



# Redcar & Cleveland Submission Local Plan April 2017

## Legal Compliance Checklist April 2017



## Local Plan Legal Compliance Checklist (April 2017)

This legal compliance self-assessment checklist was produced by the Planning Advisory Service (PAS) in April 2013. Redcar & Cleveland Borough Council has completed this checklist to demonstrate that the Local Plan meets the requirements of the relevant legislation.

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

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

### Glossary:

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

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

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

LDS means **Local Development Scheme**

SCI means **Statement of Community Involvement**

DPD means **Development Plan Document**

### Stage one: The early stages

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

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

- planning for community engagement
- planning the sustainability appraisal (including consultation with the statutory environment consultation bodies)

- identifying significant cross boundary and inter-authority issues
- ensuring that the plan rests on a credible evidence base, including meeting the Act's requirement for keeping matters affecting the development of the area under review.

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

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

## Stage one: The beginning

Activity	Legal requirement	Guidance reference	Additional notes	Evidence
1. Is the DPD identified in the adopted LDS? Have you recorded the timetable for its production?	The Act section 15(2) and section 19(1)	NPPF para 153		The latest LDS was adopted in January 2016 and covers the period until 2019. The Local Plan has been identified in the LDS. Progress against the LDS timetable is detailed in the Council's AMR.
2. How will community engagement be programmed into the preparation of the DPD?	The Act section 19(3)  Regulation 18	NPPF paras 150, 155 and 157	If the SCI is up-to-date, use that. If not set out any changes to community engagement as a result of changes in legislation.	Community engagement has been programmed into the preparation of the Local Plan through the Statement of Community Involvement. The SCI was adopted in April 2014.  Details on how consultation and engagement was carried out are set out in the Statement of Consultation.
3. Have you considered the appropriate bodies you should consult?	Regulation 18	NPPF paras 4.25 - 4.26	Regulation 2 defines the general and specific consultation bodies.  The possible evidence may duplicate each other. Only use what you need to.	The SCI sets out the bodies that are consulted on the preparation of the Local Plan.  The Statement of Consultation and the Duty to Cooperate Statement set out the consultation that has occurred.
4. How you will co-operate with other local planning authorities, including counties, and prescribed bodies, to identify and address any issues or strategic priorities that will have a significant impact on	The Act section 33A(1)(a) and (b), section 33A(3)(d) (e) & (4)  The Act Section 20(5)(c)  Regulation 4	NPPF paras 178 to 181 (which comprise the guidance referred to in the Act section 33A(7))  Under NPPF Para 182, to be 'Effective' a plan should be	Section 33A(4) defines a "strategic matter".  Under section 33A(6) the required engagement includes considering joint approaches to the plan making activities	The Duty to Cooperate Statement and the Statement of Consultation set out how the Council has cooperated with other local planning authorities and prescribed bodies.

Activity	Legal requirement	Guidance reference	Additional notes	Evidence
at least two planning areas?		<p>based on effective joint working on cross-boundary strategic priorities.</p> <p>Strategic priorities are listed at NPPF Para 156</p>	<p>(including the preparatory activities) and considering whether to agree joint local development documents under section 28.</p> <p>The bodies prescribed by section 33A(1)(c) are set out at Regulation 4(1).</p>	
5. How you will co-operate with any local enterprise partnerships (LEP) or local nature partnerships (LNP) to identify and address any issues or strategic priorities that will have a significant impact on at least two planning areas?	<p>The Act section 33A(1)(c) and section 33A(9), section 33A(3)(d) and (e)</p> <p>The Act section 20(5)(c).</p> <p>Regulation 4</p>	NPPF paras 178 to 181	<p>Section 33A(4) defines a "strategic matter". Strategic priorities are listed at NPPF Para 156.</p> <p>Regulation 4(2) prescribes LEPs and LNPs for the purposes of section 33A(9).</p> <p>Under section 33A(6) the required engagement includes consulting on joint approaches to relevant activities.</p>	Details of the cooperation with the LEP and the LNP are set out in the Duty to Cooperate Statement, the Statement of Consultation and the minutes of the planning group of the LNP.
6. Is baseline information being collected and evidence being gathered to keep the matters which affect the development of	The Act section 13	NPPF paras 158 - 177		<p>The evidence base of the Local Plan includes a number of studies and background topic papers that include baseline information and data.</p> <p>The baseline information was also collected for the SA Scoping Report And the SA.</p>

Activity	Legal requirement	Guidance reference	Additional notes	Evidence
the area under review?				The Authority Monitoring Reports contain information gathered to monitor the performance of policies.
7. Is baseline information being collected and evidence being gathered to set the framework for the sustainability appraisal?	The Act section 19(5)	NPPF paras 165 and 167  Strategic Environmental Assessment Guide, chapter 5		Baseline information was collected for the Local Plan SA Scoping Report July 2015.
8. Have you consulted the statutory environment consultation bodies for five weeks on the scope and level of detail of the environmental information to be included in the sustainability appraisal report?	Regulations 9 and 13 of The Environmental Assessment of Plans and Programmes Regulations 2004 No 1633.	NPPF paras 165 and 167  SEA Guide chapter 3	The Strategic Environmental Assessment consultation bodies are also amongst the 'specific consultation bodies' which are defined in Regulation 2).	The statutory environmental consultees were consulted on the scope and level of detail for the SA report in the consultation of the Local Plan Sustainability Appraisal Scoping Report in July 2015. The comments received and the responses to the comments are included in the SA report.

## **Stage two: Plan preparation - frontloading phase**

Information assembled during this phase contributes to:

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

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

## Stage two: Plan preparation

Activity	Legal requirement	Guidance reference	Additional notes	Evidence
<p>1. Have you notified:</p> <ul style="list-style-type: none"> <li>the specific consultation bodies?</li> <li>the general consultation bodies that have an interest in the subject of the DPD and invited them to make representations about its contents?</li> </ul>	Regulation 18(1) and (2)(a) (b)	NPPF paras 159 – 173	Specific and general consultation bodies are defined in Regulation 2.	The Statement of Consultation and Duty to Cooperate Statement detail the consultation carried out as part of the preparation of the Local Plan. The specific and general consultation bodies were included in this consultation.
2. Are you inviting representations from people resident or carrying out business in your area about the content of the DPD?	Regulation 18(1) and (2)(c)	NPPF paras 159 – 173		The Statement of Consultation details the consultation carried out during the preparation of the plan and the engagement of local people and businesses.
3. Are you engaging with stakeholders responsible for delivery of the strategy?	Regulation 18	NPPF para 155	NPPF paras 160-171 4.29 give examples of relevant bodies which should be consulted.	The Statement of Consultation and Duty to Cooperate Statement detail the consultation carried out as part of the preparation of the Local Plan. The stakeholders responsible for the delivery of the strategy have been included in this consultation.
4. Are you taking into account representations made?	Regulation 18(3)	NPPF para 155	Evidence from participation is part of the justification. Show how you have taken representations into account.	The Statement of Consultation explains how the representations made through the consultation process have been taken into account during the preparation of the Local Plan.
5. Does the consultation contribute to the development and	The Act section19(5)	NPPF paras 165 – 168		The Consultation Statement sets out the representations received and how they have contributed to the development of the Local Plan.



Activity	Legal requirement	Guidance reference	Additional notes	Evidence
sustainability appraisal of alternatives?	Regulations 12 and 13 of The Environmental Assessment of Plans and Programmes Regulations 2004 No 1633	SEA Guide, chapter 3		The SA Report includes the assessment of alternatives carried out as part of the SA process. All SA documentation has been published and made available for consultation alongside the relevant stage of the Local Plan.
<p>6. Is the participation:</p> <ul style="list-style-type: none"> <li>• following the principles set out in your SCI?</li> <li>• integrating involvement with the sustainable community strategy?</li> <li>• proportionate to the scale of issues involved in the DPD?</li> </ul>	The Act section19(3)	NPPF para 155		The Statement of Community Involvement was adopted in April 2014 and set the framework for the consultation on the Local Plan. The scale of community involvement is explained in the Statement of Consultation.
<p>7. Are you keeping a record of:</p> <ul style="list-style-type: none"> <li>• the individuals or bodies invited to make representations?</li> <li>• how this was done?</li> <li>• the main issues raised?</li> </ul>	The Act section20(3)  Regulation 17	NPPF paras 158 - 171	You will need to submit a statement of representations under Regulation 22 (1) (c): see Submission stage below.  Regulation 35 deals with the availability of documents and the time of their removal.	The Statement of Consultation is the record of the consultation process and the main issues raised.  Copies of correspondence received have also been retained.
8. Are you inviting representations on issues that would have significant impacts on both your areas from another local planning	The Act section 33A(1)(a) (b) and (c), section 33A(3)(d) & (e) section 33A(4)	NPPF paras 178 to 181	Section 33A(3)(d) and (e) requires cooperation on significant cross-boundary issues before	The Duty to Cooperate Statement details the issues affected other local authorities and how cross-boundary and strategic issues have been resolved.  The consultation with other local planning

Activity	Legal requirement	Guidance reference	Additional notes	Evidence
<p>authority? Or county issues from an affected county council that is not a planning authority? Or significant cross-boundary issues and strategic priorities of a body prescribed under Section 33A(1)(c)?</p>	<p>section 33A(9)</p> <p>The Act section 20 (5)(c)</p>		<p>and during plan preparation.</p> <p>Section 33A(2) requires you to engage constructively, actively and on an ongoing basis.</p>	<p>authorities is also included in the Statement of Consultation.</p>
<p>9. Are you inviting representations on cross-boundary issues and strategic priorities from a local enterprise partnership (LEP) or a local nature partnership (LNP)?</p>	<p>The Act section 33A(1)(c) and Section 33A(9).</p> <p>The Act section 20(5) (c).</p> <p>Regulation 4</p>	<p>NPPF paras 178 to 181</p>	<p>Section 33A(3)(d) and (e) requires cooperation on significant cross-boundary issues before and during plan preparation.</p> <p>Section 33A(2) requires you to engage constructively, actively and on an ongoing basis.</p>	<p>The LEP and LNP have been involved in the development of the Local Plan and this is detailed in the Duty to Cooperate Statement and Statement of Consultation.</p>
<p>10. Are you developing a framework for monitoring the effects of the DPD?</p>	<p>The Act section 35</p> <p>Regulation 34</p> <p>Regulation 17 of The Environmental Assessment of Plans and Programmes Regulations</p>	<p>NPPF paras 165 - 1687</p> <p>SEA Guide, Chapter 5</p>	<p>It is a matter for each council to decide what to include in their monitoring reports while ensuring they are prepared in accordance with relevant UK and EU legislation” Chief Planning Officer letter 30 March 2011 withdrawing ODPM</p>	<p>A framework for monitoring the effects of the Local Plan was developed through the SA process.</p> <p>The Local Plan also contains an Implementation Plan and Monitoring Framework.</p> <p>The AMR will record the performance of the Local Plan policies against the monitoring indicators.</p>

Activity	Legal requirement	Guidance reference	Additional notes	Evidence
	2004 No1363		guidance.	

### **Stage three: Plan preparation - formulation phase**

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

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

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

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

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

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

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

**The council should tell all parties that this is the main participation opportunity on the emerging plan. The publication stage will not be a participation or consultation process.** The publication stage is a formal opportunity for anyone to comment on an aspect of the DPD's soundness. The more effectively this message is put across, the lower the chance of late changes being brought forward following publication.

### Stage three: Plan preparation – writing the plan

Activity	Statutory requirement	Guidance reference	Additional notes	Evidence
1. Are you preparing reasonable alternatives for evaluation during the preparation of the DPD?	Regulation 12 (2) of The Environmental Assessment of Plans and Programmes Regulations 2004 No. 1633	NPPF paras 152 - 182  SEA Guide, Chapter 5	The sustainability appraisal report and supporting documents relevant to the preparation of the DPD are part of the proposed submission documents (see Regulation 17).	The alternative options considered during the preparation of the plan are discussed in the background evidence papers and assessed within the Sustainability Appraisal.
2. Have you assessed alternatives against: <ul style="list-style-type: none"> <li>• consistency with national policy?</li> <li>• general conformity with the regional spatial strategy where still in force?</li> </ul>	The Act section 19 (2), section 24	NPPF para 151	For London boroughs and local authorities where regional strategies are still in force general conformity is tested formally later but you need to consider it during preparation of the DPD.	The Local Plan is considered to be consistent with the National Planning Policy Framework and a soundness self-assessment has been carried out.  The alternatives considered and the assessment of their suitability as options has been detailed in the background evidence papers and assessed within the SA.  The Regional Spatial Strategy for the North East was revoked in 2013.
3. Are you having regard to (where relevant): <ul style="list-style-type: none"> <li>• adjoining regional spatial strategies?</li> <li>• the spatial development strategy for London?</li> <li>• Planning Policy for</li> </ul>	The Act sections 19 (2) and 24 (1) and (4)  Regulation 10 and 21		Where the regional strategy has been revoked you should record that fact.	N/A

Activity	Statutory requirement	Guidance reference	Additional notes	Evidence
<p>Wales?</p> <ul style="list-style-type: none"> <li>the National Planning Framework for Scotland?</li> </ul>				
<p>4. Are you co-operating with other local planning authorities including counties, to address significant cross boundary issues? Have you discussed doing joint local development documents?</p>	<p>The Act section 33A(2)(a)</p> <p>Section 33A(6)(a)(b)</p> <p>Section 20(5) (c)</p>	<p>NPPF paras 181 and 185</p>	<p>.</p>	<p>The Duty to Cooperate Statement explains the consultation and cooperation that has been carried out to resolve and cross boundary issues.</p>
<p>5. Are you cooperating with a person prescribed for the purposes of Regulation 33A(1)(c) to address significant cross boundary issues including preparing joint approaches?</p>	<p>The Act section 33A(2)(a), section 33A(6)(a)</p> <p>The Act section 20 (5) (c)</p> <p>Regulation 4</p>	<p>NPPF paras 181 and 182</p>	<p>The bodies prescribed by The Act section 33A(1)(c) are set out at Regulation 4 (1).</p>	<p>The Duty to Cooperate Statement explains the consultation and cooperation that has been carried out to resolve and cross boundary issues.</p>
<p>6. Are you cooperating with having regard to the activities of the LEP and LNP?</p>	<p>The Act section 33A(2)(b) and section 33A(9). Regulation 4 (2)</p>	<p>NPPF para 181 and 182</p>		<p>The Council has had and continues to have regard to the activities of the LEP and LNP. The consultation and cooperation carried out between the Council and these bodies is detailed within the Duty to Cooperate Statement and the Statement of Consultation.</p>
<p>7. Are you having regard to:</p> <ul style="list-style-type: none"> <li>your sustainable</li> </ul>	<p>The Act section 19(2)</p>			<p>The Local Plan has been prepared with regard to other strategies and adopted development documents of the Council.</p>

Activity	Statutory requirement	Guidance reference	Additional notes	Evidence
<p>community strategy or of other authorities whose area comprises part of the area of the council?</p> <ul style="list-style-type: none"> <li>any other local development documents adopted by the council?</li> </ul>				<p>The Local Plan has avoided repetition of the policies included within the Tees Valley Joint Minerals and Waste DPDs.</p>
<p>8. Do you have regard to other matters and relevant strategies relating to:</p> <ul style="list-style-type: none"> <li>resources</li> <li>the local/regional economy</li> <li>the local transport plan and transport facilities and services</li> <li>waste strategies</li> <li>hazardous substances</li> </ul>	<p>The Act section19(2)</p> <p>Regulation 10</p>		<p>As well as the matters and strategies listed in the Act and Regulations there are likely to be other matters identified in planning policy statements, regional and local strategies that you will need to have regard to in preparing the DPD.</p>	<p>The evidence base for the Local Plan includes existing relevant strategies.</p> <p>The Local Plan also has regard to the Tees Valley Minerals and Waste DPDs</p> <p>The SA Scoping Report 2015 includes a review of the relevant local programmes and strategies.</p>
<p>9. Are you having regard to the need to include policies on mitigating and adapting to climate change?</p>	<p>The Act section19(1A)</p>	<p>NPPF paras 93 -108</p>		<p>Policy SD4 includes a requirement for developments to be sustainable in design and construction and incorporate climate change adaptation.</p> <p>Policy SD7 expects that development proposals will be designed to mitigate and adapt to climate change.</p>
<p>10. Have you undertaken the sustainability appraisal of alternatives, including</p>	<p>The Act section19(5)</p>	<p>NPPF para 182</p> <p>SEA Guide,</p>	<p>Regulation13 of The Environmental Assessment of Plans and Programmes</p>	<p>The SA Report includes an assessment of reasonable alternatives and has been subject to consultation alongside the Local Plan.</p>

Activity	Statutory requirement	Guidance reference	Additional notes	Evidence
consultation on the sustainability appraisal report?	Regulation 12 and 13 of The Environmental Assessment of Plans and Programmes Regulations 2004 No 1633	Chapter 5	Regulations 2004 No 1633 sets out the consultation procedures.	
11. Are you setting out reasons for any preferences between alternatives?	Regulation 8(2)	NPPF para 182	This will include Information from the sustainability appraisal.	The SA Report and background evidence papers include an assessment of alternative options and justification for the preferences included in the Plan.
12. Have you taken into account any representations made on the content of the DPD and the sustainability appraisal? Are you keeping a record?	Regulations 17, 18(3) and 22 (1) (c) (iv)  Regulation 13(4) of The Environmental Assessment of Plans and Programmes Regulations 2004 No 1633	NPPF paras 150, 155, 157 and 159-171	Records on the sustainability appraisal should also include recording any assessment made under the Habitats Directive.	The Statement of Consultation sets out the consultation process and the representations received. The SA Report also details the representations received in the consultation on the SA Scoping Report and provides the Council's response to those representations.
13. Where sites are to be identified or areas for the application of policy in the DPD, are you preparing sufficient illustrative material to: <ul style="list-style-type: none"> <li>• enable you to amend the currently adopted policies</li> </ul>	Regulations 5 (1)(b) and 9	NPPF para 157	Regulation 2 defines the terms 'submission' and 'adopted' proposals map.  A map showing changes to the adopted policies map	The sites have been identified on a Policies Map for the Local Plan and, where necessary, the Plan also includes a series of inset maps.



Activity	Statutory requirement	Guidance reference	Additional notes	Evidence
map? <ul style="list-style-type: none"> <li>• inform the community about the location of proposals?</li> </ul>			is part of the proposed submission documents defined in Regulation 17.	
14. Are the participation arrangements compliant with the SCI?	The Act, section 19(3)  Regulation 18	NPPF paras 150 and 155		The consultation process has been outlined in the Statement of Consultation and is in line with the SCI, which was adopted in April 2014.

## Stage four: Publication

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

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

- do so and progress directly to publication

OR

- produce and consult on a revised preferred strategy.

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

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

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

**You should make it clear that publication of a DPD is not public participation, nor a consultation.** The six weeks publication period is the opportunity for those dissatisfied (or satisfied) with the DPD to make formal representations to the inspector about its soundness.

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

## Stage four: Publication

Activity	Statutory requirement	Guidance reference	Additional notes	Evidence
1. Have you prepared the sustainability appraisal report?	<p>The Act section 19(5)</p> <p>Regulation 12 of the Environmental Assessment of Plans and Programmes Regulations 2004 No 1633</p>	<p>NPPF paras 165 - 168</p> <p>SEA Guide Chapter 5</p>		<p>An SA Report has been prepared and made available for consultation alongside the Local Plan.</p>
2. Have you made clear where and within what period representations must be made?	<p>Regulation 17, 19, 20 and 35</p>		<p>The period must not be less than 6 weeks from when you publish under Regulations 19 and 35 (see below).</p>	<p>Consultation took place – 6 December 2016 to 31 January 2017</p> <p>The consultation was publicised in accordance with the Regulations and the SCI. A Statement of Representations Procedure set out where and when consultation should be made.</p> <p>The Statement of Consultation sets out the consultation and the responses received.</p>
<p>3. Have you made copies of the following available for inspection:</p> <ul style="list-style-type: none"> <li>• the proposed submission documents?</li> <li>• the statement of the representations</li> </ul>	<p>Regulation 19(a)</p>		<p>Regulation 17 gives definitions.</p>	<p>The proposed submission documents and the Statement of Representation Procedure were made available in Council's Libraries, main offices and on the website.</p> <p>A copy of the statement was also sent out to all consultees on the Council's database via email or letter.</p>

Activity	Statutory requirement	Guidance reference	Additional notes	Evidence
procedure?				
<p>4. Have you published on your website:</p> <ul style="list-style-type: none"> <li>• the proposed submission documents?</li> <li>• the statement of the representations procedure?</li> <li>• statement and details of where and when documents can be inspected?</li> </ul>	Regulations 19 and 35		Regulations 2 and 17 give definitions.	<p>All documents made available on the Council's website via</p> <p><a href="http://www.redcar-cleveland.gov.uk/localplan">http://www.redcar-cleveland.gov.uk/localplan</a></p>
<p>5. Have you sent to each of the specific consultation bodies invited to make representations under Regulation 18(1):</p> <ul style="list-style-type: none"> <li>• A copy of each of the proposed submission documents</li> <li>• The statement of the representations procedure?</li> </ul>	Regulation 19(b)		Regulations 2 and 17 give definitions.	<p>Each of the specific consultation bodies were invited to make representations via emails or letters detailing the consultation and including a Statement of Representation Procedure and a link to access documents on line.</p> <p>Details of the consultation and responses are set out in the Statement of Consultation.</p>
<p>6. Have you sent to each of the general consultation bodies invited to make representations under Regulation 18(1):</p>	Regulation 19(b)		Regulations 2 and 17 give definitions.	<p>Each of the general consultation bodies were invited to make representations via emails or letters detailing the consultation and including a Statement of Representation Procedure and a link to access documents on line.</p>

Activity	Statutory requirement	Guidance reference	Additional notes	Evidence
<ul style="list-style-type: none"> <li>the statement of the representations procedure?</li> <li>where and when the documents can be inspected?</li> </ul>				Details of the consultation and responses are set out in the Statement of Consultation.
7. Have you requested the opinion of the Mayor of London (if a London Borough or Mayoral DC) on the general conformity of the DPD spatial development strategy?	The Act section 24  Regulation 21		The request must be made on the day you publish the documents under Regulation 19(a) and a response must be made within six weeks from the request (Regulation 21).	N/A

## Stage five: Submission

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

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

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

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

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

## Stage five: Submission

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence
1. Has the DPD been prepared in accordance with the LDS? Does the DPD's listing and description in the LDS match the document? Have the timescales set out in the LDS been met?	The Act section 19(1)		The Act section 15(2) sets out the matters specified in the LDS. As at January 2013, no further matters are prescribed in the Regulations.	The latest LDS was adopted in January 2016 and covers the period until 2019. The Local Plan has been identified in the LDS. Progress against the LDS timetable is detailed in the Council's AMR monitoring reports
2. Has the DPD had regard to any sustainable community strategy for its area (like a county and district)?	The Act section 19(2)	NPPF para 182		The Local Plan has been prepared with regard to the other plans and policies of the Council.

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence
<p>3. Is the DPD in compliance with the SCI (where one exists)? Has the council carried out consultation as described in the SCI?</p>	<p>The Act section 19(3)</p> <p>Regulation 22(1)(c)</p>		<p>Before the SCI is formally amended to take into account the changes in the regulations, you may need to set out how the community engagement that you carried out met the regulations (as amended).</p>	<p>The Local Plan has been consulted on in accordance with the SCI, which was adopted in 2014. The consultations have been detailed in the Statement of Consultation.</p>
<p>4. Have you identified and addressed any issues which are likely to have a significant impact on at least two planning areas. In doing so, have you co-operated with other local planning authorities, county councils where they are not a planning authority, LEPs, LNPs and the prescribed bodies in identifying and addressing any strategic cross-boundary issues</p> <p>If you have not agreed on the approach is there a justification?</p>	<p>The Act section 33A(1) and section 20(5)</p>	<p>NPPF paras 181 and 182</p>	<p>Under NPPF para 182, the plan should be based on effective joint working on cross-boundary strategic priorities to be found 'Effective'.</p>	<p>The Duty to Cooperate Statement details the issues affected other local authorities and how cross-boundary and strategic issues have been resolved.</p> <p>The consultation with other local planning authorities, the LEP and the Tees Valley Local Nature Partnership is also included in the Statement of Consultation.</p>
<p>5. Has the DPD been subject to sustainability appraisal?</p> <p>Has the council provided a final report of the findings of the appraisal?</p>	<p>The Act section 19(5)</p> <p>Regulation 22(1)(a)</p>	<p>NPPF para 165</p> <p>SEA Practical Guide, chapter 5</p>		<p>The Local Plan has been subject to a sustainability appraisal and an SA Report has been submitted alongside the document.</p> <p>The final report is accompanied by an SA Addendum which provides a screening and</p>

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence
				appraisal, where necessary, of the proposed main modifications to the Local Plan.
6. Is the DPD to be submitted consistent with national policy?	The Act section 19(2) and Schedule 8	NPPF para 151		The Local Plan is considered to be consistent with national policy and is accompanied by a PAS self-assessment soundness checklist.
7. Does the DPD contain any policies or proposals that are not in general conformity with the regional strategy where it still exists? If yes, is there local justification?  If the LPA is a London borough or a mayoral development corporation has it requested an opinion from the Mayor of London on the general conformity of the plan with the spatial development strategy?	The Act section 24(1)(a) and 24(4)  Regulation 21	NPPF para 218 footnote 41	In London the requirement is for general conformity with the spatial development strategy (The London Plan).	N/A
8. Has the council published the prescribed documents, and made them available at their principal offices and their website?  Has the council notified the relevant statutory and non-statutory bodies, and all	The Act section 20(2), 20(3) and 20(5)(b)  Regulations 8 and 19	NPPF para 182	Requirements relating to publication of the prescribed documents are listed later in this table.	The Council has published the prescribed documents and made them available at the borough's libraries, the Council's main offices and online.  The relevant bodies have been invited to make representations and the consultations have been



Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence
<p>persons invited to make representations on the plan?</p> <p>Does the DPD contain a list of superseded saved policies?</p>				<p>detailed within the Statement of Consultation.</p> <p>The Local Plan includes a list of superseded policies within Appendix 7.</p>
<p>9. Are there any policies applying to sites or areas by reference to an Ordnance Survey map or to amend an adopted policies map?</p> <p>If yes, have you prepared a submission policies map?</p>	<p>Regulations 5(1) (b), 9 (1), 17 &amp; 22(1)</p>			<p>A Local Plan Policies Map has been prepared and submitted alongside the Local Plan</p>
<p>10. Is the DPD consistent with any other adopted DPDs for the area? If the DPD is intended to supersede any adopted development plan policies, does it state that fact and identify the superseded policies?</p>	<p>Regulation 8(3) and (4)</p> <p>Regulation 8(5)</p>		<p>Development Plan is defined in Section 38 of the Act.</p>	<p>The Local Plan is to replace the adopted Core Strategy and Development Policies DPD and the 'saved policies' of the 1999 Local Plan and the superseded policies are included within Appendix 7 of the Local Plan.</p> <p>The Tees Valley Joint Minerals and Waste DPDs will be retained and the Local Plan does not include minerals and waste policies.</p>
<p>11. Have you prepared a statement setting out:</p> <ul style="list-style-type: none"> <li>Which bodies and persons were invited to make representations</li> </ul>	<p>The Act section 20 (3)</p> <p>Regulation 22(1)(c)</p>		<p>This will bring forward material from the Consultation statement (see Stage 2 above).</p>	<p>A Statement of Consultation has been prepared and accompanies the Local Plan. The statement details the consultation, the responses received and</p>

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence
under Regulation 18? <ul style="list-style-type: none"> <li>• How they were invited?</li> <li>• A summary of the main issues raised?</li> <li>• How the representations have been taken into account?</li> </ul>				summarises the main issues and how comments have been taken into account.
12. Have you prepared a statement giving: <ul style="list-style-type: none"> <li>• the number of representations made under Regulation 22?</li> <li>• a summary of the main issues raised?</li> </ul> OR <ul style="list-style-type: none"> <li>• that no representations were made?</li> </ul>	The Act section 20(3)  Regulation 22(1)(c)			A Statement of Consultation has been prepared which sets out the number of representations received and the main issues raised.
13. Have you collected together all the representations made under Regulation 28?	The Act section 20(3)  Regulation 22(1)(e)			Copies of the representations have been collated and submitted alongside the Local Plan as both hard and electronic copies.
14. Have you assembled the relevant supporting documents?	The Act section 20(3)  Regulation 22(1)(g)			All necessary evidence and records of decisions relevant to the Local Plan have been assembled and submitted.
15. Has your council approved the DPD for submission?	The Act section 20		Check the LPA's constitution/standing orders for the authorisation process appropriate for the type of DPD.	At its meeting on 17 November 2016, the Borough Council resolved to approve the Publication Local Plan and its subsequent submission to the Secretary of State for

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence
				Independent Examination.
<p>16. Have you sent the Secretary of State (the Planning Inspectorate) both a paper copy and an email of the following:</p> <ul style="list-style-type: none"> <li>• the DPD?</li> <li>• the submission policies map (unless there are no site allocation policies)?</li> <li>• the documents prescribed in Regulation 22(1)?</li> </ul>	<p>The Act section 20(1) and 20(3)</p> <p>Regulations 22(1) and 22(2)</p>		<p>Regulation 35 deals with the availability of documents and the time of their removal.</p> <p>Electronic copies of some of the representations and supporting documents may not be practicable.</p> <p>Regulation 35 deals with the availability of documents and the time of their removal.</p>	<p>A paper and electronic copy of these documents has been sent to the Planning Inspectorate</p>
<p>17. Have you made the following available at the same places where the proposed submission documents were to be seen:</p> <ul style="list-style-type: none"> <li>• The DPD?</li> <li>• The documents prescribed in Regulation 22(1)?</li> </ul>	<p>Regulation 22(3)</p>		<p>You should do this as soon as reasonably practicable after submission.</p>	<p>The documents will be available in the Council's main offices and libraries and on the Council's website at <a href="http://www.redcar-cleveland.gov.uk/localplan">www.redcar-cleveland.gov.uk/localplan</a></p>
<p>18. On your website, have you published the:</p> <ul style="list-style-type: none"> <li>• DPD?</li> <li>• submission policies map?</li> <li>• sustainability appraisal report?</li> <li>• Regulation 22(1)(c) statement?</li> <li>• supporting documents</li> </ul>	<p>Regulation 22(3) and 35(1)(b)</p>		<p>You should do this as soon as reasonably practicable after submission.</p>	<p>The documents will be available on the Council's website at <a href="http://www.redcar-cleveland.gov.uk/localplan">www.redcar-cleveland.gov.uk/localplan</a></p>

Activity	Legal requirement	Guidance reference	Additional notes	Possible evidence
<p>(where practicable) ?</p> <ul style="list-style-type: none"> <li>representations made under Regulation 20 (where practicable) ?</li> <li>statement as to where and when the DPD and the documents are available?</li> </ul>				
<p>19. For each general consultation body invited to make representations under Regulation 18(1), have you sent:</p> <ul style="list-style-type: none"> <li>notification that the documents prescribed in Regulation 22(3)(a)(i)-(iii) are available for inspection</li> <li>where and when they can be inspected?</li> </ul>	Regulation 22(3)(b)		You should do this as soon as reasonably practicable after submitting to the Secretary of State.	This will be carried out as soon as reasonably practicable following submission of the Plan to the Planning Inspectorate.
<p>20. Have you given notice to persons who have requested to be notified that submission has taken place?</p>	Regulation 22(3)(c)		You should do this as soon as reasonably practicable after submitting to the Secretary of State.	This will be carried out as soon as reasonably practicable following submission of the Plan to the Planning Inspectorate.
<p>21. If an examination is being held, at least six weeks before its opening has the Programme Officer:</p> <ul style="list-style-type: none"> <li>published the time and place of the examination and the name of the</li> </ul>	The Act section 20 Regulations 24 and 35			This will be carried out as soon as reasonably practicable following submission of the Plan to the Planning Inspectorate.

<b>Activity</b>	<b>Legal requirement</b>	<b>Guidance reference</b>	<b>Additional notes</b>	<b>Possible evidence</b>
person appointed to carry out the examination on your website? <ul style="list-style-type: none"><li>• notified those who have made representations on the published DPD which have not been withdrawn of these details?</li></ul>				