



Validation of Planning Applications 2016

Version 1.1 (Issued October 2016)

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1. Background to the Tyne & Wear Validation List

- 1.1 As part of the drive to provide a quicker, more predictable and efficient planning service, the Government introduced new information requirements for the validation of planning applications by Local Planning Authorities in 2007.
- 1.2 The first Tyne & Wear Validation List was adopted in 2008. In March 2010 The Government produced “guidance on information requirements and validation” and in response to this the Tyne & Wear Authorities worked together to update their requirements lists and the second version of the Tyne & Wear List was adopted in 2011 and third version in 2013. Sunderland has now opted for its own listed from July 2016.
- 1.3 Local lists can be a very useful guide, helping applicants establish the information the local authority will require to validate a planning application. An up to date local list can give applicants certainty about what information is necessary at an early stage in the design process, reducing delays at the validation stage.
- 1.4 Paragraph 193 of the National Planning Policy Framework makes it clear that local planning authorities should only request supporting information that is relevant, necessary and material to the application. The government has made clear that they want this principle to apply to every piece of information requested by the authority. The Tyne and Wear councils are mindful of this both in terms of reviewing the validation list and in terms of its actual usage. Government is also introducing provisions to ensure that Councils review local lists at least every two years.

2. Changes between the 2013 and the 2016 versions

- 2.1 This new version does not change either the list of national validation (items 1 to 8) or local validation information requirements (items 9 to 31) that were included in the 2011 version. Local validation information requirements (items 8 to 31) that were included in the 2013 version are largely unchanged. An additional requirements relating to daylight/sunlight and microclimate HRA and SUDs considerations have been added.
- 2.2 It does, however, include updates to reflect changes to planning policy, either nationally due to the publication of the National Planning Policy Framework, or locally where there have been advances in each council’s local development plan. Also, there have been some general revisions to the text to improve its clarity.

3. Consultation

- 3.1 Sunderland Local Planning Authority has now reviewed the local and now has an independent list from the other Tyneside authorities.

- 3.2 The Local Planning Authority has consulted regular service users (agents) and statutory consultees. Emails were sent out to inform them of the consultation period, which was open for comments between 1st July 2016 and 30th July 2016. As well as various internal services have been asked to comment on the lists for their area of expertise.

4. Variances

- 4.1 Sunderland Local list is now independent from the other Tyneside Local Planning Authorities.

5. Discretion

- 5.1 It is extremely difficult to create a “one size fits all” list for all development types and as such the wording of the document allows discretion for Sunderland to seek, or not to seek, an information requirement depending on the nature of the development and the site. Information requests by the Councils in terms of information requested in order to validate applications will be reasonable, having regard to the nature and scale of the proposed development and information requests will relate to matters that it is reasonable to think will be a material consideration in the determination of the application.
- 5.2 We would strongly encourage pre-application discussions where you are in any doubt and for complex and major schemes it is recommended you seek pre-application advice in any case.

6. Review

- 6.1 Despite best intentions there may be anomalies in the list, areas where it does not work as well as intended and also the potential for a variance in interpretation from those using the list.
- 6.2 Please note that the Sunderland City Council may need to update and make changes to this publication to comply with legislative changes. Should this occur we will seek to update it on our websites as soon as practicable. Please be aware of this limitation should you choose to print a copy of this publication.

7. Using the Checklists

- 7.1 In relation to the local list, criteria are included, wherever possible, to indicate when local list requirements will be triggered. Much however is dependent on the location of development, its size, scale and nature/character and/or its impact on local amenities and the environment and the requirements are not

prescriptive in every case. Links to other sources of information and guidance are provided to assist in determining when additional information is required.

- 7.2 Clearly there are some circumstances where applicants will need to discuss the local list requirements with the LPA before submitting an application. Applicants are strongly encouraged to do this because **if an application lacks the information specified by the Government and in the LPA's published lists, the LPA will in general be entitled to invalidate the application and so decline to determine it.**
- 7.3 Where the application is not accompanied by the information required by the LPA, the applicant should provide written justification as to why it is not appropriate in the particular circumstances.
- 7.4 Where an application is considered to be invalid, the LPA will write to explain what information is required, why any missing information is required and indicate a time period within which this must be provided.
- 7.5 Where an application is initially considered to be valid but it is later discovered to be invalid, it will be put on hold until such time as the required information is submitted. On receipt of the information the determination period for the application will be restarted.
- 7.6 The Government recognises that the recommended list which it has drawn up will not cater for all the wide and varied specific local requirements of every LPA and applicants may still be asked to provide additional information by any LPA after an application has been validated. The government has introduced provisions within the appeals system for an appeal to be made on grounds of non determination where there is an outstanding disagreement between an applicant and a Council over the level of information required in order to validate an application. It is hoped however that such provisions would only be required as a matter of last resort.

8. Pre-application Advice

- 8.1 In all but the most straightforward cases, the planning application process will be more efficient if applicants have sought advice about a proposed development and the information that will be expected to be submitted with an application, before making any application.
- 8.2 Pre-application discussions are therefore an important stage in ensuring that applications are complete in terms of their information requirements. The Government recommends that LPA and applicants should take a positive attitude towards pre-application discussions so that formal applications can be dealt with in a more certain and speedy manner and the quality of decisions can be better assured. In addition to addressing the information requirements of formal applications, pre-application discussions can bring about a better mutual understanding of the planning history, policies, objectives and constraints that apply to the particular site and assist in proposals being

adapted to better reflect community aspirations. They can also assist applicants by clarifying and narrowing down the information required to support a planning application. This will have the advantage of avoiding unnecessary work and expenditure and minimising delay in the handling of your application.

- 8.3 Please call visit the planning pages of the Council's website to find out more about the range of pre-application services available, including any charges that may apply for using them.

9. Local Planning Authority Contact

| Council | Phone | Email / Website |
|-------------------------|-----------------|--|
| Sunderland City Council | (0191) 520 5551 | dc@sunderland.gov.uk www.sunderland.gov.uk |

Appendix 1

National and Local Validation Requirement Notes to accompany checklists

National Validation Requirements

1. Completed Application Form

All of the relevant questions should be responded to, or the words “Not Applicable” or N/A should be inserted for clarity. See: “4. Ownership Certificates” below with regard to certificates on the form.

The Government wishes to encourage the submission of applications electronically wherever possible, as this provides opportunities for streamlining procedures and reducing costs. Electronic applications may be made via the Planning Portal www.planningportal.co.uk

Where applicants wish to make application in paper form, the original of the completed application form, plus two additional copies must be submitted. The same applies to all other plans and information that accompanies an application submitted in paper form i.e. a total of three sets are required for the application to be valid.

2. Location Plan

All applications must include copies of a location plan based on an up-to-date map. This should be at an identified standard metric scale (1:1250 or 1:2500). The location plan should identify sufficient roads and/or buildings on land adjoining the application site to ensure that the exact location of the application site is clear.

The application site should be edged clearly with a red line. It should include all land necessary to carry out the proposed development – for example, land required for access to the site from a public highway, visibility splays, landscaping, car parking and open areas around buildings.

A blue line should be drawn around any other land owned or controlled by the applicant, close to or adjoining the application site.

Ordnance Survey plans can be provided by any of the LPAs. There is a charge for this service. Applicants should note that the copying of Ordnance Survey plans by unauthorised persons is an infringement of copyright.

3. Site Plan (Existing and Proposed)

All applications should normally include existing and proposed site plans at a standard metric scale (typically 1:100 or 1:200).

The site plan(s) should be numbered.

An existing site plan should accurately show:

- The direction of north;
- The footprint of all existing buildings on site with written dimensions and distances to the site boundaries.

The following information should also be shown, **unless these would not influence or be affected by the proposed development:**

- All the buildings, roads and footpaths on land adjoining the site including access arrangements;
- All public rights of way crossing or adjoining the site;
- The position of all existing trees on the site, and those on adjacent land;
- The extent and type of any hard surfacing;
- Boundary treatment including the type and height of walls or fencing.

A proposed site plan should accurately show:

- The direction of north;
- The footprint of the proposed development (where applicable) and all buildings to be retained with written dimensions and distances to the site boundaries.

The following information should also be shown, **unless these would not influence or be affected by the proposed development:**

- All the buildings, roads and footpaths on land adjoining the site including access arrangements;
- All public rights of way crossing or adjoining the site;
- The position of all proposed trees and those to be retained on the site, and those on adjacent land;
- The extent and type of any hard surfacing;
- Boundary treatment including the type and height of walls or fencing.

4. Ownership Certificates (A, B, C or D as applicable)

The relevant certificates concerning the ownership of the application site must accompany all forms of applications.

For this purpose an 'owner' is anyone with a freehold interest or a leasehold interest if the unexpired term of which is not less than 7 years.

- Certificate A must be completed when the applicant is the sole owner of the site.
- Certificate B must be completed when the applicant is not sole owner of the site but all of the owner(s) of the site are known. The applicant needs to serve written notice on the person(s) who, on the day 21 days before the date the application is submitted was an owner of any part of the land to which the application relates. A copy of this notice must be sent to the LPA (included in the planning application).
- If Certificate B has been completed, the applicant needs to serve written notice on the person(s) who on the day 21 days before the date the application is submitted was an owner of any part of site (apart from the applicant). A copy of this notice must be included with the planning application.
- Certificate C must be completed when some of the owners of the site are known but not all.

If Certificate C has been completed, written notice must be served on the known owners of the site in question in the same way as the procedure under Certificate B and a copy sent to the LPA with the planning application.

There is also a requirement for the applicant to advertise the proposal in a local newspaper and this must not take place earlier than 21 days before the date of the application.

- Certificate D must be completed when none of the owners of the site are known.

If Certificate D has been completed, the applicant is required to give notice of the proposal in a local newspaper. This must not take place earlier than 21 days before the date of the application and a copy of the notice must be included with the planning application

The relevant notice templates are available from the Planning Portal website.

For householder applications use:

https://ecab.planningportal.co.uk/uploads/1app/notices/householder_notice.pdf

For other applications use:

<https://ecab.planningportal.co.uk/uploads/1app/notices/notice1.pdf>

<https://ecab.planningportal.co.uk/uploads/1app/notices/notice2.pdf>

5. Agricultural Land Declaration

All agricultural tenants on a site must be notified prior to the submission of a planning application. Applicants must certify that they have notified any agricultural tenants about their application, or that there are no agricultural tenants on the site. The certificate is required whether or not the site includes an agricultural holding. It is incorporated into the standard application form, and must be signed in order for the application to be valid.

No agricultural land declaration is required if the applicant is making an application for the approval of reserved matters, renewal of temporary planning permission, discharge or variation of conditions, tree preservation orders, conservation area consent for demolition, listed building consent, a lawful development certificate, prior notification of proposed agricultural or forestry development, a non-material amendment to an existing planning permission, or express consent to display an advertisement.

6. The correct fee

Most applications incur a fee and they cannot be validated without the correct fee being paid.

The Planning Portal includes a fee calculator and a fee schedule for applicants, although each Local Planning Authority is able to advise applicants on specific cases and payment methods. These can be found at:

https://www.planningportal.co.uk/info/200126/applications/59/how_to_apply/7

Note: For the purposes of fee calculation floor space is taken to be the gross amount (all storeys, including basements and garaging) to be created by the development. This is an external measurement including thickness of external and internal walls..

7. Summary of application documents (if required)

When is this required?

For major planning applications, which are defined as below where the supporting information would exceed 100 pages.

- the winning and working of minerals or the use of land for mineral-working deposits;
- waste development;
- the provision of dwellinghouses where
 - (i) the number of dwellinghouses to be provided is 10 or more; or
 - (ii) the development is to be carried out on a site having an area of 0.5 hectares or more and it is not known whether the development falls within sub-paragraph (c)(i);
- the provision of a building or buildings where the floor space to be created by the development is 1,000 square metres or more; or
- development carried out on a site having an area of 1 hectare or more;

If an application is not classified as a major but is accompanied by more than 100 pages of supporting documents, a summary document would be useful but is not essential.

What information is required?

This summary should not exceed 20 pages and should include an overview of the proposal, a clear description of its impacts and any mitigation measures proposed. The aim of this document is to introduce the scheme to parties who are not familiar with the details of the proposed development.

If the development is subject to Environmental Impact Assessment (EIA), there is no need to summarise the findings of the Environmental Statement non-technical summary.

8. Design and Access Statement (if required)

When is this required?

- The provision of dwellinghouses where -
 - (i) the number of dwellinghouses to be provided is 10 or more; or
 - (ii) the development is to be carried out on a site having an area of 0.5 hectares or more and it is not known whether the development falls within (i);
- The provision of a building or buildings where the floor space to be created by the development is 1,000 square metres or more;
- Development carried out on a site having an area of 1 hectare or more (excluding minerals, mining or waste development applications)
- In World Heritage Sites or in a conservation areas;
 - i. the provision of one or more dwellinghouse
 - ii. the provision of a building (or extension) where the proposed floor space is more than 100 square metres;

- Applications for listed building consent

What information is required?

A Design and Access Statement sets out the design principles and concepts that have been applied to the development and how issues relating to access to the development have been dealt with.

For Planning Applications they must:

- Explain the design principles and concepts that have been applied to the development;
- Demonstrate the steps taken to appraise the context of the development and how the design of the development takes that context into account;
- Explain the policy adopted as to access, and how policies relating to access in relevant local development documents have been taken into account;
- State what, if any, consultation has been undertaken on issues relating to access to the development and what account has been taken of the outcome of any such consultation; and
- Explain how any specific issues which might affect access to the development have been addressed.
- A description of any heritage asset affected, including any contribution made by their setting and the contribution made by the development to local character and distinctiveness
-

For Listed Building Consent applications they must:

- Explain how the design principles and concepts that have been applied to the works take account of:
 - The special architectural or historic importance of the building;
 - The particular physical features of the building that justify its designation as a listed building;
 - The building's setting.

Where appropriate a Design and Access Statement may also include a Heritage Statement (see requirement 16).

Outline Planning Applications

An outline planning application is a means of establishing the principle of a proposed development without having to supply all of the details. The grant of outline planning permission will then be conditional upon the subsequent approval of details of 'reserved matters' – as defined below.

The government has set down the minimum level of information that must be submitted with outline applications, as follows:-

- **Use** – the use or uses proposed for the development and any distinct development zones within the application site.
- **Amount of development** – the amount of development for each use.
- **Indicative access points** – an area or areas in which access point or points to the site will be situated.

An outline application may also contain details and seek approval of one or more of the reserved matters, but at least one must be reserved for later approval. It should be noted that for an outline application it is necessary to indicate access points on the submitted plans even if access will be a reserved matter.

Reserved Matters Applications

Reserved matters are defined by the government as follows:-

- **Layout** – the way in which buildings, routes and open spaces are provided within the development and their relationship to buildings and spaces outside the development.
- **Scale** – the height, width and length of each building proposed in relation to its surroundings.
- **Appearance** – the aspects of a building or place which determine the visual impression it makes. This includes the external built form of the development, its architecture, materials, decoration, lighting, colour and texture.
- **Access** – the accessibility to and within the site for vehicles, cycles and pedestrians in terms of the positioning and treatment of access and circulation and how these fit into the surrounding network.
- **Landscaping** – this is the treatment of private and public space to enhance or protect the amenities of the site through hard and soft measures. This may include, for example, planting of trees or hedges, screening by fences or walls, the formation of banks or terraces, or the layout of gardens, courts or squares.

(N.B. For applications for approval of reserved matters pursuant to outline permissions where the outline application was submitted prior to 10 August 2006, the relevant reserved matters are sitting, design, external appearance, means of access and the landscaping of the site.)

Local Validation Requirements

9. Application Plans

When is this required?

- Elevation plans should be submitted for all applications where external alterations are proposed;
- Floor plans, Site Sections and Site Levels should be submitted for applications where this would be expected to add to the understanding of the proposal;
- Roof Plans should be submitted where there is an alteration to an existing roof or otherwise where this is expected to add to the understanding of the proposal.

What information is required?

All plans should be numbered.

(a) Existing and Proposed Elevations

The drawings of the elevations should be at a scale of 1:50 or 1:100 and all external sides of the proposal must be shown, along with the proposed building materials and the style, materials and finish of windows and doors where possible. Where a proposed elevation adjoins another building/structure or is in close proximity the drawing should clearly show the relationship between the two buildings/structures and detail the positions of any openings on each property. Proposed blank elevations must also be included, if only to show that this is in fact the case.

(b) Existing and Proposed Floor Plans

The submitted drawings should be at a scale of 1:50 or 1:100 and should explain the proposal in detail. Where existing buildings or walls are to be demolished, these should be clearly shown. The proposed development should be shown in context with the site boundary and any existing adjacent buildings including property numbers/names where appropriate.

(c) Existing and Proposed Site Sections and Site Levels

Section drawings should be drawn at a scale of 1:50 or 1:100 showing how the proposed development relates to existing site levels and adjacent land (with levels related to a fixed datum point off site).

(d) Roof Plan

A roof plan is used to show the shape of the roof, its location, and specifying the roofing material to be used, and should be drawn to a scale of 1:50 or 1:100.

For applications for advertisement consent only:

The following should be submitted:

- A proposed site plan to a scale of either 1:100 or 1:200 showing the direction of north, all buildings on site, and the position of the advert(s) with written dimensions and distances to the site boundaries as a minimum;
- Plans of the advert(s) to a scale of 1:50 or 1:100 showing their size, position on buildings or land, height above ground level, extent of projection, sections, materials, colours and method of fixing;
- Details of means of illumination where applicable.

Advertisement consent applications may also include existing and proposed photomontages to supplement scaled plans.

10. Affordable Housing Statement

When is this required?

All applications for housing development of 15 units or more.

What information is required?

This statement should clearly identify the following points:

- Is affordable housing to be provided? If not then what is the justification? (ie financial viability)
- Will it be provided a) on site, b) off site or c) by way of financial contribution? If b) or c) why will it be provided in this way?
- What type of units will be affordable (e.g. houses, apartments) and how many bedrooms will they have?
- What type of affordable housing is being provided? (eg social rented or intermediate - see Planning Policy Statement 3 for definitions)
- How will the affordable housing be affordable to those on lower incomes or in receipt of housing benefit? (see Housing market Information note: CLG May 2007).

For full or reserved matter applications, there should be clarification **on the plans** as to the location of the affordable units.

A Draft Heads of Terms for a Section 106 Agreement should also confirm the provision of affordable housing, its delivery and its retention in perpetuity.

Please seek pre-application advice from the Local Planning Authority for further details on what provisions would be required.

Policy Background

Government policy or guidance:

- National Planning Policy Framework - paragraphs 47 and 50
- Housing Market Information advice note: CLG May (2007)
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/11498/322999.pdf
- Strategic Housing Market Assessments Practice Guidance (July 2007)
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/11500/399267.pdf

Local Development Framework:

No Policy

Unitary Development Plan:

- Policy H16

11. Air Quality Assessment

When is this required?

The following criteria are provided to help establish when an air quality assessment is likely to be considered necessary;

- 10 or more residential units or a site area of more than 0.5ha
- more than 1,000 m² of floor space for all other uses or a site area greater than 1ha
- Coupled with any of the following:
 - the development has more than 10 parking spaces
 - the development will have a centralised energy facility or other centralised combustion process

Additionally, an air quality impact assessment will be required where the proposal will;

| Indicative criteria to progress to an air Quality Assessment: | |
|---|--|
| Cause a significant change in Light Duty Vehicle (LDV) traffic flows on local roads with relevant receptors. (LDV = cars and small vans <3.5t gross vehicle weight) | A change of LDV flows of: <ul style="list-style-type: none"> • more than 100 AADT within or adjacent to an AQMA • more than 500 AADT elsewhere |
| Cause a significant change in Heavy Duty Vehicle (HDV) flows on local roads with relevant receptors. (HDV = goods vehicles + buses >3.5t gross vehicle weight) | A change of HDV flows of <ul style="list-style-type: none"> • more than 25 AADT within or adjacent to an AQMA • more than 100 AADT elsewhere |
| Realign roads, i.e. changing the proximity of receptors to traffic lanes | Where the change is 5m or more and the road is within an AQMA |
| Introduce a new junction or remove an existing junction near to relevant receptors. | Applies to junctions that cause traffic to significantly change vehicle accelerate/decelerate, e.g. traffic lights, or roundabouts |
| Introduce or change a bus station | Where bus flows will change by: <ul style="list-style-type: none"> • more than 25 AADT within or adjacent to an AQMA • more than 100 AADT elsewhere |
| Have an underground car park with extraction system | The ventilation extract for the car park will be within 20 m of a relevant receptor Coupled with the car park having more than 100 movements per day (total in and out) |
| Have one or more substantial combustion processes | Where the combustion unit is: <ul style="list-style-type: none"> • any centralised plant using bio fuel • any combustion plant with single or combined thermal input >300kW a standby emergency generator associated with a centralised energy centre (if likely to be tested/used >18 hours a year) |

| | |
|--|---|
| <p>Have a combustion process of any size</p> | <p>Where the pollutants are exhausted from a vent or stack in a location and at a height that may give rise to impacts at receptors through insufficient dispersion. This criterion is intended to address those situations where a new development may be close to other buildings that could be residential and/or which could adversely affect the plume's dispersion by way of their size and/or height</p> |
|--|---|

If further details or clarification are required on whether an air quality assessment is required please contact the Local Planning Authority.

What information is required?

The purpose of an air quality assessment is to demonstrate the likely changes in air quality or exposure to air pollutants, as a result of a proposed development. There are three basic steps in an assessment:

- Assess the existing air quality in the study area (existing baseline);
- Predict the future air quality without the development in place (future baseline);
- Predict the future air quality with the development in place (with development).

The report should also contain (but not be limited to) the following information:

- a. Relevant details of the proposed development
- b. The policy context for the assessment.
- c. Description of the relevant air quality standards and objectives
- d. The basis for determining significance of effects arising
- e. Details of the assessment methods.
- f. Model verification.
- g. Identification of sensitive locations.
- h. Description of baseline conditions.
- i. Assessment of impacts. Results of modelling the 'with
- j. Description of construction phase impacts.
- k. Cumulative impacts and effects.
- l. Mitigation measures.
- m. Summary of the assessment results.

Policy Background Government Policy or Guidance

- National Planning Policy Framework (NPPF) – paragraphs 123 and 124
- NPPF Technical Guidance – flood risk and mineral policy

<https://www.gov.uk/government/publications/national-planning-policy-frameworktechnical-guidance>

- Land-Use Planning & Development Control: Planning For Air Quality, Guidance from Environmental Protection UK and the Institute of Air Quality Management for the consideration of air quality within the land-use planning and development control processes, May 2015 (v1.1)
<http://www.iaqm.co.uk/text/guidance/air-quality-planning-guidance.pdf>

12. Archaeological Assessments

When is this required?

Archaeological desk based assessment

- Proposals on or near Scheduled Ancient Monuments;
- Proposals affecting sites identified on the Tyne & Wear Historic Environment Record <http://www.twsitelines.info/>
- Greenfield sites of 1ha or more in size.

Exceptions: Householder extensions and also any development with no ground intrusion.

Archaeological Evaluation Report (fieldwalking, earthwork survey, geophysical survey and/or trial trenching)

All applications involving new builds where one of the following would apply:

- Proposals affecting Scheduled Ancient Monuments;
- Proposals affecting sites identified on the Tyne & Wear Historic Environment Record;
- Greenfield sites of 1 hectare or more in size.

Archaeological Building Assessment and Recording

- Proposals on or adjacent to sites identified on the Tyne & Wear Historic Environment Record;
- Applications for the demolition, substantial repair or alteration of historic buildings (19th century or earlier), and other listed buildings, locally listed buildings and unlisted buildings within a Conservation Area. The types of building which warrant assessment include churches, farms, houses, industrial buildings, public houses and schools;
- Proposals affecting buildings or structures identified on the Tyne & Wear Historic Environment Record.

What information is required?

Archaeological desk based assessment

The County Archaeologist will provide a specification for the desk based assessment for the applicant which sets out what is required.

The assessment must be produced by an experienced professional archaeologist. The archaeological desk based assessment is an assessment of the known or potential archaeological resource within and around the development site. It consists of a collation of existing written, graphic, photographic and electronic information in order to identify the likely character, extent, quality and worth of the known or potential archaeological resource within the development site. The Local Planning Authority will use the assessment to appraise the likelihood that archaeological features survive within the site and to determine if further archaeological fieldwork is required.

Archaeological Evaluation Report (fieldwalking, earthwork survey, geophysical survey and/or trial trenching)

The County Archaeologist will provide a specification for the evaluation for the applicant which sets out what is required.

The evaluation must be undertaken by an experienced professional archaeologist. Archaeological field evaluation is a limited programme of fieldwork which determines the presence or absence of archaeological features, structures, deposits, artefacts or ecofacts within the development site. It can take the form of fieldwalking, geophysical survey and trial trenching.

Where remains are present the field evaluation defines their character, extent, quality and preservation and enables an assessment of their worth.

Archaeological Building Assessment and Recording

Standing buildings, structures and complexes form part of the archaeological resource and should be treated in an equivalent manner to other parts of the resource.

The County Archaeologist will provide a specification for the building assessment and recording for the applicant which sets out what is required.

The assessment and recording must be undertaken by an experienced professional archaeologist or buildings historian. This is a programme of work to establish the character, history, dating, form and archaeological development of a specified building, structure or complex and its setting.

The purpose of the recording is not only to provide an archive record of the building as it is, but also to advise the proposed scheme by identifying those parts of the building which are most significant and should be retained in the conversion process. It will be used to formulate a strategy for the conservation, alteration, demolition,

repair or management of a building and to seek a better understanding, compile a lasting record, analyze the findings and then disseminate the results.

Policy Background

Government policy or guidance:

- National Planning Policy Framework – Section 12 – Conserving and Enhancing the Historic Environment
- National Planning Practice Guidance – Conserving and enhancing the historic environment section.
- Historic England Good Practice in Planning Notes 1,2 and 3;
- <https://historicengland.org.uk/images-books/publications/pps-practice-guide/>

Local Development Framework:

No Policy

Unitary Development Plan:

B12, B13, B14, B15, B16 ,B17 and B18

Area specific requirements and further information:

- Jennifer Morrison, Tyne and Wear Archaeology Officer tel. (0191) 2816117 or email jennifer.morrison@newcastle.gov.uk
- <https://historicengland.org.uk/listing/selection-criteria/listing-selection/>

13. Coal Mining Risk Assessment / Mineral Safeguarding

When is this required?

This is normally only required for development in Coal Mining Development High Risk Areas with the exception of householder extensions or alterations, changes of use and shop front alterations. A link is attached below to the map showing these areas.

What information is required?

There is a legacy of past coal mining activity in the region. In order to ensure coal mining related land stability issues are assessed in planning applications, a Coal

Mining Risk Assessment is required. The Coal Mining Risk Assessment should be prepared by a competent person and should address the following issues:

- 1 Site specific coal mining information
Including past/present/future underground mining, shallow coal workings (recorded or probable), mine entries (shafts and adits), mine gas, current licensed areas for coal extraction, any geological features, any recorded surface hazards, past/present surface mining sites (past sites may have used the old style opencast extraction methods);
- 2 Identify what risks these coal mining features including cumulative effects pose to the new development
- 3 Identify how coal mining issues have influenced the proposed development scheme eg layout and what mitigation measures will be required to manage those issues and or whether any changes have been incorporated into the development proposals
- 4 Confirm whether the prior written permission of the coal authority will be required for the site investigation and or mitigation works and indicate when this permission will be sought

Policy Background

Government policy or guidance:

- National Planning Policy Framework - paragraphs 109 120 and 121
- National Planning Practice Guidance – Land Stability section

Local Development Framework

- No Policy

Unitary Development Plan:

- M5

Area specific requirements and further information:

- Coal Authority planning service
<https://www.gov.uk/guidance/planning-applications-coal-mining-risk-assessments>

- Maps of Coal Mining Development High Risk Areas.

<https://www.gov.uk/government/collections/coalfield-plans-for-local-planning-authority-areas>

14. Ecological Survey Assessment and Mitigation Report & Protected Species Survey

The planning authority has a duty to consider the conservation of biodiversity when determining a planning application; this includes having regard to the safeguard of species protected under the European Habitats Directive 92/43/EEC, the Wildlife and Countryside Act 1981 (amended), the Conservation (Natural Habitats, etc) Regulations 1994 (amended), the Badger Act 1992 and Hedgerow Regulations 1997 as well as to safeguard designated sites and priority habitats including those habitats and species identified as priorities under 'Priority species and habitats as defined under the Natural Environment and Rural Communities Act 2006 and in the Local Biodiversity Action Plan.

When could these be required?

Applications that involve the change of use modification/demolition (including in part) of the following:

-
- Permanent agricultural buildings
- Buildings with weather boarding, wooden cladding and/or hanging tiles within 200m of woodland or water
- Pre-1960 buildings within 200m of woodland or water
- Pre 1919 buildings within 400m of woodland or water
- Buildings / structures of any age within or immediately adjacent to woodland and / or immediately adjacent to water
- Tunnels, mines, kilns, ice houses, adits, military fortifications, air raid shelters, cellars and similar underground ducts and structures
- Bridges, aqueducts and viaducts
- Buildings known to support roosting bats.

It is however recognised that bats may still be found in other situations that are not covered by the above. Disturbance of roosts or harm to bats in these other situations is still a criminal offence.

Applications that would affect the following must provide a protected species survey, assessment and mitigation report unless an exception applies:

- Floodlighting within 50m of woodland, water or hedgerows / lines of trees with an obvious connection to woodland or water
- Works to fell or lop veteran trees, trees with obvious cracks, holes and cavities, or trees with a diameter greater than 1m at chest height
- Major proposals within 500m of the perimeter of a pond, or 200m of rivers, streams, canals, lakes or other aquatic habitats such as wetlands

- Minor proposals within 100m of a pond or adjacent to rivers, streams, canals, lakes or other aquatic habitats such as wetlands
- Proposals for wind turbines.

Applications affecting any of the following must provide an ecological survey assessment and mitigation report, unless an exception applies:

- European protected sites or candidate sites: Special Protection Area (SPA)/Ramsar Site, Special Area of Conservation (SAC) ,Habitats Regulations Assessment (HRA)
- Site of Special Scientific Interest (SSSI)
- Local Wildlife Site (LWS) – formerly known as Site of Nature Conservation Importance (SNCI)
- Local Nature Reserve (LNR)
- Priority habitats as defined in the UK Biodiversity Action Plan (BAP) refer to Local priority habitats and species plans and the Natural Environment and Rural Communities Act 2006
- Secondary Woodland, or hedgerows / lines of trees with an obvious connection to woodland or water
- Gravel pits, quarries, natural cliff faces, or rock outcrops
- Wildlife Corridors

The survey assessment must identify and describe potential impacts from the proposal likely to harm the species and/or their habitats, designated sites, priority habitats, and other listed biodiversity features identified by the survey (these should include both direct and indirect effects both during construction and afterwards) where harm is likely. Survey work must record any Schedule 9 weed species and how they will be dealt with as part of the application. The report must include detail regarding alternative designs or locations, adverse effects will be avoided wherever possible unavoidable impacts will be mitigated or reduced and the impacts that cannot be avoided or mitigated will be compensated. The assessment should indicate if there will be a net loss or a net gain for biodiversity.

Appropriate, accompanying plans should show any wildlife habitats or features and the location of protected habitats and/or species to the development.

Where protected or priority species are known or have a reasonable likelihood of occurring, a detailed survey must be carried out by a specialist. Failure to provide information regarding priority species and habitats at the outset can significantly delay the processing of your planning application. If further surveys are required, depending on the results there may be a need for design and layout changes to accommodate the impacts that have not been addressed in the original proposal.

Please note surveys should be undertaken by competent persons with suitable qualifications and experience and must be carried out at the correct time of year as well as in suitable weather conditions using recognised survey methodologies and guidelines; some surveys can only take place at certain times of the year.

Further information on appropriate survey methods can be found in Guidance on Survey Methodology published by the Chartered Institute of Ecology and Environmental Management (CIEEM) (<http://www.cieem.net>) as well as British Standard BS 42020:2013 Biodiversity - Code of practice for planning and development.

Exceptions

A survey assessment and mitigation report may be waived if:

- Following consultation at the pre-application stage, it is confirmed in writing by the Council and/or Natural England that a survey/report is not required

Additional Supporting information that may be required to validate your application

If your propose development is within **6km of the European Designations** at the coast you may be required to undertake a Habitats Regulations Assessment.

There are four stages to the process of Habitats Regulations Assessment (HRA).

| | | |
|---------|------------------------|---|
| Stage 1 | Screening | Process for identifying impacts of a plan or project on a European site, either individually or in combination, and consideration of whether likely effects will be significant |
| Stage 2 | Appropriate Assessment | Consideration of impacts on integrity of the site, either individually or in combination with other plans and projects, having regard to the site's structure, function and conservation objectives. Where adverse impacts are identified, assess mitigation options to identify impacts on the integrity of the site. This stage should involve consultation. If mitigation options do not result in avoidance of adverse effects permission can only be |

| | | |
|---------|--|---|
| | | granted if the remaining 2 stages are followed. |
| Stage 3 | Assessment of alternative solutions | Review and examine alternatives to achieve objectives; would these alternative solutions avoid or have less adverse effects on the European sites? |
| Stage 4 | Assessment of any 'imperative reasons of overriding public interest' (IROPI) | Where no suitable alternative solution exists and adverse impacts still remain then assess whether the development is necessary for IROPI. If so then identify potential compensatory measures to maintain integrity and coherence of the protected site. |

Further information on HRA can be found at:

<http://www.pas.gov.uk/documents/332612/0/EIA+HRA+Note/d630d26e-5aa6-4e47-82bd-db7947038968>

The Authority's Natural Heritage Team welcomes pre-application enquires regarding the ecological potential of any proposed development site. Our team will be able to advise whether survey information is required and what this would include.

Policy Background

Government policy or guidance:

- National Planning Policy Framework – paragraphs 109 – 119
- National Planning Practice Guidance – Natural Environment section

Local Development Framework:

No Policy

Unitary Development Plan:

- CN22 and CN18

Area specific requirements and further information:

- Bat Conservation Trust
<http://www.bats.org.uk/>
- Natural England website
<https://www.gov.uk/government/organisations/natural-england>
- Durham Biodiversity Action Plan
<http://www.durhambiodiversity.org.uk/biodiversity-action-plan/>
- Chartered Institute of Ecology and Environmental Management
<http://www.cieem.net/>
- Association for Local Government Ecologists
<http://www.alge.org.uk/>

PAS

<http://www.pas.gov.uk/documents/332612/0/EIA+HRA+Note/d630d26e-5aa6-4e47-82bd-db7947038968>

15. Flood Risk Assessment and Drainage Assessment

Flood Risk Assessment

When is this required?

All planning applications for:

- Development within a local authority's own identified critical drainage area and Flood Zones 2 & 3;
- <http://www.environment-agency.gov.uk/research/planning/93498.aspx>
- Development on sites of 1ha or greater;
- Development or changes of use to a more vulnerable class that may be subject to other sources of flooding (see relevant section of National Planning Practice Guidance on Flood Risk and Coastal Change - <http://planningguidance.planningportal.gov.uk/blog/guidance/flood-risk-and-coastal-change/>)
- Development on sites of 0.5 ha or more within a local authority's own identified critical drainage area.
- All major developments as defined in the Development Management Procedure 2015

What information is required?

For both residential extensions and non-residential extensions of less than 250 square metres in a local authority identified critical drainage area and Flood Risk Zones 2 and 3, a simple flood risk assessment is required using the link below: <https://www.gov.uk/guidance/flood-risk-assessment-standing-advice#minor-extensions-standing-advice>

Otherwise, a Flood Risk Assessment should identify and assess the risks of all forms of flooding to and from the development and demonstrate how these flood risks will be managed, taking climate change into account.

A Flood Risk Assessment should include the following information:

Zone 1

- Existing flood risk to the site from localised sources & impact of development upon run off rates;
- Design measures proposed to mitigate run off rates (SUDS).

Zone 2

- Existing flood risk to the site from all sources & potential impact of development upon flood risk only (High level assessment only);
- Design measures proposed to mitigate risk of flooding, and their impact (details should include floor levels, ground levels, evacuation routes, SUDS).

Zone 3

- Existing flood risk to the site from all sources (e.g. flood depth, flow routes, flood velocity, defence failure); Potential impact of development upon flood risk;
- Design measures proposed to mitigate risk of flooding, and their impact (details should include floor levels, ground levels, evacuation routes, SUDS).

Applications for new development in Flood Zones 2 and 3 should contain a sequential testing statement (except for householder extensions, non-residential extensions of less than 250sq. metres or renewable energy proposals) which should demonstrate to the local authority that there are no reasonably available alternative sites where the proposed development could be sited within an area of lower flood risk. It is recommended that applicants consider and apply the sequential approach prior to the submission of a full application to avoid unnecessary costs due to planning permission being refused.

The applicant needs to submit the following evidence to allow the local authority to consider the sequential test:

- A written statement explaining the area of search;

- A map identifying all other sites considered within lower areas of flood risk;
- A written statement explaining why the alternative sites listed within lower areas of flood risk are not reasonably available.

However, if the sequential test is passed there are still some vulnerable types of development that should not normally be allowed in Flood Zones 2 and 3 unless there are exceptional circumstances. These circumstances are established by using the Exception Test. More information on this can be found at the relevant section of National Planning Practice Guidance on Flood Risk and Coastal Change - <http://planningguidance.planningportal.gov.uk/blog/guidance/flood-risk-and-coastal-change/>)

For the exception test to be passed it has to satisfy each of the following three tests:

- It must be demonstrated that the proposed development provides significant wider sustainability benefits to the community that outweighs flood risk;
- The development must be on previously developed land;
- A Flood Risk Assessment submitted with the application must demonstrate that the development will be safe without increasing flood risk elsewhere and where possible reduce flood risk overall.

Policy Background

Government policy or guidance: National Planning Policy Framework - paragraphs 99-108 National Planning Practice Guidance – Flood Risk and Coastal Change section Environment Agency Standing Advice Development and Flood Risk <https://www.gov.uk/guidance/flood-risk-assessment-for-planning-applications> <http://www.environment-agency.gov.uk/research/planning/33098.aspx>

Local Development Framework:

- No Policy

Development Plan:

EN11, EN12 and EN13

Area specific requirements and further information:

- CIRIA: Sustainable Urban Drainage Systems - <http://www.ciria.org.uk/>
- Strategic Flood Risk Assessment (SFRA) - <http://www.sunderland.gov.uk/index.aspx?articleid=3256>
- Local Flood Risk Management Strategy <http://www.sunderland.gov.uk/CHttpHandler.ashx?id=17760&p=0&fsize=16Mb&ftype=Local%20Flood%20Risk%20Management%20Strategy.PDF>

Drainage Assessment – Surface Water

When is this required?

All major development as set out in the Town and Country Planning (Development Management Procedure) (England) Order 2015

What information is required?

All design development should be in accordance with the following documents:
Non Statutory technical standards for sustainable drainage systems March 2015

LASOO Non Statutory technical standards for sustainable drainage systems Practice Guidance . Link: <http://www.lasoo.org.uk/non-statutory-technical-standards-for-sustainable-drainage>

| Pre-app | Outline | Full | Reserved Matters | Discharge Condition | Document submitted |
|---------|---------|------|------------------|---------------------|--|
| ✓ | ✓ | ✓ | | | Flood Risk Assessment/Statement (checklist) |
| ✓ | ✓ | ✓ | | | Drainage Strategy/Statement & sketch layout plan (checklist) |
| | ✓ | | | | Preliminary layout drawings |
| | ✓ | | | | Preliminary "Outline" hydraulic calculations |
| | ✓ | | | | Preliminary landscape proposals |
| | ✓ | | | | Ground investigation report (for infiltration) |
| | ✓ | ✓ | | | Evidence of third party agreement for discharge to their system (in principle/ consent to discharge) |
| | | ✓ | | ✓ | Maintenance program and on-going maintenance responsibilities |
| | | ✓ | | | Maintenance program and on-going maintenance responsibilities |
| | | ✓ | ✓ | ✓ | Detailed development layout |
| | | ✓ | ✓ | ✓ | Detailed flood & drainage design drawings |
| | | ✓ | ✓ | ✓ | Full Structural, hydraulic & ground investigations |
| | | ✓ | ✓ | ✓ | Geotechnical factual and interpretive reports, including infiltration results |
| | | ✓ | ✓ | ✓ | Detailed landscaping details |
| | | ✓ | ✓ | ✓ | Discharge agreements (temporary and permanent) |
| | | ✓ | ✓ | ✓ | Development Management & Construction Phasing Plan |

Information needs to be submitted to evidence all surface water shall be managed for the development. The drainage hierarchy is:

1. Infiltration
2. Watercourse
3. Surface water sewer
4. Combined sewer

It requires infiltration systems to be investigated before controlled attenuation discharge to watercourse is considered. Only then if these forms of flood attenuation are not possible should developments consider surface water and eventually combined sewer means of surface water drainage.

For greenfield developments, the peak runoff rate from the development to any highway drain, sewer or surface water body for the 1 in 1 year rainfall event and the 1 in 100 year rainfall event should never exceed the peak greenfield runoff rate for the same event.

For both greenfield and previously developed (or brownfield) developments will be required to discharge at greenfield run-off rates for the 1 in 1 year rainfall event and the 1 in 100 year rainfall event but should never exceed the rate of discharge from the development prior to redevelopment for that event.

1. Infiltration

If the development discharges to an existing soakaway, evidence that it has sufficient capacity to cater for any additional flow must be submitted. Evidence which verifies the condition of the soakaway may also be requested.

Where new infiltration assets are proposed, percolation tests should be undertaken in accordance with the testing method set down in DG365 (2016).

The results of such tests should be included in the Drainage Assessment. Infiltrations systems must be designed with sufficient capacity to accommodate a critical rainfall event of 1:100 year + 40% allowance for climate change. Supporting calculations should be included in the Drainage Assessment and form part of the planning application.

2. Discharge to watercourse

The existing greenfield run off rate for the site should be calculated. Attenuation systems should be designed to accommodate a critical rainfall event of 1:100 year + 40% allowance for climate change.

Written consent, in principal, must be obtained from either the EA or LLFA if the point of discharge is to an ordinary watercourse or main river. Supporting calculations should be included in the Drainage Assessment

3. Discharge to sewer

It should be noted that in most circumstances surface water is not permitted to be connected to the public combined or foul sewers. Only where there is no other feasible option will this be considered and where it can be proved that all other options have been explored. Evidence will need to be submitted which confirms the outcome of the other investigations undertaken and reasons why discharge to the sewer is the only feasible option.

Written evidence from Northumbrian Water Ltd or the owner of the sewer will also be required that confirms that the proposed development can be connected to the water sewer network. Confirmation of the agreed discharge rate must be supplied.

For all approaches to drainage the following will be required:

- Drainage design statement – This should outline how the development will comply with the DEFRA non statutory technical standards , Planning Practice Guidance (ID: 7-051-20150323- ID: 7-086-20150323. and The SuDS Manual (C753).
- Detailed design drawings - layout of drainage network, details of drainage features including SUDS components (if applicable), inlets and outlets and flow controls.
- Detailed infiltration assessment of SUDS infiltration components (if applicable).
- Construction details and planning including phasing of development and Construction Management Plan (refer to CIRIA guidance – Construction Method Statements RP992/22 or update) and The SuDS Manual (C753).
- SUDS Management Plan should set out ownership and management of SUDS components and maintenance requirements over the lifetime of the development. This should include the maintenance plan setting minimum standards of maintenance over the lifetime, integrating with other green infrastructure and long term funding plan (including annual charges and replacement of SUDS) (refer to CIRIA guidance on maintenance plan RP992/21 or update) and The SuDS Manual (C753). Details of the proposed management and maintenance of the drainage system.

Policy Background

Government policy or guidance:

- National Planning Policy Framework - paragraphs 99-108
- National Planning Practice Guidance – Flood Risk and Coastal Change section
- SUDS technical standards
<https://www.gov.uk/government/publications/sustainable-drainage-systems-non-statutory-technical-standards>

Local Development Framework:

No Policy

Development Plan:

EN11, E 12 and EN13

Area specific requirements and further information:

- CIRIA: Sustainable Urban Drainage Systems - <http://www.ciria.org.uk>
 - Strategic Flood Risk Assessment (SFRA) -
<http://www.sunderland.gov.uk/index.aspx?articleid=3256>
 - Local Flood Risk Management Strategy
<http://www.sunderland.gov.uk/CHttpHandler.ashx?id=17760&p=0&fsize=16Mb&ftype=Local%20Flood%20Risk%20Management%20Strategy.PDF>

16. Heritage Statement

When is this required?

A Heritage Statement is required for:

- Listed Building Consent applications;
- Conservation Area Consent applications;
- Major planning applications (this is defined in section 7 of the validation checklist) within or otherwise affecting conservation areas;
- Planning applications for developments within conservation areas (except changes of use) where the proposal would materially affects its appearance;
- Planning applications that have a material impact on the setting of a listed building or structure, a locally listed building or structure, or the setting of a conservation area / other heritage asset.

What information is required?

A Heritage Statement could form part of a more comprehensive Design and Access Statement (see also requirement 8), where this is also needed.

A Heritage Statement will describe the significance of any heritage assets affected, including any contribution made by their setting. The level of detail should be proportionate to the assets' importance and no more than is sufficient to understand the potential impact of the proposal on their significance. As a minimum the relevant historic environment record should have been consulted and the heritage assets assessed using appropriate expertise, where necessary.

Works to a Listed Building

Applications for Listed Building Consent may need to, as appropriate, include some or all of the following elements within the Heritage Statement:

- A schedule of works to the listed building, and an analysis of the impact of these works on the significance of the archaeology, history, architecture and character of the building/structure along with a statement explaining the justification for the proposed works and principles which inform the methodology proposed for their implementation;
- Contextual and detailed photographs of the buildings/structure as existing to illustrate any features which are proposed to be altered or removed;
- Where reinstatement of lost or damaged features is proposed historic evidence to support the detail of reinstatement should be provided where possible i.e. historic plans or photographs;
- For any alterations, replacement, or installation of features such as windows, doors and shopfronts, elevation plans and sectional drawings to a scale of 1:20 or less. Further details of features such as architrave, cills, horns, glazing bars, lintels, transom, mullions, panelling, mouldings, meeting rails etc may need to be at a scale of 1:5 or less;
- A detailed specification for all proposed materials including, where appropriate samples;
- Photomontages illustrating the proposed works in context.

Conservation Area Consents and Planning Applications within Conservation Areas

For Conservation Area Consent applications the statement should assess the contribution that the building in question makes to the character and appearance of the conservation area and provide justification for demolition.

For planning applications within Conservation Areas the statement should address how the proposal has been designed to have regard to the character and/or appearance of the conservation area and to explain how the proposal enhances or preserves the character or appearance of the conservation area. Appropriate photographs should accompany the appraisal.

Applications affecting the setting of heritage assets

For applications impacting on the setting of heritage assets a written statement that includes plans showing historic features that may exist on or adjacent to the application site including listed buildings and structures, locally listed buildings and structures, historic parks and gardens, historic battlefields and scheduled ancient monuments and an analysis of the significance of archaeology, history and character of the building/structure, the principles of and justification for the proposed works and their impact on the special character of the listed building or structure, its setting and the setting of adjacent listed buildings may be required.

The scope and degree of detail necessary in the appraisal will vary according to the particular circumstances of each application. Applicants are advised to discuss proposals with a planning officer and/or a conservation officer before any application is made.

Policy Background

Government policy or guidance:

- <http://www.english-heritage.org.uk/publications/setting-heritage-assets/>
- National Planning Policy Framework – paragraph 128

Local Development Framework:

No Policy

Unitary Development Plan:

Policies B11, B12, B13, B14, B15, B17, UH13, UH14, UH15, UH16 & UH17

Area specific requirements and further information:

17. Land Contamination Assessment

When is this required?

Subject to prior pre-application discussions, all new development with a sensitive end use (including dwellings, allotments, schools, nurseries, playgrounds, hospitals and care homes) require a minimum of a Phase 1 Land Contamination Assessment (often referred to as a Preliminary Risk Assessment) to be submitted. Also subject to pre-application discussions, new development on land that has been identified on the public register as being contaminated or land that is adjacent to, a Phase 1 Assessment will be required as a minimum.

What information is required?

The Phase 1 Land Contamination Assessment should include a desktop study, site walkover and a conceptual site model.

The purpose of a Phase 1 Land Contamination Assessment is to establish the previous uses of the land under consideration or land adjacent to, and to initially identify potential sources of contamination, receptors and pathways.

As part of the desktop study and site walkover it is important to identify all past uses of the site, and adjacent or nearby sites, since pollutants have the potential to travel away from the source, depending on the geology, groundwater and surface water of the area.

The desktop study and the site walkover should be the first stages of any site assessment and should enable a 'conceptual site model' of the site to be produced that provides a clear interpretation of all plausible pollutant linkages at the site.

The Phase 1 Land Contamination Assessment compiled following the completion of the conceptual model will determine whether a Phase 2 Intrusive Site Investigation is required.

Where significant contamination is known or is likely to be present, it may be necessary to carry out some site investigations before the submission of an application, as significant contamination may limit the allowable land uses.

Some sites which are potentially contaminated may also be of archeological interest and therefore co ordination is desirable to prevent site investigation in relation to the former adversely affecting the latter.

Please seek pre-application advice from the Local Planning Authority to address potential pollution matters early in the planning process.

Policy Background

Government policy or guidance:

- National Planning Policy Framework - paragraphs 120-124

Local Development Framework:

No Policy

Unitary Development Plan:

- Policy EN14

Area specific requirements and further information:

- Environment Agency website:
<http://www.environment-agency.gov.uk/research/planning/33742.aspx>
- BS 10175: Investigation of Potentially Contaminated Sites: Code of Practice

18. Landscaping Details

When is this required?

Planning applications (except those for the change of use or alteration to an existing building), where landscaping would be a significant consideration in the assessment of the application.

What information is required?

The submitted scheme shall, as applicable, include: existing trees, shrubs and other landscape features (indicating which are to be retained and which removed); planting plans, specifications and schedules; existing and proposed levels and contours; means of enclosure, walls, retaining walls and boundary treatment; paving and other surface treatment including car parking and circulation layouts; items of landscape furniture, equipment, storage, signage, and lighting; services and drainage; location of site cabins and compounds. The location of any watercourse and associated landscaping as existing and proposed should also be shown. These details should be cross-referenced with the Design and Access statement where submitted.

Existing trees and other vegetation of amenity value should, wherever possible, be retained in new developments and will need to be protected during the construction of the development.

Policy Background

Government policy or guidance:

- National Planning Policy Framework - paragraph 58

Local Development Framework:

No Policy

Unitary Development Plan:

- Policies CN13 and CN14

Area specific requirements and further information:

- BS 4428:1989: Code of practice for general landscape operations (excluding hard surfaces);
- BS 7370-1 to BS 7370-5: Grounds maintenance.

19 Marketing Information

When is this required?

Planning applications for:

- Conversion to residential use in greenbelt or safeguarded land as allocated in the development plan;
- Change of use from retail to other uses in town centre Primary Shopping Frontages;
- Non B1 (Business), B2 (General Industrial) and B8 (Storage or Distribution) uses on land allocated for such purposes in the development plan;
- Demolition of listed and locally listed buildings.

With regard to the first three bullet points marketing information will not always be required and the need for such evidence should be clarified with the Local Planning Authority at pre-application stage including the scope of the marketing exercise and timescales.

What information is required?

It should be demonstrated that the property/land has been advertised for sale or lease on the open market for uses appropriate to the use allocated in the development plan. Details of the marketing and all offers received, if applicable, should be submitted along with a written assessment.

Policy Background

Government policy or guidance:

- National Planning Policy Framework - paragraph 173

Local Development Framework:

No Policy

Unitary Development Plan:

- Policy B8

Area specific requirements and further information:

20. Noise Assessment

When is this required?

A noise impact assessment will be required for proposals which;

- Introduce a noise source (including vibration) which may cause loss of amenity
- Introduce a noise sensitive development in a noisy environment

Noise sensitive developments include residential proposals medical facilities, schools/colleges.

The noise impact assessment shall be prepared by a suitably qualified and competent acoustician and include measurements of existing and proposed noise levels and also recommend, where appropriate details of any necessary mitigation measures

In addition, a vibration survey may be required if a development is proposed adjacent to a railway line.

Policy Background

Government policy or guidance:

- National Planning Policy Framework - paragraph 123
- The Calculation of Road Traffic Noise (DEFRA, 1988)
- The Calculation of Railway Noise (Department of Transport, 1995)
- The Noise Policy Statement for England

Local Development Framework:

No Policy

Unitary Development Plan:

- EN5

Area specific requirements and further information:

- BS4142:2014 Method for rating industrial and commercial sound
- BS 8233:2014 Guidance on sound insulation and noise reduction for buildings
- World Health Organisation Guidelines for Community Noise (1999);
- World Health Organisation Night Noise Guidelines for Europe (2009).
- World Health Organisation Guidelines for Community Noise 1999

21. Open Space Assessment

When is this required?

All planning applications for development on existing open space.

Open space should be taken to mean all open space of public value, including not just land, but also areas of water such as rivers, canals, lakes and reservoirs, that can offer important opportunities for sport and recreation and can also act as a visual amenity.

What information is required?

Proposals should be accompanied by plans (to scale and also including area measurements), showing any areas of existing or proposed open space within or adjoining the application site.

Planning permission is not normally given for the development of existing open spaces that local communities need. In the absence of a robust and up-to-date assessment by a local authority, an applicant for planning permission may seek to demonstrate through an independent assessment that the land and buildings are surplus to local requirements. Any such evidence should accompany the planning application.

Policy Background

Government policy or guidance:

- National Planning Policy Framework – paragraphs 70, 73 and 74

Local Development Framework:

No Policy

Unitary Development Plan:

- L5

Area specific requirements and further information:

22. Planning Obligations – Draft Head of Terms

When is this required?

Applications for planning permission where the local authority have indicated at pre-application stage that a Section 106 agreement would be necessary. Please seek clarification from the Local Planning Authority.

What information is required?

Planning obligations (Section 106 agreements) are private agreements negotiated between Local Planning Authorities and persons with an interest in a piece of land that seek to address various planning issues such as affordable housing, public open space provision, highway works or landscape and nature conservation mitigation.

To make the planning application process quicker, it is expected that a draft head of terms will be submitted along with the application and the ownership and contact details necessary for the planning obligation to be progressed.

Please seek pre-application advice from the Local Planning Authority for further details on what contributions would be required.

Policy Background

Government policy or guidance:

- National Planning Policy Framework - paragraphs 203-205
- Circular 05/2005: Planning Obligations
<http://www.planningportal.gov.uk/planning/planningpolicyandlegislation/previousenglishpolicy/circulars/planningobligations>

Local Development Framework:

No Policy

Unitary Development Plan:

- Policy R3

Area specific requirements and further information:

23. Planning Statement

When is this required?

All planning applications for 100 dwellings or more or where a minimum of 10,000 sq. metres of commercial/retail development would be created, or major planning applications that would constitute a departure from the development plan.

What information is required?

A planning statement identifies the context and need for a proposed development and includes an assessment of how the proposed development relates to relevant national and local planning policies. It may also include details of consultations with the Local Planning Authority and wider community/statutory consultees undertaken prior to submission. This can be in the form of a Statement of Community Involvement (SCI; see Item 24).

The Planning Statement can also include information on employment creation as well as economic and regeneration benefits. Applicants can also submit an Economic Statement to highlight the economic benefits of a scheme if they so wish but this would not be required for validation purposes.

Policy Background

Government policy or guidance:

- National Planning Policy Framework - paragraph 193

Unitary Development Plan:

- No Policy

Area specific requirements and further information:

24. Statement of Community Involvement

When is this required?

A Statement of Community Involvement (SCI) would be required for some major development application as advised at pre-application stage by the Local Planning Authority.

What information is required?

A SCI will explain how the applicant has complied with the requirements for pre-application consultation set out in the Local Planning Authority's adopted Statement of Community Involvement and seek to demonstrate that the views of the local community have been sought and taken into account in the formulation of development proposals.

Policy Background

Government policy or guidance:

Local Development Framework:

- Statement of Community Involvement

Unitary Development Plan:

- No UDP policies require a planning statement

Area specific requirements and further information:

<http://www.sunderland.gov.uk/CHttpHandler.ashx?id=7127&p=0>

25. Structural Survey

When is this required?

All applications that involve:

- The change of use or conversion of rural buildings (e.g. barn conversions);
- The demolition, or proposals that may affect the structural integrity, of a building or structure that contributes to the character of a Conservation Area;
- Any listed building or structure, where works are proposed that involve demolition or would affect the structural integrity of the building or structure.

Please seek pre-application advice from the Local Planning Authority for further details on when this would be required.

What information is required?

A full structural engineers survey by a suitably qualified professional. This should include each of the following where appropriate:

- General description and age of building;

- Condition - structural integrity, foundations, damp proofing, walls, joinery, timbers, roof structure and roof covering;
- Assessment of repairs necessary to ensure retention of the building;
- Assessment of structural and other alterations necessary to implement the proposed conversion;
- Assessment of percentage of building that needs to be rebuilt - including walls and timbers;
- Opinion as to the suitability of building for proposed conversion;
- Photographs are often helpful but not essential;
- A schedule of works necessary to preserve the building;
- A schedule of works necessary to carry out the applicant's proposals (including those necessary to meet building regulation approval).

Policy Background

Government policy or guidance:

- National Planning Policy Framework - paragraphs 128 and 129

Local Development Framework:

- Statement of Community Involvement

Unitary Development Plan:

- No UDP Policy

Area specific requirements and further information:

26. Sustainability Statement

When is this required?

Most major full planning applications and major reserved matter applications.

What information is required?

The statement should demonstrate how sustainability has been addressed and/or how it will be addressed at future design stage. This can include topics such as water use, materials, surface water run-off, waste, pollution, health and wellbeing, management, ecology and transport.

The statement shall include estimated energy loads and consumption as well as predicted CO₂ (carbon dioxide) emissions.

The statement should include an outline strategy to reduce CO₂ emissions to include building design and materials, energy demand reduction, and renewable energy supply and generation.

Where zero or low carbon technologies are being incorporated, the statement should include prediction of the carbon target emission rating expressed as a percentage below Part L of the Building Regulations (2010).

The statement should indicate whether the Code for Sustainable Homes and/or BREEAM assessment methods and rating systems are being used or considered.

Policy Background

Government policy or guidance:

- National Planning Policy Framework – paragraphs 93 to 97
- PPS 10: Planning for Sustainable Waste Management, as not replaced by NPPF

Local Development Framework:

- No Policy

Unitary Development Plan:

- No UDP policies require a Sustainability Statement

Area specific requirements and further information:

27. Telecommunications Development

When is this required?

Planning applications for mast and antenna development by mobile phone network operators.

What information is required?

Telecommunications applications will need to be accompanied by:

- Area of search;
- Details of the proposed structure;
- Technical justification;

- Evidence of mast sharing;
- Details of any consultation undertaken;
- A signed declaration that the equipment and installation has been designed to comply with the requirements of the radio frequency (RF) public exposure guidance of the International Commission on Non-Ionizing Radiation Protection (ICNIRP).

Policy Background

Government policy or guidance:

- National Planning Policy Framework - paragraph 44.
- Code of Best Practice on Mobile Network Development in England (Mobile Operators Association) (2013)

<http://www.mobilemastinfo.com/2013/new-code-of-best-practice-on-mobile-network-development-in-england-published.html>

Local Development Framework:

- No Policy

Unitary Development Plan:

- Policy B26

Area specific requirements and further information:

28. Town Centre Use Assessment

When is this required and what information should be supplied?

Paragraph 24 of NPPF states that local planning authorities should apply a sequential test to planning application for main town centre uses that are not in an existing centre and not in accordance with an up-to-date Local Plan.

Main Town Centre uses are:

- Retail development (including warehouse clubs and factory outlet centres);
- Leisure, entertainment facilities, and the more intensive sport and recreation uses (including cinema, restaurants, drive through restaurants, bars and pubs, night-

clubs, casinos, health and fitness centres, indoor bowling centres and bingo halls);

- Offices;
- Arts, culture and tourism development (including theatres, museums, galleries and concert halls, hotel and conference facilities.

Paragraph 26 of NPPF states that when assessing applications for retail, leisure and office development outside of town centres, which are not in accordance with an up-to-date Local Plan, local planning authorities should require an impact assessment if the development of over a proportionate locally set threshold (if there is no locally set threshold, the default threshold is 2,500 sq m

| Site Location (as defined by NPPF) | Large scale (floorspace above 2,500sq.m net) | Less than 2,500 sq.m net) | Mezzanine floorspace up to 200sq.m net |
|---|---|----------------------------------|---|
| In Centre | No | No | Planning permission not required |
| Edge of Centre and Out of Centre | Yes** | Yes** | Planning permission not required |

An Impact Assessment needs to assess the impact of the proposal on existing, committed and planned public and private investment in a centre or centres in the catchment of the proposal and;

The impact of the proposal on town centre vitality and viability, including local consumer choice and trade in the town centre and wider area, up to five years from the time the application is made. For major schemes where there full impact will not be realised in five years, the impact should also be assessed up to 10 years from the time the application is made.

** A sequential assessment will be required. An impact assessment will also be required if the local authority has set a threshold lower than 2,500 sq m floorspace set by NPPF. Check with the local authority. A sequential assessment and impact assessment are not required for planning applications that are in accordance with an up-to-date development plan.

The sequential approach should not be applied to applications for small scale rural offices or other small scale rural development.

Policy Background

Government policy or guidance:

- National Planning Policy Framework - paragraph 23 and 24

Local Development Framework:

- No Policy

Unitary Development Plan:

- Policy S5

29. Transport Assessments & Statements, Travel Plans, Parking & Highways

When is this required?

For new development, changes of use of buildings or land and alterations to existing buildings, the transportation and accessibility outcomes of development needs to be set out as part of your planning application. This information is used to assess the suitability of the development and to ensure it is in accordance with policy and other related guidance.

Where a new development is likely to have significant transportation implications, a Transport Assessment (TA) and Travel Plan (TP) should be prepared. In some instances a simplified report in the form of a Transport Statement (TS) may be sufficient, which can be incorporated into the Design & Access Statement where applicable. These documents are used to determine whether the impact of the development is acceptable.

The scale and type of development will normally determine the requirement for a TS, TA or TP, and the relevant thresholds can be found in the table below, although these thresholds are for guidance only.

| Land Use | Description of development | Size | Case by Case Analysis. Pre-application advice recommended | TS required (TP also required for North & South Tyneside) | TA & TP required |
|----------------------|--|------------------------|---|---|------------------|
| A1 - Food retail | Retail sale of food goods to the public – food superstores, supermarkets, convenience food stores. | Gross Floor Area (GFA) | <250 sq.m | >250 sq.m <800 sq.m | >800 sq.m |
| A1 - Non-food retail | Retail sale of non-food goods to the public; but includes sandwich bars – sandwiches or other cold food purchased and consumed off the premises, internet cafés. | GFA | <800 sq.m | >800 sq.m <1500 sq.m | >1500 sq.m |

| Land Use | Description of development | Size | Case by Case Analysis. Pre-application advice recommended | TS required (TP also required for North & South Tyneside) | TA & TP required |
|--|---|------|---|---|------------------|
| A2 - Financial & Professional Services | Financial services – banks, building societies and bureaux de change, professional services (other than health or medical services) – estate agents and employment agencies, other services – betting shops, principally where services are provided to visiting members of the public. | GFA | <1000 sq.m | >1000 sq.m <2500 sq.m | >2500 sq.m |
| A3 - Restaurants and Cafés | Restaurants and cafés – use for the sale of food for consumption on the premises, excludes internet cafés (now A1). | GFA | <300 sq.m | >300 sq.m <2500 sq.m | >2500 sq.m |
| A4 - Drinking Establishments | Use as a public house, wine-bar or other drinking establishment. | GFA | <300 sq.m | >300 sq.m <600 sq.m | >600 sq.m |
| A5 - Hot food takeaway | Use for the sale of hot food for consumption on or off the premises. | GFA | <250 sq.m | >250 sq.m <500 sq.m | >500 sq.m |
| B1 - Business | (a) Offices other than in use within Class A2 (financial and professional services) (b) research and development – laboratories, studios (c) light industry. | GFA | <1500 sq.m | >1500 sq.m <2500 sq.m | >2500 sq.m |
| B2 - General industrial | General industry (other than classified as in B1). The former 'special industrial' use classes, B3 – B7, are now all encompassed in B2. | GFA | <2500 sq.m | >2500 sq.m <4000 sq.m | >4000 sq.m |
| B8 - Storage | Storage or | GFA | <3000 sq.m | >3000 sq.m | >5000 sq.m |

| Land Use | Description of development | Size | Case by Case Analysis. Pre-application advice recommended | TS required (TP also required for North & South Tyneside) | TA & TP required |
|--|---|--------------|---|---|------------------|
| or Distribution | distribution centres – wholesale warehouses, distribution centres and repositories. | | | <5000 sq.m | |
| C1 - Hotels | Hotels, boarding houses and guest houses, development falls within this class if 'no significant element of care is provided'. | Bedrooms | <75 bedrooms | >75 <100 bedrooms | >100 bedrooms |
| C2 - Residential institutions - hospitals, nursing homes | Used for the provision of residential accommodation and care to people in need of care. | Beds | <30 beds | >30 <50 beds | >50 beds |
| C2 - Residential institutions – residential education | Boarding schools and training centres. | Students | <50 students | >50 <150 students | >150 students |
| C2 - Residential institutions – institutional hostels | Homeless shelters, accommodation for people with learning difficulties and people on probation. | Residents | <250 residents | >250 <400 residents | >400 residents |
| C3 - Dwelling houses | Dwellings for individuals, families or not more than six people living together as a single household. Not more than six people living together includes – students or young people sharing a dwelling and small group homes for disabled or handicapped people living together in the community. | Dwellings | <50 units | >50 <80 units | >80 units |
| C4 - Houses in Multiple Occupation | Dwellings occupied by between 3-6 unrelated individuals who share basic amenities (such as | Refer to LPA | Refer to LPA | Refer to LPA | Refer to LPA |

| Land Use | Description of development | Size | Case by Case Analysis. Pre-application advice recommended | TS required (TP also required for North & South Tyneside) | TA & TP required |
|-----------------------------------|--|--------------|---|---|------------------|
| | student lets and small bedsits). | | | | |
| D1 - Non-residential Institutions | Medical and health services – clinics and health centres, crèches, day nurseries, day centres and consulting rooms (not attached to the consultant's or doctor's house), museums, public libraries, art galleries, exhibition halls, non-residential education and training centres, places of worship, religious instruction and church halls. | GFA | <500 sq.m | >500 sq.m <1000 sq.m | >1000 sq.m |
| D2 - Assembly and leisure | Cinemas, dance and concert halls, sports halls, swimming baths, skating rinks, gymnasiums, bingo halls and casinos. Other indoor and outdoor sports and leisure uses not involving motorised vehicles or firearms. | GFA | <500 sq.m | >500 sq.m <1500 sq.m | >1500 sq.m |
| Others | For example: stadium, retail warehouse clubs, amusement arcades, laundrettes, petrol filling stations, taxi businesses, car/vehicle hire businesses and the selling and displaying of motor vehicles, nightclubs, theatres, hostels, builders yards, garden centres, POs. travel and ticket agencies, hairdressers, funeral directors, hire shops, | Refer to LPA | Refer to LPA | Refer to LPA | Refer to LPA |

| Land Use | Description of development | Size | Case by Case Analysis. Pre-application advice recommended | TS required (TP also required for North & South Tyneside) | TA & TP required |
|----------|----------------------------|------|---|---|------------------|
| | dry cleaners. | | | | |

Other matters such as site access, existing parking pressures or the proposed number of parking spaces may need to be taken in account when deciding if a TS, TA, TP or other supporting information is required. The following list, which is by no means exhaustive, may necessitate a Travel Plan to be submitted if, in the opinion of the LPA, the development proposal would:

- not be in conformity with the adopted development plan;
- generate 30 or more two-way vehicle movements in any hour;
- generate 100 or more two-way vehicle movements per day;
- be likely to increase accidents or conflicts among motorised users and non-motorised users, particularly vulnerable road users such as children, disabled and elderly people;
- generate significant freight or HGV movement per day, or significant abnormal loads per year;
- be proposed in a location where the local transport infrastructure is inadequate – for example, substandard roads, poor pedestrian/cyclist facilities and inadequate public transport provisions;
- be in a location within or adjacent to an Air Quality Management Area (AQMA) as referred to in the Local Transport Plan.

Please seek pre-application advice from the Local Planning Authority for definitive advice on the scope of these documents in order to avoid abortive work.

What information is required?

A **Transport Statement** should cover matters such as trip generation resulting from the development, improvements to site accessibility, car parking provision and internal vehicular circulation, traffic impacts of servicing requirements and the net level of change over any current development within the site.

A **Transport Assessment** should quantify and assess the impact of the proposals on traffic movement and highway safety, quantify and assess how the development could be accessed by alternative transport modes and how such alternative modes would be promoted and provide details of any proposals for access or transport improvements.

A **Travel Plan** is a long term management strategy which aims to increase sustainable travel to a site through positive actions. It is set out in a document that is

reviewed regularly. The starting point is a Transport Assessment which shows what the issues are. There are a number of types of travel plan:

- Full Travel Plan;
- Interim Travel Plan;
- Framework Travel Plan;
- Travel Plan Statement;
- Area Wide Travel Plan (for a defined geographic area).

Where applicable, the contents of these should include:

- Site location plan (strategic and local context);
- Site audit to include transport links, transport issues, barriers to non-car use and possible improvements to encourage sustainable modes;
- Travel surveys – include example of distributed survey, means of distribution, number distributed, number of responses, results and analysis etc;
- Clearly defined objective's, targets and indicators;
- Details of committed measures, timetable for implementing, marketing proposals and budget;
- Travel Plan Coordinator - definition of role, contact details etc;
- Monitoring plan and mitigation proposals if targets not reached.

Parking and Servicing requirements

Parking and servicing need to be considered as an important part of any scheme. Car parking provision needs to be at an appropriate level to cater for the development and visitors whilst taking into account the location, circumstances in the surrounding area, nature of the development, sustainability, impact on residential amenity and highway safety, and the availability of public transport. Servicing requirements need to be fully considered so they are not of danger or inconvenience. Information on parking and servicing can be combined within the Transport Assessment or Transport Statement where required or provided in a supporting document and/or annotated plans.

Information that may be sought includes:

- Setting out the rationale for the approach to parking provision (car, cycle, disabled and motorcycle provision);
- Car parking accumulation information;
- Car parking layout plan;
- Cycle parking layout plan;
- Servicing plan covering deliveries, refuse collection and taxi pick up and drop off (Auto tracks may be required in some instances);
- Parking and servicing management plan;

- Existing and proposed Traffic Regulation Orders Plan for a defined area;
- Details of Car Club and Electric Charging Point Facilities.

Applications for those changes of use to apartments and HMOs which claim they are for social housing requiring lower levels of parking provision, will need to be supported with suitable evidence.

Highways and Public Rights of Way

Some new development will necessitate the need for works and changes to the local highway network and/or to public rights of way. In order to understand the impact of the development the proposed changes will need to be set out on a plan and include any areas of Highway to be stopped up. The amount of information will be appropriate to the type and scale of development.

New Highways

A proposed new development may necessitate the creation of new highways that may or may not be identified for future adoption by the Highways Authority. In order to understand the impact of the proposed development any future highway to be adopted needs to be detailed on an appropriate plan. If the highways within the development do not fulfil the requirements for future adoption by the Highway Authority then a Management and Maintenance of Estate Streets plan will be required and may be secured in a S106 Agreement for the development highways to remain privately maintained.

Policy Background

Government policy or guidance:

- National Planning Policy Framework - paragraph 32
- Department for Transport – Guidance on Transport Assessments
- Good Practice Guidelines, Delivering Travel Plans through the planning system

Local Development Framework:

- No policy

Unitary Development Plan:

- Policies T 21, T 22

Area specific requirements and further information:

- Tyne & Wear Local Transport Plan

- English partnership: Car Parking - What works where

30. Tree Survey and/or Statement of Arboricultural Implications of Development

When is this required?

Where a development site includes trees, where the canopies of trees on an adjacent site overhang the site boundary, or where there are street trees along the site frontage that would be affected by the development proposal.

What information is required?

All trees should be accurately shown on a scaled plan with the following information:

Species; height in metres; stem diameter in metres at 1.5 metres above adjacent ground level or immediately above the roof flare for multi-stemmed trees; branch spread in metres taken at north, south, east and west points; height in metres of the lowest part of the canopy above ground level.

However, the following details will also be required where a tree is protected by a TPO or the site is located in a Conservation Area:

Age class (young, middle aged, mature, over-mature, veteran); physiological condition (e.g. good, fair, poor, dead); structural condition (e.g. collapsing, the presence of any decay and physical defect); preliminary management recommendations, including further investigation of suspected defects that require more detailed assessment and potential for wildlife habitat; estimated remaining contribution in years (e.g. less than 10, 10-20, 20-40, more than 40); category grading (see BS5837: 2012 Trees in Relation to Construction – Recommendations).

For all development proposals, it should be clearly identified which trees are to be felled, together with the reasons for removing those trees. Where trees are shown as to be retained, the means of protecting those trees during construction works will need to be specified. A suitably qualified and experienced arboriculturalist should prepare this information in accordance with BS 5837: 2012. This should include a tree survey, Tree Constraint Plan (TCP), Arboricultural Implications Assessment (AIA) and where appropriate an Arboricultural Method Statement (AMS) with a Tree Protection Plan.

Policy Background

Government policy or guidance:

Local Development Framework:

- No Policy

Unitary Development Plan:

- Policy CN 17

Area specific requirements and further information:

- Paragraph 4.1.3 of BS 5837: 2012 'Trees in relation to construction - Recommendations' offers advice on how to identify trees on adjacent land that could influence the development;
- Sections 4 to 6 of BS 5837: 2012 contain detailed guidance on survey information and plans that should be provided. Using the methodology set out in the Standard should help to ensure that development is suitably integrated with trees and that potential conflicts are avoided;
- Sections 7 to 12 of BS 5837: 2012 contain detailed guidance on protecting trees that are to be retained both within and outside the proposed site that could be affected by the development.

31. Ventilation / Extraction Details

When is this required?

Planning applications where ventilation or extraction equipment is to be installed, including those for the sale or preparation of cooked food, launderettes, and significant retail, business, industrial or leisure developments.

Where a hot food takeaway or restaurant is proposed where is an existing residential property directly adjoining, details of extraction facilities will normally be required for validation purposes

What information is required?

Details of the position and design of ventilation and extraction equipment. And also:
Elevation drawing showing location and size
External appearance
Technical specification
Predicted noise and odour levels
Background noise levels
Noise and odour mitigation measures

Policy Background

Government policy or guidance:

- National Planning Policy Framework – paragraph 123
- Guidance on the Control of Odour & Noise from Commercial Kitchen Exhaust Systems (DEFRA)
<http://www.defra.gov.uk/publications/2011/03/25/odour-noise-kitchen-exhaustpb10527/>

- Local Exhaust Ventilation (LEV) workplace fume and dust extraction (Health and Safety Executive) <http://www.hse.gov.uk/lev/> BS 4142 2014

Local Development Framework:

- No Policy

Unitary Development Plan:

- Policy EN1

Area specific requirements and further information:

32. Sunlight/Daylight/Microclimate Assessment

When is this required?

- a) When a proposed development is in close proximity to the windows of habitable rooms of an existing residential development and is likely to significantly affect the sunlight and/or daylight levels to those windows;
- b) When a proposed residential development, because of its proximity to either existing buildings or other proposed buildings within the development, is likely to receive low levels of sunlight and/or daylight to habitable rooms;
- c) When the scale and form of a development is likely to result in significant shadowing impacts upon neighbouring properties or land;
- d) When the scale of the development proposed would result in micro-climatic conditions that could result in wind levels affecting pedestrian and vehicle movement outside of the building.

Please note that these requirements will normally only apply when developments propose buildings in close proximity to each other or where tall buildings are proposed. You should seek advice from your Local Planning Authority in advance, normally through the pre-application process, as to when these studies will be a validation requirement. These assessments may also form part of a Design and Access Statement (see section 8).

What information is required?

The assessment should be carried out in accordance with the British Research Establishment document Site Layout Planning for Daylight and Sunlight – A guide to Good Practice 2nd edition. Daylight, vertical sky component, sunlight availability, average daylight factor and shadow studies should be undertaken and assessed against the criteria set out in the BRE document.

Wind tunnel modelling will be required to assess the impact of new development will have on a local wind environment and any consequential effects on pedestrian comfort and safety.

Policy Background

Local Development Framework:

- No Policy

Development Plan:

B2

Area specific requirements and further information

<http://www.brebookshop.com/samples/326792.pdf>

<http://www.right-of-light.co.uk/bre.htm>

Appendix 2

The Validation Checklists

Checklist 1: Full Applications

**Checklist 2: Outline Applications & Reserved Matters
Submissions**

Checklist 3: Listed Building & Conservation Area Consent

Checklist 4: Advertisement Consent

Checklist 5: Householder Applications

Checklist 1: Full Applications

| Validation Requirements | Applications for new building, extension or; engineering works; or change of use with external building / extension/ engineering works | Change of use with no external building / extension / engineering works | Required | Submitted |
|-------------------------|--|---|----------|-----------|
|-------------------------|--|---|----------|-----------|

| National Requirements | | | | |
|--|------------|------------|----------|----------|
| Completed planning application form | See Note 1 | See Note 1 | Yes | Yes / No |
| Location plan | See Note 2 | See Note 2 | Yes | Yes / No |
| Site Plan | See Note 3 | See Note 3 | Yes | Yes / No |
| Completed Ownership Certificate (A, B, C, D) | See Note 4 | See Note 4 | Yes | Yes / No |
| Completed Agricultural Holdings Certificate | See Note 5 | See Note 5 | Yes | Yes / No |
| Appropriate fee | See Note 6 | See Note 6 | Yes / No | Yes / No |
| Summary of Application documents, if information exceeds 100 pages | See Note 7 | See Note 7 | Yes / No | Yes / No |
| Design and Access Statement (where required) | See Note 8 | See Note 8 | Yes | Yes / No |

| Tyne and Wear Requirements | | | | |
|---|-------------|-------------|----------|----------|
| Application Plans | See Note 9 | See Note 9 | Yes / No | Yes / No |
| Affordable Housing Statement | See Note 10 | See Note 10 | Yes / No | Yes / No |
| Air Quality Assessment | See Note 11 | See Note 11 | Yes / No | Yes / No |
| Archaeological Assessments | See Note 12 | No | Yes / No | Yes / No |
| Coal Mining Risk Assessment | See Note 13 | See Note 13 | Yes / No | Yes / No |
| Ecological Survey Assessment and Mitigation Report & Protected Species Survey | See Note 14 | See Note 14 | Yes / No | Yes / No |

| | | | | |
|--|-------------|-------------|----------|----------|
| Flood Risk Assessment | See Note 15 | See Note 15 | Yes / No | Yes / No |
| Heritage Statement | See Note 16 | See Note 16 | Yes / No | Yes / No |
| Land Contamination Assessment | See Note 17 | No | Yes / No | Yes / No |
| Landscaping Details | See Note 18 | No | Yes / No | Yes / No |
| Marketing Information | See Note 19 | See Note 19 | Yes / No | Yes / No |
| Noise Assessment | See Note 20 | See Note 20 | Yes / No | Yes / No |
| Open Space Assessment | See Note 21 | No | Yes / No | Yes / No |
| Planning Obligations – Draft Head of Terms | See Note 22 | See Note 22 | Yes / No | Yes / No |
| Planning Statement | See Note 23 | See Note 23 | Yes / No | Yes / No |
| Statement of Community Involvement | See Note 24 | See Note 24 | Yes / No | Yes / No |
| Structural Survey | See Note 25 | See Note 25 | Yes / No | Yes / No |
| Sustainability Statement | See Note 26 | See Note 26 | Yes / No | Yes / No |
| Telecommunications Development | See Note 27 | See Note 27 | Yes / No | Yes / No |
| Town Centre Use Assessment | See Note 28 | See Note 28 | Yes / No | Yes / No |
| Transport Assessments & Statements, Travel Plans, Parking and Highways | See Note 29 | See Note 29 | Yes / No | Yes / No |
| Tree Survey and/or Statement of Arboricultural Implications of Development | See Note 30 | See Note 30 | Yes / No | Yes / No |
| Ventilation / Extraction Details | See Note 31 | See Note 31 | Yes / No | Yes / No |
| Daylight and Sunlight Assessment | See Note 32 | See Note 32 | Yes / No | Yes / No |

Please note: The following documents may be requested during pre-application discussions, or where no discussions have taken place following validation of the application.

On validation - If the requested detail is judged to be critical in determining whether permission should be granted or not, and the applicant / agent is unable to submit the information within a specified timescale the authority may be left with no option but to refuse the application due to lack of information.

Checklist 2: Outline Applications & Reserved Matters Submissions

| Validation Requirements | Outline Application | Reserved Matters Application | Required | Submitted |
|-------------------------|---------------------|------------------------------|----------|-----------|
|-------------------------|---------------------|------------------------------|----------|-----------|

| National Requirements | | | | |
|--|------------|------------|----------|----------|
| Completed planning application form | See Note 1 | See Note 1 | Yes | Yes / No |
| Location plan | See Note 2 | See Note 2 | Yes | Yes / No |
| Site Plan | See Note 3 | See Note 3 | Yes | Yes / No |
| Completed Ownership Certificate (A, B, C, D) | See Note 4 | See Note 4 | Yes | Yes / No |
| Completed Agricultural Holdings Certificate | See Note 5 | See Note 5 | Yes | Yes / No |
| Appropriate fee | See Note 6 | See Note 6 | Yes / No | Yes / No |
| Summary of Application documents, if information exceeds 100 pages | See Note 7 | See Note 7 | Yes / No | Yes / No |
| Design and Access Statement (where required) | See Note 8 | See Note 8 | Yes | Yes / No |

| Tyne and Wear Requirements | | | | |
|---|-------------|-------------|----------|----------|
| Application Plans | See Note 9 | See Note 9 | Yes / No | Yes / No |
| Affordable Housing Statement | See Note 10 | See Note 10 | Yes / No | Yes / No |
| Air Quality Assessment | See Note 11 | See Note 10 | Yes / No | Yes / No |
| Archaeological Assessments | See Note 12 | See Note 12 | Yes / No | Yes / No |
| Coal Mining Risk Assessment | See Note 13 | See Note 13 | Yes / No | Yes / No |
| Ecological Survey Assessment and Mitigation Report & Protected Species Survey | See Note 14 | See Note 14 | Yes / No | Yes / No |
| Flood Risk Assessment | See Note 15 | See Note 15 | Yes / No | Yes / No |
| Heritage Statement | See Note 16 | See Note 16 | Yes / No | Yes / No |

| | | | | |
|--|-------------|-------------|----------|----------|
| Land Contamination Assessment | See Note 17 | See Note 17 | Yes / No | Yes / No |
| Landscaping Details | See Note 18 | See Note 17 | Yes / No | Yes / No |
| Marketing Information | See Note 19 | See Note 19 | Yes / No | Yes / No |
| Noise Assessment | See Note 20 | See Note 20 | Yes / No | Yes / No |
| Open Space Assessment | See Note 21 | See Note 21 | Yes / No | Yes / No |
| Planning Obligations – Draft Head of Terms | See Note 22 | See Note 22 | Yes / No | Yes / No |
| Planning Statement | See Note 23 | See Note 23 | Yes / No | Yes / No |
| Statement of Community Involvement | See Note 24 | See Note 24 | Yes / No | Yes / No |
| Structural Survey | See Note 25 | See Note 25 | Yes / No | Yes / No |
| Sustainability Statement | See Note 26 | See Note 26 | Yes / No | Yes / No |
| Telecommunications Development | See Note 27 | See Note 27 | Yes / No | Yes / No |
| Town Centre Use Assessment | See Note 28 | See Note 28 | Yes / No | Yes / No |
| Transport Assessments & Statements, Travel Plans, Parking and Highways | See Note 29 | See Note 29 | Yes / No | Yes / No |
| Tree Survey and/or Statement of Arboricultural Implications of Development | See Note 30 | See Note 30 | Yes / No | Yes / No |
| Ventilation / Extraction Details | See Note 31 | See Note 31 | Yes / No | Yes / No |
| Daylight and Sunlight Assessment | See Note 32 | See Note 32 | Yes / No | Yes / No |

Please note: The following documents may be requested during pre-application discussions, or where no discussions have taken place following validation of the application.

On validation - If the requested detail is judged to be critical in determining whether permission should be granted or not, and the applicant / agent is unable to submit the information within a specified timescale the authority may be left with no option but to refuse the application due to lack of information.

Footnotes

OUTLINE PLANNING APPLICATIONS

An outline planning application is a means of establishing the principle of a proposed development without having to supply all of the details. The grant of outline planning permission will then be conditional upon the subsequent approval of details of 'reserved matters' – as defined below.

The government has set down the minimum level of information that must be submitted with outline applications, as follows:-

- **Use** – the use or uses proposed for the development and any distinct development zones within the application site.
- **Amount of development** – the amount of development for each use.
- **Indicative access points** – an area or areas in which access point or points to the site will be situated.

An outline application may also contain details and seek approval of one or more of the reserved matters, but at least one must be reserved for later approval.

RESERVED MATTER APPLICATIONS

Reserved matters are defined by the government as follows:-

- **Layout** – the way in which buildings, routes and open spaces are provided within the development and their relationship to buildings and spaces outside the development.
- **Scale** – the height, width and length of each building proposed in relation to its surroundings.
- **Appearance** – the aspects of a building or place which determine the visual impression it makes. This includes the external built form of the development, its architecture, materials, decoration, lighting, colour and texture.
- **Access** – the accessibility to and within the site for vehicles, cycles and pedestrians in terms of the positioning and treatment of access and circulation and how these fit into the surrounding network.
- **Landscaping** – this is the treatment of private and public space to enhance or protect the amenities of the site through hard and soft measures. This may include, for example, planting of trees or hedges, screening by fences or walls, the formation of banks or terraces, or the layout of gardens, courts or squares.

(N.B. For applications for approval of reserved matters pursuant to outline permissions where the outline application was submitted prior to 10 August 2006, the relevant reserved matters are sitting, design, external appearance, means of access and the landscaping of the site.)

Checklist 3: Listed Building & Conservation Area Consent

| Validation Requirements | Listed Building Consent | Conservation Area Consent | Required | Submitted |
|-------------------------|-------------------------|---------------------------|----------|-----------|
|-------------------------|-------------------------|---------------------------|----------|-----------|

| National Requirements | | | | |
|--|------------|------------|----------|----------|
| Completed planning application form | See Note 1 | See Note 1 | Yes | Yes / No |
| Location plan | See Note 2 | See Note 2 | Yes | Yes / No |
| Site Plan | See Note 3 | See Note 3 | Yes | Yes / No |
| Completed Ownership Certificate (A, B, C, D) | See Note 4 | See Note 4 | Yes | Yes / No |
| Completed Agricultural Holdings Certificate | See Note 5 | See Note 5 | Yes | Yes / No |
| Appropriate fee | See Note 6 | See Note 6 | Yes / No | Yes / No |
| Summary of Application documents, if information exceeds 100 pages | See Note 7 | See Note 7 | Yes / No | Yes / No |
| Design and Access Statement (where required) | See Note 8 | See Note 8 | Yes | Yes / No |

| Tyne and Wear Requirements | | | | |
|----------------------------|---|---|----------|----------|
| Application Plans | See Note 9 | See Note 9 | Yes | Yes / No |
| Archaeological Assessments | See Note 12 May be required please ask before submission | See Note 12 May be required please ask before submission | Yes / No | Yes / No |
| Heritage Statement | See Note 16 | See Note 16 | Yes / No | Yes / No |
| Planning Statement | See Note 23 | See Note 23 May be required please ask before submission | Yes / No | Yes / No |
| Structural Survey | See Note 25 May be required please ask before submission | See Note 25 May be required please ask before submission | Yes / No | Yes / No |

| | | | | |
|--|-------------|------------|----------|----------|
| Tree Survey and/or Statement of Arboricultural Implications of Development | See Note 30 | See Note30 | Yes / No | Yes / No |
|--|-------------|------------|----------|----------|

Please note: The following documents may be requested during pre-application discussions, or where no discussions have taken place following validation of the application.

On validation - If the requested detail is judged to be critical in determining whether permission should be granted or not, and the applicant / agent is unable to submit the information within a specified timescale the authority may be left with no option but to refuse the application due to lack of information.

Checklist 4: Advertisement Consent

| Validation Requirements | Advertisement Consent | Required | Submitted |
|-------------------------|-----------------------|----------|-----------|
|-------------------------|-----------------------|----------|-----------|

| National Requirements | | | |
|-------------------------------------|------------|----------|----------|
| Completed planning application form | See Note 1 | Yes | Yes / No |
| Location plan | See Note 2 | Yes | Yes / No |
| Appropriate fee | See Note 6 | Yes / No | Yes / No |

| Tyne and Wear Requirements | | | |
|----------------------------|------------|-----|----------|
| Application Plans | See Note 9 | Yes | Yes / No |

Please note: The following documents may be requested during pre-application discussions, or where no discussions have taken place following validation of the application.

On validation - If the requested detail is judged to be critical in determining whether permission should be granted or not, and the applicant / agent is unable to submit the information within a specified timescale the authority may be left with no option but to refuse the application due to lack of information.

Checklist 5: Householder Applications

| Validation Requirements | Householder Applications | Required | Submitted |
|-------------------------|--------------------------|----------|-----------|
|-------------------------|--------------------------|----------|-----------|

| National Requirements | | | |
|--|------------|----------|----------|
| Completed planning application form | See Note 1 | Yes | Yes / No |
| Location plan | See Note 2 | Yes | Yes / No |
| Site Plan | See Note 3 | Yes | Yes / No |
| Completed Ownership Certificate (A, B, C, D) | See Note 4 | Yes | Yes / No |
| Completed Agricultural Holdings Certificate | See Note 5 | Yes | Yes / No |
| Appropriate fee | See Note 6 | Yes / No | Yes / No |
| Design and Access Statement (where required) | See Note 8 | Yes | Yes / No |

| Tyne and Wear Requirements | | | |
|---|-------------|----------|----------|
| Application Plans | See Note 9 | Yes | Yes / No |
| Archaeological Assessments | See Note 12 | Yes / No | Yes / No |
| Ecological Survey Assessment and Mitigation Report & Protected Species Survey | See Note 14 | Yes / No | Yes / No |
| Flood Risk Assessment | See Note 15 | Yes / No | Yes / No |
| Noise Assessment | See Note 20 | Yes / No | Yes / No |
| Tree Survey and/or Statement of Arboricultural Implications of Development | See Note 30 | Yes / No | Yes / No |

Please note: The following documents may be requested during pre-application discussions, or where no discussions have taken place following validation of the application.

On validation - If the requested detail is judged to be critical in determining whether permission should be granted or not, and the applicant / agent is unable to submit the information within a specified timescale the authority may be left with no option but to refuse the application due to lack of information.

Please be aware that the householder checklist does not apply to the temporary provisions introduced by the Government in relation to larger single-storey rear extensions, of between four and eight metres for detached houses and between three and six metres for all other houses, which are subject to simplified application to be made under the Neighbour Consultation Scheme. To find out more about this process and how to apply go to:

https://www.planningportal.co.uk/info/200130/common_projects/17/extensions#ncs