

Soundness Self-Assessment Checklist (March 2014)

This note was prepared by AMEC and URS 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, together with the Marine Policy Statement (MPS) set out principles through which the Government 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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- 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, including neighbouring marine planning 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.gov.uk). 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 www.pas.gov.uk) 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.

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
<i>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.</i>		

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<p><i>Vision and Objectives</i></p> <p>Has the LPA clearly identified what the issues are that the DPD is seeking to address? Have priorities been set so that it is clear what the DPD is seeking to achieve?</p> <p>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?</p> <p>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?</p> <p>Have reasonable alternatives to the quantum of development and overall spatial strategy been considered?</p> <p>Are the policies internally consistent?</p> <p>Are there realistic timescales related to the objectives?</p> <p>Does the DPD explain how its key policy objectives will be achieved?</p>	<ul style="list-style-type: none"> • Sections of the DPD and other documents which set out (where applicable) the vision, strategic objectives, key outcomes expected, spatial portrait and issues to be addressed. • Relevant sections of the DPD which explain how policies derive 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 of the DPD which address delivery, the means of delivery and the timescales for key developments through evidenced infrastructure delivery planning. 	<p>Chapters 3-4 of Minerals and Waste Joint Plan (MWJP) Publication draft (CD17) cover the Vision and Objectives. Vision is covered on pages 37 – 38 and Objectives covered on pages 39 – 42. A spatial portrait is contained in Chapter 2, with key issues and challenges identified in Chapter 3. Paragraph 4.1 states that the Vision and Objectives give direction to the policies in the Plan. Links to relevant objectives are highlighted in each policy ‘box’ in the Plan.</p> <p>Paragraph 4.2 states that the Objectives are a means to taking forward the Vision and the priorities which underpin the vision and objectives.</p> <p>Site Allocations are set out in Appendix 1 of the Publication draft of the Plan (CD18). All site allocations have been assigned to the relevant Policy to demonstrate how they relate to delivery of the Policy. The Policies which deal most specifically with delivery and /or include site allocations are M02 – Provision of sand and gravel pg 50, M05 – Provision of crushed rock pg 53, M07 – Meeting sand and gravel requirements pg 56, M08 – Meeting</p>

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	<ul style="list-style-type: none"> Confirmation from the relevant agencies that they support the objectives and the identified means of delivery. 	<p>building sand requirements pg 59, M09 – Meeting crushed rock requirements pg 60, Continuity of supply of silica sand pg 67, M13 – Continuity of supply of clay pg 69, M15 – Continuity of supply of building stone, W02 – Strategic role of the Plan area in the management of waste pg 115, W03 – Meeting waste management capacity requirements – Local Authority Collected Waste pg 121, W04 – Meeting waste management capacity requirements – Commercial and Industrial waste (including hazardous C&I waste) pg 124, W05 – Meeting waste management capacity requirements – Construction, Demolition and Excavation waste (including hazardous CD&E waste) pg 128, I01 – Minerals and waste transport infrastructure pg 143.</p> <p>Consultation responses relating to the Minerals and Waste Joint Plan and also Duty to Cooperate correspondence and meetings up to Publication are recorded in the Consultation Statement March 2017 (CD40) and Duty to Cooperate Statement (CD39) accompanying the Plan. Any consultation information</p>

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	<ul style="list-style-type: none"> 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. 	<p>and responses and duty to cooperate matters after Publication are recorded in updated versions of the Consultation Statement (CD02) and updated Duty to Cooperate Statement (CD03)</p> <p>Issues and Options stage provides 'reasonable alternatives' for policy approach which are detailed Issues and Options consultation document (IPC01). Derivation of policy options at issues and options stage paper (IPC03) and the Identification of alternative options and progression to Preferred Options (IPC09) identifies alternative Options including those which were not taken forward. Further explanation of derivation of options for waste management capacity requirements and the supply of aggregates are contained in the waste arisings and capacity requirements studies prepared by Urban Vision (WEB03, WEB04, WEB05, WEB06) and in the Local Aggregates Assessment for the North Yorkshire sub-region (MEB01, MEB22, MEB23).</p>
<p><i>The presumption in favour of sustainable development (NPPF paras 6-17)</i></p> <p>Plans and decisions need to take local circumstances into account, so that</p>	<ul style="list-style-type: none"> An evidence base which establishes the development needs of the plan area (see Justified below) and includes a flexible approach to delivery (see 'Section 3 Effective', below). 	<p>Policy for sustainable development (Policy D01) helps ensure consistency with national policy on this issue this appears on pg 160 of the Publication</p>

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<p>they respond to the different opportunities for achieving sustainable development in different areas.</p> <p>Local Plans should meet objectively assessed needs, with sufficient flexibility to adapt to rapid change, unless:</p> <p>—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</p> <p>—specific policies in this Framework indicate development should be restricted.</p>	<ul style="list-style-type: none"> • An audit trail showing how and why the quantum of development, preferred overall strategy and plan area distribution of development were arrived at. • Evidence of responding to opportunities for achieving sustainable development in different areas (for example, the marine area) 	<p>Draft of the Plan (CD17).</p> <p>Waste – North Yorkshire sub-region waste arisings and capacity requirements reports on the waste needs for the area covered by the Minerals and Waste Joint Plan. (WEB03, WEB04, WEB05, WEB06.) This is reflected in Chapter 6 of the Plan which starts on pg 108.</p> <p>Minerals – Local Aggregates Assessment (MEB01, MEB22, MEB23) and minerals survey data which is collected and fed into the LAA. This is reflected in Chapter 5 of the Plan which starts on pg 47.</p> <p>Stages of Plan and Policy development shown through the Audit trail of policy options, which include the documents Detailed Audit Trail of Policy Development, (SD11) which contains proformas for the development of each of the policies, and Identification of alternative options and progression to Preferred Options which contains all of the suggested alternative options suggested as part of the Issues and Options consultation, and the reason the alternative was taken forward for consideration, or not taken forward, this is also supported by the Identification of alternative</p>

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		<p>options and progression to preferred options (IPC09) Decisions on Site Allocations were taken through a site assessment process and requirements of policies. The assessment of the sites and allocation against policies was also carried out. This is supported by the Audit trail of progress of sites from Issues and Options to Publication (SD13)</p> <p>The decision to produce a Minerals and Waste Joint Plan covering 3 planning authority areas, with shared issues to address, provides opportunities for dealing with the different minerals and waste planning issues and needs in the area in a consistent and coordinated way.</p> <p>Needs partly identified by evidence on Waste – iteration of Urban Vision capacity report (WEB03, WEB04, WEB05, WEB06). Minerals – Iteration of LAA and minerals evidence base (MEB01, MEB22, MEB23).</p> <p>Specific policies have been produced in the Publication draft (DC17) which include sections that identify/indicate where development should be restricted. Such as D04 – Development affecting the North York Moors National Park and the AONBs, Pg166;</p>

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		D05 - Minerals and waste development in the Green Belt, Pg 167; D06 – Landscape, pg 170; D07 – Biodiversity and geodiversity, pg173; D08 – Historic Environment, pg176; M16 – Key spatial principles for hydrocarbon development, pg83; M17 – Other Spatial and locational criteria applying to hydrocarbons development, pg88;
<p>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 based upon and reflect the presumption in favour of sustainable development, with clear policies that will guide how the presumption should be applied locally.</p>	<ul style="list-style-type: none"> A policy or policies which reflect the principles of the presumption in favour of sustainable development (see model policy at www.planningportal.gov.uk) 	<p>Policy D01: Presumption in favour of sustainable minerals and waste development, pg 160, reflects the approach in the model policy. Other relevant policies expand on how this is addressed in relation to particular topics and issues.</p>
<p><i>Objectively assessed needs</i></p> <p>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.</p> <p>Note: Meeting these needs should be subject to the caveats specified in Paragraph 14 of the NPPF (see above).</p>	<ul style="list-style-type: none"> Background evidence papers demonstrating requirements based on population forecasts, employment projections and community needs. Technical papers demonstrating how the aspirations and 	<p>Waste projections informed by economic and population growth and is evidenced in North Yorkshire sub-region waste arisings and requirements reports (WEB03, WEB04, WEB05, WEB06). Minerals projections (aggregates) informed by forecasted changes in house building and is evidenced in the Local Aggregates Assessment for the North Yorkshire sub-region (MEB01, MEB22, MEB23).</p> <p>The Plan seeks to meet objectively assessed needs for minerals, where</p>

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	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.	<p>these can be determined and seeks a move towards net self-sufficiency in waste management capacity, based on an objective assessment of future capacity requirements. Further information is contained in the waste arisings and capacity requirements study (Urban Vision) (WEB03, WEB04, WEB05, WEB06) and the Local Aggregates Assessment (MEB01, MEB22, MEB23).</p> <p>The Duty to Cooperate Statements (CD03 and CD39) includes communication with other Local Authorities which supports the need for minerals supply and waste management in the Joint Plan area.</p>
NPPF Principles: Delivering sustainable development		
1. 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),	<ul style="list-style-type: none"> Articulation of a clear economic vision and strategy for the plan area linked to the Economic Strategy, LEP Strategy and marine policy documents where appropriate. 	<p>Vision and objectives refers to 'delivery of wider benefits to local businesses and the economy'. The LEP Strategic Economic Plan informs the evidence base (SREB01 and SREB02). Links to Strategic Economic Plan are detailed in paragraph 2.47 and throughout Chapter 2: Context. Assessment of minerals and waste needs includes potential growth in house building (aggregate minerals)</p>

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		and economic growth (commercial and industrial waste).
Recognise and seek to address potential barriers to investment, including poor environment or any lack of infrastructure, services or housing (21)	<ul style="list-style-type: none"> A criteria-based policy which meets identified needs and is positive and flexible in planning for specialist sectors, regeneration, infrastructure provision, environmental enhancement. 	<p>All sites were assessed through the site assessment process to ensure that all factors/constraints were taken into account before a decision was taken whether to allocate or discount the sites. The allocated sites support the delivery of relevant policies, so the assessment aims to ensure the deliverability of the sites. A summary of the sites progression is available in 'Audit trail of sites from Issues and Options to Publication (SD13).</p> <p>Safeguarding policies, S01: Safeguarding mineral resources pg 149; S02: Developments proposed within mineral safeguarding areas pg 152; S03: Waste management facility safeguarding pg154; S04: Transport infrastructure safeguarding pg 155; S05: Minerals ancillary infrastructure safeguarding pg 157 and S06: Consideration of applications in consultation areas pg 158, aim to protect the minerals and waste related resource/infrastructure from alternative development which could sterilise the minerals or waste use. Specific policies for the range of minerals types and various waste streams arising in the area set out positive and flexible criteria to support delivery of development including on</p>

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	<ul style="list-style-type: none"> An up-to-date assessment of the deliverability of allocated sites, to meet local needs, (taking into account that LPAs should avoid the long term protection of sites allocated for use where there is no reasonable prospect of an allocated site being used for that purpose) para (22) 	<p>unallocated land where appropriate.</p> <p>Site Allocations detailed in Appendix 1 of the Publication draft (CD18), deliverability is supported through the Policies including safeguarding from other types of development. Environment protection and enhancement is dealt with through Development Management Policies in Chapter 10 starting on pg 160. Each site was evaluated through a site assessment process which looked at any constraints related to the site and potential of delivery the 'Site identification and assessment methodology and scope' document (SD15) provides details on how the sites were to be assessed; the progress of each site is shown in the Audit trail of sites from issues and options to publication (SD13). Any sites which were not deemed suitable were discounted and details of these are available in the 'Discounted sites summary document, (SD18)</p>
<p>2. Ensuring the vitality of town centres (paras 23-37)</p>		
<p>Policies should be positive, promote competitive town centre environments, and set out policies for the management and growth of</p>	<ul style="list-style-type: none"> 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 	<p>Not applicable</p>

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centres over the plan period (23)	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.	
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)	<ul style="list-style-type: none"> • 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. 	<p>Majority not applicable</p> <p>Minerals and waste sites allocated in Appendix 1 of the Publication draft. (CD18)</p>
3. Supporting a prosperous rural economy (para 28)		

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<p>Support sustainable economic growth in rural areas. Planning strategies should promote a strong rural economy by taking a positive approach to new development. (28)</p>	<ul style="list-style-type: none"> 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. 	<p>The Vision for the Plan states that the Plan will maintain a careful balance between meeting future minerals and waste needs whilst protecting and enhancing the environment, protecting and supporting its communities and strengthening its economy. The objectives of the Plan enable this vision to be achieved.</p> <p>Minerals extraction is generally undertaken in rural areas as this is where the resource is located. Waste sites tend to be located nearer centres of population so are less likely to have an impact on the rural economy. Minerals sites have the potential to impact on the use of agricultural and also the tourist economy. The Plan aims to strike a balance by supporting development where it needs to occur in rural areas, but also providing mitigation for the impacts of the development. Safeguards for the protection of the rural areas are in place through the inclusion of Development Management policies which include D01: Presumption in favour of sustainable minerals and waste development pg 160; D02: Local amenity and cumulative impact, pg 161; D04: Development affecting the North York Moors National Park and AONBs pg 166; D06: Landscape pg170;</p>

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		<p>D07: Biodiversity and geodiversity pg 173; D10: reclamation and afteruse pg 183; D12: Protection of agricultural land and soils pg 192.</p> <p>Policy W06 – Managing agricultural waste, pg 130 deals with agricultural waste and W11: Waste site identification principles deals with identifying suitable sites for waste including minimising the impact new sites may have on rural areas.</p>
<p>4. Promoting sustainable transport (paras 29-41)</p>		
<p>Facilitate sustainable development whilst contributing to wider sustainability and health objectives. (29)</p>	<ul style="list-style-type: none"> Joint working with adjoining authorities, transport providers and Government Agencies on infrastructure provision in order to support sustainable economic growth with particular regard to the facilities referred to in paragraph 31. 	<p>Duty to Cooperate Statements (CD03 and CD39) details the involvement of outside bodies in site assessment work and consultation responses. A traffic assessment (SD21 and SD22), was carried out on all sites being considered for allocation in the lead up to the Publication stage. Highways</p>

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<p>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)</p> <p>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)</p>	<ul style="list-style-type: none"> • 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. 	<p>England and the Authorities internal Highways Authority were involved in the assessment process.</p> <p>D11: Sustainable design, construction and operation of development pg 187, deals with the bulk transport of materials and siting, design and operational practices associated with these. I01: Minerals and waste transport infrastructure pg 143, promotes the use of non-road transport for minerals and waste where feasible; D03 Transport of minerals and waste and associated traffic impacts pg 163, non-road transport for minerals and waste is supported. If road transport is used then potential impacts are to be taken into account.</p> <p>The spatial approach of the Plan is expressed through the Vision and Objectives. Part iv) of the Vision includes the availability of adequate transport networks, the opportunities for modal shift and minimising overall transport distances. Objective 6 includes the provision of transport infrastructure for allocated sites. Objective 8 deals with Promoting the use of alternatives to road transport and ensuring that new development is served by suitable transport networks.</p>

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		<p>The overall aim is to minimise the impact of transport and development occurs in places where it minimises the need to travel. Policy M03: Overall distribution of sand and gravel provision pg 51, the provision of sand and gravel has been split into a northwards distribution area and a southwards distribution area and this split will help minimise the overall impact of the sand and gravel movements. Policy M17: Other spatial locational criteria applying to hydrocarbon development pg 88, covers minimising the impact of transport for hydrocarbons and also the use of pipelines instead of road transport, therefore avoiding the transport of waste from hydrocarbon sites by road. Policy I01: Minerals and waste transport infrastructure pg 143, encourages the use of non-road transport such as rail, wharf and pipeline, which if used will make the transport more sustainable and minimise the impact of transporting the minerals or waste. Policy S04 – Transport infrastructure safeguarding pg 155, safeguards any non-road transport infrastructure which may be used for minerals or waste transport, such as railheads or wharfs, to ensure that it is not affected by alternative development and is available if</p>

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<p>Local authorities should work with neighbouring authorities and transport</p>	<ul style="list-style-type: none"> • 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 	<p>required. Policy D03 - Transport of minerals and waste and associated traffic impacts pg 163, deals with minimising the impacts of road transport if it is the method being used. D11: Sustainable design, construction and operation of development pg 187, promotes the minimisation of greenhouse gases by incorporating energy –efficient design and operational practices into the bulk transport of materials.</p> <p>Policy D03 - Transport of minerals and waste and associated traffic impacts, pg 163, promotes the use of non-road transport, or if road transport is necessary then minimising the impact on local communities, businesses or other road highway users. Policy D11: Sustainable design, construction and operation of development, pg187, encourages the minimisation of greenhouse gases in relation to bulk transportation of materials.</p> <p>Not applicable</p> <p>A traffic assessment (SD21 and SD22) was carried out jointly by Highways</p>

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<p>providers to develop strategies for the provision of viable infrastructure necessary to support sustainable development. (31)</p> <p>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)</p> <p>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)</p> <p>Plans should protect and exploit opportunities for the use of sustainable transport modes for the movement of goods or people. (35)</p>	<p>linked to the Local Transport Plan.</p>	<p>England and the Local Authorities own highways teams and this was fed into the site assessment process which took into account transport impacts relating to the proposed sites.</p> <p>Not applicable</p> <p>Policy I01 – Minerals and waste transport infrastructure, pg143 encourages the use of non-road transport where possible. Policy S04 – Transport infrastructure safeguarding, pg155 aim is to ensure any non-road transport infrastructure is protected as far as possible from new development which would prevent use for the original purpose. Policy W03 – Meeting waste management capacity requirements – LACW, pg 121, – promotes an enhanced HWRC network and transfer network to reduce transport miles. Policy D03 – Transport of minerals and waste and associated traffic impacts, pg 163, states that where proposals will generate significant levels of traffic a transport plan and green travel plan will be required to show that opportunities for sustainable transport have been considered.</p>

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<p>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)</p> <p>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)</p> <p>The setting of car parking standards including provision for town centres. (39-40)</p> <p>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)</p>		<p>Policy D10 – Reclamation and afteruse, pg 183, supports development of opportunities for public access and recreation.</p> <p>Not Applicable</p> <p>Not applicable</p> <p>Policy I01 – Minerals and waste transport infrastructure, pg 143, encourages the development of non-road transport and identifies a specific rail linked site which is currently in use. Policy S04 – Transport infrastructure safeguarding, pg 155, aims to protect existing rail links and wharves which could be used for minerals or waste transport from development which would prevent</p>

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		the use of the infrastructure for minerals or waste transport.
5. Supporting high quality communications infrastructure (paras 42-46)		
<p>Support the expansion of the electronic communications networks, including telecommunications' masts and high speed broadband. (43)</p> <p>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 telecommunications development and existing development. (44)</p>	<ul style="list-style-type: none"> • Policy supporting the expansion of electronic communications networks, including telecommunications and high speed broadband, noting the caveats in para 44. 	Not applicable
6. Delivering a wide choice of high quality housing (paras 47-55)		
<p>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)</p>	<ul style="list-style-type: none"> • Identification of: <ul style="list-style-type: none"> 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 	<p>Not applicable</p> <p>Not applicable</p> <p>Not applicable</p>
<p>Identify a supply of developable sites or broad locations for years 6-10 and, where possible, years 11-15 (47).</p>	<ul style="list-style-type: none"> • Identification of a supply of developable sites or broad locations for: a) years 6-10; b) years 11-15 	Not applicable

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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)	<ul style="list-style-type: none"> • A housing trajectory • Monitoring of completions and permissions (47) • Updated and managed SHLAA. (47) 	<p>Not applicable</p> <p>Not applicable</p>
Set out the authority's approach to housing density to reflect local circumstances (47).	<ul style="list-style-type: none"> • Policy on the density of development. 	Not applicable
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)	<ul style="list-style-type: none"> • 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) 	Not applicable
<p>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).</p> <p>In rural areas housing should be located where it will enhance or maintain the vitality of rural communities.</p>	<ul style="list-style-type: none"> • 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. 	Not applicable
7. Requiring good design (paras 56-68)		
Develop robust and comprehensive policies that set out the quality of development that	<ul style="list-style-type: none"> • 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 	Vision (vii) states that minerals and waste development will take place

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
<p>will be expected for the area (58).</p>	<p>specific local issues</p>	<p>with the highest practicable standards of design, operation and mitigation, pg 38.</p> <p>Objective 10, pg 41 promotes high standards of design, operation and reclamation of mineral and waste sites. Objective 11, pg 42, encourages the sustainable design and operation of minerals and waste development.</p> <p>Policy D11 – Sustainable design, construction and operation of development deals with quality of development, pg 187.</p> <p>Other policies which support the quality of development include D05 – Minerals and waste development in the Green Belt, pg167, D06 – Landscape, pg 170, D08 – Historic environment, pg176, and D10 – Reclamation and afteruse, pg183.</p>
<p>8. Promoting healthy communities (paras 69-77)</p>		
<p>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).</p>	<ul style="list-style-type: none"> • 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 	<p>Policy D02 – Local amenity and cumulative impacts, pg 161, aims to protect public rights of way and public open space.</p> <p>Policy D10 – Reclamation and afteruse, pg183, – includes support for</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
	legible pedestrian routes, and high quality public space, which encourage the active and continual use of public areas. (69)	discussion with local communities on reclamation and afteruse proposals and developing improvements in access to facilities and recreational areas for communities through reclamation and restoration of mineral and waste sites.
Policies should plan positively for the provision and use of shared space, community facilities and other local services (70).	<ul style="list-style-type: none"> • 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 access to key services and infrastructure. 	<p>Policy D10 – Reclamation and afteruse, pg 183 – states that near major settlements subject to local amenity considerations enhanced opportunities for informal and formal public access and recreation will be supported.</p> <p>Policy D02 – Local amenity and cumulative impacts, pg161, protects communities and community assets.</p> <p>W03 – Meeting waste management capacity requirements – Local Authority Collected Waste, pg 121, deals with the location of household waste and recycling facilities.</p> <p>W08 – Managing waste water and sewage sludge, pg133, promotes the co-location of anaerobic digestion capacity with waste water treatment works.</p>
Identify specific needs and quantitative or qualitative deficits or surpluses of open space,	<ul style="list-style-type: none"> • Identification of specific needs and quantitative or qualitative deficits or surpluses of open space, sports and recreational 	Not Applicable

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
sports and recreational facilities; and set locally derived standards to provide these (73).	<p>facilities in the local area. (73)</p> <ul style="list-style-type: none"> • 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) 	<p>Policy D02 – Local amenity and cumulative impacts, pg 161, aims to protect public rights of way and public open space.</p> <p>D04 – Development affecting the North York Moors National Park and the AONBs, pg 166, protects the special qualities of these areas.</p> <p>Policy D10 – Reclamation and afteruse, pg 183, the policy looks to provide enhanced opportunities for informal and formal public access and recreation.</p>
Enable local communities, through local and neighbourhood plans, to identify special protection green areas of particular importance to them – ‘Local Green Space’ (76-78).	<ul style="list-style-type: none"> • 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) 	Not applicable
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)	<ul style="list-style-type: none"> • Where Green Belt policies are included, these should reflect the need to: <ul style="list-style-type: none"> ○ 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) 	Vision (vi) states that in identifying appropriate locations for the delivery of minerals and waste development the disguised natural and , historic and cultural environment and unique and special landscapes in the Plan area will be protected, pg 38

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
<p>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)</p> <p>When drawing up or reviewing Green Belt boundaries local planning authorities should take account of the need to promote sustainable patterns of development. (84)</p> <p>Boundaries should be set using 'physical features likely to be permanent' amongst other things (85)</p>	<ul style="list-style-type: none"> ○ Specify the exceptions to inappropriate development (89-90) ○ Identify where very special circumstances might apply to renewable energy development. (91) 	<p>Vision (vii) – high quality environments to be given robust protection, pg 38.</p> <p>Objective 9 – Protecting and where appropriate enhancing the natural and historic environment, landscapes and tranquil areas of the Plan area, pg 41.</p> <p>One of the purposes of some Green Belts is to preserve the setting and special character of historic towns and this is the basis for the Green Belt surrounding the city of York. This is supported by the City of York Heritage Topic Paper (LEB06)</p> <p>Policy D05 – Minerals and waste development in the Green Belt, pg 167 Ensures only appropriate forms of development occur in the Green Belt and is generally consistent with national policy.</p> <p>Policies related to renewable energy development not covered by County Council.</p>
<p>10. Meeting the challenge of climate change, flooding and coastal change (paras 93-108)</p>		
<p>Adopt proactive strategies to mitigate and adapt to climate change taking full account of flood risk, coastal change and water supply and</p>	<ul style="list-style-type: none"> ● Planning of new development in locations and ways which reduce greenhouse gas emissions. ● Support for energy efficiency improvements to existing building. 	<p>One of the priorities of the Vision includes mitigating and adapting to</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
<p>demand considerations. (94)</p>	<ul style="list-style-type: none"> • Local requirements for a building’s sustainability which are consistent with the Government’s zero carbon buildings policy . (95)) 	<p>climate change.</p> <p>Vision (viii) – deals with adapting to climate change pg 38.</p> <p>Objective 5 – deals with planning for the future supply of minerals without impacting on the obligations under the Climate Change Act, pg 40.</p> <p>Objective 11 – deals with sustainable design and operation of minerals and waste development activity, including using opportunities arising from minerals and waste development and reclamation activity to mitigate and adapt to climate change such as providing for flood alleviation, and meeting the reduction in greenhouse gases target. pg 42.</p> <p>Policy M19 – Carbon gas and storage, pg 98, has the potential to be an important technology in climate change mitigation.</p> <p>Policy W01 – Moving waste up the waste hierarchy, pg 112, supports diverting waste from landfill into recycling and energy recovery, so reducing the impact on climate change. Some energy from waste sites have been allocated with in the Plan.</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		<p>Policy D09 – Water environment, pg179. This policy deals with water supply and demand and includes how to mitigate and adapt to climate change including contribution to flood alleviation and together climate change mitigation and adaption measures including use of sustainable urban drainage systems.</p> <p>Policy D10 – Reclamation and afteruse, pg 183. This policy only covers mineral developments and point (iv) in Part 1 of the text states that proposals have taken into account potential impacts on and from climate change factors.</p> <p>Policy D11 – Sustainable design, construction and operation of development, pg 187. Part 1 (i) states that there will be a minimisation of greenhouse gas emissions by incorporating energy-efficient siting, design and operational practices into proposals for minerals and waste development. The policy also states that proposals for substantial new minerals extraction and large scale waste facilities should be accompanied by a climate change assessment showing how the proposals have taken into account impacts from climate change and</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		include appropriate mitigation measures where necessary.
<p>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)</p>	<ul style="list-style-type: none"> • 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) 	<p>Policy D11 – Sustainable design, construction and operation of development, pg 187 – supports energy from waste development. Policy W01 – Moving waste up the hierarchy – Supports the collection and separating of waste for Energy from Waste processing.</p> <p>Not applicable</p> <p>Policy W08: Managing waste water and sewage sludge, pg 133, supports co-location of anaerobic digestion capacity with waste water treatment infrastructure so output from the treatment works could be used to supply the anaerobic digestion facilities. Policy W11: Waste site identification principles, pg 140, support co-location of some waste facilities.</p>
<p>Minimise vulnerability to climate change and manage the risk of flooding (99)</p>	<ul style="list-style-type: none"> • Account taken of the impacts of climate change. (99) 	<p>Vision (viii) – deals with adapting to climate change, pg 38.</p> <p>Objective 5 – deals with obligations under the Climate Change Act, pg 40.</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
	<ul style="list-style-type: none"> • 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 	<p>Objective 11 – promotes sustainable design and providing flood alleviation, pg 42.</p> <p>Policy D09 – Water environment, pg 179, states SFRA to be carried out and includes flood alleviation and SUDS</p> <p>Policy D10 – Reclamation and afteruse, pg 183, states that proposals will have to take into account potential impacts on and from climate change.</p> <p>Policy D11 – Sustainable design, construction and operation of development, pg 187. Includes minimising greenhouse gas emissions and having measures to minimise flood risk associated with development.</p> <p>A SFRA was carried out on the site allocations within the Plan</p> <p>Relevant guidance on climate change has been taken into account in the Sustainability Appraisal of policies and sites. There is the potential for mineral sites to contribute to flood storage as detailed in Part 2 (ii) of policy D10 – Reclamation and afteruse.</p>

Soundness Self-Assessment Checklist (March 2014)

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
Take account of marine planning (105)	<ul style="list-style-type: none"> • Ensure early and close co-operation on relevant economic, social and environmental policies with the Marine Management Organisation • Review the aims and objectives of the Marine Policy Statement, including local potential for marine-related economic development • Integrate as appropriate marine policy objectives into emerging policy • Support of integrated coastal management (ICM) in coastal areas in line with the requirements of the MPS 	<p>The Duty to Cooperate statements (CD03 and CD39) provides details of engagement with the MMO.</p> <p>Policy M11 – Alternatives to land-won primary aggregates, pg 65, includes marine dredged aggregate in the policy.</p> <p>Linkage to Marine Plan for East Inshore and East Offshore areas (MEB19) is included in paragraph 2.54 and 5.55.</p>
Manage risk from coastal change (106)	<ul style="list-style-type: none"> • 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. • Provision for development and infrastructure that needs to be re-located from such areas, based on SMPs and Marine Plans, where appropriate. 	Not applicable
11. Conserving and enhancing the natural environment (paras 109-125)		
Protect valued landscapes (109)	<ul style="list-style-type: none"> • A strategy and policy or policies to create, protect, enhance and manage networks of biodiversity and green infrastructure. • 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. 	<p>Vision (vi) aims to protect unique and special landscapes from minerals and waste development, Vision (vii) states that high standards of design will be used to ensure that the high-quality environment of the Plan area is given robust protection, pg 38</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		<p>Objective 9 – aims to protect and enhance landscapes in the Plan area, pg 41</p> <p>Mineral supply and waste policies which seek to protect the landscape such as National Parks and AONBs include M01 – Broad geographical approach to supply of aggregates, pg48 ; M10- Unallocated extensions to existing quarries, pg63 ; M12 – Continuity of supply of silica sand, pg 67; M15 – Continuity of supply of building stone, pg 72; M16 – Key spatial principles for hydrocarbon development pg 83; M17 – Other spatial and locational criteria applying to hydrocarbon development, pg 88; M21 ; Shallow coal, pg 101; M22 – Potash, polyhalite and salt supply, pg 102; W10 – Overall locational principles for provision of waste capacity, pg 137;</p> <p>Policy D04 – Development affecting the North York Moors National Park and AONBs, pg 166 is provided to protect these particular landscapes.</p> <p>Policy D06 – Landscape, pg 170 is provided to protect landscapes from harmful effects of development.</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		<p>Policy D10 – Reclamation and afteruse, pg 183, Part 2 (iii) – supports the using reclamation to enhance the special qualities of the National Park and AONBs.</p> <p>Policy D12 – Protection of agricultural land and soils, pg 190, aims to prevent the irreversible loss of agricultural soil.</p>
Prevent unacceptable risks from pollution and land instability (109)	<ul style="list-style-type: none"> 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. 	<p>Policy M17 – Other spatial and locational criteria applying to hydrocarbon development, pg 88, deals with cumulative impact on communities and environment and impact on public health.</p> <p>Policy M18 – Other specific criteria applying to hydrocarbons development, pg95, deals with waste management from hydrocarbons and decommissioning and restoration of hydrocarbon sites.</p> <p>Policy W07 – Managing low level (non-nuclear industry) radioactive waste, pg131, promotes on site treatment, reuse or disposal of this type of waste first before considering moving off site.</p> <p>Policy W08 – Managing waste water and sewage, pg133, preference for</p>

Soundness Self-Assessment Checklist (March 2014)

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		<p>expansion of existing facilities or co-location.</p> <p>Policy W11 – Waste site identification principles, pg 140, covers facilities for waste water treatment capacity, including Naturally Occurring Radioactive Materials and landfills.</p> <p>Policy D02 – Local amenity and cumulative impacts, pg161 covers unacceptable impacts from various types of pollution and subsidence and land instability.</p> <p>Policy D11 – Sustainable design, construction and operation of development, pg 187, includes mitigation of impacts arising from mining subsidence or land instability.</p> <p>Policy D13 Consideration of applications in Development High Risk Areas, pg 192 deals with development proposed on previous mining land.</p>
<p>Planning policies should minimise impacts on biodiversity and geodiversity (117)</p> <p>Planning policies should plan for biodiversity at a landscape-scale across local authority boundaries (117)</p>	<ul style="list-style-type: none"> • Identification and mapping of local ecological networks and geological conservation interests. • Policies to promote the preservation, restoration and re-creation of priority habitats, ecological networks and the recovery of priority species 	<p>Policy D07 – Biodiversity and geodiversity pg, 173 deals with protection and mitigation in terms of biodiversity and geodiversity.</p> <p>Policy D10 – Reclamation and aftercare, pg 183, Part 2 (viii) seeks landscape scale benefits where</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		practicable.
12. Conserving and enhancing the historic environment (paras 126-141)		
<p>Include a positive strategy for the conservation and enjoyment of the historic environment, including heritage assets most at risk (126)</p>	<ul style="list-style-type: none"> • 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) 	<p>Vision (ii) (vi) (vii) (viii) pg37 & 38, (ii) encourages the use of local minerals to maintain and improve the quality of the areas built environment, (vi) protects the historic environment from inappropriate development, (vii) high quality design used to provide robust protection to the high quality environment, (viii) reclamation and after use will provide a range of benefits for the environment of the area.</p> <p>Objective 9 – aims to protect and enhance the historic environment pg 41.</p> <p>Policy M15 – Continuity of supply of building stone, pg 72, used to repair and restore historic buildings or structures to maintain their distinctiveness.</p> <p>Policy M16 – Key spatial principles for hydrocarbon development, pg 83, only permitting hydrocarbon development outside certain designated areas.</p> <p>Policy D05 – Minerals and waste</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		<p>development in the Green Belt, pg 167, the York Green Belt is primarily to preserve the historic character and setting of York.</p> <p>Policy D06 – Landscape, pg 170. Includes protection of historic City of York and Heritage Coast</p> <p>Policy D08 – Historic environment, pg 176, deals with preserving and enhancing the area’s heritage assets including their setting.</p> <p>Policy D10 – Reclamation and afteruse, pg 183, Part 2 (v) restoration and afteruse use to sustain and enhance the significance of historic assets and their setting.</p>
<p>13. Facilitating the sustainable use of minerals (paras 142-149)</p>		
<p>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)</p> <p>Minerals planning authorities should plan for a steady and adequate supply of industrial materials (146)</p>	<p>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.</p>	<p>Vision (ii), (iii), (iv), (vi) (vii) (viii) pg 37 & 38</p> <p>Objectives 3, 4, 5, 6, 7, 8. Pg 39 to 41</p> <p>All mineral policies pg 48 to 106, M01 , M02, M03, M04, M05, M06, M07, M08, M09, M10, M11, M12, M13, M14, M15, M16, M17, M18, M19, M20, M21, M22, M23, M24, M25, most safeguarding policies S01, S02,</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		<p>S04, S05, S06 pg 149 to 158, and some Development Management policies, D02 – Local amenity and cumulative impacts, pg 161 , D04 – Development affecting the North York Moors National Park and the AONBs, pg 166, D05 – Minerals and waste development in the Green Belt, pg 167, D06 – Landscape, pg 170, D07 – Biodiversity and geodiversity, pg 173, D08 – Historic environment, pg 176, D10 – Reclamation and afteruse pg 183.</p> <p>Evidence of cooperation with neighbouring and more distant authorities is detailed in the Duty to Cooperate Statement (CD03 and CD39).</p>
<p>Justified: <i>The plan should be the most appropriate strategy, when considered against the reasonable alternatives, based on proportionate evidence.</i></p> <p>To be ‘justified’ a DPD needs to be:</p> <ul style="list-style-type: none"> • Founded on a robust and credible evidence base involving: research / fact finding demonstrating how the choices made in the plan are backed up by facts; and evidence of participation of the local community and others having a stake in the area. • The most appropriate strategy when considered against reasonable alternatives. 		
<p><i>Participation</i></p> <p>Has the consultation process allowed for effective engagement of all interested parties?</p>	<p>The consultation statement. This should set out what consultation was undertaken, when, with whom and how it has influenced the plan. The statement should show that efforts have been made to consult hard to reach groups, key stakeholders etc. Reference SCI</p>	<p>Consultation statements (CD02 and CD40) have been produced to provide details about consultations, how they were carried out and how the representations received have been considered and taken forward if required..</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
<p><i>Research / fact finding</i></p> <p>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?</p> <p>What assumptions were made in preparing the DPD? Were they reasonable and justified?</p>	<ul style="list-style-type: none"> • 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. <p>AND</p>	<p>Documents on Evidence Base page of website. Includes 'Detailed Audit trail of policy options, from issues and options through to publication' (SD11) , tables showing 'Derivation of options' (IPC03) at Issues and Options stage, 'Identification of alternative options and progression to preferred options' (IPC09) and previous versions of the Plan, as well as specific evidence base documents.</p> <p>Key evidence base documents which underpin the plan are for aggregates– Local Aggregate Assessment 2016 (MEB01) paragraph 5.11, 5.12, 5.15, 5.16, 5.18, 5.26, 5.27, 5.28, 5.30, 5.54, 5.55 which sets out the current position and also forecasting for sand and gravel and crushed rock supply in the North Yorkshire Sub-region; Identification of Areas of Search for sand and gravel 2016 Policy M07, paragraph 5.34, 5.38 provides background information about why and how the areas of search were identified for future sand and gravel requirements and this is supported by the paper Identification of areas of search for concreting sand and gravel (SD19) ; Marine Aggregate Study 2014 (MEB13) paragraph 5.55; East Inshore and Offshore Marine Plans 2014</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		<p>(MEB19) paragraph 5.55;</p> <p>Policy M15: Continuity of supply of building stone is supported by the Strategic Stone Study – North East Yorkshire 2012 (MEB21) and Strategic Stone Study – North West Yorkshire 2012, (MEB20) paragraph 5.88.</p> <p>The oil and gas policies are supported by The Carboniferous Bowland Shale Gas Study: Geology and Resource Estimation July 2013, (MEB18) paragraph 5.104; Planning Practice Guidance (NEB02) which includes Planning for hydrocarbon extraction, paragraph 5.106 and 5.108; Gas Generation Strategy 2012, (NEB04) paragraph 5.106; Ministerial Written Statement about shale gas 2015, (NEB05) paragraph 5.106; Charter for community engagement, UKOOG, (NEB08) paragraph 5.110; Fracking UK shale; Understanding earthquake risk 2014, (NEB18) paragraph 5.116; Onshore oil and gas exploration in the UK: Regulation and best practices (England) 2015, (NEB11) paragraph 5.117; Infrastructure Act 2015 and accompanying secondary legislation 2016, (NEB23) paragraph 5.121 and 5.122; The Onshore Hydraulic Fracturing (Protected Areas) regulations 2016, (NEB16) paragraph</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		<p>5.121 and 5.124. Town and Country Planning Act 1990, (NEB24) paragraph 5.126 and 5.131; Highways Act 1980, (NEB25) paragraph 5.131; Water framework directive, (NEB26) paragraph 5.154; The Town and Country Planning (General permitted development) (Amendment) (England) Order 2015; (NEB27)</p> <p>The waste policies are supported by North Yorkshire Sub-region Waste Arisings and Capacity Requirements Update Report September 2016 (Urban Vision), (WEB03) paragraphs 6.7, 6.8, 6.14, 6.35, 6.38, 6.41, 6.42, 6.45, 6.70 and 6.79; York and North Yorkshire Municipal waste management strategy 2006, (WEB13) paragraph 6.10; National Planning Policy for Waste 2014, (NEB19) paragraph 6.17; Yorkshire and Humber waste position statement, 2016, (WEB12) paragraph 6.20, 6.27, 6..64 and 6.67; Tees Valley minerals and waste core strategy, 2011, (SREB06) paragraph 6.24; Memorandum of Understanding between North Yorkshire County Council and Yorkshire Dales National Park Authority, (OEB01) paragraph 6.24; Memorandum of Understanding between North York Moors National Park Authority and Redcar and Cleveland Council, (OEB02) paragraph</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
	<ul style="list-style-type: none"> • 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. <p>OR</p>	<p>6.24; Environment Hazardous Waste Interrogator 2014, paragraph 6.29; Waste Management Plan for England, paragraph 6.78. (NEB20)</p> <p>The safeguarding policies are supported by Minerals safeguarding areas for North Yorkshire County Council 2011, (SEB01) paragraphs 8.6, 8.8, 8.10, 8.11, 8.12, 8.13 and 8.14; Mineral safeguarding areas for North York Moors National Park, 2013, (SEB03) paragraph 8.6 and 8.12; Mineral safeguarding areas for City of York, 2013, paragraph 8.6. (SEB02)</p> <p>The Sustainability Appraisal started as a scoping exercise which was run alongside the DPD scoping/first consultation stage. Following this a Sustainability Appraisal Scoping Report (FPC05) and Sustainability Appraisal scoping outcomes report (FPC06) were produced which included the outcomes from the scoping exercise. Subsequently a Sustainability Appraisal update report to accompany the Issues and Options consultation (IPC04) was produced, which included assessments of the proposed options. Alternative options were proposed during the Issues and Options consultation, resulting in production of an Issues and Options</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
	<ul style="list-style-type: none"> 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. 	<p>Sustainability Appraisal update report –draft revised appraisals and consideration of further policies generated through Issues and Options (IPC10) . A Consultation outcomes report for consultation on Minerals and Waste sustainability appraisal and site assessment methodology (IPC08) was also produced at this stage. Following this a Preferred Options Sustainability Appraisal report (PPC07, PC08, PC09) was produced to accompany the Preferred Options consultation on the DPD. The comments from the Preferred Options stage were considered and policies firmed up to produce a DPD Publication document (CD17) along with a Sustainability Appraisal report (CD24, CD25, CD26, CD27, and CD28) to accompany the Publication Draft Plan.</p> <p>The ‘Detailed Audit trail of policy options, from issues and options through to publication’ (SD11) contains proformas for each policy at the different stages of DPD development, they include key points raised by respondents, any new evidence, the discussion surrounding the development of the policy, the Sustainability Appraisal summary for the policy and the policy text at each</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
	<p>OR</p> <ul style="list-style-type: none"> • 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). 	<p>stage.</p> <p>The Local Authorities response to comments reports at Issues and Options, (IPC07) Preferred Options (PPC17) and Publication stages (CD38) include a Local Authorities response to the individual comments. The Duty to Cooperate Statements (CD03 and CD39) sets out communication between the Authorities preparing this DPD and other Local Authorities or significant bodies for each strategic issue identified.</p> <p>Evidence supporting each of the policies is contained in the 'Detailed Audit trail of policy options, from issues and options through to publication' (SD11)</p>
<p><i>Alternatives</i></p> <p>Can it be shown that the LPA's chosen 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?</p> <p>Does the sustainability appraisal show how the different options perform and is it clear that sustainability considerations informed the</p>	<ul style="list-style-type: none"> • 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 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. 	<p>A range of realistic and reasonable options were developed at Issues and Options stage; alternatives suggested following Issues and Options were considered during development of Preferred Options. The evaluation of suggested alternatives is recorded in 'Identification of alternative options and progression to Preferred Options' (IPC09) The alternative options taken forward for consideration are detailed in the 'Detailed Audit trail of policy developments' (SD11). Evidence base,</p>

Soundness Self-Assessment Checklist (March 2014)

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
<p>content of the DPD from the start?</p>	<ul style="list-style-type: none"> 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. 	<p>consultation responses and SA have also been included in the proformas which make up the audit trail.</p> <p>The Sustainability Appraisal of 'alternative' options was carried out during the development of the Preferred Options and any changes post preferred options were reassessed in the run up to the Publication stage. The Sustainability Appraisal document which demonstrates this is Issues and Options Sustainability Appraisal Update Report – draft revised appraisals and consideration of further policies generated through Issues and Options (IPC10).</p>
<p>Effective: <i>the plan should be deliverable over its period and based on effective joint working on cross-boundary strategic priorities.</i></p> <p>To be 'effective' a DPD needs to:</p> <ul style="list-style-type: none"> 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 Be able to be monitored 		

Soundness Self-Assessment Checklist (March 2014)

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
<p><i>Deliverable and Coherent</i></p> <ul style="list-style-type: none"> • 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? 	<p>Sections of the DPD which address delivery, the means of delivery and the timescales for key developments and initiatives.</p> <ul style="list-style-type: none"> • 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 and Marine Plans). 	<p>The overall timescale for delivery of the Plan is detailed in Chapter 1 of the Minerals and Waste Joint Plan and also detailed in certain Policies. The Monitoring Framework (CD20) will be used to assess the deliverability and effects of the policies and trigger any action if targets are not being met.</p> <p>The Duty to Cooperate Statements (CD03 and CD39) details interaction with other Authorities and Specified bodies on specific issues associated with the Minerals and Waste Joint Plan. All interested bodies were contacted at each formal consultation stage and the consultation responses received at each stage of Plan production reflect views from any interested parties. Sustainability Appraisal baseline details all Plans, Policies, Programmes Strategies and Initiatives (PPPSIs) taken into account when developing the Plan. Initially the PPPSIs were included in the Sustainability Scoping Report February 2014 (FPC05) and then was updated in the Sustainability Appraisal Scoping Report October 2016 (CD31)</p> <p>The Minerals and Waste Joint Plan establishes the overall planning strategy for minerals related development taking into account</p>

Soundness Self-Assessment Checklist (March 2014)

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		<p>national and local requirements and objectives. It will contain a number of strategic policies to deliver the overall strategy; sets out the overall planning strategy for sustainable waste management taking into account national and local requirements and objectives. It will contain a number of strategic policies to deliver the overall strategy; sets out the indicative quantities of waste expected to require managing over the plan period and identifies locations and criteria to indicate where waste development would be acceptable; sets out the indicative quantities of minerals expected to be required over the plan period and identifies locations and criteria to indicate where mineral working would be acceptable in principle; identifies site allocations where the need for this can be justified and appropriate sites identified; addresses the safeguarding of important mineral resources and minerals and waste related infrastructure; sets out a limited number of development management policies establishing the main criteria against which minerals and waste related development will be considered; will be prepared to be in general conformity with the NPPF and other national policy and guidance including the Local plans of the District</p>

Soundness Self-Assessment Checklist (March 2014)

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
	<ul style="list-style-type: none"> • 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). 	<p>and Borough Councils within the North Yorkshire plan area and will be prepared in accordance with requirements of the Duty to Cooperate.</p> <p>The North Yorkshire Local Development Schemes (CD06 and CD41), only deal with the Minerals and Waste Joint Plan, so only includes the timetable for this DPD. The City of York local development schemes (CD07 and CD42) and North Yorks Moors local development schemes (CD08 and CD43) both include the timetables for their own Local Plans and the Minerals and Waste Joint Plan.</p> <p>The Objectives are based on the sections of the Vision as covered in Chapter 4. Each Policy box lists the Objectives it is linked back to. The Sustainability Appraisal also demonstrates how the Policies link to the Objectives in the Plan and the SA objectives.</p>
<p><i>Infrastructure Delivery</i></p> <ul style="list-style-type: none"> • Have the infrastructure implications of the policies clearly been identified? • Are the delivery mechanisms and timescales for implementation of the policies clearly identified? 	<ul style="list-style-type: none"> • A section or sections of the DPD where infrastructure needs are identified and the proposed solutions put forward. 	<p>Sites proposed by developers which have been taken forward to enable the requirements of the policies to be fulfilled are detailed in the Publication drfat Appendix 1 – Allocated Sites and Areas of Search. Policies (CD18) which</p>

Soundness Self-Assessment Checklist (March 2014)

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
<ul style="list-style-type: none"> • Is it clear who is going to deliver the required infrastructure and does the timing of the provision complement the timescale of the policies? 	<ul style="list-style-type: none"> • A schedule setting out responsibilities for delivery, mechanisms and timescales, and related to a CIL schedule where appropriate. • 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. 	<p>deal with specific sites are I01 – Minerals and waste transport infrastructure, pg 143, I02 – Locations for ancillary minerals infrastructure, pg 145, M07 – Meeting concreting sand and gravel requirements, pg 56, M09 – Meeting crushed rock requirements, pg 60, M12 – Continuity of supply of silica sand, pg 67, M13 – Continuity of supply of clay, pg 69, M15 – Continuity of supply of building stone, pg 72, M22 – Potash, polyhalite and salt supply, pg 102, W03 – Meeting waste management capacity requirements – Local Authority Collected Waste, W04 – Meeting waste management capacity requirements – Commercial and industrial waste, pg 124 and W05 – Meeting waste management capacity requirements – Construction, Demolition and Excavation waste, pg 128,</p> <p>Not Applicable</p> <p>Industry and landowners were initially requested to submit sites for consideration as part of the First Consultation. Any sites submitted have been assessed as part of the site assessment process in line with the</p>

Soundness Self-Assessment Checklist (March 2014)

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
	<ul style="list-style-type: none"> Demonstrable plan-wide viability, particularly in relation to the delivery of affordable housing and the role of a CIL schedule. 	<p>Site identification and assessment methodology and scope (SD15). The process included ensuring that each site allocated was deliverable.</p> <p>Not Applicable.</p>
<p><i>Co-ordinated Planning</i></p> <p>Does the DPD reflect the concept of spatial planning? Does it go beyond traditional land use planning by bringing together and integrating policies for the development and use of land with other policies and programmes from a variety of agencies / organisations that influence the nature of places and how they function?</p>	<ul style="list-style-type: none"> 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 	<p>Chapter 2: Context provides links with local policies and strategies; the Sustainability Appraisal PPPSs lists all the Plans, Policies, Programmes, Strategies and initiatives which could influence the development of the Plan, this detailed in the First Consultation Sustainability Appraisal Scoping report (FPC05) and Publication Sustainability Appraisal Scoping Report (CD31).</p> <p>Where policies are linked or need to take account of other policies in the Plan this is detailed in the policy text, supporting justification and the linked policies are listed in the Policy box</p> <p>The Duty to Cooperate documents (CD03 and CD39) details correspondence and meetings with other Local Authorities and Specific Consultees and they all also have had an opportunity to respond at each stage of consultation. Certain bodies have also been involved in the site</p>

Soundness Self-Assessment Checklist (March 2014)

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		<p>assessment process.</p> <p>Memoranda of Understanding exist between the Joint Plan authorities and both the Yorkshire Dales National Park (OEB01) and Redcar and Cleveland Council (OEB02) to support planning for waste across local planning authority boundaries.</p>
<p><i>Flexibility</i></p> <ul style="list-style-type: none"> • 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? 	<ul style="list-style-type: none"> • Sections of the DPD setting out the assumptions of the plan and identifying the circumstances when policies might need to be reviewed. 	<p>There is a section on monitoring and review on page 46 of the Plan (CD17), which currently identifies three key policy areas in the plan which could lead to the need for a review. The three areas are maintaining aggregate supply, being able to deal with an increase in waste arisings and being able to deal with new issues arising relating to exploration activity for shale gas. Paragraph 4.11 sets out when a review of the hydrocarbon policies would be required as a result of new evidence.</p> <p>There has been flexibility built into some of the policies to deal with any changes which may have an impact on the delivery of the Plan. The Monitoring Framework in Appendix 3 (CD20) of the Plan includes trigger points for each policy and the action required if the trigger point is reached. The key policies which include</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		<p>flexibility are Policies M02 – Provision of sand and gravel, pg 50, which deals with additional provision requirements through a mid-term review; M03 – Overall distribution of sand and gravel, pg 51, which states that if provision is not available split into northwards and southwards areas then can provide provision across both areas in combination; M05 – provision of crushed rock, pg 53, allows additional provision through a mid-term review; M07 – Meeting concreting sand and gravel requirements, pg 56, allows Areas of Search to be identified if required to meet sand and gravel requirements within the Plan period; M09 – Meeting crushed rock requirements pg 60, includes allocations to meet requirements for magnesian limestone through the Plan period, allocations to contribute to maintaining an adequate landbank at end of the plan period and the maintenance of supply is also supported through the identification of other allocated sites; W02 – Strategic role of the Plan area in the management of waste, pg 115, includes provision to meet unforeseen needs for management of waste streams not identified or provided for in the Plan; W03 – Meeting waste management capacity requirements –</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		<p>Local Authority Collected Waste, pg 121, includes extending timescales for allocations and allowing other waste management infrastructure and increasing capacity to reduce the need to export; W04 – Meeting waste capacity requirements – Commercial and Industrial waste, pg 124, supports providing increased capacity for recycling and treatment of commercial and industrial waste; W05 – Meeting waste management capacity requirements- construction, Demolition and Excavation waste, pg128, supports proposals for increased capacity for recycling and allowing additional transfer station capacity for commercial, demolition and excavation waste; W09 – Managing power station ash and Incinerator Bottom Ash, pg 134, provide provision for future capacity if it is required; W10 – Overall locational principles for provision of waste capacity, pg 137, can provide new and additional waste management capacity; W11 – Waste site identification principles, pg 140, can provide additional capacity for landfill if required. Other minerals policies which include flexibility include M13 – Continuity of supply of clay, pg 69, will allow additional reserves for existing operations if required; M22 – Potash, polyhalite and salt supply, pg</p>

Soundness Self-Assessment Checklist (March 2014)

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
	<ul style="list-style-type: none"> • Sections of the annual monitoring report and sustainability appraisal report describing how the council will monitor: <ul style="list-style-type: none"> 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 robustness and how the plan could cope with changing circumstances • 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. 	<p>102 allows proposals to be put forward for dealing with increased volume of supply; The policy monitoring indicators results and sustainability appraisal monitoring indicators will be reported in the North Yorkshire County Council Authorities Monitoring Report (OEB06). Evidence will be provided in the North Yorkshire County Council Authorities Monitoring Report (OEB06) to support the results. Appendix 5 of the 2015/2016 Authorities Monitoring Report contains the Plan's policy monitoring indicators and Appendix 6 contains the Sustainability Appraisal monitoring indicators.</p>
<p><i>Co-operation</i></p> <ul style="list-style-type: none"> • Is there sufficient evidence to demonstrate that the Duty to Co-operate has been undertaken appropriately for the plan being examined? 	<ul style="list-style-type: none"> • 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 	<p>A Duty to Cooperate Statement (CD039) has been produced which identifies the strategic issues and how these have been addressed with neighbouring authorities and specific</p>

Soundness Self-Assessment Checklist (March 2014)

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
<ul style="list-style-type: none"> • 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? 	<p>reached and why.</p> <ul style="list-style-type: none"> • 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. 	<p>consultees up to publication stage.</p> <p>An updated Duty to Cooperate Statement has been produced to include the period between the Publication Stage and Submission (CD39)</p>
<p><i>Monitoring</i></p> <ul style="list-style-type: none"> • 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 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? 	<ul style="list-style-type: none"> • 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 	<p>Appendix 3 (CD20) – contains Monitoring indicators, targets and trigger points for the policies in the Minerals and Waste Joint Plan.</p> <p>North Yorkshire County Council Authorities Monitoring Report (OEB47) contains results of policy monitoring and Sustainability Appraisal monitoring.</p> <p>The North Yorkshire Sub-regional Local Aggregate Assessment (MEB01, MEB22 and MEB23) provides information regarding the supply of aggregates and is used as a basis for calculating future requirements which inform the aggregates policies in the Minerals and Waste Joint Plan. The North Yorkshire Sub-region Waste Arising and Capacity requirements report (WEB03, WEB04, WEB05, WEB06) provides information on the</p>

Soundness Self-Assessment Checklist (March 2014)

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
	<ul style="list-style-type: none"> Sections of the current annual monitoring report and the sustainability appraisal report setting out the framework for monitoring, including monitoring the effects of the DPD against the sustainability appraisal 	<p>waste requirements for the Plan area which inform the waste policies in the Minerals and Waste Joint Plan.</p> <p>The current North Yorkshire County Council Authorities Monitoring Report (OEB06) includes the framework for the Policy monitoring indicators and Sustainability Appraisal monitoring indicators.</p>
<p><i>Consistent with national policy: the plan should enable the delivery of sustainable development in accordance with the policies in the Framework.</i></p> <p>The DPD should not contradict or ignore national policy. Where there is a departure, there must be clear and convincing reasoning to justify the approach taken.</p>		
<ul style="list-style-type: none"> 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? 	<ul style="list-style-type: none"> Sections of the DPD which explain where and how national policy has been elaborated upon and the reasons. 	<p>The policies in the Minerals and Waste Joint Plan main publication document (CD17) are in general conformity with national policy. Several specific policies amplify national policies. These include M16 – Key spatial principles for hydrocarbon development, pg 83; M17 – Other spatial and locational criteria applying to hydrocarbon development, pg 88; D04 – Development affecting the North York Moors National Park and the AONBs, pg 166 and D05 – Minerals and waste development in the Green Belt, pg 167. The reasoning behind the development of each of the policies is detailed in the supporting text</p>

Soundness Self-Assessment Checklist (March 2014)

Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
	<ul style="list-style-type: none"> • 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. • Where appropriate, evidence of consistency with national marine policy as articulated in the UK Marine Policy Statement • Reports or copies of correspondence as to how representations have been considered and dealt with. 	<p>surrounding each of the policies</p> <p>The rationale behind the development of each of the policies is provided in the 'Detailed Audit trail of policy options, from issues and options through to publication' (SD11)</p> <p>At Preferred Options stage a Sustainability Appraisal summary was included in the Plan document (PPC01) for every draft policy, an equivalent summary was not included in the Publication version of the Plan but the full Sustainability Appraisal accompanying the published Plan is available in the Sustainability Appraisal 'Full report' (CD25) and 'Appendix 1, 2 and 4 Sustainability Framework' (CD26) and 'Appendix 3 – assessment of sites' (CD27 and CD28)</p> <p>Linkage to Marine Plans for East Inshore and East Offshore areas (MEB19) is included in paragraph 5.54.</p> <p>'Consultation Statements' (CD02 and CD40) have been produced which provide details of the different stages of consultation including who was consulted, the key points to come out of the responses and how the consultation responses have been</p>

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Soundness Test and Key Requirements	Possible Evidence	Evidence Provided
		taken into account.

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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

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Policy Expectations	Possible Evidence	Evidence Provided
Policy A: Using evidence to plan positively and manage development (para 6)		
Early and effective community engagement with both settled and traveller communities.	<ul style="list-style-type: none"> • Early and effective engagement undertaken, including discussing travellers' accommodation needs with travellers themselves, their representative bodies and local support groups. 	Policy for traveller sites is outside the scope of the Plan.
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.	<ul style="list-style-type: none"> • 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. 	
Policy B: Planning for traveller sites (paras 7-11)		
<p>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.</p> <p>Set criteria to guide land supply allocations where there is identified need.</p>	<ul style="list-style-type: none"> • 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 need has been demonstrated a supply of specific, deliverable sites been identified. 	

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Policy Expectations	Possible Evidence	Evidence Provided
Ensure that traveller sites are sustainable economically, socially and environmentally.	<ul style="list-style-type: none"> Policy which takes into account criteria a-h of para 11 	
Policy C: Sites in rural areas and the countryside (para 12)		
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.		
Policy D: Rural exception sites (para 13)		
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.	<ul style="list-style-type: none"> If a rural exception site policy is used, and if so clarity that such sites shall be used for affordable traveller sites in perpetuity. 	
Policy E: Traveller sites in Green Belt (paras 14-15)		
<p>Traveller sites (both permanent and temporary) in the Green Belt are inappropriate development.</p> <p>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</p>	<ul style="list-style-type: none"> Green Belt boundary revisions made in response to a specific identified need for a traveller site, undertaken through the plan making process. 	

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Policy Expectations	Possible Evidence	Evidence Provided
the plan-making process.		
Policy F: Mixed planning use traveller sites (paras 16-18)		
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.	<ul style="list-style-type: none"> • 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 	
Policy G: Major development projects (para 19)		
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.	<ul style="list-style-type: none"> • 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. 	

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Integration of marine and terrestrial planning

As the UK marine area and marine plan area boundaries extend up to the level of mean high water spring tides while terrestrial planning boundaries generally extend to mean low water spring tides (including estuaries), the marine plan area will physically overlap with that of some terrestrial plan. Local authorities with any tidal frontage, even if far inland and not conventionally regarded as coastal, must therefore take full account of the MMO, the MPS and marine plans under S.58 of the Marine and Coastal Access Act and the Duty to Co-operate in Section 110 of the Localism Act 2011. A full list of the local planning authorities whose areas overlap with the UK marine area appears in Appendix One.

Furthermore, the Duty to Co-Operate requires all local planning authorities, even if landlocked, to take account, where relevant, of the MMO's plans and activities when preparing their Local Plans. Finally, the NPPF requires LPAs to take the MPS into account under the tests of soundness (specifically, to test if an emerging DPD is consistent with national policy, which includes the MPS).

The Marine and Coastal Access Act 2009 (the Act) provided for the introduction of a marine planning system for England's inshore and offshore marine area, establishing the Secretary of State as the Marine Planning Authority for these areas. The Act also provided for the establishment of the Marine Management Organisation (MMO) and for the Secretary of State to delegate various planning functions. The planning functions including preparation and review were delegated to the MMO in 2010. The Act also provided for the adoption of the UK Marine Policy Statement (MPS). The MPS was adopted on 18 March 2011 and provides the policy framework for marine planning and for all decisions likely to affect the marine area.

There are eleven plan areas in English waters, for each of which a Marine Plan will be prepared by the MMO and adopted by the Secretary of State for the Environment, Food and Rural Affairs.

In practical terms, all activities undertaken in the marine area require land based infrastructure, without which our ability to benefit economically and socially from activities in the marine area would be extremely limited.

The UK Government's vision for the marine environment, as articulated in the MPS, is:

'clean, healthy, safe, productive and biologically diverse oceans and seas'.

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In the absence of a marine plan prepared by the MMO and adopted by the Secretary of State the MPS is the relevant marine policy document. Where a marine plan has been adopted both the MPS and the Marine Plan are relevant marine policy documents for the marine plan area.

As articulated in the Marine and Coastal Act and the MPS, the Government aims for the MPS and marine planning systems to sit alongside and interact with existing planning regimes across the UK. Specifically, s.58 of the Marine and Coastal Access Act requires all¹ public bodies to:

- take authorisation or enforcement decisions that affect or might affect the UK marine area in accordance with the MPS and relevant Marine Plans, unless relevant considerations indicate otherwise
- state their reasons where authorisation or enforcement decisions are not taken in accordance with the MPS and relevant Marine Plans
- have regard to the MPS and relevant Marine Plans when taking decisions that affect or might affect the UK marine area which are not authorisation or enforcement decisions²

In addition, the MPS seeks integration of marine planning and the terrestrial planning system through:

- Consistency between marine and terrestrial policy documents and guidance
- Liaison between respective responsible authorities for terrestrial and marine planning, including in plan development, implementation and review stages
- Sharing the evidence base and data where relevant and appropriate so as to achieve consistency in the data used in plan making and decisions

These aims are further supported by footnote 36 in the NPPF.

¹ Like the Duty to Co-Operate, no distinction is made by the Marine and Coastal Access Act between public authorities with a tidal frontage and those without. Emphasis is placed on the likelihood of the decision being made affecting the marine area.

² For example, decisions about what representations they should make as a consultee or about what action they should carry out themselves.

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Policy Expectations	Possible Evidence	Evidence Provided
Key requirements under the Duty to Co-Operate		
<p>Consistency between marine and terrestrial policy documents and guidance</p>	<ul style="list-style-type: none"> • Demonstration of consistency of aim between relevant local plan policies and marine policy documents (i.e. the MPS and any relevant adopted marine plans) • Proof of collaborative working with the MMO and that the MPS has been taken into account. 	<p>Linkage to Marine Plans for East Inshore and East Offshore areas (MEB19) is included in paragraph 5.55, there is further contextual reference in paragraph 2.54.</p> <p>The MMO has been consulted on the Plan at each stage, and have been consulted on the North Yorkshire Sub-regional Local Aggregate Assessment evidence base document (MEB01, MEB22, MEB23). The Authorities also requested a consultation meeting but the MMO did not consider a meeting necessary, this is evidenced in the Duty to Cooperate Statements (CD03 and CD39)</p>
<p>Liaison between respective authorities responsible for terrestrial and marine planning, including in plan development, implementation and review stages</p>	<ul style="list-style-type: none"> • Early and effective policy development engagement undertaken, including discussions with the MMO 	<p>The East Inshore and East Offshore Marine Plan (MEB19) only overlap with a small length of the Plan area coast line. Consideration was given to the</p>

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Policy Expectations	Possible Evidence	Evidence Provided
	<ul style="list-style-type: none"> <li data-bbox="779 630 1637 694">• Evidence of iteration of policies and plans as a result of engagement with the MMO <li data-bbox="779 1209 1608 1276">• Evidence of engagement with the MMO in relation to monitoring, implementation and throughout the policy cycle 	<p data-bbox="1682 272 2063 587">potential role of marine aggregate supply during the preparation of the LAA, based on findings of the Yorkshire and Humber Marine Aggregates study (MEB13), which forms an element of the evidence base for the Minerals and Waste Joint Plan.</p> <p data-bbox="1682 630 2063 1157">The only policy which has a direct link to Marine Plans is M11 – Supply of Alternatives to land-won primary aggregates, which includes reference to marine aggregates. Consultation with the MMO took place during development of this Policy They did not provide any comments against the Plan until Publication stage and supported the cross referencing between the Plan and the East Inshore and East Offshore Marine Plan (MEB19).</p> <p data-bbox="1682 1198 2063 1366">Monitoring indicators first included as Appendix 3 (PPC04) of the Preferred Options consultation and refined as part of the Publication consultation</p>

Soundness Self-Assessment Checklist (March 2014)

Policy Expectations	Possible Evidence	Evidence Provided
	<ul style="list-style-type: none"> • Support of integrated coastal management (ICM) in coastal areas in line with the requirements of the MPS 	<p>(CD20). The MMO were asked to comment at both stages. The MMO have also been requested to comment on the Local Aggregate Assessment (MEB01, MEB22, MEB23), but sent a ‘no comments to make’ response.</p>
<p>Sharing the evidence base and data where relevant and appropriate so as to achieve consistency in the data used in plan making and decisions</p>	<ul style="list-style-type: none"> • Evidence that the LPA has shared or provided relevant data to the MMO that can help inform Marine Plans or MPS review • Demonstration that local plan policy has been underpinned by data provided by the MMO or the MPS • Explicit cross-referencing in local plan to MPS, the MMO, their roles, and relevant marine plans 	<p>The MMO were provided with copies of draft Local Aggregate Assessments (MEB01, MEB22, MEB23) which detail the requirements for aggregate including marine aggregate. The Local Authority responded to the MMO’s the ‘Analysis of Local Plans as part of the Marine Planning Process’ and the Joint Plan authorities have also, as appropriate, responded to consultations on the East inshore and East Offshore and East Inshore Marine Plan (MEB19) and the North East Marine Plan.</p> <p>Linkage to Marine Plans for East Inshore and East Offshore areas (MEB19) is included in paragraph 5.55 and paragraph</p>

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Policy Expectations	Possible Evidence	Evidence Provided
		2.54.
Marine Policy Statement- Chapter 2: General Principles for Decision-Making³		
Sections 2.1 -2.2: The UK vision for the marine environment		
<p>The UK vision for the marine environment ('clean, healthy, safe, productive and biologically diverse oceans and seas')</p> <p>Achieving the vision through marine planning</p>	<ul style="list-style-type: none"> • Reference in DPD where appropriate to UK vision for the marine environment • Contribution to the vision through local plan policies and supporting text 	<p>Not applicable</p> <p>Not applicable</p>
Section 2.4: Considering benefits and adverse effects in marine planning		
<p>Consider benefits and adverse effects of plan policies</p>	<ul style="list-style-type: none"> • Consideration of benefits and adverse effects of policy on the marine area as appropriate within the DPD's sustainability appraisal 	<p>The Sustainability Appraisal Scoping Report (CD31) which accompanied the Publication document included Marine related plans in the Plans Policies, Programmes, Strategies and Initiatives (PPPSI)</p>

³ As the Marine Policy Statement was not targeted specifically at terrestrial planning authorities, some of its sections are, in practice, relevant to marine planning authorities only and/or there is already a comprehensive policy framework governing terrestrial development (e.g. energy infrastructure), Where this is considered to be the case, i.e. where it is considered likely that a terrestrial planning DPD would be found sound without referencing that section, the section in question has been omitted from this checklist.

Soundness Self-Assessment Checklist (March 2014)

Policy Expectations	Possible Evidence	Evidence Provided
		table, and included in the Key Messages which were drawn out of the PPPSIs table which fed into the SA objectives.
Section 2.5: Economic, social and environmental considerations	•	
Contribute to the objectives of relevant EU Directives (Marine Strategy Framework Directive and Water Framework Directive)	<ul style="list-style-type: none"> • Reference to relevant EU Directives in DPD and sustainability appraisal • Consideration of contribution of DPD policies to the objectives of relevant EU Directives 	The Sustainability Appraisal Scoping Report (CD31) which accompanied the Publication document included EU directives in the Plans Policies, Programmes, Strategies and Initiatives (PPPSI) table, and included in the Key Messages which were drawn out of the PPPSIs table which fed into the SA objectives.
Marine Policy Statement- Chapter 3: Policy Objectives for Key Activities		
3.1 Marine Protected Areas		
<p>Incorporate identified areas and features of importance for nature conservation</p> <p>Activities or developments that may result in adverse impacts on biodiversity should be designed or</p>	<ul style="list-style-type: none"> • Identification of relevant areas and features of importance for nature conservation within relevant marine plan area(s) • Consideration of impacts of policy and/or terrestrial development on those areas and features of importance • Measures to mitigate, monitor and manage negative impacts on 	Not applicable

Soundness Self-Assessment Checklist (March 2014)

Policy Expectations	Possible Evidence	Evidence Provided
located to avoid such impacts	those areas and features of importance	
3.4 Ports and shipping		
<p>Take into account and seek to minimise any negative impacts on shipping activity, freedom of navigation and navigational safety</p> <p>Protect the efficiency and resilience of continuing port operations</p>	<ul style="list-style-type: none"> Evidence that policy with potential impact on ports and shipping minimises negative impacts on sector Where relevant, evidence that economic, employment and transport policies are protective of ports and shipping sector 	Not applicable
3.8 Fisheries		
Consider potential economic, social and environmental impacts of other developments on fishing activity	<ul style="list-style-type: none"> Where relevant, evidence that other policies minimise negative impacts on fishing activity and/or aquaculture 	Not applicable
3.9 Aquaculture		
Consider the benefits of encouraging the development of efficient, competitive and sustainable aquaculture industries	<ul style="list-style-type: none"> Where relevant, evidence that the benefits of aquaculture industry development have been considered 	Not applicable
3.10 Surface water management and waste water treatment and disposal		
Maximise opportunities for co-existence of waste water infrastructure with other activities in the marine	<ul style="list-style-type: none"> Reference to and consideration of the co-existence of waste water infrastructure with other marine activities, including the potential for waste water infrastructure to mitigate marine impacts through 	Not applicable

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Policy Expectations	Possible Evidence	Evidence Provided
environment	design or location	
3.11 Tourism and recreation		
Consider the potential for tourism and recreation in the marine environment and the benefits this will bring to the economy and local communities	<ul style="list-style-type: none"> • Where relevant, reference to marine tourism and recreation • Evidence that the potential for marine tourism and recreation has been recognised in plan-making 	Not applicable

Appendix One

This is an alphabetical list of all local planning authorities in England whose area overlaps with the UK marine area.

Adur	Broadland	City of Bristol	Doncaster
Allerdale	Broads Authority	City of Kingston upon Hull	Dover
Arun	Canterbury	City of Peterborough	East Cambridgeshire
Babergh	Carlisle	City of Plymouth	East Devon
Barking and Dagenham	Castle Point	City of Portsmouth	East Lindsey
Barrow-in-Furness	Chelmsford	City of Southampton	East Riding of Yorkshire
Basildon	Cheshire West and Chester	City of Westminster	Eastbourne
Bassetlaw	Chichester	Colchester	Eastleigh
Bexley	Chorley	Copeland	Exeter
Blackpool	Christchurch	Cornwall	Exmoor National Park
Boston	City of London	County Durham	Fareham
Bournemouth	City of Brighton and Hove	Dartford	Fenland

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Fylde
Gateshead
Gloucester
Gosport
Gravesham
Great Yarmouth
Greenwich
Halton
Hambleton
Hammersmith and Fulham
Hartlepool
Hastings
Havant
Havering
Horsham
Hounslow
Huntingdonshire
Ipswich
Isle of Wight
Isles of Scilly
Kensington and Chelsea
King's Lynn and West Norfolk
Lake District National Park
Lambeth
Lancaster
Lewes
Lewisham
Liverpool
Maidstone
Maldon
Medway
Middlesbrough
New Forest
New Forest National Park
Newark and Sherwood

Newcastle upon Tyne
Newham
North Devon
North East Lincolnshire
North Lincolnshire
North Norfolk
North Somerset
North Tyneside
North York Moors National
Park
Northumberland
Norwich
Poole
Preston
Purbeck
Redcar and Cleveland
Richmond upon Thames
Rochford
Rother
Scarborough
Sedgemoor
Sefton
Selby
Shepway
South Cambridgeshire
South Downs National Park
South Gloucestershire
South Hams
South Holland
South Lakeland
South Norfolk
South Ribble
South Somerset
South Tyneside
Southend-on-Sea

Southwark
Stockton-on-Tees
Stroud
Suffolk Coastal
Sunderland
Swale
Taunton Deane
Teignbridge
Tendring
Test Valley
Thanet
Thurrock
Tonbridge and Malling
Torbay
Torridge
Tower Hamlets
Wandsworth
Warrington
Waveney
Wealden
West Devon
West Dorset
West Lancashire
West Lindsey
West Somerset
Weymouth and Portland
Winchester
Wirral
Worthing
Wyre
York