

This note was prepared by AMEC on behalf of the Planning Advisory Service. It aims to help local authorities prepare their plans in advance of an examination, taking into account the requirements of the National Planning Policy Framework. A separate checklist looks at legal compliance.

In summary – the key requirements of plan preparation are:

- Has the plan been positively prepared i.e. based on a strategy which seeks to meet objectively assessed requirements?
- Is the plan justified?
- Is it based on robust and credible evidence?
- Is it the most appropriate strategy when considered against the alternatives?
- Is the document effective?
- Is it deliverable?
- Is it flexible?
- Will it be able to be monitored?
- Is it consistent with national policy?

The Tests of Soundness at Examination

The starting point for the examination is the assumption that the Council has submitted what it considers to be a sound plan. Those seeking changes should demonstrate why the plan is unsound by reference to one or more of the soundness criteria.

The tests of soundness are set out in the National Planning Policy Framework (NPPF) (para 182): "The Local Plan will be examined by an independent inspector whose role is to assess whether the plan has been prepared in accordance with the Duty to Cooperate, legal and procedural requirements, and whether it is sound. A local planning authority should submit a plan for examination which it considers is 'sound' ", namely that it is:

1. Positively Prepared: based on a strategy which seeks to meet objectively assessed development and infrastructure requirements

This means that the Development Plan Document (DPD) should be based on a strategy which seeks to meet objectively assessed development and infrastructure requirements, including unmet requirements from neighbouring authorities where it is reasonable to do so and consistent with achieving sustainable development. The NPPF has 12 principles through which it expects sustainable development can be achieved.

2. Justified: the most appropriate strategy when considered against the reasonable alternatives, based on proportionate evidence This means that the DPD should be based on a robust and credible evidence base involving:

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Soundness Self-Assessment Checklist

- Research/fact finding: the choices made in the plan are backed up by facts.
- Evidence of participation of the local community and others having a stake in the area; and

The DPD should also provide the most appropriate strategy when considered against reasonable alternatives. These alternatives should be realistic and subject to sustainability appraisal. The DPD should show how the policies and proposals help to ensure that the social, environmental, economic and resource use objectives of sustainability will be achieved.

3. Effective: deliverable over its period based on effective joint working on cross-boundary strategic priorities

This means the DPD should be deliverable, requiring evidence of:

- Sound infrastructure delivery planning;
- Having no regulatory or national planning barriers to delivery;
- Delivery partners who are signed up to it; and
- Coherence with the strategies of neighbouring authorities.
- The DPD should be flexible and able to be monitored.

The DPD should indicate who is to be responsible for making sure that the policies and proposals happen and when they will happen. The plan should be flexible to deal with changing circumstances, which may involve minor changes to respond to the outcome of the monitoring process or more significant changes to respond to problems such as lack of funding for major infrastructure proposals. Although it is important that policies are flexible, the DPD should make clear that major changes may require a formal review including public consultation. Any measures which the Council has included to make sure that targets are met should be clearly linked to an Annual Monitoring Report.

4. Consistent with national policy: enabling the delivery of sustainable development

The demonstration of this is a 'lead' policy on sustainable development which specifies how decisions are to be made against the sustainability criterion (see the Planning Portal for a model policy www.planningportal). If you are not using this model policy, the Council will need to provide clear and convincing reasons to justify its approach.

The following table sets out the requirements associated with these four tests of soundness. Suggestions for evidence which could be used to support these requirements are set out, although these have to be viewed in the context of the plan being prepared. Please don't assume that you have got to provide all of these, they are just suggestions of what could be relevant.

In addition, the Legal Compliance checklist (a separate document, see <u>www.pas.gov.uk</u>) should be completed to ensure that this aspect is covered.

The Duty to Co-operate will also be assessed as part of the examination process.

Soundness Test and Key Requirements

Possible Evidence

Evidence Provided

Positively Prepared: the plan should be prepared based on a strategy which seeks to meet objectively assessed development and infrastructure requirements, including unmet requirements from neighbouring authorities where it is reasonable to do so and consistent with achieving sustainable development.

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DPD is seeking to achieve? Does the DPD contain clear vision(s) and objectives which are specific to the place? Is there a direct relationship between the identified issues, the vision(s) and the objectives? Is it clear how the policies will meet the objectives? Are there any obvious gaps in the policies, having regard to the objectives of the DPD?	from the objectives and are designed to meet them. The strategic objectives of the DPD, and the commentary in the DPD of how they derive from the spatial portrait and vision, and how the objectives are consistent with one another.	Sections 1 and 2 of the document provide a summary of the existing context, the issues the area faces, and a vision and objectives that should shape future developments. Section 2 of the document sets out a clear vision and objectives; which respond to the issues identified in section 1. Section 3: Key Policy Areas includes a cross reference under each policy to which objectives they relate. All objectives are addressed by at least one policy within the AAP. The AAP is required to be in conformity with the adopted Core Strategy; which has already established the broad quantum of development. The Preferred Options paper and Sustainability Appraisal have documented reasonable alternative options considered for the vision, policies, and opportunity sites. Policies within the AAP are internally consistent, and links and cross references are provided throughout the document. The Sustainability Appraisal process has also been used

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		internal inconsistency.
		Section 5: Implementation includes an infrastructure delivery plan and indicative development targets for key sites; which will secure the achievement of the key objectives when delivered. No major objections to these timescales were raised through consultation.
		The AAP includes a section on implementation that sets out how key policy objectives will be achieved through the delivery of infrastructure and opportunity sites.
<i>The presumption in favour of sustainable development (NPPF paras 6-17)</i>	• An evidence base which establishes the development needs of the plan area (see Justified below) and includes a flexible approach to	The AAP is supported by a significant evidence base justifying the approach
Local Plans should meet objectively assessed needs, with sufficient flexibility to adapt to rapid change, unless:	 delivery (see 'Section 3 Effective', below). An audit trail showing how and why the quantum of development, preferred overall strategy and plan area 	taken, as set out in Appendix 1.
—any adverse impacts of doing so would significantly and demonstrably outweigh the benefits, when assessed against the policies in this Framework taken as a whole; or	distribution of development were arrived at.	consistent with the adopted Core Strategy, and the broad strategy is supported by the AAP Preferred Options Paper, and Sustainability
—specific policies in this Framework indicate development should be restricted.		Appraisal.
Policies in Local Plans should follow the approach of the presumption in favour of sustainable development so that it is clear that development which is sustainable can be approved without delay. All plans should be	• A policy or policies which reflect the principles of the presumption in favour of sustainable development (see <u>model policy at</u> <u>www.planningportal</u> .	Policy BHL1 sets out a presumption in favour of sustainable development.

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
based upon and reflect the presumption in favour of sustainable development, with clear policies that will guide how the presumption should be applied locally.		
Objectively assessed needs The economic, social and environmental needs of the authority area addressed and clearly presented in a fashion which makes effective use of land and specifically promotes mixed use development, and take account of cross- boundary and strategic issues. Note: Meeting these needs should be subject to the caveats specified in Paragraph 14 of the NPPF (see above).	 Background evidence papers demonstrating requirements based on population forecasts, employment projections and community needs. Technical papers demonstrating how the aspirations and objectives of the DPD are related to the evidence, and how these are to be met, including from consultation and associated with the Duty to Co-operate. 	The accompanying Sustainability Appraisal considers the economic, social, and environmental needs of the area. The AAP is supported by a significant evidence base justifying the approach taken, as set out in Appendix 1 of the document. Consultation statements and the duty to co-operate statement demonstrates how we have worked with partners throughout the preparation of the document.
NPPF Principles: Delivering sustainable develop	ment	
 Building a strong, competitive economy (paras 18-22) 		
Set out a clear economic vision and strategy for the area which positively and proactively encourages sustainable economic growth (21),	 Articulation of a clear economic vision and strategy for the plan area linked to the Economic Strategy and LEP Strategy where appropriate. 	Section 3.3 sets out the Council's approach to encouraging sustainable economic growth in the area; which includes supporting the growth of green and creative industries.
Recognise and seek to address potential barriers to investment, including poor environment or any lack of infrastructure,	 A criteria-based policy which meets identified needs and is positive and flexible in planning for specialist sectors, regeneration, infrastructure provision, environmental 	Section 3.3 sets out the Council's approach to encouraging sustainable

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
services or housing (21)	 enhancement. An up-to-date assessment of the deliverability of allocated employment sites, to meet local needs, (taking into account that LPAs should avoid the long term protection of sites allocated for employment use where there is no reasonable prospect of an allocated site being used for that purpose) para (22) 	economic growth in the area. This includes offering some flexibility in terms of uses outside of land designated as SIL, and also refers to planned investment in the public realm using the Outer London Fund
 Ensuring the vitality of town centres (paras 23-37) 		
Policies should be positive, promote competitive town centre environments, and set out policies for the management and growth of centres over the plan period (23)	• The Plan and its policies may include such matters as: definition of networks and hierarchies; defining town centres; encouragement of residential development on appropriate sites; allocation of appropriate edge of centre sites where suitable and viable town centre sites are not available; consideration of retail and leisure proposals which cannot be accommodated in or adjacent to town centres.	Section 3.4 sets out the Council's approach to a new neighbourhood centre in the area to accommodate population growth, along with the management of smaller retail parades.
Allocate a range of suitable sites to meet the; scale and type of retail, leisure, commercial, office, tourism, cultural, community services and residential development needed in town centres (23)	 An assessment of the need to expand (the) town centre(s), considering the needs of town centre uses. Primary and secondary shopping frontages identified and allocated. 	Section 3.4 sets out the Council's approach to a new neighbourhood centre in the area to meet the growing populations day to day shopping needs.
3. Supporting a prosperous rural economy (para 28)		
Support sustainable economic growth in rural areas. Planning strategies should promote a strong rural economy by taking a positive approach to new development. (28)	• Where relevant include a policy or policies which support the sustainable growth of rural businesses; promote the development and diversification of agricultural businesses; support sustainable rural tourism and leisure developments, and support local services and facilities.	N/A
4. Promoting sustainable transport (paras 29- 41)		
Facilitate sustainable development whilst	Joint working with adjoining authorities, transport providers and	Section 3.8 sets out the Council's

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
contributing to wider sustainability and health objectives. (29) Balance the transport system in favour of sustainable transport modes and give people a real choice about how they travel whilst recognising that different policies will be required in different communities and opportunities to maximise sustainable transport solutions will vary from urban to rural areas. (29) Encourage solutions which support reductions in greenhouse gas emissions and congestion (29) including supporting a pattern of development which, where reasonable to do so, facilitates the use of sustainable modes of transport. (30)	 Government Agencies on infrastructure provision in order to support sustainable economic growth with particular regard to the facilities referred to in paragraph 31. Policies encouraging development which facilitates the use of sustainable modes of transport and a range of transport choices where appropriate, particularly the criteria in paragraph 35. A spatial strategy and policy which seeks to reduce the need to travel through balancing housing and employment provision. Policy for major developments which promotes a mix of uses and access to key facilities by sustainable transport modes. If local (car parking) standards have been prepared, are they justified and necessary? (39) Identification and protection of sites and routes where infrastructure could be developed to widen transport choice linked to the Local Transport Plan. 	approach towards promoting sustainable transport in the area; which includes prioritising pedestrians and cyclists, and securing higher density developments in areas best served by public transport. The infrastructure plan in section 5.2 also sets out planned investment in the transport infrastructure over the plan period.
Local authorities should work with neighbouring authorities and transport providers to develop strategies for the provision of viable infrastructure necessary to support sustainable development. (31) Opportunities for sustainable transport modes have been taken up depending on the nature and location of the site, to reduce the need for		
major transport infrastructure. (32) Ensure that developments which generate significant movement are located where the need to travel will be minimised and the use of sustainable transport modes can be maximised (34) Plans should protect and exploit opportunities for the use of sustainable transport modes for		

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
the movement of goods or people. (35)		
Policies should aim for a balance of land uses so that people can be encouraged to minimize journey lengths for employment, shopping, leisure, education and other activities. (37)		
For larger scale residential developments in particular, planning policies should promote a mix of uses in order to provide opportunities to undertake day-to-day activities including work on site. Where practical, particularly within large-scale developments, key facilities such as primary schools and local shops should be located within walking distance of most properties. (38)		
The setting of car parking standards including provision for town centres. (39-40)		
Local planning authorities should identify and protect, where there is robust evidence, sites and routes which could be critical in developing infrastructure to widen transport choice. (41)		
5. Supporting high quality communications infrastructure (paras 42-46)		
Support the expansion of the electronic communications networks, including telecommunications' masts and high speed broadband. (43)	 Policy supporting the expansion of electronic communications networks, including telecommunications and high speed broadband, noting the caveats in para 44. 	As part of the wider Local Plan, the Council's Development Management Policies includes guidance on telecommunications. Policies in the
Local planning authorities should not impose a ban on new telecommunications development in certain areas, impose blanket Article 4 directions over a wide area or a wide range of telecommunications development or insist on minimum distances between new		AAP are focussed on issues unique to the area; hence it was considered that a Blackhorse Lane specific policy on this matter was not required.

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
telecommunications development and existing development. (44)		
 Delivering a wide choice of high quality housing (paras 47-55) 		
Identify and maintain a rolling supply of specific deliverable sites sufficient to provide five years' worth of housing against their housing requirements; this should include an additional buffer of 5% or 20% (moved forward from later in the plan period) to ensure choice and competition in the market for land. 20% buffer applies where there has been persistent under delivery of housing(47)	 Identification of: a) five years or more supply of specific deliverable sites; plus the buffer as appropriate Where this element of housing supply includes windfall sites, inclusion of 'compelling evidence' to justify their inclusion (48) A SHLAA 	The AAP is in conformity with the adopted Core Strategy and London Plan. The Council's five year land supply (and buffer) is set out in the Core Strategy. The AAP provides a number of deliverable sites which will contribute to this housing requirement. The phasing of sites likely to contribute to the provision of new housing is set out in section 5.3 of the AAP.
Identify a supply of developable sites or broad locations for years 6-10 and, where possible, years 11-15 (47).	 Identification of a supply of developable sites or broad locations for: a) years 6-10; b) years 11-15 	The AAP is in conformity with the adopted Core Strategy and London Plan. The Council's five year land supply (and buffer) is set out in the Core Strategy. The AAP provides a number of deliverable sites which will contribute to this housing requirement. The phasing of sites likely to contribute to the provision of new housing is set out in section 5.3 of the AAP.
Illustrate the expected rate of housing delivery through a trajectory; and set out a housing implementation strategy describing how a five year supply will be maintained. (47)	 A housing trajectory Monitoring of completions and permissions (47) Updated and managed SHLAA. (47) 	The AAP is in conformity with the adopted Core Strategy and London Plan. The Council's housing trajectory is set out in the Core Strategy.

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		The Annual Monitoring Report sets out the Council's housing permissions and completions.
Set out the authority's approach to housing density to reflect local circumstances (47).	Policy on the density of development.	Section 3.2 sets out the Council's approach to delivery of new housing in the area. This includes details of how density will vary across the AAP so that higher density schemes are focussed in the most accessible locations.
Plan for a mix of housing based on current and future demographic and market trends, and needs of different groups (50) and caters for housing demand and the scale of housing supply to meet this demand. (para 159)	 Policy on planning for a mix of housing (including self-build, and housing for older people SHMA Identification of the size, type, tenure and range of housing) required in particular locations, reflecting local demand. (50) Evidence for housing provision based on up to date, objectively assessed needs. (50) Policy on affordable housing and consideration for the need for on-site provision or if off-site provision or financial contributions are sought, where these can these be justified and to what extent do they contribute to the objective of creating mixed and balanced communities. (50) 	Section 3.2 sets out the Council's approach to delivery of new housing in the area. This makes provision for a range of housing types and tenures to cater for all sectors of the community and secure the creation of sustainable communities; based on evidence of housing need and demand.
In rural areas be responsive to local circumstances and plan housing development to reflect local needs, particularly for affordable housing, including through rural exception sites where appropriate (54). In rural areas housing should be located where it will enhance or maintain the vitality of rural	 Consideration of allowing some market housing to facilitate the provision of significant additional affordable housing to meet local needs. Consideration of the case for resisting inappropriate development of residential gardens. (This is discretionary)(para 53) Examples of special circumstances to allow new isolated homes listed at para 55. 	N/A

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
communities.		
7. Requiring good design (paras 56-68)		
Develop robust and comprehensive policies that set out the quality of development that will be expected for the area (58).	• Inclusion of policy or policies which seek to increase the quality of development through the principles set out at para 58 and approaches in paras 59-61, linked to the vision for the area and specific local issues	Section 3.5 sets out the Council's approach to securing high quality design in new developments that respect the existing urban grain.
8. Promoting healthy communities (paras 69- 77)		
Policies should aim to design places which: promote community interaction, including through mixed-use development; are safe and accessible environments; and are accessible developments (69).	 Inclusion of a policy or policies on inclusive communities. Promotion of opportunities for meetings between members of the community who might not otherwise come into contact with each other, including through mixed-use developments which bring together those who work, live and play in the vicinity; safe and accessible environments where crime and disorder, and the fear of crime, do not undermine the quality of life or community cohesion; and accessible developments, containing clear and legible pedestrian routes, and high quality public space, which encourage the active and continual use of public areas. (69) 	Section 3.4 (Neighbourhood Centre and Local Retail Parades) and section 3.10 (Social Infrastructure) promote the inclusion of community spaces in new appropriate locations, whilst section 3.6 (Public Open Space and Nature Conservation) sets out intentions to enable increased public access to open spaces. Section 3.5 (Design and Local Character) sets out requirements for good quality public realm and good connectivity.
Policies should plan positively for the provision and use of shared space, community facilities and other local services (70).	 Inclusion of a policy or policies addressing community facilities and local service. Positive planning for the provision and integration of community facilities and other local services to enhance the sustainability of communities and residential environments; safeguard against the unnecessary loss of valued facilities and services; ensure that established shops, facilities and services are able to develop and modernize; and ensure that housing is developed in suitable locations which offer a range of community facilities and good 	Section 3.10 sets out the Council's approach to securing new social infrastructure in the areas, including matters such as community spaces and local services as part of new mixed use developments.

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
	access to key services and infrastructure.	
Identify specific needs and quantitative or qualitative deficits or surpluses of open space, sports and recreational facilities; and set locally derived standards to provide these (73).	 Identification of specific needs and quantitative or qualitative deficits or surpluses of open space, sports and recreational facilities in the local area. (73) A policy protecting existing open space, sports and recreational buildings and land from development, with specific exceptions. (74) Protection and enhancement of rights of way and access. (75) 	Section 3.6 sets outs the Council's approach to Public Open Space. This recognises deficits in provision in the locality, and seeks to overcome this through improved public access to existing spaces, and the provision of new ones as part of new developments.
Enable local communities, through local and neighbourhood plans, to identify special protection green areas of particular importance to them – 'Local Green Space' (76-78).	• Policy enabling the protection of Local Green Spaces. (Local Green Spaces should only be designated when a plan is prepared or reviewed, and be capable of enduring beyond the end of the plan period. The designation should only be used when it accords with the criteria in para 77). Policy for managing development within a local green space should be consistent with policy for Green Belts. (78)	Local communities have been consulted throughout the production of the document, and are broadly supportive of plans to improve public access to Walthamstow Wetlands and the provision of new open spaces within developments.
9. Protecting Green Belt land (paras 79-92)		
Local planning authorities should plan positively to enhance the beneficial use of the Green Belt, such as looking for opportunities to provide access; to provide opportunities for outdoor sport and recreation; to retain and enhance landscapes, visual amenity and biodiversity; or to improve damaged and derelict land. (81) Local planning authorities with Green Belts in their area should establish Green Belt boundaries in their Local Plans which set the framework for Green Belt and settlement policy. (83)	 Where Green Belt policies are included, these should reflect the need to: Enhance the beneficial use of the Green Belt. (81) Accord with criteria on boundary setting, and the need for clarity on the status of safeguarded land, in particular. (85) Specify that inappropriate development should not be approved except in very special circumstances. (87) Specify the exceptions to inappropriate development (89-90) Identify where very special circumstances might apply to renewable energy development. (91) 	Section 3.6 sets out the Council's approach to open space and nature conservation. This includes proposals to enhance public use of Walthamstow Wetlands. As a strategic matter, green belt boundaries have been established through the Core Strategy and no alterations are proposed within the AAP.

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
When drawing up or reviewing Green Belt boundaries local planning authorities should take account of the need to promote sustainable patterns of development. (84)		
Boundaries should be set using 'physical features likely to be permanent' amongst other things (85)		
10. Meeting the challenge of climate change, flooding and coastal change (paras 93-108)		
Adopt proactive strategies to mitigate and adapt to climate change taking full account of flood risk, coastal change and water supply and demand considerations. (94)	 Planning of new development in locations and ways which reduce greenhouse gas emissions. Support for energy efficiency improvements to existing building. Local requirements for a building's sustainability which are consistent with the Government's zero carbon buildings policy . (95)) 	Section 3.7 sets out the Council's approach to flood risk in the area, and section 3.9 sets out the approach to climate change.
Help increase the use and supply of renewable and low carbon energy through a strategy, policies maximising renewable and low carbon energy, and identification of key energy sources. (97)	 A strategy and policies to promote and maximise energy from renewable and low carbon sources, Identification of suitable areas for renewable and low carbon energy sources, and supporting infrastructure, where this would help secure the development of such sources (see also NPPF footnote 17) Identification of where development can draw its energy supply from decentralised, renewable or low carbon supply systems and for co-locating potential heat customers and suppliers. (97) 	Section 3.9 sets out the Council's approach to climate change; which refers to generic borough wide policies on energy efficiency, but also opportunities for a decentralised energy network in the wider Upper Lee Valley.
Minimise vulnerability to climate change and manage the risk of flooding (99)	 Account taken of the impacts of climate change. (99) Allocate, and where necessary re-locate, development away from flood risk areas through a sequential test, based on a SFRA. (100) Policies to manage risk, from a range of impacts, through suitable adaptation measures 	Section 3.7 sets out the Council's approach to minimising flood risk in the area through the siting and design of new developments. Clear rationale of why the Station Hub site passes exceptions test is set out in section

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		4.2. Section 3.9 also sets out the Council's approach to climate change.
Manage risk from coastal change (106)	 Identification of where the coast is likely to experience physical changes and identify Coastal Change Management Areas, and clarity on what development will be allowed in such areas. 	N/A
	• Provision for development and infrastructure that needs to be re- located from such areas, based on SMPs and Marine Plans, where appropriate.	
11. Conserving and enhancing the natural environment (paras 109-125)		
Protect valued landscapes (109)	 A strategy and policy or policies to create, protect, enhance and manage networks of biodiversity and green infrastructure. Delinewhich as the minimizes the lass of higher quality. 	Section 3.6 sets out the Council's approach to open space and nature
	 Policy which seeks to minimise the loss of higher quality agricultural land and give great weight to protecting the landscape and scenic beauty of National Parks, the Broads and AONBs. 	conservation; which includes the major assets of the Lee Valley Regional Park and Walthamstow Wetlands.
Prevent unacceptable risks from pollution and land instability (109)	 Policy which seeks development which is appropriate for its location having regard to the effects of pollution on health, the natural environment or general amenity. 	Pollution matters are dealt with extensively in the Council's Development Management Policies. Section 4 of the AAP makes clear that such policies will be a key consideration in determining planning applications.
Planning policies should minimise impacts on biodiversity and geodiversity (117)	 Identification and mapping of local ecological networks and geological conservation interests. 	Section 3.6 sets out the Council's approach to open space and nature
Planning policies should plan for biodiversity at a landscape-scale across local authority boundaries (117)	 Policies to promote the preservation, restoration and re-creation of priority habitats, ecological networks and the recovery of priority species 	conservation; which includes policy to protect existing areas from insensitive development, and the promotion of biodiversity enhancement measures.

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
12. Conserving and enhancing the historic environment (paras 126-141)		
Include a positive strategy for the conservation and enjoyment of the historic environment, including heritage assets most at risk (126)	 A strategy for the historic environment based on a clear understanding of the cultural assets in the plan area, including assets most at risk. A map/register of historic assets A policy or policies which promote new development that will make a positive contribution to character and distinctiveness. (126) 	Section 3.5 sets out the Council's approach to securing high quality designs in new developments, including the incorporation of existing buildings of merit in order to make a positive contribution to character and distinctiveness.
13. Facilitating the sustainable use of minerals (paras 142-149)		
It is important that there is a sufficient supply of material to provide the infrastructure, buildings, energy and goods that the country needs. However, since minerals are a finite natural resource, and can only be worked where they are found, it is important to make best use of them to secure their long-term conservation (142) Minerals planning authorities should plan for a steady and adequate supply of industrial materials (146)	Account taken of the matters raised in relation to paragraph 143 and 145, including matters in relation to land in national / international designations; landbanks; the defining of Minerals Safeguarding Areas; wider matters relating to safeguarding; approaches if non-mineral development is necessary within Minerals Safeguarding Areas; the setting of environmental criteria; development of noise limits; reclamation of land; plan for a steady and adequate supply of aggregates. This could include evidence of co-operation with neighbouring and more distant authorities.	N/A
Justified: The plan should be the most appropria	te strategy, when considered against the reasonable alternatives, based o	n proportionate evidence.
To be 'justified' a DPD needs to be:		
• Founded on a robust and credible evidence basevidence of participation of the local community	se involving: research / fact finding demonstrating how the choices made and others having a stake in the area.	in the plan are backed up by facts; and
• The most appropriate strategy when considered	d against reasonable alternatives.	
Participation	The consultation statement. This should set out what consultation was	Consultation Statements and duty to
Has the consultation process allowed for	undertaken, when, with who and how it has influenced the plan. The statement should show that efforts have been made to consult hard	co-operate statement

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
effective engagement of all interested parties?	to reach groups, key stakeholders etc. Reference SCI	
Research / fact finding Is the plan justified by a sound and credible evidence base? What are the sources of evidence? How up to date, and how convincing is it? What assumptions were made in preparing the DPD? Were they reasonable and justified?	 The studies, reports and technical papers that provide the evidence for the policies set out in the DPD, the date of preparation and who they were produced by. AND Sections of the DPD (at various stages of development) and SA Report which illustrate how evidence supports the strategy, policies and proposals, including key assumptions. OR A very brief statement of how the main findings of consultation support the policies, with reference to: reports to the council on the issues raised during participation, covering both the front-loading and formulation phases; and any other information on community views and preferences. OR For each policy (or group of policies dealing with the same issue), a very brief statement of the evidence documents relied upon and how they support the policy (where this is not already clear in the reasoned justification in the DPD). 	 Appendix 1 of document lists evidence base (including source and date) that supports the AAP by broad topic area. References to evidence base are made throughout the document in justification sections of each policy area. The evidence is considered to be robust, up-to-date and relevant. In preparing the evidence base, there have been a number of assumptions made, particularly in forecasting trends and growth. These are referenced in the studies undertaken. Other key assumptions are: The general expectation is that growth and development will come forward as described and no unforeseen external influences will impact on this. Furthermore, there will be no fundamental change to national or regional policy. Although there is currently an economic recession, recovery in the economy is expected during the plan period.
<i>Alternatives</i> Can it be shown that the LPA's chosen	 Reports and consultation documents produced in the early stages setting out how alternatives were developed and evaluated, and the reasons for selecting the preferred strategy, and reasons for 	Preferred Options document sets out a range of options that were

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
approach is the most appropriate given the reasonable alternatives? Have the reasonable alternatives been considered and is there a clear audit trail showing how and why the preferred approach was arrived at? Where a balance had to be struck in taking decisions between competing alternatives, is it clear how and why the decisions were taken? Does the sustainability appraisal show how the different options perform and is it clear that sustainability considerations informed the content of the DPD from the start?	 rejecting the alternatives. This should include options covering not just the spatial strategy, but also the quantum of development, strategic policies and development management policies. An audit trail of how the evidence base, consultation and SA have influenced the plan. Sections of the SA Report showing the assessment of options and alternatives. Reports on how decisions on the inclusion of policy were made. Sections of the consultation document demonstrating how options were developed and appraised. Any other documentation showing how alternatives were developed and evaluated, including a report on how sustainability appraisal has influenced the choice of strategy and the content of policies. 	considered for each policy area, and explains why certain options were considered more favourable than others. This is supported by the Sustainability Appraisal Report, which also sets out a clear paper trail of how alternative uses for individual sites were considered. Sustainability Appraisals have been an integral part of the process in developing the AAP. Their recommendations have helped inform the submission version of the document. The consultation statement sets out how the community have been given opportunity to influence options, including through response to Issues Paper and Preferred Options Paper.

Effective: the plan should be deliverable over its period and based on effective joint working on cross-boundary strategic priorities.

To be 'effective' a DPD needs to:

- Be deliverable
- Demonstrate sound infrastructure delivery planning
- Have no regulatory or national planning barriers to its delivery
- Have delivery partners who are signed up to it
- Be coherent with the strategies of neighbouring authorities
- Demonstrate how the Duty to Co-operate has been fulfilled
- Be flexible

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
Be able to be monitored		
 Deliverable and Coherent Is it clear how the policies will meet the Plan's vision and objectives? Are there any obvious gaps in the policies, having regard to the objectives of the DPD? Are the policies internally consistent? Are there realistic timescales related to the objectives? Does the DPD explain how its key policy objectives will be achieved? 	 Sections of the DPD which address delivery, the means of delivery and the timescales for key developments and initiatives. Confirmation from the relevant agencies that they support the objectives and the identified means of delivery, such as evidence that the plans and programmes of other bodies have been taken into account (e.g. Water Resources Management Plans). Information in the local development scheme, or provided separately, about the scope and content (actual and intended) of each DPD showing how they combine to provide a coherent policy structure. Section in the DPD that shows the linkages between the objectives and the corresponding policies, and consistency between policies (such as through a matrix). 	Section 3: Key Policy Areas includes a cross reference under each policy to which objectives they relate. All objectives are addressed by at least one policy within the AAP. Policies within the AAP are internally consistent, and links and cross references are provided throughout the document. The Sustainability Appraisal process has also been used to test the policies contained in the document, and did not identify and internal inconsistency. Section 5: Implementation includes an infrastructure delivery plan and indicative development targets for key sites. No major objections to these timescales were raised through consultation. The monitoring framework sets out a clear link between objectives and policies, along with targets and indicators that can be used to ensure the key objectives can be delivered upon.
 Infrastructure Delivery Have the infrastructure implications of the policies clearly been identified? Are the delivery mechanisms and timescales 	 A section or sections of the DPD where infrastructure needs are identified and the proposed solutions put forward. A schedule setting out responsibilities for delivery, mechanisms and timescales, and related to a CIL schedule where appropriate. 	An infrastructure plan is included within the implementation section of the document.

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
 for implementation of the policies clearly identified? Is it clear who is going to deliver the required infrastructure and does the timing of the provision complement the timescale of the policies? 	 Confirmation from infrastructure providers that they support the solutions proposed and the identified means and timescales for their delivery, or a plan for resolving issues. Demonstrable plan-wide viability, particularly in relation to the delivery of affordable housing and the role of a CIL schedule. 	The implementation section of the plan sets out delivery mechanisms including an infrastructure plan, and indicative development targets of when key sites will come forward for redevelopment. Infrastructure required, responsible parties, and indicative timescales are all set out in the infrastructure plan within the implementation section of the document.
<i>Co-ordinated Planning</i> Does the DPD reflect the concept of spatial planning? Does it go beyond traditional land use planning by bringing together and integrating policies for development and the use of land with other policies and programmes from a variety of agencies / organisations that influence the nature of places and how they function?	 Sections of the DPD that reflect the plans or strategies of the local authority and other bodies Policies which seek to pull together different policy objectives Expressions of support/representations from bodies responsible for other strategies affecting the area 	The AAP goes beyond traditional land use planning by integrating related matters such as the Walthamstow Wetlands project, physical regeneration projects utilising the Outer London Fund, and reflecting matters such as the aspirations of the Lee Valley Park Plan.
 Flexibility Is the DPD flexible enough to respond to a variety of, or unexpected changes in, circumstances? Does the DPD include the remedial actions that will be taken if the policies need adjustment? 	 Sections of the DPD setting out the assumptions of the plan and identifying the circumstances when policies might need to be reviewed. Sections of the annual monitoring report and sustainability appraisal report describing how the council will monitor: a. the effectiveness of policies and what evidence is being collected to undertake this b. changes affecting the baseline information and any information on trends on which the DPD is based Risk analysis of the strategy and policies to demonstrate 	In formulating policies, a degree of flexibility has been built in; for example development targets for opportunity sites makes clear that it may be possible for applications that deviate from the exact proposed mix of uses to be justified. Similarly, throughout the document it is made clear that viability will be a key consideration alongside a range of other factors to ensure policy requirements are not too onerous to

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
	robustness and how the plan could cope with changing circumstances	prevent sustainable development coming forward.
	 Sections within the DPD dealing with possible change areas and how they would be dealt with, including mechanisms for the rate of development to be increased or slowed and how that would impact on other aspects of the strategy and on infrastructure provision Sections of the DPD identifying the key indicators of success of the strategy, and the remedial actions which will be taken if adjustment is required. 	The document is based on a plan, monitor, manage approach – and as such the Annual Monitoring Report will be important. If this demonstrates that the document is ineffective, this could trigger an early review.
 Co-operation Is there sufficient evidence to demonstrate that the Duty to Co-operate has been undertaken appropriately for the plan being examined? Is it clear who is intended to implement each part of the DPD? Where the actions required are outside the direct control of the LPA, is there evidence that there is the necessary commitment from the relevant organisation to the implementation of the policies? 	 A succinct Duty to Co-operate Statement which flows from the strategic issues that have been addressed jointly. A 'tick box' approach or a collection of correspondence is not sufficient, and it needs to be shown (where appropriate) if joint plan-making arrangements have been considered, what decisions were reached and why. The Duty to Co-operate Statement could highlight: the sharing of ideas, evidence and pooling of resources; the practical policy outcomes of co-operation; how decisions were reached and why; and evidence of having effectively co-operated to plan for issues which need other organisations to deliver on, common objectives for elements of strategy and policy; a memorandum of understanding; aligned or joint core strategies and liaison with other consultees as appropriate. 	Duty to cooperate statement. The implementation section of the document includes an infrastructure plan, where actions required outside of the Council's control are clearly identified.
 Monitoring Does the DPD contain targets, and milestones which relate to the delivery of the policies, (including housing trajectories where the DPD contains housing allocations)? Is it clear how targets are to be measured (by when, how and by whom) and are these linked 	 Sections of the DPD setting out indicators, targets and milestones Sections of the current annual monitoring report which report on indicators, targets, milestones and trajectories Reference to any other reports or technical documents which contain information on the delivery of policies Sections of the current annual monitoring report and the 	The implementation section of the document also includes indicative development targets, which includes timescales for housing developments within the area; which will contribute towards the borough wide housing trajectory set out in the Core Strategy

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
 to the production of the annual monitoring report? Is it clear how the significant effects identified in the sustainability appraisal report will be taken forward in the ongoing monitoring of the implementation of the plan, through the annual monitoring report? 	sustainability appraisal report setting out the framework for monitoring, including monitoring the effects of the DPD against the sustainability appraisal	The AAP includes a monitoring framework which will be used to monitor the effectiveness of policies (including any significant effects identified in the sustainability appraisal report), in meeting the plans objectives. The Annual Monitoring Report will be the mechanism for reporting back progress on targets using the indicators provided.
in the Framework.	an should enable the delivery of sustainable development policy. Where there is a departure, there must be clear and convincing re	
 Does the DPD contain any policies or proposals which are not consistent with national policy and, if so, is there local justification? Does the DPD contain policies that do not add anything to existing national guidance? If so, why have these been included? 	 Sections of the DPD which explain where and how national policy has been elaborated upon and the reasons. Studies forming evidence for the DPD or, where appropriate, other information which provides the rationale for departing from national policy. Evidence provided from the sustainability appraisal (including reference to the sustainability report) and/or from the results of community involvement. Reports or copies of correspondence as to how representations have been considered and dealt with. 	The Council considers the plan to be consistent with national policy. There are no instances where policies depart from national policy. The Council considers that national policy is only referred to (where relevant), to provide context for particular policies.

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Soundness Self-Assessment Checklist

Planning policy for traveller sites

Planning Policy for Traveller Sites was published in 23 March 2012 and came into effect on 27 March 2012. Circular 01/06: Planning for Gypsy and Traveller Caravan Sites and Circular 04/07: Planning for Travelling Showpeople have been cancelled. Planning Policy for Traveller Sites should be read in conjunction with the National Planning Policy Framework, including the implementation policies of that document.

The government's aim in relation to planning for traveller sites is:

'To ensure fair and equal treatment for travellers, in a way that facilitates the traditional and nomadic life of travellers whilst respecting the interests of the settled community'.

Government's aims in respect of traveller sites are:

- That local planning authorities (LPAs) make their own assessment of need for the purposes of planning
- That LPAs work collaboratively, develop fair and effective strategies to meet need through the identification of land for sites
- Plan for sites over a reasonable timescale
- Plan-making should protect green belt land from inappropriate development
- Promote more private traveller site provision whilst recognising that there will always be those travellers who cannot provide their own sites
- Aim to reduce the number of unauthorised developments and encampments and make enforcement more effective.

In addition local planning authorities should:

- Include fair, realistic and inclusive policies
- Increase the number of traveller sites in appropriate locations with planning permission, to address under provision and maintain an appropriate level of supply
- Reduce tensions between settled and traveller communities in plan-making and decision-taking
- Enable provision of suitable accommodation from which travellers can access education, health, welfare and employment infrastructure
- Have due regard to protection of local amenity and local environment

Policy Expectations	Possible Evidence	Evidence Provided
Policy A: Using evidence to plan positively and manage development (para 6)		N/A
Early and effective community engagement with both settled and traveller communities.	• Early and effective engagement undertaken, including discussing travellers' accommodation needs with travellers themselves, their representative bodies and local support groups.	N/A
Co-operate with travellers, their representative bodies and local support groups, other local authorities and relevant interest groups to prepare and maintain an up-to-date understanding of likely permanent and transit accommodation needs of their areas.	 Demonstration of a clear understanding of the needs of the traveller community over the lifespan of your development plan. Collaborative working with neighbouring local planning authorities. A robust evidence base to establish accommodation needs to inform the preparation of your local plan and make planning decisions. 	N/A
Policy B: Planning for traveller sites (paras 7- 11)		N/A
Set pitch targets for gypsies and travellers and plot targets for travelling showpeople which address the likely permanent and transit site accommodation needs of travellers in your area, working collaboratively with neighbouring LPAs.	 Identification, and annual update, of a supply of specific, deliverable sites sufficient to provide 5 years worth of sites against locally set target. Identification of a supply of specific, developable sites or broad locations for growth for years 6-10, and, where possible, for years 11-15. An assessment of the need for traveller sites, and where an unmet possible base base demonstrated a supply of specific deliverable sites. 	N/A
Set criteria to guide land supply allocations where there is identified need.	need has been demonstrated a supply of specific, deliverable sites been identified.	

Policy Expectations	Possible Evidence	Evidence Provided
Ensure that traveller sites are sustainable economically, socially and environmentally.	• Policy which takes into account criteria a-h of para 11	
Policy C: Sites in rural areas and the countryside (para 12)		N/A
When assessing the suitability of sites in rural or semi-rural settings LPAs should ensure that the scale of such sites do not dominate the nearest settled community.		N/A
Policy D: Rural exception sites (para 13)		N/A
If there is a lack of affordable land to meet local traveller needs, LPAs in rural areas, where viable and practical, should consider allocating and releasing sites solely for affordable travellers sites.	• If a rural exception site policy is used, and if so clarity that such sites shall be used for affordable traveller sites in perpetuity.	N/A
Policy E: Traveller sites in Green Belt (paras 14-15)		N/A
Traveller sites (both permanent and temporary) in the Green Belt are inappropriate development.	 Green Belt boundary revisions made in response to a specific identified need for a traveller site, undertaken through the plan making process. 	N/A
Exceptional limited alteration to the defined Green Belt boundary (which might be to accommodate a site inset within the Green Belt) to meet a specific, identified need for a traveller site should be done only through		

Policy Expectations	Possible Evidence	Evidence Provided
the plan-making process.		
Policy F: Mixed planning use traveller sites (paras 16-18)		N/A
Local planning authorities should consider, wherever possible, including traveller sites suitable for mixed residential and business uses, having regard to the safety and amenity of the occupants and neighbouring residents.	 Consideration of the need for sites for mixed residential and business use (having regard to safety and amenity of the occupants and neighbouring residents), or separate sites in close proximity to one another. N.B. Mixed use should not be permitted on rural exception sites 	N/A
Policy G: Major development projects (para 19)		N/A
Local planning authorities should work with the planning applicant and the affected traveller community to identify a site or sites suitable for relocation of the community if a major development proposal requires the permanent or temporary relocation of a traveller site.	 Where a major development proposal requires the permanent or temporary relocation of a traveller site, the identification of a site or sites suitable for re-location of the community. 	N/A