives and choices considered ii. Supporting documents 	Yes. See Sustainability Appraisal report, Housing Growth Options paper



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<p>12. Have you considered any representations made on the content of the DPD and the sustainability appraisal? Are you keeping a record?</p>	<p>Regulations 17, 18(3) and 22 (1) (c) (iv) Regulation 13(4) of The Environmental Assessment of Plans and Programmes Regulations 2004 No 1633</p>	<p>NPPF paras 150, 155, 157 and 159-171</p>	<p>Records on the sustainability appraisal should also include recording any assessment made under the Habitats Directive.</p>	<p>i. Correspondence from those making representations ii. Reports on issues raised iii. Consultation statement iv. Sustainability appraisal report</p>	<p>Yes, see policy response papers showing how the plan has been updated, refined and revised. See also Sustainability Appraisal report.</p>
<p>13. Where sites are to be identified or areas for the application of policy in the DPD, are you preparing sufficient illustrative material to:</p> <ul style="list-style-type: none"> • enable you to amend the currently adopted policies map? • inform the community about 	<p>Regulations 5 (1)(b) and 9</p>	<p>NPPF para 157</p>	<p>Regulation 2 defines the terms 'submission' and 'adopted' proposals map. A map showing changes to the adopted policies map is part of the proposed submission documents defined in</p>	<p>i. Adopted policies map ii. Any reports on proposals to amend the policies map iii. Illustrative material that shows how the policies map will be amended or replaced</p>	<p>Yes, see draft policies map and consultation material. Also, development principles are set out for sites across the plan area – see plan policies SP5-SP11.</p>



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Activity	Statutory requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
the location of proposals?			Regulation 17.		
14. Are the participation arrangements compliant with the SCI?	The Act, section 19(3) Regulation 18	NPPF paras 150 and 155		i. The SCI ii. Consultation statement	Yes. See Reg 22 Statement of Consultation (March 2018) and Statement of Community Involvement.(March 2018)



Stage four: Publication

Under Regulation 20, the period for formal representations takes place **before** the DPD is submitted for examination in accordance with a timetable set out in the statement of the representations procedure which is made available at the council's office and published on* its website.

When moving towards publication stage, the council should consider the results of participation on the preferred strategy and sustainability appraisal report and decide whether to make any change to the preferred strategy. In the event that changes are required, the council will need to choose either to:

- do so and progress directly to publication

OR

- produce and consult on a revised preferred strategy.

The latter may be appropriate where the changes to the DPD bring in changed policy or proposals not previously covered in community participation and the sustainability appraisal. It avoids having to treat publication as if it were a consultation, which it is not. It also provides insurance in relation to compliance with the Strategic Environmental Assessment Regulations. Legally, during any participation on a revised preferred strategy, you should:

- comply with the requirements of the SCI
- update the sustainability appraisal report.

The council should then produce the DPD in the form in which it will be published. This includes removing material dealing with the evaluation of alternatives and the finalisation of the text. The council should be happy to adopt the DPD in this form, and satisfied that it is sound and fit for examination.

The six weeks publication period is the opportunity for those dissatisfied (or satisfied) with the DPD to make formal representations to the inspector about its soundness. Only people proposing a change to the plan can expect to be heard at examination.

The possibility of change under certain circumstances (which should be exceptional) is allowed for in the new procedures, and is described in 'stage five: submission'.

Stage four: Publication

Activity	Statutory requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
1. Have you prepared the sustainability appraisal report?	The Act section 19(5) Regulation 12 of the Environmental Assessment of Plans and Programmes Regulations 2004 No 1633	NPPF paras 165 - 168 SEA Guide Chapter 5		Sustainability appraisal report	Yes. The Sustainability Appraisal report is published alongside the plan: https://www.cravencd.gov.uk/planning/planning-policy/new-local-plan/
2. Have you made clear where and within what period representations must be made?	Regulation 17, 19, 20 and 35		The period must not be less than 6 weeks from when you publish under Regulations 19 and 35 (see below).	i. Report or record of decisions ii. The statement of community interest	Yes. See https://www.cravencd.gov.uk/planning/planning-policy/new-local-plan/
3. Have you made copies of the following available for	Regulation 19(a)		Regulation 17 gives definitions.	i. Copies of the relevant statements	Yes. Published on website: https://www.cravencd.gov.uk/planning/planning-policy/new-local-plan/



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inspection: <ul style="list-style-type: none"> • the proposed submission documents? • the statement of the representations procedure? 				ii. Report on where and when made available iii. Record of where and when made available	gov.uk/planning/planning-policy/new-local-plan/ Copies issued to libraries and main Council reception.
4. Have you published on your website: <ul style="list-style-type: none"> • the proposed submission documents? • the statement of the representations procedure? • statement and details of where and when documents can 	Regulations 19 and 35		Regulations 2 and 17 give definitions.	Record of publication	Yes: See: https://www.cravencd.gov.uk/planning/planning-policy/new-local-plan/



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be inspected?					
<p>5. Have you sent to each of the specific consultation bodies invited to make representations under Regulation 18(1):</p> <ul style="list-style-type: none"> • A copy of each of the proposed submission documents • The statement of the representations procedure? 	Regulation 19(b)		Regulations 2 and 17 give definitions.	<ul style="list-style-type: none"> i. Copies of correspondence ii. Record of sending 	<p>Yes – see statement of representations procedure.</p> <p>Notification made via mail chimp database.</p>
6. Have you sent to each of the general consultation bodies invited to make	Regulation 19(b)		Regulations 2 and 17 give definitions.	<ul style="list-style-type: none"> i. Copies of correspondence ii. Record of sending 	<p>Yes.</p> <p>See statement of representations procedure.</p> <p>Notification made via</p>



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Activity	Statutory requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
<p>representations under Regulation 18(1):</p> <ul style="list-style-type: none"> • the statement of the representations procedure? • where and when the documents can be inspected? 					<p>mail chimp database and mailing list.</p>
<p>7. Have you requested the opinion of the Mayor of London (if a London Borough or Mayoral DC) on the general conformity of the DPD spatial development strategy?</p>	<p>The Act section 24 Regulation 21</p>		<p>The request must be made on the day you publish the documents under Regulation 19(a) and a response must be made within six weeks from the request (Regulation 21).</p>	<p>Copies of correspondence</p>	<p>Not a London Planning Authority, so not applicable.</p>





Stage five: Submission

At the submission stage, the council should receive and collate any representations made at publication stage. You don't have to report these representations to councillors but there may be requirements deriving from other legislation, Standing Orders or council procedures that must be considered. Or you might just think it is a good idea to report on it anyway.

If they are reported it should be on the facts of the representations made, not the results of a consultation process by the council. They should not be treated as a consultation or an opportunity to make changes or answer representations. NB: under the 2012 Regulations there is no longer any requirement to give notice by local advertisement.

You should ensure you are in legal compliance with the SCI, the Habitats Directive and the Strategic Environmental Assessment Directive in any additional work. Any formal publication of additional or changed matters would need to allow at least a six-week period for representations to be made.

There are different approaches that could be taken to changes. You should be satisfied that you remain fully compliant with the legal requirements if any changes are made (and any consequential effects on the DPD as a whole).

Apart from notification of the examination, this tool does not deal with the legal requirements that need to be followed after submission.

Stage five: Submission

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
1. Has the DPD been prepared in accordance with the LDS? Does the DPD's listing and description in the LDS match the document? Have the timescales set out in the LDS been met?	The Act section 19(1)		The Act section 15(2) sets out the matters specified in the LDS. As at January 2013, no further matters are prescribed in the Regulations.	<ul style="list-style-type: none"> i. The LDS ii. Explanation of any changes from the milestones set out in the LDS iii. Relevant authority monitoring reports 	<p>Yes.</p> <p>See: Local Development Scheme (December 2017)</p>
2. Has the DPD had regard to any sustainable community strategy for its area (like a county and district)?	The Act section 19(2)	NPPF para 182		<ul style="list-style-type: none"> i. The sustainable community strategy(ies) ii. Reference to sections of the DPD showing how regard has been had to them 	<p>Yes. Sustainable Communities Strategies have been superseded by North Yorkshire Partnerships. See Duty to Cooperate statement .</p> <p>http://www.nypartnerships.org.uk/</p>
3. Is the DPD in	The Act		Before the SCI is	i. The SCI	Yes.

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
compliance with the SCI (where one exists)? Has the council carried out consultation as described in the SCI?	section 19(3) Regulation 22(1)(c)		formally amended to take into account the changes in the regulations, you may need to set out how the community engagement that you carried out met the regulations (as amended).	ii. The Regulation 22(1)(c) statement	See Reg 22 Statement of Consultation (March 2018) and Statement of Community Involvement (adopted March 2018). See: https://www.cravendc.gov.uk/planning/planning-policy/new-local-plan/
4. Have you identified and addressed any issues which are likely to have a significant impact on at least two planning areas. In doing so, have you co-operated with other local planning authorities, county councils where they	The Act section 33A(1) and section 20(5)	NPPF paras 181 and 182	Under NPPF para 182, the plan should be based on effective joint working on cross-boundary strategic priorities to be found 'Effective'.	Statement identifying any strategic cross-boundary issues or impacts on county matters addressed in the document and explaining the approach taken to co-operate with the relevant	Yes. See Duty to Cooperate Statement (March 2018) and supporting Appendices. Memoranda of understanding entered into with Yorkshire Dales National Park Authority and South Pennine Authorities.

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
<p>are not a planning authority, LEPs, LNPs and the prescribed bodies in identifying and addressing any strategic cross-boundary issues</p> <p>If you have not agreed on the approach is there a justification?</p>				<p>bodies.</p> <p>Supporting correspondence and reports e.g. Memorandum of Understanding, shared and agreed evidence</p>	
<p>5. Has the DPD been subject to sustainability appraisal?</p> <p>Has the council provided a final report of the findings of the appraisal?</p>	<p>The Act section 19(5)</p> <p>Regulation 22(1)(a)</p>	<p>NPPF para 165</p> <p>SEA Practical Guide, chapter 5</p>		<p>Sustainability appraisal report</p>	<p>Yes. See Sustainability Appraisal Report (March 2018.)</p>
<p>6. Is the DPD to be submitted consistent with national policy?</p>	<p>The Act section 19(2) and Schedule 8</p>	<p>NPPF para 151</p>		<p>i. Correspondence with PINS?</p> <p>ii. PAS Soundness</p>	<p>Yes. See soundness self-assessment checklist.</p>



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Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
				self assessment checklist	
<p>7. Does the DPD contain any policies or proposals that are not in general conformity with the regional strategy where it still exists? If yes, is there local justification?</p> <p>If the LPA is a London borough or a mayoral development corporation has it requested an opinion from the Mayor of London on the general conformity of the plan with the spatial development</p>	<p>The Act section 24(1)(a) and 24(4)</p> <p>Regulation 21</p>	<p>NPPF para 218 footnote 41</p>	<p>In London the requirement is for general conformity with the spatial development strategy (The London Plan).</p>	<p>i. Correspondence with or representations from Mayor of London (where appropriate)</p> <p>ii. Confirmation of (where appropriate) conformity from the Mayor or that no Regional Strategy is in place</p>	<p>No. RSS is revoked.</p>

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
strategy?					
<p>8. Has the council published the prescribed documents, and made them available at their principal offices and their website?</p> <p>Has the council notified the relevant statutory and non-statutory bodies, and all persons invited to make representations on the plan?</p> <p>Does the DPD contain a list of superseded saved policies?</p>	<p>The Act section 20(2), 20(3) and 20(5)(b)</p> <p>Regulations 8 and 19</p>	<p>NPPF para 182</p>	<p>Requirements relating to publication of the prescribed documents are listed later in this table.</p>	<p>i. The documents prescribed at Regulation 22(1)</p> <p>ii. Relevant authority monitoring reports</p> <p>iii. Records of the actions undertaken (see below)</p>	<p>Yes, see: https://www.cravendc.gov.uk/planning/planning-policy/new-local-plan/</p>
9. Are there any	Regulations			i. Submission	Yes:

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
<p>policies applying to sites or areas by reference to an Ordnance Survey map or to amend an adopted policies map?</p> <p>If yes, have you prepared a submission policies map?</p>	<p>5(1) (b), 9(1), 17 & 22(1)</p>			<p>policies map</p> <p>ii. Brief statement if a submission policies map is not required</p>	<p>https://www.cravencdc.gov.uk/planning/planning-policy/new-local-plan/</p> <p>See submission policies map.</p>
<p>10. Is the DPD consistent with any other adopted DPDs for the area? If the DPD is intended to supersede any adopted development plan policies, does it state that fact and identify the superseded policies?</p>	<p>Regulation 8(3) and (4)</p> <p>Regulation 8(5)</p>		<p>Development Plan is defined in Section 38 of the Act.</p>	<p>i. The core strategy</p> <p>ii. Documents or reports demonstrating conformity</p>	<p>Yes. The 1999 adopted local plan is to be superseded and replaced by the new Craven Local Plan. All policies to be superseded.</p> <p>Statement to be prepared.</p> <p>https://www.cravencdc.gov.uk/planning/planning-policy/new-local-plan/</p>



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Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
11. Have you prepared a statement setting out: <ul style="list-style-type: none"> • Which bodies and persons were invited to make representations under Regulation 18? • How they were invited? • A summary of the main issues raised? • How the representations have been taken into account? 	The Act section 20 (3) Regulation 22(1)(c)		This will bring forward material from the Consultation statement (see Stage 2 above).	i. Consultation statement ii. The Statement as required in Regulation 22(1)(c)	Yes: See Reg 22 Statement of Consultation (March 2018) https://www.cravendc.gov.uk/planning/planning-policy/new-local-plan/
12. Have you prepared a statement giving: <ul style="list-style-type: none"> • the number of representations made under Regulation 22? 	The Act section 20(3) Regulation 22(1)(c)			The Statement as required in Regulation 22(1)(c)	Yes. See Reg 22 Statement of Consultation.(March 2018) https://www.cravendc.gov.uk/planning/planning-policy/new-local-plan/



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Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
<ul style="list-style-type: none"> a summary of the main issues raised? OR <ul style="list-style-type: none"> that no representations were made? 					
13. Have you collected together all the representations made under Regulation 28?	The Act section 20(3) Regulation 22(1)(e)			Copies of the representations	Yes: https://www.cravendc.gov.uk/planning/planning-policy/new-local-plan/
14. Have you assembled the relevant supporting documents?	The Act section 20(3) Regulation 22(1)(g)			All necessary evidence and records of decisions relevant to the DPD	Yes: https://www.cravendc.gov.uk/planning/planning-policy/new-local-plan/
15. Has your council approved the DPD for submission?			Check the LPA's constitution/standing orders for the authorisation	Report and resolution of the appropriate council body	Yes: Council resolution: CL. 1002, 19 th December 2017.



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Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
			process appropriate for the type of DPD.		
<p>16. Have you sent the Secretary of State (the Planning Inspectorate) both a paper copy and an email of the following:</p> <ul style="list-style-type: none"> • the DPD? • the submission policies map (unless there are no site allocation policies)? • the documents prescribed in Regulation 22(1)? 	<p>The Act section 20(1) and 20(3)</p> <p>Regulations 22(1) and 22(2)</p>		<p>Regulation 35 deals with the availability of documents and the time of their removal.</p> <p>Electronic copies of some of the representations and supporting documents may not be practicable.</p> <p>Regulation 35 deals with the availability of documents and the time of their removal.</p>	<p>i. Record of sending</p> <p>ii. Reasons why documents cannot be sent electronically</p>	<p>Yes.</p> <p>Paper copy of plan and submission policies map sent 28.03.2018 by courier.</p> <p>Electronic copies of plan, submission policies map, and documents prescribed in Regulation 22(1) provided on memory stick and sent 28.03.2018 by courier.</p>
<p>17. Have you made the following available</p>	<p>Regulation 22(3)</p>		<p>You should do this as soon as</p>	<p>Record of where and when made</p>	<p>Yes. See website</p>



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at the same places where the proposed submission documents were to be seen: <ul style="list-style-type: none"> • The DPD? • The documents prescribed in Regulation 22(1)? 			reasonably practicable after submission.	available	https://www.cravendc.gov.uk/planning/planning-policy/new-local-plan/ Copies also made available at Council reception and Libraries as soon as practicable.
18. On your website, have you published the: <ul style="list-style-type: none"> • DPD? • submission policies map? • sustainability appraisal report? • Regulation 22(1)(c) statement? • supporting documents (where 	Regulation 22(3) and 35(1)(b)		You should do this as soon as reasonably practicable after submission.	Record of publication	Yes: See: https://www.cravendc.gov.uk/planning/planning-policy/new-local-plan/



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Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
<p>practicable) ?</p> <ul style="list-style-type: none"> representations made under Regulation 20 (where practicable) ? statement as to where and when the DPD and the documents are available? 					
<p>19. For each general consultation body invited to make representations under Regulation 18(1), have you sent:</p> <ul style="list-style-type: none"> notification that the documents prescribed in Regulation 22(3)(a)(i)-(iii) are available for 	<p>Regulation 22(3)(b)</p>		<p>You should do this as soon as reasonably practicable after submitting to the Secretary of State.</p>	<ul style="list-style-type: none"> i. Copies of correspondence ii. Record of sending 	<p>Yes. https://www.cravencdc.gov.uk/planning/planning-policy/new-local-plan/</p>



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Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence	CDC Evidence
inspection <ul style="list-style-type: none"> • where and when they can be inspected? 					
20. Have you given notice to persons who have requested to be notified that submission has taken place?	Regulation 22(3)(c)		You should do this as soon as reasonably practicable after submitting to the Secretary of State.	i. Copies of correspondence ii. Record of sending	Yes. Notification correspondence issued, via Mailchimp and notification database.
21. If an examination is being held, at least six weeks before its opening has the Programme Officer: <ul style="list-style-type: none"> • published the time and place of the examination and the name of the person appointed to carry out the examination on your website? 	The Act section 20 Regulations 24 and 35			i. Record of publication of information ii. Record of sending iii. Copies of correspondence iv. Copy of advertisement	To be completed at the appropriate time.



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<ul style="list-style-type: none">notified those who have made representations on the published DPD which have not been withdrawn of these details?					