

Minerals and Waste Joint Plan

Sustainability Appraisal Scoping Report

Final - February 2014



Non-Technical Summary

The Minerals and Waste Joint Plan

North Yorkshire County Council (NYCC), the City of York Council (CYC) and the North York Moors National Park Authority (NYMNP) are working together to prepare a Minerals and Waste Joint Plan. Each authority has a responsibility to produce a long-term plan which contains land use policies including minerals and waste development, up to the year 2030. Together, the three authorities will plan minerals and waste development for the area covered by these three planning authorities up to 2030. The Yorkshire Dales National Park Authority are in the process of preparing their own Local Plan which will include minerals and waste policies.

Sustainable Development

There are many definitions of sustainable development. However, in this Sustainability Appraisal Scoping Report we have used a definition put forward by the World Commission on Environment and Development in 1987. This describes sustainable development as ‘development that meets the needs of the present without compromising the ability of future generations to meet their own needs’. So, sustainable development is about ensuring that the environment, society and the economy continue to function well now, and into the future.

What is a Sustainability Appraisal?

Sustainability Appraisal (SA) is a tool to help to assess and improve the social, economic and environmental performance of plans. It tests policies and plans against a number of objectives and goes on to suggest changes to the plan and its policies to make them more sustainable.

Scoping Report

This scoping report sets out the context for the Sustainability Appraisal of the Minerals and Waste Joint Plan. This is essential in order to create a series of sustainability questions or objectives against which all policy options will be tested.

The scoping report examines all relevant international, national, regional and local plans and policies which need to be taken into consideration when developing minerals and waste land use policies for the Plan Area. The scoping report also reviews local information about the social, economic and environmental circumstances in the Plan Area. From this review a series of ‘sustainability appraisal objectives’ has been identified. These sustainability appraisal objectives will then be used in the later stages of the sustainability appraisal process to measure the proposed policy options contribution to, or detraction from, sustainable development.

The Sustainability Appraisal objectives to be used when assessing the Minerals and Waste Joint Plan are listed, below:

1. Protect and enhance biodiversity and geodiversity and improve habitat connectivity.

2. Enhance or maintain water quality and improve efficiency of water use.
3. Reduce transport miles and associated emissions from transport and encourage the use of sustainable modes of transportation.
4. Protect and improve air quality.
5. Use soil and land efficiently and safeguard or enhance their quality.
6. Reduce the causes of climate change.
7. Respond and adapt to the effects of climate change.
8. Minimise the use of resources and encourage their re-use and safeguarding.
9. Minimise waste generation and prioritise management of waste as high up the waste hierarchy as practicable.
10. Conserve and enhance the historic environment, heritage assets and their settings.
11. Protect and enhance the quality and character of landscapes and townscapes.
12. Achieve sustainable economic growth and create and support jobs.
13. Maintain and enhance the viability and vitality of local communities.
14. Provide opportunities to enable recreation, leisure and learning.
15. Protect and improve the wellbeing, health and safety of local communities.
16. Minimise flood risk and reduce the impact of flooding.
17. Address the needs of a changing population in a sustainable and inclusive manner.

Consultation

A wide ranging consultation on the Scoping Report took place in May and June 2013, alongside the First Consultation on the Joint Plan, and respondents included the three bodies that legislation on Sustainability Appraisal states must be consulted, namely English Heritage, the Environment Agency and Natural England. As part of this consultation two workshops were held with key stakeholders to discuss in more detail the proposed Sustainability Appraisal objectives. An account of how the consultation responses and feedback at the workshops has informed the final Scoping Report is contained in the SA Scoping Reprt Consultation Outcomes Report which can be viewed at www.northyorks.gov.uk/mwsustainability.

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This Sustainability Appraisal Scoping Report has been published in three volumes. This report is Volume I. The Sustainability Appraisal Baseline is available in Volume II and the appendices (excluding the Sustainability Appraisal Baseline) are available in Volume III.

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Volumes II and III can be downloaded from: www.northyorks.gov.uk/mwsustainability

1 Introduction

The extraction and processing of minerals and the management of waste are issues with significant environmental, social and economic impacts. Planning policies can play a fundamental role in considering key questions about future minerals and waste development, such as: *where* should future waste development be directed, *when* should future development take place, *what* sort of development should take place and *how* should it be implemented?

North Yorkshire County Council, the City of York Council and the North York Moors National Park Authority have agreed to work together to prepare a Minerals and Waste Joint Plan (the 'Joint Plan'). This plan, to 2030, takes forward recent work on minerals and waste planning issues and evidence undertaken by the three authorities. The Joint Plan will contain the spatial framework for future minerals and waste development across the three authorities and present land use policies and allocations for future minerals and waste development.

The Joint Plan will be prepared under the provisions of the Town and Country Planning (Local Planning) Regulations 2012¹. These Regulations set out the procedures for producing Local Plans, which include a requirement to undertake Sustainability Appraisal (SA). The preparation of the Joint Plan must also be in accordance with the requirements of European Directive 2001/42/EC (known as the Strategic Environmental Assessment, or SEA Directive). The SA methodology proposed in this Scoping Report will, in accordance with Government guidance², meet the requirements of SA and SEA through one appraisal.

Sustainability Appraisal is a systematic process of appraisal which can help shape the Joint Plan. It can help deliver sustainable development through the plan by scrutinising options for their sustainability implications. Thus the Government stresses the importance of SA in the National Planning Policy Framework by stating:

'A sustainability appraisal which meets the requirements of the European Directive on strategic environmental assessment should be an integral part of the plan preparation process, and should consider all the likely significant effects on the environment, economic and social factors'.³

This Scoping Report fulfils the requirements of the first stage of the SA process. It sets out the social, economic and environmental context and SA objectives by which the Joint Plan will be appraised. As such it represents the methodology for further work on the SA.

The structure of this Scoping Report broadly follows the steps set out in Stage A of the Government's guidance⁴. Section 2 of this report gives a brief overview of where the Minerals and Waste Joint Plan fits into the three authorities' Development Plans. Section 3 of this report describes the context for SA and SEA

¹ These Regulations build upon the broader system for producing plans set out in the 2004 Planning and Compulsory Purchase Act. For instance, the arrangements for Development Plan Documents are amended and those DPDs are renamed as Local Plans.

² Department for Communities and Local Government, 2012. National Planning Policy Framework. DCLG, London [URL: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/6077/2116950.pdf].

³ Department for Communities and Local Government, 2012. National Planning Policy Framework. DCLG, London [URL: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/6077/2116950.pdf].

⁴ Department for Communities and Local Government, 2009. CLG Plan Making Manual: Sustainability Appraisal. [URL: <http://www.pas.gov.uk/pas/core/page.do?pageId=152450>].

while Section 4 provides information on the Plans, Policies, Programmes, Strategies and Initiatives (PPPSIs) that have been reviewed as part of the evidence gathering exercise.

Section 5 details the social, economic and environmental situation in York, North Yorkshire and the North York Moors National Park (the baseline). The draft SA Objectives and SA Framework are presented in Section 6.

Information on the next steps for the assessment is set out in Section 7.

The Scoping Report is presented in 4 volumes . Volume I is the main report (this document), Volume II is the baseline information, Volume III is the remainder of the appendices and Volume IIII is the Consultation Outcomes Report.

The Scoping Report was subject to public consultation in May / June 2013. All responses received have been considered in producing this Final Scoping Report and a summary of responses and how they have been addressed is presented in the Consultation Outcomes Report (Volume 4 of the Scoping Report documents).

2 Planning Context of the Minerals and Waste Joint Plan

As a minerals and waste planning authority, North Yorkshire County Council has a statutory duty to prepare planning policies for minerals and waste development for those parts of the county that lie outside the Yorkshire Dales and North York Moors National Parks. Within this area the District and Borough Councils produce planning policies for all other types of development. The National Park Authority and the City of York Council each have a responsibility for preparation of planning policies covering all types of development including minerals and waste development. However, agreement has recently been reached between North Yorkshire County Council, the City of York Council and the North York Moors National Park Authority to produce a joint minerals and waste strategic plan. The current status of the City of York and the North York Moors National Park's Local Plans (which will sit alongside the Minerals and Waste Joint Plan), are detailed below. Under previous regulations and guidance authorities would produce an overarching Core Strategy with a number of other documents relating to site allocations and development management. More recently, the focus has moved to the preparation of Local Plans which contain both strategic and development management policies and site allocations.

York has an emerging Local Plan that will form the development plan for York over the 15 year period from 2015-2030. It includes a vision for the future development of the city and a spatial strategy and covers both strategic policies and allocations, alongside detailed development management policies. Preferred Options consultation took place in summer 2013 and following consideration of the comments received the Plan will be revised prior to 'publication' which will be followed by submission to the Secretary of State for examination before being adopted.

The North York Moors National Park Authority adopted a Core Strategy and Development Policies in 2008. This is a comprehensive suite of both strategic and development management planning policies covering all areas of planning including minerals and waste. Apart from the minerals and waste policies contained in the Core Strategy and Development Policies, all planning policies will remain in place following the adoption of the Minerals and Waste Joint Plan. The Authority is currently working on two other plans relating to Helmsley and to Whitby Business Park.

3 Sustainable Development and Sustainability Appraisal

3.1 Sustainable Development

Sustainable development is focused on living within environmental limits, whilst providing a better quality of life through social wellbeing and economic prosperity for the current population and for generations in the future. Whilst many definitions now exist for sustainable development, the most widely used one was defined by the World Commission on Environment and Development in 1987⁵. This defines sustainability as ***'development that meets the needs of the present without compromising the ability of future generations to meet their own needs.'***

The concept of sustainable development can be easily understood by the 'Russian doll' model of sustainability shown below, in Figure 1. This illustrates that while the economy functions to meet the needs of society, they are both dependent on, and a subset of, the wider natural environment. In reality, the natural environment is the foundation for all of our social, cultural and economic way of life as resources from the environment are used to power our economy and social wellbeing is often achieved through economic prosperity.

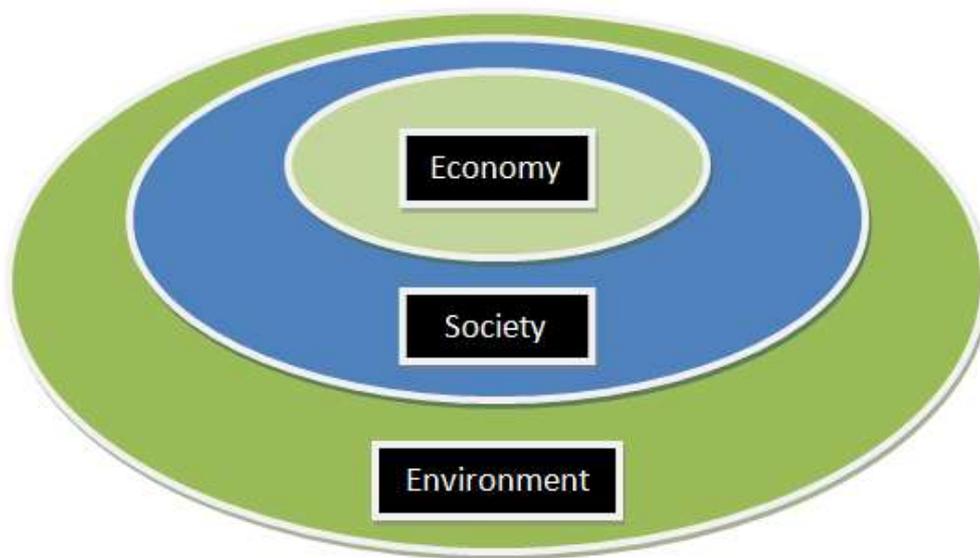


Figure 1 - The 'Russian doll' model of sustainable development⁶.

In 2005 the UK Government published a national sustainable development strategy to 2020 called 'Securing the Future'. Despite a change in government since its publication, the strategic guidance in the Strategy remains in place⁷. The strategy has five guiding principles for achieving sustainable development. These are set out in Figure 2, below.

⁵ World Commission on Environment and Development. 1987. Our Common Future. United Nations [URL: <http://www.un-documents.net/wced-ocf.htm>] (accessed on 08/04/13).

⁶ Adapted from World Wildlife Fund, 2002. Ecological Footprints: A Guide for Local Authorities [URL: <http://www.gdrc.org/uem/footprints/wwf-ecologicalfootprints.pdf>]

⁷ This was confirmed in an e-mail to the authors of this report by Defra's Sustainable Development Unit, dated 12/03/2013.

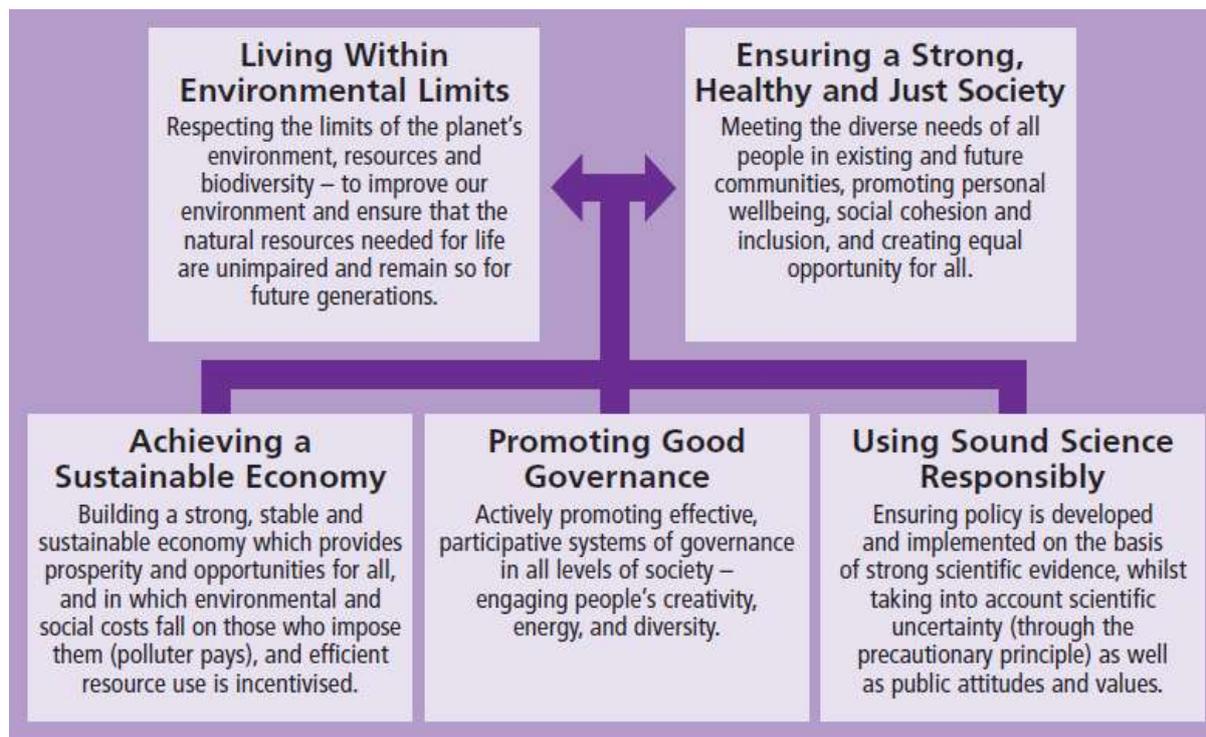


Figure 2 – The guiding principles of the UK Sustainable Development Strategy (Source: HM Government).

The establishment of these principles has created a new goal for sustainable development in the UK, which is: *‘to enable all people throughout the world to satisfy their basic needs and enjoy a better quality of life, without compromising the quality of life for future generations’*⁸.

In relation to policies, the UK Sustainable Development Strategy states that for a policy to be sustainable it must respect all five guiding principles. However, it is acknowledged that some policies, while underpinned by all five, will place more emphasis on certain principles than others.

The UK Coalition Government’s guidance on sustainable development (Mainstreaming Sustainable Development⁹) refreshes the Government’s sustainable development vision to reflect the aims of the current administration: stimulating economic growth, tackling the deficit, maximising wellbeing and protecting the environment. The headline paragraph of the vision re-affirms the government’s commitment to sustainable development:

‘The Coalition Government is committed to sustainable development. This means making the necessary decisions to realise our vision of strong economic growth and tackling the deficit, maximising wellbeing and protecting our environment, without negatively impacting on the ability of future generations to do the same. These are difficult times and tough decisions need to be made. This Government believes in going beyond

⁸ Defra, 2011. Mainstreaming Sustainable Development: The Government’s Vision and What this Means in Practice [URL: <http://sd.defra.gov.uk/documents/mainstreaming-sustainable-development.pdf>] (accessed on 08/04/13).

⁹ Defra, 2011. Mainstreaming Sustainable Development: The Government’s Vision and What this Means in Practice [URL: <http://sd.defra.gov.uk/documents/mainstreaming-sustainable-development.pdf>] (accessed on 08/04/13).

the short term with eyes fixed firmly on long term horizon shift in relation to our economy, our society and the environment’.

In March 2012 the Government introduced a National Planning Policy Framework (NPPF) for England. This states that *‘the purpose of the planning system is to contribute to the achievement of sustainable development’*. It states that there are three dimensions to sustainable development: economic, social and environmental. The NPPF describes these dimensions as follows:

- An economic role – contributing to building a strong, responsive and competitive economy, by ensuring that sufficient land of the right type is available in the right places and at the right time to support growth and innovation; and by identifying and coordinating development requirements, including the provision of infrastructure;
- A social role – supporting strong, vibrant and healthy communities, by providing the supply of housing required to meet the needs of present and future generations; and by creating a high quality built environment, with accessible local services that reflect the community’s needs and support its health, social and cultural well-being; and
- An environmental role – contributing to protecting and enhancing our natural, built and historic environment; and, as part of this, helping to improve biodiversity, use natural resources prudently, minimise waste and pollution, and mitigate and adapt to climate change including moving to a low carbon economy.

The concept of sustainable development in National Parks is defined through the National Parks’ Circular¹⁰ which states *‘Sustainable development is about ensuring a better quality of life for everyone, both now and for generations to come. Within the Parks, conserving and enhancing the landscape, biodiversity, cultural heritage, dark skies and natural resources, and promoting public understanding and enjoyment of these should lie at the very heart of developing a strong economy and thriving local communities.’*

3.2 Sustainability Appraisal

Sustainable development is embedded within the planning system. As noted above, the Government’s National Planning Policy Framework states that the purpose of the planning system is to contribute to the achievement of sustainable development. While the National Planning Policy Framework replaces most of the previous planning policy statements, Planning Policy Statement 10 (PPS10) ‘Planning for Sustainable Waste Management’ remains temporarily in place, to be used in conjunction with the NPPF until the publication of updated national waste planning policy¹¹. Both the NPPF and PPS10 require that sustainability will be at the heart of the Minerals and Waste Joint Plan.

In order to ensure that new plans and strategies contribute towards sustainable development, section 180(5) of the Planning Act 2008 requires all development plan documents (DPDs) to be subject to a sustainability

¹⁰ English National Parks and the Broads – UK Government Vision and Circular (Defra, 2010).

¹¹ Paragraph 5 of the NPPF states ‘This Framework does not contain specific waste policies, since national waste planning policy will be published as part of the National Waste Management Plan for England. However, local authorities preparing waste plans and taking decisions on waste applications should have regard to policies in this Framework so far as relevant’.

appraisal (SA) throughout their production¹². SA is a systematic process used to assess the extent to which an emerging plan or strategy will help to achieve relevant social, environmental and economic objectives. The SA performs a key role in providing a sound evidence base for the plan and demonstrating to decision makers and the public that the likely significant sustainability effects of the plan have been considered.

The approach taken in this SA is based on the guidance published by the Local Government Association/Planning Advisory Service in 'Successful Plan-Making: Advice for Practitioners'¹³, draft National Planning Practice Guidance on Strategic Environmental Assessment and Sustainability Appraisal¹⁴, Sustainability Appraisal Advice Note¹⁵ and the Practical Guide to the SEA Directive¹⁶. The former replaces the plan making manual and the 2010 PAS Guidance replaced the 2005 government guidance on 'Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents'. However, occasional references to earlier guidance are made where this represents good practice. Taken together, this guidance sets out the key steps that should be undertaken in a sustainability appraisal that incorporates Strategic Environmental Assessment. The Government has also recently published draft guidance on SA and SEA as part of its on-line (beta version) suite of planning guidance which will accompany the NPPF. This is available at <http://planningguidance.planningportal.gov.uk/blog/guidance/strategic-environmental-assessment-and-sustainability-appraisal/what-is-a-sustainability-appraisal-and-how-does-it-relate-to-strategic-environmental-assessment/>.

Table 1 shows key tasks derived from the Practical Guide to the Strategic Environmental Assessment Directive, with the terminology adjusted so that it is consistent with Sustainability Appraisal.

¹² The requirement for SA was first outlined in section 180(5) of the Planning and Compulsory Purchase Act 2004, which stated that all local development documents should be subject to sustainability appraisal.

¹³ Published in 2013 and available at http://www.pas.gov.uk/plan-making-/journal_content/56/332612/4077700/ARTICLE

¹⁴ Available at <http://planningguidance.planningportal.gov.uk/>. Accessed on 18.09.2013.

¹⁵ Sustainability Appraisal Advice Note (Planning Advisory Service, 2010)

¹⁶ DCLG, Scottish Executive, Welsh Assembly Government and Department for the Environment Northern Ireland, 2005. A Practical Guide to the Strategic Environmental Assessment Directive, DCLG (formerly ODPM), London [URL: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/7657/practicalguidesea.pdf] (accessed on 08/04/13).

Table 1 - Summary of Sustainability Appraisal tasks as outlined by the DCLG Plan Making Manual/Practical Guide to the SEA Directive (text in bold shows key consultation points).

Stage A: Setting the objectives and developing the baseline (Scoping)
A1: Identifying relevant policies, plans and programmes
A2: Collecting baseline information
A3: Identifying the sustainability issues and the appraisal objectives
A4: Considering options and alternatives ¹⁷
A5: Consulting on the scope of the Sustainability Appraisal
Stage B: Developing and refining options and assessing effects
B1: Testing the plan objectives against the Sustainability Appraisal objectives
B2: Develop and refine the strategic options for the plan
B3: Predict and appraise the significant effects of the options, including alternatives ¹⁸
B4: Evaluate the effects of the plan, including alternatives
B5: Consider ways of mitigating adverse effects and maximising beneficial impacts
B6: Propose measures to monitor the significant effects of implementing the plan
Stage C: Preparing the Sustainability Appraisal Report
C1: Preparing the Sustainability Appraisal report
Stage D: Publication and Submission of the Plan: Sustainability Appraisal
D1: Consulting on the draft plan and the Sustainability Appraisal
D2: Assessing significant changes and making decisions ¹⁹
D3: The Sustainability Appraisal at submission stage
Stage E: Examination of the Plan
E1: Examination and adoption
E2: Monitoring of significant effects
E3: Responding to adverse effects ²⁰

The relationship between the production of a Local Plan/DPD (such as the Minerals and Waste Joint Plan) and the SA process is shown in figure 3 below:

¹⁷ This step is not included in the on-line 'beta version' suite of National Planning Practice Guidance

¹⁸ This step is not included in the on-line 'beta version' suite of National Planning Practice Guidance

¹⁹ This incorporates two tasks mentioned in the Practical Guide: 'assessing significant changes' and 'making decisions and providing information'.

²⁰ The Practical Guide includes a step on responding to adverse effects under Stage E. While not mentioned in the Plan Making Manual, remedial action is required under Article 10 of the SEA Directive.

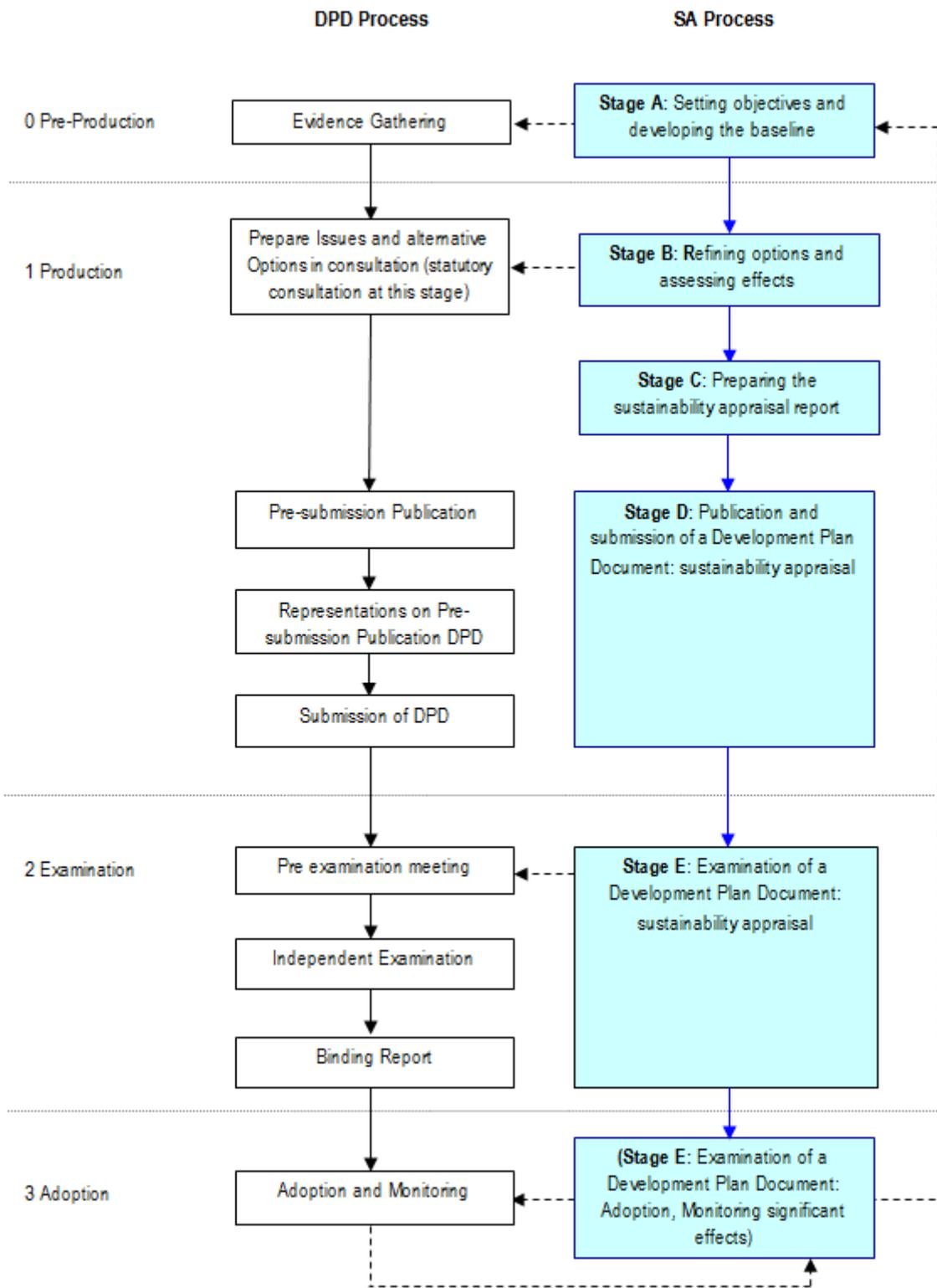


Figure 3 - The DPD and SA Preparation Process. Adapted from ODPM, 2005. Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents.

This Scoping Report represents Stage A of the SA process. The purpose of the Scoping Report is to identify the key sustainability issues for North Yorkshire and establish the criteria (including the SA objectives), and baseline data that will be used in subsequent stages of the SA process to predict and evaluate the impact of the Joint Plan. The approach taken to meeting the five key tasks involved in the completion of Stage A is summarised below and dealt with in more detail in subsequent sections of this report. This approach is in line with guidance from the Department for Communities and Local Government and Planning Advisory Service, as stated earlier in this section.

- **Stage A1: Identifying relevant policies plans and programmes - Plans, Policies, Programmes, Strategies and Initiatives (PPPSI) Review** – This involves an extensive review of international, national, regional, county and district PPPSI to identify the key sustainability issues of relevance to the plan (see section 4 and Appendix 2 for more details).
- **Stage A2: Collecting baseline information - Establishing the current state of Plan Area** – The baseline has been collated through a comprehensive search of documents and liaison with a number of stakeholders. All data has been referenced and the most recent available data used. Where possible, trend data and national and regional comparators have been used to aid interpretation of the data (see section 5 and Volume 2 for more details).
- **Stage A3: Identifying the sustainability issues and the appraisal objectives - Key issues and opportunities** – The baseline data and the PPPSI Review have been used to determine the key issues and problems for North Yorkshire. This has been presented in this report on a joint basis with Stage A2.

SA objectives have been developed to provide an appropriate appraisal framework for the Minerals and Waste Joint Plan. The objectives seek to address the key issues and opportunities identified at stage A3. Objectives will be tested against each other to ensure compatibility. The SA objectives will be used to provide a basis for assessment of the Minerals and Waste Joint Plan (undertaken in Stages B and C) (see section 6 and Appendix 1). Indicators to monitor the SA objectives are also proposed in the Sustainability Appraisal Framework.

- **Stage A4: Considering options and alternatives** –The SEA Directive requires coverage of reasonable alternatives. For this assessment the reasonable alternatives will be the different alternatives (options) presented during Minerals and Waste Joint Plan drafting. The SA is being carried out in parallel with the Joint Plan and will play a key role in helping to generate and refine options that can be considered reasonable alternatives. In line with the principle of ‘frontloading’, the SA will work with plan authors to ensure that, as options are considered, the SA seeks to identify adverse effects early on. More detail about the SA’s approach to considering alternatives is included in Section 7.

The on line National Planning Practice Guidance also recommends developing and refining options in stage B of the sustainability process. This will be documented in later Sustainability Appraisal reports.

- **Stage A5: Consulting on the scope of the SA** – Consultation on the Scoping Report must last for a minimum period of five weeks. The Scoping Report was in fact consulted on for 6 weeks, to coincide with the Joint Plan First Consultation.

3.3 Strategic Environmental Assessment (SEA)

In parallel with the requirement to undertake an SA of the Joint Minerals and Waste Plan, the European Directive 2001/42/EC ‘on the assessment of the effects of certain plans and programmes on the environment’ (also referred to as the Strategic Environmental Assessment or SEA Directive), which is transposed into United Kingdom law by the Environmental Assessment of Plans and Programmes Regulations 2004 (or SEA Regulations), introduced a statutory requirement to conduct an environmental assessment of certain plans. The Regulations apply to UK plans and programmes that meet certain criteria. The Minerals and Waste Joint Plan meets the relevant criteria as it is a plan which is:

– “...prepared by an authority for adoption, through a legislative procedure by Parliament or Government; and, in either case²¹;

– required by legislative, regulatory or administrative provisions²²; and

– is prepared for agriculture, forestry, fisheries, energy, industry, transport, waste management, water management, telecommunications, tourism, town and country planning or land use²³; and

– sets the framework for future development consent of projects listed in Annex I or II to Council Directive 85/337/EEC on the assessment of the effects of certain public and private projects on the environment...” (DCLG, 2005)^{24,25}

SEA is a systematic process for undertaking an environmental assessment of proposed policies, plans or programmes to ensure environmental issues are fully integrated and addressed at the earliest appropriate stage of decision making. The Directive defines ‘environmental assessment’ as a procedure comprising:

- preparing an environmental report on the likely significant effects of the draft plan;
- carrying out consultation on the draft plan and the accompanying environmental report;
- taking into account the environmental report and the results of consultation in decision-making; and
- providing information when the plan is adopted and showing how the results of the SEA have been taken into account.

²¹ The Environmental Assessment of Plans and Programmes Regulations 2004, Regulation 2 – (1) – b.

²² The Environmental Assessment of Plans and Programmes Regulations 2004, Regulation 2 – (1) – c.

²³ The Environmental Assessment of Plans and Programmes Regulations 2004, Regulation 5 – (2) – a.

²⁴ The Environmental Assessment of Plans and Programmes Regulations 2004, Regulation 5 – (2) – b.

²⁵ CLG, Scottish Executive, Welsh Assembly Government and Department for the Environment Northern Ireland, 2005. A Practical Guide to the Strategic Environmental Assessment Directive, DCLG (formerly ODPM), London [URL: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/7657/practicalguidesea.pdf] (accessed on 08/04/13).

While SA and SEA are distinct processes, many of their requirements overlap. Paragraph 165 of the National Planning Policy Framework confirms that sustainability appraisal should encompass Strategic Environmental Assessment and states:

“A sustainability appraisal which meets the requirements of the European Directive on strategic environmental assessment should be an integral part of the plan preparation process, and should consider all the likely significant effects on the environment, economic and social factors”²⁶.

Following this guidance this assessment pursues an integrated approach to SA and SEA, so that the SA process also meets the requirements of the SEA Directive and Regulations. This involves extending the breadth of (predominantly environmental) issues required to be considered under SEA to cover the full range of aspects (including social and economic) for sustainability. It is however specified that the SA Report must clearly show that the SEA Directive’s requirements have been met. This will be achieved through sign-posting the places in the SA report where the information required by the Directive is provided²⁷. Table 2 sets out how the SEA requirements have been met in this Scoping Report.

Table 2 – Environmental report requirements.

Stages in the SEA Process²⁸	
SEA information required	Where information is to be provided
(a) an outline of the contents, main objectives of the plan or programme and relationship with other relevant plans and programmes;	Section 1: Introduction. Section 4: Plans, Policies, Programmes, Strategies and Initiatives Review. Appendix 2: Synergies with other Plans, Policies, Programmes, Strategies and Initiatives.
(b) the relevant aspects of the current state of the environment and the likely evolution thereof without implementation of the plan or programme;	Section 5: Baseline Information and Key Sustainability Issues. Volume 2: Baseline Information.
(c) the environmental characteristics of areas likely to be significantly affected;	Section 5: Baseline Information and Key Sustainability Issues. Volume 2: Baseline Information.
(d) any existing environmental problems which are relevant to the plan or programme including, in particular, those relating to any areas of a particular environmental	Section 5: Baseline Information and Key Sustainability Issues. Volume 2: Baseline Information.

²⁶ CLG, 2012. National Planning Policy Framework. Department for Communities and Local Government, London [<http://www.communities.gov.uk/documents/planningandbuilding/pdf/2116950.pdf>] (accessed on 10/04/2013).

²⁷ As recommended by the CLG Plan Making Manual.

²⁸ As listed in Annex 1 of the SEA Directive (Directive 2001/42/EC).

importance, such as areas designated pursuant to Directives 79/409/EEC and 92/43/EEC;	
(e) the environmental protection objectives, established at international, Community or Member State level, which are relevant to the plan or programme and the way those objectives and any environmental considerations have been taken into account during its preparation;	Section 4: Plans, Policies, Programmes, Strategies and Initiatives Review. Appendix 2: Synergies with other Plans, Policies, Programmes, Strategies and Initiatives.
(f) the likely significant effects on the environment, including on issues such as biodiversity, population, human health, fauna, flora, soil, water, air, climatic factors, material assets, cultural heritage including architectural and archaeological heritage, landscape and the interrelationship between the above factors;	This will be covered in subsequent sustainability appraisal reports.
(g) the measures envisaged to prevent, reduce and as fully as possible offset any significant adverse effects on the environment of implementing the plan or programme;	This will be covered in subsequent sustainability appraisal reports.
(h) an outline of the reasons for selecting the alternatives dealt with, and a description of how the assessment was undertaken including any difficulties (such as technical deficiencies or lack of know-how) encountered in compiling the required information;	This will be covered in subsequent sustainability appraisal reports.
(i) a description of the measures envisaged concerning monitoring in accordance with Article 10;	This will be covered in subsequent sustainability appraisal reports.
(j) a non-technical summary of the information provided under the above headings.	This will be covered in subsequent sustainability appraisal reports.

3.4 Supporting Evidence for Sustainability Appraisal

As outlined above, the SA of the Joint Minerals and Waste Plan will fully incorporate the requirements for SEA. In addition, and in line with best practice, the SA process is supported by additional assessments, including:

- Site Assessment Methodology;
- Habitats Regulations Assessment (HRA); and
- Strategic Flood Risk Assessment (SFRA).

Sites and Areas Assessment Methodology

The Joint Plan will include policies to guide and inform development. However, the National Planning Policy Framework also requires that Local Plans should allocate sites to promote development and flexible use of land. Specifically in relation to planning for aggregate minerals, the NPPF states Minerals Planning Authorities should make provision for aggregates in the form of specific sites, preferred areas and/or areas of search and locational criteria as appropriate. With regard to waste, Planning Policy Statement 10, and the draft updated national waste planning policy which is intended to replace it, indicates that Waste Planning Authorities should identify sites and areas suitable for new and enhanced waste management facilities.

In general terms 'Site Allocations' are considered to be specific sites with a clearly defined boundary where development is likely to be acceptable in principle. 'Preferred Areas' are subject to a lesser degree of precision with regard to the definition of the actual site which may be suitable for development. Areas of search are broader areas intended to direct developers to areas where suitable sites may be located and where support in principle, subject to identification of a suitable site, is likely to be provided by the planning authority.

While the SA Framework presented in this report is considered appropriate for assessing policies in the plan, work is underway to refine aspects of the approach taken in this SA to enable a greater degree of resolution to be applied to possible Site Allocations and Preferred Areas. Further testing of the approach will also determine if a similar approach can be applied to broader Areas of Search.

The methodology to be applied to Site and Area Assessment was consulted on in August and September 2013.

Habitats Regulations Assessment

Alongside this SA a screening exercise for 'appropriate assessment' will be undertaken in line with the requirements of the EU Habitats Directive, as transposed by the Conservation of Habitats and Species Regulations, 2010 (the Habitats Regulations). This legislation requires that appropriate assessment needs to be undertaken for any plan or project which:

- Either alone or in combination with other plans or projects would be likely to have a significant effect on a site designated as part of the Natura 2000²⁹ network;

²⁹ A network of European nature conservation sites that is made up of terrestrial and marine Special Areas of Conservation and Special Protection Areas. For the purposes of the assessment Ramsar sites will also be considered.

- Is not directly connected with the management of the site for nature conservation.

Whilst Sustainability Appraisal and Habitats Regulations Assessment (HRA) are two separate processes and should be reported upon separately there are a number of linkages between the two processes. These include:

- Evidence gathering for HRA can feed into the evidence that informs SA;
- Mitigation and alternatives proposed by HRA can help shape the mitigation measures proposed by the SA and vice versa.
- SA can ensure that wider interest features of Natura 2000 sites that are not within the scope of HRA (such as setting, or the interest features of overlapping designations (e.g. SSSI)) are also considered.
- Initial work on the scope of the Habitats Regulations Assessment and screening of the options has taken place and is presented in the Habitats Regulations Assessment Screening Assessment which will be consulted on as part of the Issues and Options consultation.

Strategic Flood Risk Assessment

Strategic Flood Risk Assessment (SFRA) will also inform the SA process. The role of SFRA is defined within a technical guidance document that accompanies the National Planning Policy Framework (NPPF). This requires that a 'sequential approach' to flood risk is taken.

SFRA is an assessment of the risk posed by flooding from a range of sources to a range of locations in a defined geographical area. It provides the necessary information to undertake a sequential approach to the location of development in relation to flooding. All minerals and waste sites must satisfy the Sequential Test in relation to flooding. This requires that new developments are steered towards areas with the lowest probability of flooding, with Flood Zone 1 being considered ahead of Flood Zone 2, and Flood Zone 3 where sites in Flood Zone 2 are not available. Depending on the vulnerability of development to flooding it may also be necessary to apply the 'Exception Test'³⁰ to justify the locating of a site in a certain Flood Zone.

Two existing Strategic Flood Risk Assessments are available to the Sustainability Appraisal:

- The North East Yorkshire Strategic Flood Risk Assessment which covers the area of a number of planning authorities including the North York Moors National Park (see: <http://www.northyorkmoors.org.uk/living-in/planning/advice/background-documents/strategic-flood-risk-assessment>);
- The City of York Strategic Flood Risk Assessment (http://www.york.gov.uk/info/200406/ldf_evidence_base_documents/465/ldf_evidence_base_documents/2).

The Strategic Flood Risk Assessment for the North York Moors National Park has been produced at a strategic level (with the exception of a small number of settlements) but a more detailed assessment will be considered if this is necessitated through the production of the Joint Plan.

³⁰ The Exception Test is a 3 part test that sets out to demonstrate wider sustainability benefits of development, consideration of previously developed land and the safety of development.

York's Strategic Flood Risk Assessment was produced in 2011 and updated in March 2013 to feed into York's emerging Local Plan. The Strategic Flood Risk Assessment (SFRA) assesses the different levels of flood risk in the York Unitary Authority area and maps these to assist with statutory land use planning. The main considerations in the SFRA relate to the River Ouse, River Foss and River Derwent and their catchments in the Yorkshire Dales, the Howardian Hills and the North York Moors respectively.

In addition it is necessary to ensure the wider plan area is covered by Strategic Flood Risk Assessment and that there is a specific approach set out in relation to minerals and waste planning. To achieve this North Yorkshire County Council have commissioned a level one SFRA, which will supply sufficient information to allow the Sequential Test to be undertaken in relation to minerals and waste sites.

In addition to the above appraisals, the draft SA objectives will be subject to two additional checks: Rural Proofing and Ecosystem Services Assessment. Section 6 of this report provides further details of the Rural Proofing Assessment, and Appendix 3 documents the Ecosystem Services Assessment.

4 Plans, Policies, Programmes, Strategies and Initiatives Review

In order to define the scope of the SA it is necessary to develop an understanding of the wide range of plans, policies, programmes, strategies and initiatives (PPPSIs) that are of relevance to the Minerals and Waste Joint Plan. Accordingly, the scoping stage (stage A) of this SA process involves a review of other PPPSIs relevant to minerals and waste development within the plan area. This task considers PPPSIs at all levels from international and European, national, regional and local, thereby ensuring that all established economic, social and environmental protection objectives are considered in the preparation of the Joint Plan.

Requirements of the SEA Directive:

The Environmental Report shall include information on the “relationship [of the plan or programme] with other relevant plans and programmes” (Annex I(a)).

4.1 Undertaking the PPPSI Review

To fulfil requirement (e) in Annex I of the SEA Directive³¹, any PPPSIs considered to be relevant to the Joint Plan have been reviewed to identify its main purpose, any environmental or sustainability objectives and targets it may contain, and how the Joint Plan SA will ensure that these objectives are taken into account in the preparation of the plan.

The list of assorted plans and programmes with relevance to the Joint Plan is extensive. Tables 3 and 4 below list the PPPSIs that have been analysed as part of this scoping process. The full review is presented in Appendix 2. In some cases national and international/European plans and policies have been excluded where their objectives have been transposed into regional or local documents.

It should be noted that several significant PPPSI documents may be published during the production of the Plan. The list of PPPSIs forms part of the baseline to this Sustainability Appraisal and as such will be continually updated.

³¹ Annex 1(e) of the SEA Directive requires information on “the environmental protection objectives, established at international, Community or Member State level, which are relevant to the plan or programme and the way those objectives and any environmental considerations have been taken into account during its preparation”.

Table 3- Relevant international, European and national plans, policies, programmes, strategies and initiatives.

International & European	Bern Convention on the Conservation of European Wildlife & Natural Habitats (1979)	Bonn Convention on the Conservation of Migratory Species of Wild Animals (1979, amended 1985, 1988)	EU Birds Directive (2009)	RAMSAR Convention on Wetlands of International Importance (1971)	UN Convention on Biological Diversity (1992)	EU Directive on the Conservation of Natural Habitats of Wild Flora & Fauna (1992)	EU Biodiversity Strategy to 2020 (2011)	Proposal for a Directive Establishing a Framework for the Protection of Soil (2006)	EU Nitrates Directive (1991)	EU Directive on the Protection of Groundwater (2006)	EU Urban Waste Water Directive (1991)	EU Water Bathing Directive (2006)	EU Floods Directive (2007)
	EU Water Framework Directive (2000)	Marine Strategy Framework Directive (2008)	Directive on Ambient Air Quality & Cleaner Air for Europe (2008)	Kyoto Climate Change Protocol (2005)	UN Framework Convention on Climate Change Copenhagen Accord (2010)	Integrated Pollution Prevention & Control Directive (2008)	EU Sixth Environmental Action Programme (2002)	European Strategic Environmental Assessment Directive (2001)	EU Environmental Impact Assessment Directive (2011)	Environmental Noise Directive (2002)	Aarhus Convention (1998)	EU Convention on the Protection of Archaeological Heritage (1972)	UNESCO World Heritage Convention (1972)
	EU Landscape Convention (Florence Convention) (2004)	EU Directive on the Incineration of Waste (2000)	EU Mining Waste Directive (2006)	EU Landfill Directive (1999)	EU Waste Framework Directive (2008)	EU Directive on the Energy Performance of Buildings (2002)	EU Renewables Directive (2009)	EU Transport White Paper (2011)	Rio+20 'Future we Want' (2012)	EU Sustainable Development Strategy (2006)	UN Millennium Declaration (2000)	EU Spatial Development Perspective (1997)	
National	The Wetland Vision for England (Environment Agency, 2008)	The UK Post-2010 Biodiversity Framework, 2012)	England Biodiversity Strategy Climate Change Adaptation Principles (Defra, 2008)	Climate Change & Biodiversity Adaptation (Natural England, 2009)	Biodiversity Indicators in Your Pocket (Defra, 2010)	Natural Environment & Rural Communities Act (2006)	UKNEA National Ecosystem Assessment (2011)	Conservation of Habitats & Species Regulations (2010)	Wildlife & Countryside Act (1981)	Government Forestry & Woodlands Policy Statement (Defra, 2013)	Biodiversity 2020 (Defra, 2011)	The Natural Choice – Securing the Value of Nature (Defra, 2011)	Safeguarding our Soils (Defra, 2011)
	Groundwater Protection: Policy & Practice (Environment Agency, 2012)	Flood & Water Management Act (2010)	Marine & Coastal Access Act (2009)	HM Government UK Marine Policy Statement (2011)	Water Environment Regulations (2003)	HM Government Air Quality Standard Regulations (2010)	The Air Quality Strategy for England, Scotland, Wales and Northern Ireland (2007, 2011)	Climate Change Risk Assessment (Defra, 2012)	Climate Change Adaptation by Design (Town & Country Planning Association, 2007)	HM Government Carbon Budget Order (2009)	The Carbon Plan (DECC, 2011)	Climate Change Act (2008)	National Adaptation Programme (Defra, 2012)
	Planning for Climate Change (Town & Country Planning Association, 2012)	Control of Pollution Act (1974)	Model Procedures for the Management of Contaminated Land (Defra/Environment Agency, 2004)	HM Government Environmental Permitting Regulations (2010, amended 2012)	HM Government Environment Act (1995)	HM Government Environmental Protection Act (1990)	Red Tape Challenge – Environment Theme Proposals (Defra, 2012)	Geological Conservation Review (JNCC, 1977 onwards)	Local Growth White Paper (BIS, 2010)	Rural Statement (Defra, 2012)	Good Practice Guide for Tourism (DCLG, 2006)	By all Reasonable Means: Inclusive Access to the Outdoor for Disabled People (Countryside Agency, 2005)	Countryside & Rights of Way Act (2000)
	Healthy Lives, Healthy People: Strategy for Public Health in England (Dept. of Health, 2010)	NHS Heatwave Plan for England (2012)	Mental Wellbeing Impact Assessment (New Economics Foundation, 2011)	Ancient Monuments & Archaeological Areas Act (1979)	Heritage Protection for the 21 st Century (DCMS, 2007)	PPS5 Planning for the Historic Environment – Practical Guide (DCLG, 2010)	UK Government's Statement on the Historic Environment for England (2010)	National Planning Policy Framework (DCLG, 2012)	Technical Guidance on the National Planning Policy Framework (DCLG, 2012)	Localism Act (2011)	Planning and Compulsory Purchase Act (2004)	Planning Act (2008)	PPS 10 Planning for Sustainable Waste Management (revised 2011)
	Government Review of Waste Policy in England (Defra, 2011)	The Waste Regulations (2011, amended 2012)	The Hazardous Waste Regulations (2005, amended 2009)	Planning for Sustainable Waste Management: Companion Guide to PPS 10 (2006)	Waste Strategy for England (2007)	Agricultural Waste Regulations (2006)	Anaerobic Digestion strategy and Action Plan (Defra, 2011)	Strategy for the Management of Solid LLRW from the Non-Nuclear Industry (DECC, 2010)	HM Government UK Low Carbon Transition Plan (2009)	The renewable Energy Roadmap Update (DECC, 2012)	UK Bioenergy Strategy (DECC, 2012)	Microgeneration Strategy (DECC, 2011)	Energy Bill, (DECC, 2012)
	Strategy for Sustainable Construction (BERR, 2008)	Civil Engineering Environmental Quality Assessment Award Scheme	Building Research Establishment Assessment Method	World Class Places: The Government's Strategy for Improving Quality of Places (2009)	Creating Growth, Cutting Carbon, Making Sustainable Transport Happen (DfT, 2011)	Low Carbon Transport: A Greener Future (DfT, 2009)	Low Emissions Strategies: Using the Planning System to Reduce Transport Emissions (Defra, 2010)	Expanding and Improving the Rail Network (DfT, 2012)	National and Regional Guidelines for Aggregates Provision in England 2005-2020 (DCLG, 2009)	Guidance on the Managed Aggregate Supply System (DCLG, 2012)	Managing Aggregates Supply in England (BGS, 2008)	The Future of Food and Farming: Challenges and Choices for Global Sustainability (GOS, 2011)	Agricultural Land Classification: Protecting the Best and Most Versatile Agricultural Land (Natural England, 2012)
	Uplands Policy Review (Defra, 2011)	UK Sustainable Development Strategy (ODPM, 2005)	Mainstreaming Sustainable Development (Defra, 2011)	English National Parks & the Broads (Defra, 2010)	Draft Waste Management Plan for England	Waste Prevention Programme for England (2013)	North Yorkshire and York Local Nature Partnership Strategy (2013)	Draft East Inshore and east Offshore Marine Plan (2013)	Economic and Inward Investment Plan (2013)				

Table 4 – Relevant regional, sub-regional and local plans, policies, programmes, strategies and initiatives.

Regional/Sub-Regional	A Regional Forestry Strategy for the North East of England (Forestry Commission, 2005)	Regional Biodiversity Strategy for Yorkshire & Humber (Y&H Biodiversity Forum, 2009)	Yorkshire & Humber Biodiversity Action Plan (Y&H Biodiversity Forum)	Water Resources Management Plan (Yorkshire Water, 2009)	Regional Catchment Abstraction Management Strategies (Environment Agency, various dates)	Regional Catchment Flood Management Plans (Environment Agency, various dates)	Regional River Basin Management Plans (Environment Agency, 2009)	River Tyne to Flamborough Head Shoreline Management Plan (North East Coastal Authorities Group, 2007)	Climate Change Plan for Yorkshire & Humber (Yorkshire & Humber Climate Change Partnership, 2009)	Climate Change Action Plan for the North East (Sustaine, 2008)	Tees Valley Climate Change Strategy (Tees Valley Climate Change Partnership, undated)	Environmental Limits in Yorkshire & Humber (YHEF, 2007)	National Character Area Profiles (natural England, 2012)
	Tees Valley Green Infrastructure Strategy (Tees Valley Joint Strategy Unit, 2008)	Leeds City Region Green Infrastructure Strategy, (LCR LEP, 2010)	Tees Valley Geodiversity Action Plan (tees Valley Wildlife Trust, 2011)	Leeds City Region Local Enterprise Partnership Economic Plan (2012)	Tees Valley Unlimited Business Plan (Tees Valley Unlimited, 2011)	Local Enterprise Partnership Plan (York, North Yorkshire & East Riding LEP, 2012)	Leeds City Region Employment & Skills Strategy (2010)	Economic Impact of Heritage in Yorkshire & Humber (YHEF, 2010)	Historic Environment Strategy for Yorkshire & the Humber Region (YHHEF, 2008)	North Yorkshire & Cleveland Heritage Coast Management Plan (North Yorkshire & Cleveland Coastal Forum, 2007)	Culture Strategy, York and North Yorkshire Cultural Partnership (Yorkshire & Humber Regional Assembly, 2003)	Yorkshire & Humber Regional Waste Strategy (Yorkshire & Humber Regional Assembly, 2003)	Low Carbon & Renewable Energy Capacity in Yorkshire & Humber Final Report (LGYPH, 2011)
Local	Biodiversity Audit & Action Plan (CYC, 2013)	District/Borough Biodiversity Action Plans (various dates)	North York Moors Biodiversity Action Plan (NYM National Park Authority, 2008)	Local Strategic Flood Risk Assessment (various dates)	Ouse Flood Risk Management Strategy (Environment Agency, 2010)	Green Streets: The Neighbourhood Carbon Footprint of York (CYC, 2009)	York Low Emission Strategy (CYC, 2012)	Climate Change Strategy & Action Plan for York (CYC, 2010)	Adapting to Climate Change in the North York Moors National Park (NYM National Park Authority, 2011)	Delivering on Climate Change (NYCC Climate Change Strategy, 2009)	Contaminated Land Strategy (CYC, adopted 2001, revised 2010)	Your Dales Rock: Local Geodiversity Action Plan (NY Geodiversity Partnership, 2006)	Reaching Further: York's Economic Strategy (CYC, 2012)
	Rights of Way Improvement Plan for North Yorkshire (NYCC, 2007)	Rights of Way Improvement Plan for Redcar & Cleveland Borough Council (2007)	City of York Rights of Way Improvement Plan (draft)	Healthier Lives: NHS North Yorkshire & York's Strategic Plan (2010)	North Yorkshire Joint Strategic Health Needs Assessment (NYCC, 2012)	North Yorkshire Joint Health & Wellbeing Strategy (NYCC, undated)	Local Open Space, Sport & Recreation Assessments (various dates)	Community Safety Plan, Safer York Partnership (CYC, undated)	North Yorkshire Policing Plan (North Yorkshire Police Authority, 2011)	Fountains Abbey & Studley Royal World Heritage Site Management Plan (National Trust & English Heritage, 2009)	York Greenbelt Appraisal 2003 and Technical Paper (CYC, 2011)	Local Landscape Character Assessments and Appraisals (various dates)	ACONB Management Plans (various dates)
	A Strategy for the North Yorkshire Countryside (NYCC, draft, undated)	Local Development Frameworks and neighbouring LDFs (various dates)	Yorkshire & Humber Plan: Regional Spatial Strategy retained greenbelt policies (DCLG, 2008)	A Municipal Waste Management Strategy for City of York & North Yorkshire (Y & NY Waste partnership, 2006)	Tees Valley Joint Waste Management Strategy (Tees Valley Local Authorities, 2008)	York Renewable Energy Strategic Viability Study (AEA, 2010)	Redcar & Cleveland Local Transport Plan (Redcar & Cleveland Borough Council, 2011)	North Yorkshire Local Transport Plan (NYCC, 2011)	City of York Local Transport Plan 3 (CYC, 2011)	North Yorkshire Gypsy & Traveller Accommodation Assessment (North Yorkshire Strategic Housing Partnership, 2008)	York & North Yorkshire Strategic Housing Market Assessment (North Yorkshire Strategic Housing Partnership, 2011)	North Yorkshire Local Investment Plan (North Yorkshire Strategic Housing Partnership, 2011)	North Yorkshire Housing Strategy & Action Plan (NYCC, 2010)
	Craven Sustainable Community Strategy (Craven Local Strategic Partnership, 2007)	Richmondshire 2021 Sustainable Community Strategy (Richmondshire Local Strategic Partnership, undated)	Harrogate District Sustainable Community Strategy (Harrogate District Strategic Partnership, revise November 2008)	Selby District Local Strategic Partnership Sustainable Community Strategy (Selby District Local Strategic Partnership, 2010)	Imagine Ryedale (Ryedale Strategic Partnership, 2003)	A Community Plan for Hambleton (Hambleton District Council, 2006)	Redcar & Cleveland's Sustainable Community Strategy Redcar & Cleveland Partnership, 2008)	Sustainable Community Strategy for the Borough of Scarborough (NY Coast Community Partnership, 2010)	York – Sustainable Community Strategy (2008)	Council Plan (NYCC, 2012)	York City Vision & Community Strategy (CYC, 2011)	North Yorkshire Community Plan (NYSP, 2011)	North Yorkshire, York and Lower Tees Valley Historic Landscape Characterisation
	North York Moors National Park Management Plan (NYM National Park Authority, 2012)	Recreation & Access Strategy for the North York Moors National Park (NYM National Park Authority, 2008)	Corporate Fairness & Inclusion Strategy & Single Corporate Equality Scheme (CYC, 2010)	Visit York Strategic Plan (Visit York, 2008)	The Education Plan (CYC, 2005)	Children's and Young People's Plan (CYC & YorOK Children's Trust, 2012)	North Yorkshire Children & Young People's Plan (NYCC & NY Children's Trust, undated)						

4.2 Key Messages from the PPPSI Review

Here, a list of key messages that have been drawn from the PPPSI review are presented. These messages, along with the environmental baseline of the SA, play a part in helping define the SA objectives.

Table 5 – Key messages from the PPPSI review.

Key messages that the Joint Minerals and Waste Strategic Plan should seek to address	Main Sources
<p>Protect and enhance biodiversity, including sites of nature conservation importance designated at a European, national and local level and protected species. Avoid fragmentation of priority habitats and seek to enhance the permeability of land cover for species movement at a landscape scale. Halt the loss of biodiversity and create better habitat networks. Deliver a net-gain in biodiversity.</p> <p>Recognise and enhance the natural capital provided by natural, semi natural and managed habitats and ecosystems to maintain flows of ecosystem services.</p>	<p>Ramsar Convention, UN Convention on Biological Diversity, Bern Convention on the conservation of European Wildlife and Natural Habitats, Bonn Convention on the Conservation of Migratory Species and Wild Animals, EU Sixth Environmental Action Plan, European Sustainable Development Strategy, EU Habitats Directive (92/43/EEC) and EU Birds Directive (2009/147/EC), Rio + 20 'Future we Want', Wetlands Vision for England, Biodiversity Indicators in your Pocket, Natural Environment and Rural Communities Act 2006, National Ecosystem Assessment, Conservation of Habitats and Species Regulations 2010, Wildlife and Countryside Act 1981, The Natural Choice: Securing the Value of Nature, Biodiversity 2020, England Biodiversity Strategy Climate Change Adaptation Principles, National Parks Circular, NPPF, Mainstreaming Sustainable Development – the Government's Vision and What this Means in Practice, UK Post-2010 Biodiversity Framework, Climate Change and Biodiversity Adaptation, Yorkshire and Humber Regional Biodiversity Strategy, Yorkshire and Humber Biodiversity Delivery Plan, Community Plan for North Yorkshire, BAPs, Local Development Frameworks/Local Plans, North York Moors National Park management Plan.</p>
<p>Protect and enhance historic and archaeological features to conserve cultural heritage and maximise the economic impact of heritage. Engage people in assets of historical and architectural interest, including world heritage sites, listed buildings, conservation areas, archaeologically important locations and historically important landscapes.</p>	<p>EU Convention for the Protection of the Archaeological Heritage of Europe (Granada Convention, Valetta Convention), UNESCO World Heritage Site Convention, European Landscape Convention (Florence Convention), Heritage Protection for the 21st Century, Ancient Monuments and Archaeological Areas Act 1979, NPPF, PPS5 Practical Guide, National Parks Circular, Statement of the Historic Environment for England, Fountains Abbey and Studley Royal World Heritage Site Management Plan, Economic Impact of Heritage in Yorkshire and Humber, Historic Environment Strategy for Yorkshire and Humber, North Yorkshire and Cleveland Heritage Coast Management Plan, York Heritage Topics Paper, Local</p>

	Development Frameworks/Local Plans, North York Moors National Park Management Plan.
Conserve and improve local environmental quality, townscapes and landscapes, including national parks and AONBs.	EU Landscape Convention, Climate Change and Biodiversity Adaptation: The Role of the Spatial Planning System, Natural Environment and Rural Communities Act 2006, National Parks Circular, English National Parks and the Broads, NPPF, PPS10, AONB Management Plans, National Character Area Profiles, Regional Forestry Framework, Regional Forestry Strategy for North East England, Tees Valley Green Infrastructure Strategy, Leeds City Region Green Infrastructure Strategy, Tees Valley Geodiversity Action Plan, Your Dales Rock, A Strategy for the North Yorkshire Countryside, Flamborough Head Management Plan, North Yorkshire and Cleveland Heritage Coast Management Plan, North Yorkshire Landscape Character Assessment, York and North Yorkshire Culture Strategy, North York Moors Landscape Character Assessment, York Landscape Appraisal, York Green Belt Policies, York Green Belt Appraisal, Local Development Frameworks/Local Plans, North York Moors National park Management Plan.
Reduce contribution to climate change and ensure people, the built and natural environments can adapt to the changing climate.	Kyoto Climate Change Protocol, UN Framework Convention on Climate Change Copenhagen Accord, Climate Change Act 2008, EU Sixth Environmental Action Programme, The Carbon Budget Order 2009, UK Low Carbon Transition Plan, The Carbon Plan, Planning for Climate Change – Guidance for Local Authorities, The Natural Choice: Securing the Value of Nature, Mainstreaming Sustainable Development – the Government’s Vision and What this Means in Practice, England Biodiversity Strategy Climate Change Adaptation Principles, Climate Change and Biodiversity Adaptation: The Role of the Spatial Planning System, Climate Change Risk Assessment, Climate Change Adaptation by Design, NHS Heatwave Plan for England, National Adaptation Programme, The Future of Food and Farming: Challenges and Choices for Global Sustainability, Low Carbon Transport: A Greener Future, regional and local climate change management and action plans, local and regional carbon and energy plans, regional and local waste strategies, Local Transport Plans, Community Plans and Strategies, Water Resource Management Plan, Local Development Frameworks/Local Plans, North York Moors National Park Management Plan.
Recognise the impact of flooding on new and existing development and also the	EU Floods Directive (2007/60/EC), EU Water Framework Directive (2000/60/EC), Flood and Water Management Act

<p>impact this development can have on exacerbating the risk of flooding elsewhere.</p>	<p>2010, River Tyne to Flamborough Head Shoreline Management Plan, FRMSs, CFMPs, Strategic Flood Risk Assessments, The North Yorkshire Community Plan, Local Development Frameworks/Local Plans, North York Moors National Park Management Plan.</p>
<p>Enhance waterways and wetlands and recognise the impact that flood and water management works and pollution may have on the chemical, geomorphological, hydrogeomorphological and ultimately, ecological status of waterways and wetlands.</p>	<p>Ramsar Convention, European Nitrates Directive (91/676/EEC), EU Groundwater Directive (2006/118/EC), EU Urban Waste Water Directive (91/271/EEC), EU Water Framework Directive (2000/60/EC), EU SEA Directive (2001/42/EC), Groundwater Protection: Policy and Practice, CAMSs, CFMPs, RBMPs, Local Development Frameworks/Local Plans, North York Moors National Park Management Plan.</p>
<p>Ensure development proposals do not result in unacceptable air, water or land pollution.</p>	<p>Proposal for a Directive Establishing a Framework for the Protection of Soil (2006/0086), EU Nitrates Directive (91/676/EEC), EU Groundwater Directive (2006/118/EC), EU Urban Waste Water Directive (91/271/EEC), EU Bathing Water Directive (2006/7/EC), Marine Strategy Framework Directive (2008/56/EC), EU Water Framework Directive (2000/60/EC), Directive on Ambient Air Quality and Cleaner Air for Europe (2008/50/EC), EU Integrated Pollution and Prevention and Control (IPPC) Directive (2008/1/EC), NPPF, Groundwater Protection: Policy and Practice, Environmental Permitting Regulations 2010, Control of Pollution Act 1974 and Amending Act, 1989, Environmental Protection Act, 1990, Environment Act 1995, The Air Quality Strategy for England, Scotland, Wales, and Northern Ireland, Model Procedures for the Management of Contaminated Land, Protecting our Water, Soil and Air – a code of good agricultural practice for farmers growers and land managers, Contaminated Land Strategy, Environmental Protection Unit, RBMPs, Local Development Frameworks/Local Plans.</p>
<p>Increase mobility through the encouragement of the use of more sustainable modes of transport, encourage the production and use of renewable energy for transport and seek to reduce the need to travel by car to reduce congestion and transport-related emissions.</p>	<p>EU Renewables Directive (2009/28/EC), EU Transport White Paper, NPPF, UK Bioenergy Strategy, Creating Growth, Cutting Carbon: Making Sustainable Local Transport Happen, Low Carbon Transport: A Greener Future, Expanding and Improving the Rail Network, Low Carbon Transport: A Greener Future, Low Emissions Strategies: Using the Planning System to Reduce Transport Emissions, regional climate change action plans, Local Transport Plans, Local Development Frameworks/Local Plans.</p>
<p>Promote the use of renewable energy/low carbon energy and encourage its incorporation within new</p>	<p>Kyoto Climate Change Protocol, UN Framework Convention on Climate Change Copenhagen Accord, EU Directive on the Energy Performance of Buildings</p>

development.	(2002/91/EC), Renewables Directive (2009/28/EC), EU Sustainable Development Strategy, NPPF, The Carbon Plan, Anaerobic Digestion Strategy, UK Low Carbon Transition Plan, UK Renewable Energy Roadmap, UK Bioenergy Strategy, Microgeneration Strategy, Energy Bill, Planning for Climate Change – Guidance for Local Authorities, regional/local climate change action plans, Low Carbon and Renewable Energy Capacity in Yorkshire and Humber, York Renewable Energy Strategic Viability Study, Local Development Frameworks/Local Plans, North York Moors National Park Management Plan.
Prioritise the development of previously developed land in preference to greenfield sites. Respect the purposes of the green belt.	NPPF, The Yorkshire and Humber Plan (retained green belt policies for York), York Greenbelt Appraisal 2003, Local Development Frameworks/Local Plans and Community Strategies.
Seek to safeguard and improve the health and wellbeing of communities and improve inclusive access to services, facilities and the countryside.	By all Reasonable Means: Inclusive access to the outdoors for disabled people, Countryside and Rights of Way Act (2000), Healthy Lives, Healthy People: Our Strategy for Public Health in England, NHS Heatwave Plan for England, NPPF, PPS10, Mental Wellbeing Impact Assessment: A Toolkit for Wellbeing, Health Joint Strategic Needs Assessment, Joint Health and Wellbeing Strategy, Rights of Way Improvement Plans, Healthier Lives: NHS Yorkshire and York's Strategic Plan, Open Space, Sport and Recreation Study, Community Safety Plan, Safer York Partnership, North Yorkshire Policing Plan, Community Plans and Strategies, Local Development Frameworks/Local Plans.
Provide an adequate and continuous supply of minerals to the economy.	Rio + 20 'Future we Want', NPPF, National and regional guidelines for aggregates provision in England, Guidance on Managed Aggregate Supply System, Local Aggregate Assessment,
Limit the impacts of minerals development on amenity.	Rio + 20 'Future we Want', NPPF, National and regional guidelines for aggregates provision in England, Guidance on Managed Aggregate Supply System, Agricultural Land Classification: Protecting the Best and Most Versatile Agricultural Land.
Promote employment, including a shift from public to private sector jobs and investment.	Local Growth White Paper, Defra Rural Statement, LEPs, local business plans, local employment and economic strategies, Local Development Frameworks/Local Plans.
Support a low carbon economy.	Rio + 20, EU Transport White Paper, European Sustainable Development Strategy, The Carbon Plan, Local Growth White Paper, UK Low Carbon Transition Plan, UK Renewable Energy Roadmap, UK Bioenergy Strategy, Microgeneration Strategy, Energy Bill, Strategy for Sustainable Construction, Creating Growth, Cutting

	Carbon: Making Sustainable Local Transport Happen, Low Carbon Transport: A Greener Future, Low Emissions Strategies, Expanding and Improving the Rail Network, UK Sustainable Development Strategy, Mainstreaming Sustainable Development, Sustainable Communities: A shared vision, a shared agenda. Natural Choice: Securing the Value of Nature, Planning for Climate Change – Guidance for Local Authorities, Local Development Frameworks/Local Plans.
Develop strong, attractive and thriving neighbourhoods and societies (The Big Society) and encourage public participation in the development of the local area.	Aarhus Convention, Local Growth White Paper, Localism Act, NPPF, Mainstreaming Sustainable Development, Local Development Frameworks/Local Plans.
Protect and enhance geological diversity.	NPPF, Geological Conservation Review, Geodiversity Action Plans, Landscape Character Assessments, North York Moors National Park Management Plan, North York Moors Core Strategy and Development Policies, Local Development Frameworks/Local Plans.
Ensure environmental limits are not breached.	Rio + 20 ‘Future we Want’, European Sustainable Development Strategy, Safeguarding our Soils, Water White Paper, Groundwater Protection (GP3), UK Marine Policy Statement, Protecting our Water, Soil and Air, Air Quality Standard Regulations, Air Quality Strategy for England, Scotland, Wales and Northern Ireland, Carbon Budget Order, Climate Change Act, Control of Pollution Act, Environmental Permitting Regulations, Environmental Protection Act, CAMSs, national/regional/local sustainable development strategies, regional/local climate change plans and strategies, Environmental Limits in Yorkshire and Humber: a Discussion Paper.
Ensure continued economic viability and access to services for rural areas.	Defra Rural Statement, Uplands Policy Review, Community Strategies and Plans, AONB Management Plans, North York Moors National Park Management Plan, Local Development Frameworks/Local Plans.
Recognise the importance of protecting the best and most versatile agricultural land and fertile soils.	NPPF, Proposal for a Directive Establishing a Framework for the Protection of Soil (2006/0086), Safeguarding our Soils, Protecting our Water, Soil and Air, Agricultural Land Classification: Protecting the Best and Most Versatile Agricultural Land, North York Moors National Park Management Plan, Local Development Frameworks/Local Plans.
Protect coastal landscapes and biodiversity.	NPPF, Marine Strategy Framework Directive (2008/56/EC), Marine and Coastal Access Act, UK Marine Policy Statement, Natural Choice: Securing the Value of Nature, North Yorkshire and Cleveland Heritage Coast

	Management Plan, North York Moors National Park Management Plan, Local Development Frameworks/Local Plans.
Protect open space for community benefit.	NPPF, Healthy Lives, Healthy People, Yorkshire and Humber Plan retained greenbelt policies, Leeds City Region Green Infrastructure Strategy, Tees Valley Green Infrastructure Strategy, NHS Heatwave Plan for England, Natural Choice: Securing the Value of Nature, North York Moors Core Strategy and development policies, North York Moors National Park Management Plan, Recreation and Access Strategy for the North York Moors National Park, Local Development Frameworks/Local Plans.
Ensure that waste is managed as high up the waste hierarchy as practicable.	EU Landfill Directive (99/31/EC), EU Waste Framework Directive (2008/98/EC), NPPF, PPS10, Waste Regulations 2012, Hazardous Waste Regulations 2009, Waste Strategy for England, Agricultural Waste Regulations, Government Review of Waste Policy in England 2011, Anaerobic Digestion Strategy and Action Plan, Strategy for the Management of Solid Low Level Radioactive Waste from the Non-Nuclear Industry, regional and local waste management strategies.
Ensure high quality design of built infrastructure.	EU Directive on Energy Performance of Buildings (2002/91/EC), Strategy for Sustainable Construction, Local Development Frameworks/Local Plans, BREEAM, CEEQUAL, World Class Places: The Government's Strategy for Improving the Quality of Places, Local Development Frameworks/Local Plans.
Apply life cycle thinking to the extraction of minerals and management of waste.	Government Review of Waste Policy in England 2011, Managing Aggregates Supply in England.
Contribute to the delivery of statutory National Park purposes and duty.	North York Moors National Park Management Plan, Recreation and Access Strategy for the North York Moors, North York Moors Core Strategy and Development Policies.

5 The Environmental, Social and Economic Baseline and Key Issues for Sustainability

One of the key requirements of the Sustainability Appraisal is to predict and monitor the effects of implementing a plan. In order to do this effectively it is necessary to have an understanding of the baseline position. This forms an important starting point for ascertaining the current and likely future state of the Plan Area as well as helping to identify the sustainability issues that the Joint Plan will try to address. Evidence produced as part of the production of the Plan itself contains more detail in relation to some of the topics considered in the baseline, particularly in relation to minerals and waste, and these can be viewed at www.northyorks.gov.uk/mwevidence.

Requirements of the SEA Directive:

The Environmental Report shall include information on “relevant aspects of the current state of the environment and the likely evolution thereof without implementation of the plan or programme’ and ‘the environmental characteristics of areas likely to be significantly affected’ and ‘any existing environmental problems which are relevant to the plan or programme including, in particular, those relating to any areas of a particular environmental importance, such as areas designated pursuant to Directives 79/409/EEC and 92/43/EEC”. (Annex I (b), (c) and (d)).

Guidance provided by the Planning Advisory Service³² does make it clear that it is nevertheless important to ensure that the baseline is proportionate and relevant to the plan being prepared, and is not merely an account of all of the data available for the Plan Area. It has therefore been acknowledged that some baseline information that is relevant or even significant for a Local Plan covering a whole range of topics, may be less significant or even not relevant for a Minerals and Waste Plan.

The Planning Advisory Service guidance states that planning authorities can draw upon a range of available data including the latest available statistics, topic based studies and area profiles. As the Joint Plan Area is made up of three minerals and waste planning authorities, published data (most of which is produced for individual local authority areas) is not readily available for many topic areas covered by the baseline. Therefore, in many cases the baseline contains data which relates to an area which is not the Joint Plan area but is a ‘best fit’. This is explained in more detail in Volume 2.

In this Sustainability Appraisal we have recognised that the social, environmental and economic issues experience by the City of York and the North York Moors National Park are often quite different from those issues experienced by the whole Plan area. For instance, the economy of a city environment such as York may be distinctly different from deep rural areas such as are found in the North York Moors National Park. Baseline documents for the City of York and for the North York Moors National Park have been produced

³² Sustainability Appraisal Advice Note (Planning Advisory Service, July 2010).

separately to the production on this Scoping exercise but information contained with them has fed into the Plan Area baseline. The York and North York Moors baseline documents have been produced for wider purposes than minerals and waste planning; therefore some elements of the baseline may have varying degrees of relevance for the Joint Plan.

Readers interested solely in the National Park or in York may wish to consult the baseline documents for their respective areas. Elsewhere readers should consult the baseline data for the Plan Area as a whole, as shown in the diagram below.

Other sources of information for the Plan area baseline have included the Environmental and Demographic and Economic Evidence Papers which have been produced as part of the background evidence for the Joint Plan, and various published data sources such as data provided by the Office for National Statistics or the Environment Agency. The Evidence Papers produced as background documents for the Joint Plan contain much of the same information to the baseline, but is presented in a way that makes it relevant for developing the Plan. The baseline to this Sustainability Appraisal, on the other hand, is presented in a way which makes the data relevant for identifying sustainability issues. The sources of data contained in the baseline are referenced throughout the baseline.

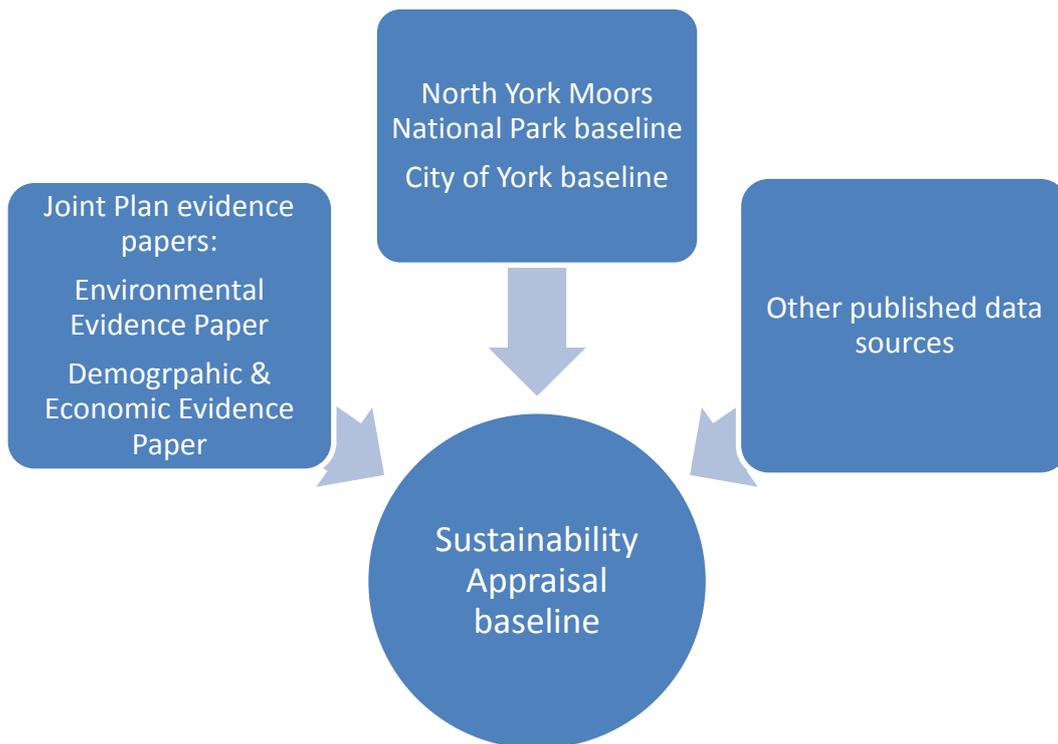


Figure 4 - Relationship between other sources of information and the Joint Plan Area baseline.

- **The baseline for the Plan Area as a whole is in Volume III of these reports and is available at: www.northyorks.gov.uk/mwsustainability**
- **The North York Moors baseline is available at – <http://www.northyorkmoors.org.uk/living-in/planning/advice/background-documents>**
- **The City of York Baseline is available at – www.york.gov.uk/NewLocalPlanforYork**
- **The Environmental Evidence Paper and Demographic and Economic Evidence Paper is available at www.northyorks.gov.uk/mwjointplan**

The topics covered by the baseline have been informed by the SEA topics (as contained in Annex I(f) of the SEA Directive). These are biodiversity, population, human health, fauna, flora, soil, water, air, climatic factors, material assets, cultural heritage including architectural and archaeological heritage and landscape. As the scope of Sustainability Appraisal is wider than Strategic Environmental Assessment additional topic areas have also been included, particularly in relation to social and economic factors.

Where gaps in data exist these have been identified within the baseline. As the baseline should continually evolve and be updated, it may be that these gaps can be filled during the course of plan production. Where gaps in data exist an explanation has been included to this effect and a description of the situation as is currently understood has been included.

The Plan Area baseline assessment is contained in Volume 2.

The key sustainability issues arising out of the baseline are summarised in Table 6. This contains the key sustainability issues for the Plan area along with any additional location specific issues for the City of York and the North York Moors National Park.

Overall, the baseline review reveals that a large part of the Joint Plan Area is designated for the quality of its landscape and/or the importance of its wildlife and there are a large number of important historic assets. The area is diverse, ranging from large swathes of protected landscape to densely populated urban areas. Much of the area is either at risk from flooding or is important in controlling floodwaters. There are generally higher proportions of older people and lower proportions of younger people living in the Plan area when compared to regional and national averages. Levels of deprivation are low and unemployment is relatively low, whilst educational attainment is comparatively high.

Table 6: Key sustainability issues arising out of baseline data review

The Plan Area	York	North York Moors
Biodiversity, Flora, Fauna, Geodiversity, Landscape and Cultural Heritage Issues		
<ul style="list-style-type: none"> ➤ Large number of nationally designated wildlife sites and significant areas of internationally designated wildlife sites ➤ Outside of these areas there are large numbers and a wide distribution of locally important Sites of Importance for Nature Conservation and UK BAP priority habitats ➤ Much of the farmland is covered by some form of agri-environment scheme ➤ Despite this many habitats in this area are fragmented and isolated ➤ Outside of the National Park, woodland is generally found in small fragments ➤ Invasive species are an increasing threat to native wildlife ➤ Although large parts of this area are relatively low lying, variation in geology, soils, topography and historical factors have helped create a range of distinctive and valued landscapes ➤ The North York Moors National Park makes up a large part of the Plan area and a significant portion of the Plan area lies within Areas of 	<ul style="list-style-type: none"> ➤ Whilst open space in York includes approximately 480 hectares of parks and open space it is not distributed in a uniform manner across the city and therefore some areas are deficient in certain types of open space ➤ Quality of large parks and gardens in York is good with 5 designated as Green Flag Award status ➤ York has an abundance of important site for nature conservation at international, national, regional and local levels; ➤ The city's nature conservation sites support a diverse range of flora and fauna ➤ Initiatives are on-going to support nature conservation / open space around the city to make a more environmentally friendly and healthy city ➤ York's landscape is a primary feature of York's historic character and setting ➤ There are specific elements of the landscape that need to be preserved in order to appreciate the whole of York's context ➤ Views from and to the landscape and built environment features are an important feature of York's character 	<ul style="list-style-type: none"> ➤ Entire area is a protected nationally for its natural beauty, wildlife and cultural heritage ➤ Large areas of nationally and internationally protected wildlife sites ➤ Small number of RIGS sites but geology part of the Park's established special qualities ➤ Relatively large areas of woodland and ancient woodland, and largest concentration of Plantation on Ancient Woodland Sites (PAWS) in northern England ➤ Entire coastline is Heritage Coast ➤ Relatively very tranquil ➤ Over half of the area of the Park, and most of the moorland, is covered by agri-environment schemes ➤ Many habitats could be better connected ➤ Large number of Listed Buildings and the number of buildings at risk has significantly declined during recent years ➤ Contains a third of all of the Scheduled Monuments in the region, plus thousands more archaeological sites and features. Around a third of the Scheduled Monuments are at

<p>Outstanding Natural Beauty or Heritage Coasts</p> <ul style="list-style-type: none"> ➤ Green belts limit development in parts of the south of this area ➤ While the county of North Yorkshire as a whole is one of the most tranquil in England, outside of the national parks and AONBs tranquillity levels often fall due to transport corridors or when near to settlements ➤ Key ecosystem services include regulating water flow, food provision and cultural services such as the provision of a sense of history ➤ The Plan Area is rich in historic assets ➤ Whilst most designated assets in the area are not 'at risk' a large proportion of the designated historic assets identified as being at risk in the region are in North Yorkshire. ➤ The Plan Area has a wealth of geological interest 	<ul style="list-style-type: none"> ➤ Historic character and setting is an integral part of the city's past and future ➤ The attractive and unique historic environment contributes to/influences the economy, social and environmental functioning of the city of York ➤ Appreciating the value of heritage assets is key to preservation and enhancement as well understanding any future impacts ➤ Consideration needs to be given to the key views and assets which are identified to have a positive experience for the city 	<p>risk</p>
<p>Air, Water, Soil, Climate Change and Material Asset Issues</p>		
<ul style="list-style-type: none"> ➤ Long stretches of river catchments can be found in this area, all of which ultimately drain to the Humber Estuary, with the exception of the Esk and Tees ➤ Significant floodplains form around large parts of these rivers, becoming more significant as they travel east 	<ul style="list-style-type: none"> ➤ Climate change will have an impact in York at a variety of levels ➤ Targeted campaigns can work including those aimed at design and sustainability as well as lifestyle changes ➤ York has reduced its overall consumption of energy resources over the past few years and this trend is likely 	<ul style="list-style-type: none"> ➤ Water quality is mostly moderate, however some water bodies categorised as poor with only a few good ➤ Upland areas are important for storing water and reducing flood risk for areas outside of the Park downstream

<ul style="list-style-type: none"> ➤ River Basin Management Plans set demanding targets for water quality across many water bodies: there are still significant numbers of water bodies at poor or bad status ➤ Important groundwater resources are protected by Groundwater Source Protection Zones. ➤ Flooding is already a problem in lower lying areas. However, climate change is likely to increase the risk of surface water and river flooding ➤ Much of the Plan Area is made up of high quality farmland, though there are significant areas of poorer agricultural soils particularly in uplands ➤ Air quality is mainly an issue for a few very local urban areas, however some important upland habitats are being affected by deposition of air pollutants ➤ Harrogate has the highest total emissions of CO2, followed by York and Selby, though across the Plan area total emissions are falling ➤ Per capita emissions of CO2 are highest in the more rural parts of the North Yorkshire and York, although are also falling ➤ Climate change is likely to have a range impacts on the Plan area including increased flooding, damage to infrastructure and effects on food 	<p>to continue</p> <ul style="list-style-type: none"> ➤ A key consumer of resources is transport ➤ External factors such as the weather is likely to continue to impact on consumption ➤ The Council is committed to resource and carbon reduction through energy efficiency ➤ Water resources are not likely to have a significant effect on York as the household consumption has been built into Yorkshire water's model. Water efficiency however is still required ➤ The amount of waste produced in York is reducing whilst the levels of recycling and composting has increased in line with a decrease in landfill ➤ York's air quality continues to get worse in the city centre. A combination of measures is needed in order to tackle improvement of air quality, including a modal shift in transport and moving to low emission technologies with supporting infrastructure. York's ambition is to become the first low emission city ➤ York has a history of flooding which needs to be taken into consideration in the planning for the future of the city. ➤ Flooding is still likely and will affect people and businesses in York ➤ There is a need to minimise future flood risk arising from the impacts of climate 	<ul style="list-style-type: none"> ➤ Flooding within the Park is not a widespread issue ➤ Soils are not of high agricultural quality ➤ Air quality is generally good although some upland habitats being affected by deposition of air pollutants ➤ Contains the UK's only potash mine; ➤ High per capita CO2 emissions. Per capita domestic CO2 emissions are higher than England average but lower than Yorkshire and Humber ➤ Most waste is managed outside of the Park, although there are a few small recycling 'bring' facilities and one household waste recycling centre
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<p>production</p> <ul style="list-style-type: none"> ➤ The area has economically important areas of minerals, including aggregates and industrial minerals such as crushed rock, sand and gravel and silica sand; energy minerals such as deep mined coal; and non-aggregate building stone ➤ Most deposits of household waste in North Yorkshire and York are still sent to landfill sites, though the percentage of household waste recycled, reused and composted has risen in recent years, with North Yorkshire as a whole recycling more than the national average; ➤ There is significant variation between district levels of recycling ➤ North Yorkshire’s waste management sites take proportionally more landfill waste deposits than the region as a whole, and England. ➤ Energy consumption is generally higher than average 	<p>change</p> <ul style="list-style-type: none"> ➤ Water quality is generally good though there are areas of poorer water quality ➤ There are contaminated land sites across the city which would require remediation should it be taken forward for development ➤ There are crossovers between land contamination with natural resources and people’s health and well-being ➤ Agricultural land in York is predominantly of good quality and therefore valuable for farming 	
Population and Human Health Issues		
<ul style="list-style-type: none"> ➤ There are many sparsely populated parishes and most settlements are relatively small. However York is a significant city of 198,000 in the heart of the Plan area; ➤ The largest settlements outside of York are Harrogate and Scarborough, 	<ul style="list-style-type: none"> ➤ York’s population and household numbers is projected to increase ➤ York has a high need for housing which it needs to addressed ➤ Housing delivery has decreased ➤ There is a need to plan for a mix and type of accommodation to suit all 	<ul style="list-style-type: none"> ➤ The Park is sparsely populated and the settlements are small, the largest being Helmsley with a population of less than 3,000 ➤ There is a higher than average proportion of older people and a lower than average proportion of

<p>both with populations over 50,000. Most people, however, live outside of larger settlements</p> <ul style="list-style-type: none"> ➤ Population of North Yorkshire and York as a whole is increasing and is expected to continue to rise, but at a lower rate than the region as a whole; ➤ North Yorkshire as a whole has a higher proportion of older people than the region and nationally. However a younger population profile can be found in York. In the future older people will form a larger proportion of the population; ➤ Most districts and the City of York receive a net inflow of new residents, though there is a net outflow in Craven; Harrogate and Richmondshire receive the most new residents; ➤ Life expectancy is increasing in all Districts in North Yorkshire, but there are significant geographical variations in both male and female life expectancy within the county; ➤ Scarborough is the only district in the North Yorkshire and York with lower male and female life expectancy than England as a whole; ➤ Scarborough has the highest rates of mortality from cancer and circulatory diseases ➤ The Plan Area provides many 	<p>household types</p> <ul style="list-style-type: none"> ➤ The general health of citizens in York is good ➤ The main priorities to address are obesity, particularly in children, alcohol and physical activity ➤ A major barrier to housing is the disparity between the cost of housing and how much people earn as well as access to funding such as mortgages ➤ The provision of other types of homes for the elderly, including nursing homes, residential care homes and warden assisted living as well as support services will also need to be developed to take care of the current demand identified for the future ➤ There is a recognised need for Gypsy and Traveller and Show people sites 	<p>those under 45</p> <ul style="list-style-type: none"> ➤ There is a high level of second home ownership ➤ Higher than average life expectancy; ➤ Low levels of obesity ➤ Higher than average participation in sport, with the exception of Scarborough Borough ➤ Lack of affordable housing, although a lot has been built during recent years ➤ Extensive rights of way network and areas of open access land
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<p>opportunities for recreation and leisure including the North York Moors National Park and an extensive network of rights of way</p>		
<p>Economic issues</p>		
<ul style="list-style-type: none"> ➤ Since the economic downturn unemployment has risen across the area, though small declines have been recorded in several districts more recently ➤ There is, however, a higher rate of economically active people in York and North Yorkshire than for the region and England ➤ In Yorkshire as a whole more than 1 in 10 people feel that they are underemployed ➤ The minerals sector is a significant employer directly supporting nearly 2,000 jobs ➤ York and North Yorkshire is generally one of the least deprived areas in the country, though Scarborough and some parts of York rank significantly higher on the indices of deprivation than the rest of the Plan Area ➤ Business appears to be ‘holding up’ during the downturn with only modest falls in active enterprises across the plan area (and growth in the number of active enterprises in York). There are signs that new business formation 	<ul style="list-style-type: none"> ➤ Key challenge is to achieve this economic success in a sustainable manner that protects the environment whilst allowing social and economic progress that recognises the needs of all people ➤ The unemployment rate gap between York and GB has increased through 2011/12 showing York’s unemployment levels are lower than the national average ➤ York seems fairly resilient to the economic downturn with a highly skilled labour force and the highest number of businesses in 2012 since 1998 ➤ The relative dependence on public sector employment is decreasing with the increase in private business ➤ The proportion of people with NVQ4+ is increasing ➤ The number of city centre vacant shops is decreasing ➤ Footfall has been negatively affected by external factors effecting spend in the city ➤ York has become less deprived but still 	<ul style="list-style-type: none"> ➤ High reliance on agriculture and tourism ➤ High reliance on low paid, seasonal, part time employment ➤ Unemployment remains below the national and regional averages although has increased in recent years

<p>is reducing however, and continued uncertainty over the economy may erode resilience</p> <ul style="list-style-type: none"> ➤ Wage levels in North Yorkshire and York are lower than England as a whole. Median earnings are significantly higher for men than women ➤ Fuel prices are rising nationally, which will have impacts on businesses and rural communities in such a large economic area ➤ Outdoor recreation brings income to many rural areas, though less money is spent outdoors by North Yorkshire people than the rates for England as a whole. Heritage assets are also popular tourist destinations ➤ North Yorkshire and York have generally better than average educational attainment levels 	<p>has pockets of high deprivation which need to be addressed</p> <ul style="list-style-type: none"> ➤ Demand for affordable homes is high ➤ York has areas which feature within the top 20% most deprived in the country in terms of barriers to housing although the number has decreased between 2007-2010. Continued access to facilities and services is paramount for local provision and needs to be factored in for the future ➤ The authority has a duty to provide and there is a clear link between York's population and the continuance of a vibrant economy support education for all for the development of skills and learning ➤ The results attained at primary and secondary level are good ➤ City of York has a highly skilled workforce which is key to York's economic success 	
Community and social issues		
<ul style="list-style-type: none"> ➤ The most remote parts of the Plan Area have little or poor access to broadband and mobile phone coverage though this is expected to improve very shortly ➤ People in North Yorkshire and York generally perceive anti-social behaviour to be less of a problem than people in England taken as a 	<ul style="list-style-type: none"> ➤ People generally think York is a safe place to live ➤ Delivering key safety protection measures are primarily out of the remit of the Local Plan. The Community Safety Plan sets out a number of objectives to deliver a safer city and other organisations, such as the safer York Partnership, would ensure that 	<ul style="list-style-type: none"> ➤ Loss of general stores and post offices over the past two decades, although recently this has levelled off ➤ Poor broadband provision and mobile phone reception in many parts of the Park ➤ Limited provision of sports and leisure facilities

<p>whole</p> <ul style="list-style-type: none"> ➤ Reported flytipping incidents are generally low, though in certain areas, such as Scarborough, reports of flytipping are more frequent 	<p>initiatives and schemes</p> <ul style="list-style-type: none"> ➤ Crime rates are decreasing ➤ Support for the future should be aimed at helping to meet the objectives and identified priorities set out in the Community Safety Plan 	
<p>Access and transport issues</p>		
<ul style="list-style-type: none"> ➤ The most significant transport corridors run north to south and include the A1, A19 and East Coast mainline ➤ There are no airports and relatively few stretches of canal in the area. However three airports lie within close range of the Plan Area, and there are major seaports nearby on the Tees and Humber 	<ul style="list-style-type: none"> ➤ Traffic levels in York have remained largely unchanged since 1998, despite continued development over this period ➤ York experiences a net daily in-commute of approximately 7250 trips ➤ The number of people cycling has increased since the introduction of the Cycling City York programme ➤ High frequency bus services match well to the areas in York with the highest number of households without a car ➤ Vehicle ownership levels are significantly higher in rural areas of the York area ➤ York is well connected by rail to many other areas of the country, but services to Harrogate are of a low frequency and rail links to the south east of the city including Hull are relatively poor ➤ Killed and seriously injured road casualties have reduced by at least 45% (from the 1994/98 average) ➤ In the past two years City of York Council has made successful bids to Government for funding programmes to improve public transport and encourage travel behaviour change to reduce 	<ul style="list-style-type: none"> ➤ High reliance on the private car ➤ Traffic levels have been decreasing in recent years although have increased over longer timescales ➤ Lack of public transport in many places

	dependency on the private car for travel	
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6 The Proposed Sustainability Appraisal Framework

6.1 Developing the Sustainability Objectives

The development of the SA Framework, containing a series of sustainability objectives, is the main output of this scoping stage (Stage A) of the sustainability appraisal. It is this framework which is used in later appraisal stages to guide the assessment of each policy option presented in the Minerals and Waste Joint Plan. The sustainability appraisal objectives contained in the SA Framework should help to show how the plan will tackle the sustainability issues that have been identified during scoping. The role of sustainability issues in defining sustainability objectives were explored in the Department of Communities and Local Government's 'Plan Making Manual' (now unavailable):

*'Identifying sustainability issues is key to reaching an informed view on the sustainability of the plan. Sustainability appraisal objectives, which can be derived from these issues, may be used to check and refine the plan. In particular, they can be used as a basis for testing and comparing the effects of alternative options considered in the plan. They build on the concept of SEA objectives, which are not mandatory but are a widely used tool in SEA for comparing alternatives'*³³

Section 5 of this report includes the key sustainability issues, derived from baseline data gathering, for the whole plan area as well as distinct parts of it. This section of the report shows the SA Framework derived from the review of sustainability issues that will be used in the Sustainability Appraisal. It also shows the SA objectives that will be applied during the assessment of options and sites.

The SA objectives are intended to be separate from the Minerals and Waste Joint Plan's objectives. However, the two may influence each other and overlaps may occur. The SA objectives should promote an integrated approach to sustainability, bringing together all relevant social, economic and environmental factors. The SEA topics identified in Annex I (f) of the SEA Directive are one of the key determinants when considering which SA objectives should be used for environmental criteria.

Table 7 sets out the Sustainability Appraisal objectives to be used in this SA of the Minerals and Waste Joint Plan. It also includes proposed sub objectives for each SA objective. These sub objectives allow the broad headline objectives to be further and more specifically defined. To see how the review of baseline and sustainability issues has informed the formation of the SA objectives and sub objectives Appendix 1 includes a summary of the justification for each objective.

6.2 The SA Framework and Indicators

A series of proposed indicators is also presented in Table 7. These indicators will be considered when the sustainability effects of options are investigated. Together, the SA objectives, sub objectives and indicators form the SA Framework.

As the sustainability appraisal of options is carried out the Sustainability Framework will inform how options are assessed by asking questions of each option through use of the SA objectives and sub objectives, as

³³ Department for Communities and Local Government, undated, DCLG Plan Making Manual

well as by predicting how these indicators might change if particular options were to be adopted. Section 6.8 explains how the appraisal will proceed in more detail.

Within the SA Framework we have included contextual indicators that allow for trends to be observed over time, irrespective of the Joint Plan. Often these are collected by third parties. A worsening trend may indicate that the Minerals and Waste Joint Plan is not performing in a sustainable way, or may indicate that there are wider factors that are contributing to the trend. We have also used a number of more specific indicators. These indicators will allow a causal link to be established between the Joint Plan and environmental, social and economic change. The assessment of options against SA objectives and sub objectives will require predictions to be made against these indicators to determine whether trends are likely to improve or worsen. This may require professional judgement, supported by available evidence; evidence arrived at through the Strategic Flood Risk Assessment and Habitats Regulations Assessment, or the use of assessment tools such as Network Analysis and evaluation of effects using Geographical Information Systems. The indicators presented alongside the objectives are for the purpose of ascertaining what the likely effects on these would be when undertaking the Sustainability Appraisal. Indicators for monitoring the actual effects of the Plan will be established through the Sustainability Appraisal process, based upon the potential effects that arise. Consideration of potential effects is not limited to the effects on the indicators as it is acknowledged that these cover a limited spectrum. Some of these indicators may ultimately form part of the monitoring framework.

IGuidance on Sustainability Appraisal³⁴ suggests it is important to limit indicators in the Sustainability Appraisal Framework (ie those for predicting likely effects) to manageable numbers. Therefore many of the individual indicators presented will show progress towards or away from more than one sub objective. Wherever possible we have tried to ensure that indicators provide information for all sub objectives (even if one indicator is informing several sub objectives), however for some sub objectives it has not been possible to provide a matched indicator due to the difficulty of gathering meaningful data. These sub objectives will rely on professional judgement when effects are predicted. More information is provided in the limitations section of this report.

Work will continue to further refine a number of indicators to ensure that they accurately measure change. We will continue to consult on the development of these indicators. Baseline data for many of the indicators can be found in Volume 2. However, for other indicators work to gather baseline data will continue as indicators are further refined.

Within this SA Scoping Report we tested the proposed objectives against rural proofing criteria and against one another (see 6.4 below). We have also introduced a compatibility testing exercise to establish whether the SA Framework would help to ensure that ecosystem services³⁵ found within the Plan area are not deleteriously affected by any of the SA objectives (see Appendix 3). Ecosystem services are the services provided by the natural environment that benefit people, such as food, fuel and flood protection, so it is important that the sustainability objectives proposed complement, rather than work against, that service provision. The results of this exercise have fed into the development of the sustainability objectives and wider SA Framework.

³⁴ ODPM, 2005. Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents

³⁵ See Appendix 3 for an explanation of the term 'ecosystem services'.

Table 7 – Sustainability Appraisal Framework

Sustainability Objective	Sub objectives	Indicators ³⁶
<p>1. Protect and enhance biodiversity and geodiversity and improve habitat connectivity</p>	<ul style="list-style-type: none"> -Protect and enhance designated nature conservation sites and protected species; -To contribute to the suitable protection of trees, woodlands and forests -Avoid damage to designated geological assets and create new areas of geodiversity value; -Seek to contribute to national targets for biodiversity, including for national and local priority species and habitats; -Seek to contribute to local targets for geodiversity; -Preserve the integrity of habitat networks and increase the connectivity between habitats; -Maximise the potential for the creation of new habitats; -Minimise the spread of invasive species; -Provide opportunities for people to access the natural environment; -Protect and manage ancient woodland; -Appropriately manage and enhance PAWS; -Promote improvements for biodiversity at the landscape scale; -Achieve a net gain for biodiversity 	<ol style="list-style-type: none"> 1. Percentage of SSSIs in favourable condition (Natural England) 2. Total area of SSSI (Natural England) 3. Total area of UK BAP Priority Habitat (Natural England) 4. Area of ancient and semi natural woodland (Natural England) 5. Area of ancient replanted woodland (PAWS) (Natural England) 6. Area of land in Higher Level Stewardship (Natural England) 7. Area of SINC land (NYCC) 8. Number of alerts for invasive species relevant to North Yorkshire (Defra)³⁷ 9. Number of alien species on UKTAG List found in North Yorkshire³⁸
<p>2. Enhance or maintain water quality and supply and improve efficiency of water use</p>	<ul style="list-style-type: none"> -Ensure that Water Framework Directive status objectives for surface and groundwater are not compromised by maintaining or improving upon ecological and chemical status; - Prevent unsustainable levels of ground and surface water abstraction; - Avoid wasting water; -Protect groundwater source protection zones; 	<ol style="list-style-type: none"> 1. Percentage of water bodies achieving overall good status in River Basin Management Plans (Environment Agency) 2. Water resource availability at low flows as reported in CAMS (Environment Agency) 3. Groundwater resource availability as reported in CAMS (Environment Agency)

³⁶ See explanation above regarding the purpose of indicators

³⁷ Species distribution to be taken from the National Biodiversity Network.

³⁸ Species distribution to be taken from the National Biodiversity Network.

Sustainability Objective	Sub objectives	Indicators ³⁶
3. Reduce transport miles and associated emissions from transport and encourage the use of sustainable modes of transportation	<ul style="list-style-type: none"> -Encourage more sustainable transport modes; -Reduce the impact of transporting minerals by road on local communities; -Reduce vehicle emissions due to mineral and waste movements; -Encourage proximity between minerals and waste sites and markets / sources³⁹; -Safeguard or deliver valuable infrastructure that may contribute to modal shift; -Promote active travel and sustainable commuting -Improve congestion 	<ol style="list-style-type: none"> 1. Motor vehicle traffic (Vehicle miles) by local authority (DfT) 2. Proportion of residents who walk or cycle, at least one per month, for utility purposes (for reasons other than recreation, health, training or competition) by local authority⁴⁰ (DfT) 3. Road transport energy consumption at local authority level (DfT/NAEI)
4. Protect and improve air quality	<ul style="list-style-type: none"> -Reduce all emissions to air from new development; -To reduce the causes and levels of air pollution in Air Quality Management Areas and seek to avoid new designations; -To minimise dust and odour, particularly where communities or other receptors may be affected; -Support cleaner technology for minerals and waste development; -Avoid locating development in areas of existing poor air quality where it could result in negative impacts on the health of present and future occupants / users; -Seek to avoid adding to pollutant deposition at sensitive habitats. 	<ol style="list-style-type: none"> 1. Number of Air Quality Management Areas 2. Number of SAC and SPAs exceeding critical loads for deposition of either N or S (APIS) 3. Mapped distribution of NOX, NO2, PM10 and PM2.5 (Defra LAQM)
5. Use soil and land efficiently and safeguard or enhance their quality	<ul style="list-style-type: none"> -Reduce the permanent loss of best and most versatile agricultural land; -Conserve and enhance soil resources and quality; -Promote good land management practices on restored land; -Reduce the amount of derelict, contaminated, degraded and vacant / underused land; 	<ol style="list-style-type: none"> 1. Number of minerals and waste applications which are located within areas of best and most versatile (BMV) agricultural land (NYCC) 2. Land use change: previous use of land changing to developed use annual average by region⁴¹ (DCLG)

³⁹ This reduces the distance required to transport products / waste and can provide benefits to businesses in terms of supply chains

⁴⁰ Department for Transport/Sport England, 2012. Local Area Walking and Cycling Statistics: England 2010/11 [URL: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/9105/local-area-walking-and-cycling-2010-11.pdf].

⁴¹ Derived from the Department for Communities and Local Government 'Live Tables on Land Use Change Statistics' which are collated by Government Office Region [<https://www.gov.uk/government/statistical-data-sets/live-tables-on-land-use-change-statistics>].

Sustainability Objective	Sub objectives	Indicators ³⁶
	<ul style="list-style-type: none"> -Recover nutrient value from biodegradable wastes (e.g. compost, biodigestate) -Minimise land taken up by minerals and waste development -Seek to utilise brownfield land for waste development where possible 	
6. Reduce the causes of climate change	<ul style="list-style-type: none"> -Reduce emissions of greenhouse gases; -Reduce CO2 from minerals and waste development through use of energy efficient and low and zero carbon design and adoption of efficient plant and processes; -Maximise the generation and use of renewable energy in appropriate locations; -Prevent the loss of embodied energy by promoting the use of recycled, recyclable and secondary resources; -Promote carbon storage through appropriate land management -Adhere to the principles of the energy hierarchy⁴² 	<ol style="list-style-type: none"> 1. Emissions of CO2 per capita by Local Authority (excluding LULUCF⁴³) (DECC) 2. Industrial and commercial per capita CO2 emissions by Local Authority (DECC) 3. Road transport CO2 emissions per capita by Local Authority (DECC) 4. Land use change CO2 emissions per capita by Local Authority (DECC)⁴⁴
7. Respond and adapt to the effects of climate change	<ul style="list-style-type: none"> -To plan and implement adaptation measures for the likely effects of climate change; -Ensure 'sustainable adaptation' is planned for⁴⁵; Ensure that minerals and waste developments are not susceptible to effects of climate change 	<ol style="list-style-type: none"> 1. UKCP climate change scenarios⁴⁶(UKCP) 2. Mapped extent of Flood Zones under Climate Change as reported in available Strategic Flood Risk Assessments⁴⁷ (NYCC, CYC, NYMNP) 3. Allocations requiring exception testing in North

⁴² The energy hierarchy is analogous to the waste hierarchy in that it shows a sequence of preferred approaches to obtaining energy. Broadly this can be shown as three steps, in order of preference: 'Reduce' the amount of energy required in the first place (for instance through good design); 'Re-use' waste energy such as heat (e.g. through combined heat and power technology); and 'recycling' (which means the provision of energy that has some processing applied – e.g. renewable energy to meet demand or the extracting of energy from waste). CABE, 2011. Thinking Differently – The Energy Hierarchy.

⁴³ LULUCF relates to emissions from Land Use, Land Use Change and Forestry.

⁴⁴ There is a time lag between publication of the DECC carbon statistics at a local authority level and the present year, such that 2010 figures were published in 2012.

⁴⁵ Sustainable Adaptation has been defined by Natural England. According to Natural England 'It is important that any adaptation action is sustainable. This means that any response by society should not actually add to climate change, cause detrimental impacts or limit the ability or other parts of the natural environment society or business to carry out adaptation elsewhere' (Natural England, undated. Sustainable Adaptation [URL:

<http://www.naturalengland.org.uk/ourwork/climateandenergy/climatechange/adaptation/sustainable.aspx>].

⁴⁶ Changes to precipitation and temperature to be recorded in line with latest available data.

⁴⁷ As further SFRA work becomes available the spatial extent of increased flood risk from rivers will become clearer.

Sustainability Objective	Sub objectives	Indicators ³⁶
	-Ensure that minerals and waste developments do not hinder adaptation to climate change	Yorkshire SFRA (NYCC)
8. Minimise the use of resources and encourage their re-use and safeguarding	-To safeguard and use minerals resources efficiently; -Safeguard infrastructure that may support more sustainable minerals and waste development -To encourage the re-use of primary materials; -To promote the efficient use of resources throughout the lifecycle of a development, including construction, operation and decommissioning of minerals and waste infrastructure; Encourage the utilisation of sustainable construction techniques; -Promote the use of secondary and recycled minerals resources where they can play a role in reducing the need for more primary minerals extraction	1. Number / type / area of safeguarding areas defined in Plan 2. Reserves of primary land won aggregate and crushed rock (LAA) 3. Sales of secondary aggregate in the North Yorkshire sub region (LAA)
9. Minimise waste generation and prioritise management of waste as high up the waste hierarchy as practicable	-Use less materials through design and processing; -Re-use materials where possible; -Encourage recycling; -Recover residual resources (e.g. through anaerobic digestion or energy recovery); -Support 'recycling on the go'; ⁴⁸ -Recognise and promote the value of waste streams as alternatives to primary mineral extraction; -Promote economic gain through re-use	1. Total waste received by waste facilities by category ('household, industrial and commercial', 'inert / construction and demolition', 'hazardous', 'unknown') (Environment Agency); 2. Waste management method of household waste arisings in North Yorkshire (NYCC) 3. Anaerobic digestion plants in the plan area ⁴⁹
10. Conserve and enhance the historic environment, heritage assets and their settings.	-To protect and enhance those elements, including setting, which contribute to the significance of: <ul style="list-style-type: none"> ➢ World Heritage Sites ➢ Scheduled Monuments ➢ Archaeological Features ➢ Listed buildings ➢ Historic parks and gardens ➢ Historic battlefields 	1. Buildings, scheduled monuments, conservation areas, registered parks and gardens, registered battlefields 'at risk' as defined by the Heritage at Risk Register (English Heritage) 2. Number of visits to historic sites (Yorkshire and the Humber) (English Heritage)

⁴⁸ 'Recycling on the go' is promoted by the Government's Waste Policy Review. It represents recycling on the street and in public places.

⁴⁹ As shown on the official biogas plant map produced by 'Anaerobic Digestion' [URL: <http://www.biogas-info.co.uk/>].

Sustainability Objective	Sub objectives	Indicators ³⁶
	<ul style="list-style-type: none"> ➤ Conservation Areas; ➤ The city of York <ul style="list-style-type: none"> -To provide appropriate protection for archaeological features in areas of potential development; -To protect the wider historic environment from the potential impacts of proposed development and the cumulative impacts; -To improve access to, and enjoyment of, the historic environment where appropriate; -Preserve and enhance cultural heritage -Safeguard those elements which contribute to the special historic character and setting of York. -To ensure a steady supply of building and roofing stone for the repair and construction of buildings and structures -Protect and enhance important non-designated heritage assets 	
<p>11. Protect and enhance the quality and character of landscapes and townscapes</p>	<ul style="list-style-type: none"> -Conserve and enhance the natural beauty and cultural heritage of the North York Moors National Park; - To conserve and enhance the setting of designated landscapes, including those outside of the Plan area; - To protect and enhance the natural beauty of Areas of Outstanding Natural Beauty -To protect and enhance local landscape / townscape character and quality, local distinctiveness and sense of place; -To protect the setting of important townscapes; -To protect the purposes and 'positive use'⁵⁰ of the Green Belt; -To protect coastal landscape and seascape character; -To protect and improve tranquillity levels and reduce sources of intrusion, such as light pollution; -To co-locate waste facilities with complementary industrial facilities where possible to reduce dispersed visual intrusion; -Preserve, enhance and complement architectural character 	<ol style="list-style-type: none"> 1. Number of minerals and waste planning applications in the green belt / designated landscapes / conservation areas (NYCC, CYC, NYMNPA); 2. Number of planning conditions related to visual amenity / noise / lighting for minerals and waste sites (NYCC, CYC, NYMNPA);

⁵⁰ The National Planning Policy Framework defined 5 purposes to the Green Belt and also recommends that local planning authorities should 'plan positively to enhance the beneficial use of the Green Belt'.

Sustainability Objective	Sub objectives	Indicators ³⁶
12. Achieve sustainable economic growth and create and support jobs	<p>and complexity</p> <ul style="list-style-type: none"> -To increase the level and range of employment opportunities, particularly in deprived areas; -To encourage stable economic growth through provision of an adequate, sustainable and steady supply of minerals; -To promote conditions which enable sustainable local economic activity and regeneration and encourage creativity and innovation; -To capture value from waste streams by creating saleable products from them -Promote a low carbon economy -Support existing employment drivers and create new ones -Support existing businesses and the local economy outside of the minerals and waste sectors 	<ol style="list-style-type: none"> 1. Economically Active Rate of 16 to 64 year olds 2. Number of new bank accounts (first current accounts from a small business banking range) (LEP) 3. Unemployment rate (Annualised Population Survey Rate) 4. Gross median weekly earnings of residents and people who work within the area (NYCC) 5. Number of minerals and waste planning applications (NYCC)
13. Maintain and enhance the viability and vitality of local communities	<ul style="list-style-type: none"> -Provide opportunities to boost tourism -To promote job creation, training and volunteer opportunities through sustainable site restoration -Contribute to the provision of housing through the provision of construction materials -Promote conditions that would maintain the vitality and functionality of the community 	<ol style="list-style-type: none"> 1. Ratio of lower quartile house prices to lower quartile earnings (NYCC Stream) 2. Economically Active Rate of 16 to 64 year olds 4. Number of visits to historic sites (Yorkshire and the Humber) (English Heritage)
14. Provide opportunities to enable recreation, leisure and learning	<ul style="list-style-type: none"> -Provide opportunities to enable the enjoyment and understanding of the special qualities of the National Park; -Promote recreation in the countryside and AONBs, consistent with the wider social, economic and environmental facets; -Provide opportunities for lifelong learning -To contribute to networks of multifunctional green infrastructure -To increase access to the public rights of way network and the wider countryside 	<ol style="list-style-type: none"> 1. Length of Public Rights of Way Network (NYCC/CYC/NYMNP) 2. People qualified to at least level 4 who are economically active (NYCC Stream) 3. Visits to places out of doors (as measured in Natural England's MENE programme) (Natural England)
15. Protect and improve the wellbeing, health and safety of local communities	<ul style="list-style-type: none"> -To minimise the impact of nuisances associated with minerals and waste development, such as noise pollution, odour and severance; -Reduce traffic accidents 	<ol style="list-style-type: none"> 1. Incapacity benefit claimants as percentage of working age population (NYCC Steam) 2. Mortality rate from coronary heart disease (NYCC Stream)

Sustainability Objective	Sub objectives	Indicators ³⁶
	<ul style="list-style-type: none"> -To reduce health inequalities; -To promote healthy living, offer opportunities for more healthy lifestyles and improve life expectancy; -To improve levels of wellbeing -To ensure the safety and security of local people and visitors -To ensure that pollution does not pose unacceptable risks to health 	<ul style="list-style-type: none"> 3. Road accident Casualties – Killed and Seriously Injured (NYCC Stream) 4. Life expectancy at birth (ONS) 5. Fly tipping incidents reported by Local Authorities (by waste source) (NYCC Stream) 6. Anti-social behaviour (all categories) number (NYCC Stream) 7. All age respiratory disease mortality (Public Health England)
<p>16. Minimise flood risk and reduce the impact of flooding</p>	<ul style="list-style-type: none"> -To ensure that the location and design of new development has regard to the potential risk, causes and consequences of flooding; -To promote opportunities for sustainable flood alleviation; -To reduce the number of people and properties at risk of flooding. 	<ul style="list-style-type: none"> 1. Allocations requiring exception testing in North Yorkshire SFRA (NYCC) 2. Number of planning conditions relating to SUDS (NYCC, CYC, NYMNPA)
<p>17. Address the needs of a changing population in a sustainable and inclusive manner</p>	<ul style="list-style-type: none"> - To enable development and wider activity to meet the needs of the population; -To support shortened supply chains for building materials; -To enable the community to contribute to and have influence in decision making -To improve public access to facilities enabling sustainable waste management -To support community led waste management schemes -Reduce social exclusion 	<ul style="list-style-type: none"> 1. Number of consultation responses to Joint Plan and Sustainability Appraisal (NYCC) 2. Number of Household Waste Recycling Centres (NYCC, CYC) 3. Indices of Deprivation Average Rank (NYCC Stream)

6.3 Previous Work Relating to SA Objectives

As the geographical coverage of this scoping report includes 3 planning authorities, the development of the SA Framework has also been informed by previous sustainability appraisal work in each of the plan areas. While the SA Framework has arisen through review of key sustainability issues, the wording for the objectives and sub objectives, as well as the selection of a number of indicators, has also been influenced by previous SA work in each of the three Minerals and Waste Planning Authorities. However, checks have been made to ensure that the information drawn from previous SA work remains consistent with the baseline and key sustainability issues for the whole joint plan area.

For a summary of previous sustainability appraisal objectives and the links between them see Appendix 4.

6.4 Rural Proofing

The Government's Department for Environment, Food and Rural Affairs (Defra) state on their website that: *'rural proofing is a long standing process which requires policy-makers across Government to ensure that the needs and interests of rural people, communities and business are properly considered in the development and implementation of all policies and programmes'*.⁵¹

The Commission for Rural Communities has produced guidance⁵² on assessing how policies will affect rural people and places to ensure that the policies are fair and effective for all. Drawing upon this guidance, the key steps in undertaking a rural proofing exercise of a policy are to:

- Consider whether the policy is likely to have a different impact in rural areas, because of particular rural circumstances or needs;
- Make a proper assessment of those impacts, if they are likely to be significant; and
- Adjust the policy, where appropriate, with solutions to meet rural needs and circumstances.

Rural Proofing is not a statutory requirement but it is nonetheless accepted good practice. While primarily designed as a tool for policy development, the Rural Proofing Guidance includes a number of challenge questions that can be asked as policies are developed. In terms of this sustainability appraisal it is helpful to consider whether the SA Framework effectively promotes the issues alluded to by the rural proofing challenge questions, in so far as they are relevant to minerals and waste planning. The following table highlights the links between the rural proofing questions and the Sustainability Appraisal objectives and sub objectives. This demonstrates how rural proofing will be addressed by the SA objectives.

⁵¹ Defra, undated. What is Rural Proofing? [URL: <http://www.defra.gov.uk/corporate/about/how/policy-guidance/rural-proofing/>] (accessed 03/04/13).

⁵² Rural Proofing Guidance - Commission for Rural Communities (May 2009).

Table 8 – Rural proofing the SA framework.

Rural Proofing Criteria	Sustainability Appraisal Objectives
Service provision and availability	
Will it affect the availability of public and private services?	Yes SA objective 13 (viability of local communities) and 14 (opportunities to enable recreation leisure and learning) should promote positive effects on service provision. This is because these objectives will identify opportunities for minerals and waste infrastructure to contribute to, rather than detract from, affordable housing and key leisure and lifelong learning services. Objective 9 (waste hierarchy) should also support opportunities for greater re-use and recycling in rural communities, while SA objective 17 includes a sub objective to improve public access to sustainable waste management
Will it rely on existing service outlets, such as schools, libraries and GP surgeries?	Not relevant to minerals and waste planning.
Will it rely on the private sector or public-private service?	The SA Framework does not distinguish between public and private sector service delivery as the plan presents the spatial framework for delivery rather than a detailed project plan for specific developments.
Delivery costs	
Will the cost of delivery be higher in rural areas where clients are more widely dispersed and economies of scale can be harder to achieve?	It may potentially be more difficult to deliver some waste facilities in rural areas. However, through SA objective 17, which includes sub-objectives relating to public access to waste facilities and support for community-led waste management schemes, as well as shortening supply chains for building materials, the SA should help ensure that the interests of rural communities are considered.
Will it rely on local institutions for delivery?	The Joint Plan may plan for some minerals operations that are run by local small businesses. The SA will not distinguish between the types or scale of firms that deliver minerals and waste development.
Access and Infrastructure	
Will it affect travel needs or the ease / cost of travel?	Yes, Objective 3 of the SA Framework (transport) promotes sustainable modes of transport and promotes sustainable travel by minerals and waste employees, so the SA will make a positive contribution.
Will it rely on infrastructure (e.g. broadband ICT, main roads, utilities) for delivery?	SA objectives such as 2 (water) and 3 (transport) will assess any deleterious impact on rural infrastructure.
Will delivery of the policy be challenging at the 'edges' of administrative area?	The Duty to Co-operate should ensure that the plan considers the edges of the plan areas, while the SA objectives taken as a whole should identify sustainable solutions to dealing with cross boundary issues.

Rural Proofing Criteria	Sustainability Appraisal Objectives
Is it dependent on new buildings or development sites?	The Sustainability Appraisal will assess individual sites to ensure development is sustainably located in a way which is consistent with a wide range of rural interests.
Communications	
Will it rely on communicating information to clients?	The plan itself will be a clear statement of the spatial framework for minerals and waste and will be used by developers. The Sustainability Appraisal must ensure that social, economic and environmental issues are fully considered in the messages that the plan delivers. Within this assessment rural interests will be promoted via the SA objectives as a whole.
Economies	
Will it impact on rural businesses, including the self-employed?	Objectives 12 (sustainable economic growth) and 13 (viability and vitality of local communities) will encourage economic activity and tourism business as well as employment opportunities in rural areas.
Will it affect land-based industries and, perhaps, rural economies and environments?	Objectives 1 (biodiversity / geodiversity), 2 (water), 3 (transport), 4 (air quality), 10 (historic environment) and 11 (landscape) will protect rural environments. Objectives 12 (sustainable economic growth) and 13 (viability and vitality of local communities) will protect economies, including rural economies. Objective 5 (soil and land) will promote the interests of sustainable land based industries
Will it affect people on low wages or in part-time or seasonal employment?	Objective 12 (sustainable economic growth) and 13 (viability and vitality of local communities) will seek to increase the supply of jobs which will potentially offer alternative opportunities for some low wage or underemployed individuals. Affordable housing will also be promoted.
Disadvantage	
Will it target disadvantaged people or places?	Objective 12 (sustainable economic growth) includes a sub objective 'to increase the level and range of employment opportunities, particularly in rural and deprived areas'.

6.5 SA objectives and coverage of SEA topics

The SEA Directive requires that information is provided on the likely significant effects on a number of environmental topics. Table 9 below shows how the SEA topics are represented within the revised sustainability objectives.

Table 9 - Relationship between the SA objectives to the SEA Directive’s topics.

SEA Topic	SA Objective	Coverage in baseline
Biodiversity	Objective 1	-Biodiversity, Flora and Fauna Topic Sheet
Population*	Objective 17	-Population and Human Health Topic Sheet -Economy, Education and Deprivation Topic Sheet
Human Health	Objective 15	-Population and Human Health Topic Sheet
Fauna	Objectives 1	-Biodiversity, Flora and Fauna Topic Sheet
Flora	Objective 1	-Biodiversity, Flora and Fauna Topic Sheet
Soil	Objective 5	-Water and Soil Topic Sheet
Water	Objectives 2 & 16	-Water and Soil Topic Sheet
Air	Objectives 3 & 4	-Air Quality Topic Sheet
Climatic Factors	Objectives 3, 6 & 7	-Climatic Factors Topic Sheet
Material Assets*	Objectives 8 & 9	-Material Assets Topic Sheet
Cultural heritage including architectural and archaeological heritage	Objective 10	-Historic Environment Topic Sheet
Landscape	Objective 11	-Landscape Topic Sheet -Additional Environmental Issues Topic Sheet

* These terms are not clearly defined in the SEA Directive

6.6 SA Objectives and Internal Compatibility

Guidance on sustainability appraisal⁵³ also suggests that sustainability objectives are checked for their compatibility with one another; the object of the exercise being to highlight tensions between objectives. Where objectives are seen to be incompatible this can help clarify where mitigation or alternatives might be considered. Figure 5 summarises the internal compatibility of sustainability objectives.

Most objectives are either compatible with one another, or exhibit no relationship. There was some uncertainty between a number of objectives, and no wholly negative relationships. The assessment has been reviewed following consultation on the draft Scoping Report and following the incorporation of the actions identified in Table 10 below, although this review has not resulted in any of the scoes being amended. It should be noted that where uncertainties remain, this reflects the fact that the objectives are strategic in nature and that it is possible for them to operate alongside one another provided the actions identified are considered during the SA process. Table 10 summarises areas of uncertainty between objectives.

⁵³ ODPM, 2005. Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents (now deleted).

1																	
2	+																
3	+	0															
4	+	0	+														
5	+	+	+	+													
6	+	0	+	+	+												
7	0	+	+	0	+	+											
8	+	+	+	+	+	+	0										
9	+	+/?	+	+	0	+	0	+									
10	0	0	+	+	+	+	0	+	+								
11	+	+	+	+	+	+	0	+	+	+							
12	?	?	?	+	?	+	+	+	+	+	?						
13	?	0	+	+	?	+	+	0	?	+	?	+					
14	+	+	+	0	+	+	+	0	0	+	+	+	+				
15	0	+	+	+	0	+	+	0	+	0	+	+	+	+			
16	+	+	0	0	+	+	+	0	0	0	+	0	0	+	+		
17	+	0	+	0	0	+	+	+	+	0	0	+	+	+	+	+	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17

+	Objectives are compatible
-	Objectives are potentially incompatible
0	No direct relationship
?	Uncertain relationship

Figure 5 - Sustainability appraisal objectives internal compatibility matrix.

Table 10 – Uncertainties in compatibility between SA objectives.

Area of Tension Between Objectives	Description and action required ⁵⁴
Between objective 2 (water) and objective 9 (waste hierarchy)	While managing waste higher up the waste hierarchy will generally avoid potential pollution management issues associated with leachate from landfill, as well as potential hydrological disruption from sealed landfill sites, there may be local issues associated with the quantity of water used in the processing of waste for re-use or recycling. However this impact should be balanced against the often ‘exported water footprint impacts’ of extracting raw materials and manufacturing new products which ultimately become waste <u>Action required:</u> Evaluating water impacts associated with material flows and waste management is not possible in

⁵⁴ Note: actions required have been addressed in the final Scoping Report and will be considered throughout the SA process

	<p>this SA due to insufficient resources. However, the SA should make use of published work on the water consumption of waste management processes where available when undertaking appraisal work and this will be documented in the Sustainability Appraisal reports produced at key stages.</p>
<p>Between objective 12 (economy and jobs) and 1 (biodiversity / geodiversity), 2 (water), 3 (transportation), 5 (soil and land), and 11 (landscape)</p>	<p>Uncertainties exist between the economy objective and a number of others. This is because economic growth may require more resources to be consumed and transported and more buildings with a water and land footprint and visual impact to be built, the impact of which will often be highly dependent on the location of sites developed and the mitigation measures and technology utilised. The objective already refers to 'sustainable economic growth', which means growth will be directed in a way that may ultimately be cleaner and more efficient than previous ways of managing minerals and waste in particular. However, growth implies more economic activity so it is unclear whether efficiency gains will offset the increased impacts that would be associated with unmitigated growth. <u>Action required:</u> No action necessary as objective 12 will be balanced by other objectives in the SA Framework during the assessment.</p>
<p>Between Objective 13 (community vitality) and 1 (biodiversity), 5 (soil and land), 9 (waste hierarchy) and 11 (landscape)</p>	<p>A core part of achieving viable communities is ensuring that those communities have access to affordable housing opportunities, which are likely to have a land take. However, it is unlikely that the Joint Plan will drive demand for new housing, simply that it may be able to make construction materials more affordable, thus lessening cost. Similarly managing waste higher up the waste hierarchy may require sites for managing waste that on the one hand may help make communities more viable, but on the other may lead to negative impacts on certain receptors, depending on where that development is located. <u>Action required:</u> The initial Scoping Report recommended clarifying the sub objective 'contribute to sustainable and affordable housing' by changing it to 'contribute to sustainable and affordable housing through the provision of locally sourced and recycled construction materials'. The sub objective has been amended to 'To enable development and wider activity to meet the needs of the population' to reflect the fact that minerals are used for a wide range of purposes other than house building. Other conflicts will be balanced by other SA objectives during the assessment.</p>

6.7 Methodology for Testing Options against the SA Framework

Consideration of Significant Effects

Stage B3 of this SA is to 'Predict and appraise the significant effects of the options'. This involves:

- *'Identifying the changes to the environmental (social and economic) baseline which are predicted to arise from the plan or programme, including alternatives.....'*
- *'Describing these changes in terms of their magnitude, their geographical scale, the time period over which they will occur, whether they are permanent or temporary, positive or negative, probable or improbable, frequent or rare, and whether or not there are secondary, cumulative and/or synergistic effects'⁵⁵.*

In order to undertake this task the SA objectives will be presented alongside each set of policy options in matrices (tables 11 and 12). Each option will be considered in terms of its potential effects on each of the SA objective (including SA sub objectives) and indicators.

The significance of these impacts will then be considered across three different timescales: the short term (0-5 years from plan adoption), medium term (6 – 15 years from plan adoption) and long term (16 – 30 years from plan adoption). Where impacts are considered to begin to occur beyond 30 years from plan adoption, or significantly increase in significance beyond 30 years, these will be recorded as long term significant impacts and explained further in footnotes to the matrix. The type of effect, including whether it is permanent, temporary, direct or indirect will also be recorded.

Box 1 gives more detail on how significance will be considered.

It is important to note that the impact score given for each objective will be a summary of direct and indirect, permanent, temporary and secondary, cumulative and synergistic impacts. In the context of the Joint Plan, permanent effects are those that are considered to be long term or permanent. However, the mechanisms by which secondary, cumulative and synergistic effects will occur will be further detailed at the bottom of the matrix (see also Box 2 below).

⁵⁵ ODPM, 2006. A Practical Guide to the Strategic Environmental Assessment Directive' ODPM, London. Text in parentheses is the author's own adaptation to reflect the broader scope of Sustainability Appraisal.

Box 1: Determining ‘Significant Effects’.

The SEA Directive makes reference to criteria for determining what significant effects might be in relation to deciding whether plans or programmes require SEA. However, these provide a useful indication of the issues to consider when establishing significance. The criteria listed in the SEA Directive are:

- *“The probability, duration, frequency and reversibility of the effects*
- *The cumulative nature of the effects*
- *The trans-boundary nature of the effects*
- *The risks to human health or the environment (e.g. due to accidents)*
- *The magnitude and spatial extent of the effects (geographical area and size of the population likely to be affected)*
- *The value and vulnerability of the area likely to be affected due to:*
 - *Special natural characteristics or cultural heritage*
 - *Exceeded of environmental quality standards or limit values*
 - *Intensive land use*
- *The effects on areas or landscapes which have a recognised national, Community or international protection status”. (Annex II: 2.)*

While helpful in a broad sense they say little about the point at which an impact of a plan becomes significant. They are also restricted to environmental and human health effects (i.e. the scope of the SEA Directive) rather than examining additional social and economic effects. However, the Plan Making Manual points out that *“significance has to be determined individually in each case”* and *“ultimately, the significance of an effect is a matter of judgment and should require no more than a clear and reasonable justification”* (DCLG, undated).

This assessment has regard to the SEA Directive’s criteria of significance in making professional judgements about sustainability that will be supported by a clear and reasonable justification.

The matrix will record the findings of the assessment by using a scoring system. The scores used will be as follows:

Score	Significance
++	The option is predicted to have major positive effects on the baseline and the achievement of the SA objective.
+	The option is predicted to have minor positive effects on the baseline and the achievement of the SA objective.
0	The option will have no effect on the baseline and the achievement of the SA objective.
-	The option is predicted to have minor negative effects on the baseline and the achievement of the SA objective.
--	The option is predicted to have major negative effects and the achievement of the SA objective.

?	The impact of the objective on the baseline / SA objective is uncertain.
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In addition, a justification for each score will be documented in the matrix in an analysis column. This will include any evidence which has contributed to the assessment and any areas of uncertainty. A column will also set out suggested mitigation and enhancement measures. Table 11 below shows the layout of the matrix.

Table 11 - Proposed options appraisal matrix (includes illustrative example of how table will be completed).

Option	[Description of Option]							
SA Objective	Impact / timescale			Type of effect				Analysis
	S ⁵⁶	M	L	P ₅₇	T	D	I	
1. To protect and enhance biodiversity and geodiversity and improve habitat connectivity	-	+	++	✓			✓	Biodiversity is likely to benefit from * ⁵⁸ , * and *. In the longer term these effects will be enhanced as habitats mature. However there may be minor impacts from habitat loss as construction works are undertaken. Further secondary effects are likely to occur and are noted at the bottom of the table
2. To enhance or maintain water quality and improve efficiency of water use	0	0	-		✓	✓		Option is likely to reduce pressure on high quality agricultural land in the short and medium term, though in the longer term demand for sites in different areas may be required.
Secondary, Cumulative and Synergistic Effects	<p><u>Secondary effects:</u> There may be secondary effects on biodiversity resulting from*. These are likely to have a minor impact.</p> <p><u>Synergistic effects:</u> The option could result in positive or negative synergistic effects arising from interaction with options *, * and *. These are*****.</p> <p><u>Cumulative effects:</u> There are * predicted cumulative effects.</p>							
Recommendations for Mitigation								

⁵⁶ S, M, L stand for 'short term', 'medium term' and 'long term' respectively.

⁵⁷ P, T, D, I stand for 'permanent', 'temporary', 'direct' and 'indirect'.

⁵⁸ The text within the matrix is purely indicative and '*' symbols are used to give an indication of areas of text where environmental effects will be described.

A summary version of the table will also be presented to allow easy comparison between options within the main Sustainability Report (see table 12). A discussion of the significant effects will follow the comparison of each set of options to help the reader consider their relevant merits and the justification for any mitigation proposed.

Table 62 - Options comparison matrix (includes illustrative example of how table will be completed).

Option SA Objective	Example Option X			Example Option Y			Example Option Z		
	Impact / timescale			Impact / timescale			Impact / timescale		
	S	M	L	S	M	L	S	M	L
1. To protect and enhance biodiversity and geodiversity and improve habitat connectivity	-	+	++	++	++	++	?	-	--
2. To enhance or maintain water quality and improve efficiency of water use	0	0	-	0	+	++	0	--	--

Consideration of Synergistic, Cumulative and Secondary effects

Synergistic, cumulative and secondary effects and their predicted significance will be noted in the options assessment matrices at the bottom of the full options appraisal matrix (table 11 above). Box 2 gives further explanation of synergistic, cumulative and secondary effects.

Box 2: What do we mean by Synergistic, Cumulative and Secondary effects?

Annex 1 of the SEA Directive requires the assessment of effects to include secondary, cumulative and synergistic effects. These can be defined as:

- Secondary (or indirect) effects** are effects that do not directly result from the implementation of the plan. For instance, where the direct effect of a policy might include the loss of some hedgerows, an indirect effect might be that, as a result of that loss, the erosion rate of soils increases.
- Cumulative effects** are where effects, that may not in themselves be significant, are, when taken together with other effects, significant.
- Synergistic effects** are where two or more effects interact to create an effect that is greater than the sum of those effects. For example, an air pollutant in the presence of other pollutants may have a different effect than an air pollutant on its own.

Consultation Question 8: Is there anything else we should consider when we assess options in the Minerals and Waste Joint Plan?

6.8 Monitoring

Whilst the Sustainability Appraisal will identify the effects of the Plan which are likely to occur or may occur, only through monitoring the Plan's implementation can the actual effects on sustainability be determined. This enables implementation to be managed to address any unforeseen issues which arise.

Requirements of the SEA Directive:

'Member states shall monitor the significant environmental effects of the implementation of plans and programmes in order, inter alia, to identify at an early stage unforeseen adverse effects, and to be able to undertake appropriate remedial action.' (Article 10.1)

The Environmental Report shall include 'a description of the measures envisaged for monitoring'.

Whilst indicators will be established to monitor overall trends in sustainability topics where these relate to the Joint Plan, it is important to note that it is not necessary to monitor everything and the main focus should be on significant effects. Monitoring of significant effects needs to be clearly linked to the Sustainability Appraisal process, relating to for example, sustainability objectives, features of the baseline that will indicate the effects of the Plan, likely significant effects and any associated mitigation measures.

Indicators have been identified as part of the development of the baseline and are also shown in the Sustainability Framework. As Sustainability Appraisal is carried out on the draft Plan (which will take place at various stages as outlined in section 3 of this report), where any potential significant effects are highlighted indicators to monitor this will be established, these may or may not be the same indicators identified in the baseline. The Planning Advisory Service guidance on Sustainability Appraisal⁵⁹ suggests that where policies are put in place to mitigate adverse effects, monitoring of the implementation of this policy may help to identify whether or not significant adverse effects will be occurring.

Whilst current Government planning policy, contained in the National Planning Policy Framework, is minimal on requirements for monitoring the Plan itself, the Localism Act requires local planning authorities to produce a monitoring report annually titled the 'Authority report'. In relation to minerals and waste planning requirements for monitoring are also set out via the requirement for a Local Aggregate Assessment⁶⁰ and the requirements of the EU Waste Framework Directive⁶¹ respectively. A suite of indicators for monitoring the implementation of the Joint Plan itself will therefore be established as part of the Plan production process. It is likely that each of the three minerals planning authorities will report on progress separately, although some indicators may relate to the Joint Plan Area. It is envisaged that the indicators established to monitor effects on the sustainability objectives will form part this monitoring process and be reported in the same way. Efforts will be made to avoid duplication of monitoring where possible.

⁵⁹ Sustainability Appraisal Advice Note (Planning Advisory Service, July 2010)

⁶⁰ National Planning Policy Framework (CLG, 2012) – see paragraph 145

⁶¹ See Guidance for local planning authorities on implementing planning requirements of the EU Waste Framework Directive (2008/98/EC) (CLG, 2012)

6.9 Limitations

While an objectives led Sustainability Appraisal such as that proposed in this scoping report can examine and seek to mitigate environmental, social and economic effects that arise from strategic level plans, it should be noted that there are a number of limitations to the approach. These are summarised in Table 13 below.

Table 13: Limitations of this Sustainability Appraisal

Limitation	Description
Strategic focus	<p>The SA will be undertaken at a strategic level. That means that in many cases it will not be possible to identify the specific receptors that may be affected by sustainability effects. For instance, if a policy were deemed in the appraisal to increase the risk of flooding to future development, local circumstances may dictate whether specific individual future development is more or less flood prone. However, wherever possible the SA will make recommendations that will inform the information that will be requested of future planning applications.</p> <p>A more detailed site and area assessment process is also being developed to complement the sustainability appraisal.</p>
Limited number of appraisal objectives, sub objectives and indicators	<p>When assembling the SA Framework the most relevant SA objectives and sub objectives have been chosen, informed by the review of baseline information. However, this does not mean that all environmental, social and economic effects are dealt with by the SA Framework.</p> <p>Consultation should help refine the SA Framework, but sustainability effects are often highly complex and it may be that there are issues that may be significant that have not been addressed and may come to light later in the appraisal process. To address this, the scope of this SA will remain open during plan production so that any unforeseen sustainability effect can be taken into consideration.</p> <p>While the monitoring of indicators will help identify any additional sustainability problems, it should be noted</p>

	<p>that only a limited basket of indicators has been presented based on the accessibility of available data. While professional judgement will help to address gaps in data, resource constraints mean that every potential sustainability effect does not have indicators associated with it.</p>
<p>Life cycle and imported 'footprints' impacts</p>	<p>One key data gap is the lack of data feeding in to this appraisal on the lifecycle impacts of the resources employed in pursuing minerals and waste development. Often items such as building materials, use of vehicles and land restoration processes can exhibit good or bad 'end of pipe' sustainability effects, however this may mask sustainability effects incurred when bringing products used to market or disposing of them at the end of their life. Often these effects can occur at considerable (transnational) distance from the place where products or services are utilised.</p> <p>Life cycle assessment (LCA) is often used to investigate and evaluate these 'embedded' sustainability effects. Undertaking LCA can involve significant, lengthy and sometimes costly investigative work. While relevant published life cycle assessment data may be reviewed where relevant to the appraisal of certain development options, it is not the intention of this SA to commission new LCA.</p>

7 Next Steps and Consultation Questions

7.1 Next Steps

The sustainability appraisal objectives that have been developed in this Scoping Report will now be used in the later stages of the Sustainability Appraisal process to measure the proposed policies' contribution to, or detraction from, sustainable development. This will also assist with the development of potential policy options. This Scoping Report represents Stage A of the Sustainability Appraisal process.

The Scoping Report was consulted on in May and June 2013, alongside the First Consultation on the Joint Plan. This finalised Scoping Report takes into account consultees' comments and suggestions. This Framework will now be used to appraise options and policies set out in the Minerals and Waste Joint Plan at key stages of its development.

A fundamental part of the process of Sustainability Appraisal is the assessment of alternatives (or options). This enables the sustainability implications of more than one approach to the Plan to be considered against each other.

Requirements of the SEA Directive:

'...an environmental report shall be prepared in which the likely significant effects on the environment of implementing the plan or programme, and reasonable alternatives taking into account the objectives and the geographical scope of the plan or programme, are identified, described and evaluated.' (Article 5.1)

The Environmental Report must include 'an outline of the reasons for selecting the alternatives dealt with.'

In addition to the requirements of the SEA Directive, the National Planning Policy Framework requires the strategy to be the most appropriate 'when considered against the reasonable alternatives'⁶². The Sustainability Appraisal of alternatives will form part of this consideration.

To generate realistic options, Planning Advisory Service guidance⁶³ suggests that the evidence base needs to contain a comprehensive review of the policy context, an analysis of opportunities and constraints, area profiles and an analysis of what might happen without the Plan. The evidence base for the Plan, as well as the baselines for the Plan area and for the City of York and the North York Moors National Park (see section 5), provide this information and will be updated as and when necessary throughout the course of the production of the Plan.

At Issues and Options stage, Sustainability Appraisal will be undertaken on each option which, along with consideration of consultation responses at issues and option consultation stage and other elements of the

⁶² National Planning Policy Framework (CLG, 2012) – see paragraph 182.

⁶³ Local Development Frameworks – Guidance on Options Generation and Appraisal (Planning Advisory Service, 2009).

evidence base, will help to inform selection of preferred options. The Sustainability Appraisal will play a key role in helping to generate alternative options. An option which looks at how sustainability issues would fare without the Plan will also be considered. A Sustainability Appraisal Update Report will be published as part of the Issues and Options consultation which will contain the conclusions of the Sustainability Appraisal for each option. A Sustainability Report will also be published at both Preferred Options and Publication stage.

If you would like to contact someone in any of the three authorities, please use the contact details below:

North Yorkshire County Council: Environmental Policy Officers -mwsustainability@northyorks.gov.uk 01609 536493

North York Moors National Park Authority: policy@northyorkmoors.org.uk, 01439 772700

City of York Council: integratedstrategy@york.gov.uk, 01904 551467

Glossary

Agricultural Land Classification (ALC) places agricultural land in five categories according to its versatility and suitability for growing crops (grade 1 being the best; grade 5 the poorest). The top three grades, grade 1, 2 and 3a, are referred to as 'best and most versatile' land, and enjoy significant protection from development.

Air Quality Management Area (AQMA) is a specific place where national targets for air quality are not being met. Each local authority is responsible for measuring their air quality and trying to predict how it may change over several years. The aim of the review is to make sure that the national air quality objectives will be achieved across the UK by the relevant deadlines. These objectives have been put in place to protect people's health and the environment. If objectives are not achieved an AQMA with an accompanying plan is produced in order to improve air quality.

Area of Outstanding Natural Beauty (AONB) is an area of countryside which is considered to have significant landscape value. There are two AONBs wholly within the plan area, the Nidderdale and Howardian Hills AONBs and two partially, the Forest of Bowland and the North Pennines AONBs.

Biodiversity simply means biological diversity. It is the degree of variation amongst living organisms within a given area. Biodiversity provides many services to society; human survival depends on it and it is the foundation of our economy and lifestyles. Therefore, diminishing biodiversity has a negative impact on humanity.

Biodiversity Action Plan (BAP). A BAP is an internationally recognised plan which shows how species and habitats will be conserved. The UK Biodiversity Action Plan (UK BAP) was published in 1994, and is the UK Government's response to the Convention on Biological Diversity (CBD). The CBD called for the development and enforcement of national strategies and associated action plans to identify, conserve and protect existing biological diversity, and to enhance it wherever possible. BAPs can exist at national, local or organisational levels.

Civil Engineering Environmental Quality Assessment and Award Scheme (CEEQUAL) is the assessment and awards scheme for improving sustainability in civil engineering and the public realm. It aims to deliver improved project specification, design and construction and to demonstrate the commitment of the civil engineering industry to improved environmental and social performance.

Department for Business, Innovation and Skills (BIS) (merger of the Department for Business, Enterprise and Regulatory Reform and the Department for Innovation, Universities and Skills), is the government department responsible for economic growth.

Department of Communities and Local Government (DCLG) sets policy on: local government; community cohesion; building regulations; housing; planning; decentralisation; and fire services.

Department of Environment Food and Rural Affairs (Defra) is the UK government department responsible for environmental protection, food production and standards, agriculture, fisheries and rural communities.

District Councils are local authorities which look after tourism, leisure, designated parking, local development planning and frameworks, housing, environmental health and other local issues within districts. There are seven district council areas in North Yorkshire: Craven, Hambleton, Harrogate, Richmondshire, Ryedale, Scarborough and Selby.

Development Plan Documents (DPDs) are the statutory components of local development frameworks. Development plan documents include core strategies, areas action plans and site-specific allocations. These documents guide the future use and development of land. It is prepared in consultation with the public and interested groups and organisations.

Ecosystems Services can be simply described as the benefits people obtain from ecosystems. These include: provisioning services (food and water); regulating services (flood and disease control); cultural services (such as spiritual and cultural benefits); and supporting services (such as nutrient cycling that maintains conditions for life on Earth).

English Heritage (EH) is the government body responsible for the historic built environment and archaeology.

Environment Agency (EA) is an England-only government regulatory organisation which looks after waste management, catchment management, pollution control and protection of the environment.

Environmental Stewardship is a government scheme that offers financial rewards for good stewardship and management of the land to improve the quality of the environment. The funding is provided to farmers and other land managers. Schemes range from Entry Level Stewardship to more complex Higher Level Stewardship.

European Landscape Convention promotes the protection, management and planning of European landscapes and organises European co-operation on landscape issues.

Geodiversity incorporates all the variety of rocks, minerals, fossils, soils and landforms and the associated natural processes which have formed these features throughout geological time.

Geodiversity Action Plans (GAPs) set out actions to conserve and enhance the geodiversity of a particular area. They aim to: identify and conserve the best geological sites in an area; promote geological sites; provide a Geodiversity audit; and influence local planning policy.

Geographic Information System (GIS) is a computer application which allows users to capture, store, manipulate, analyse, manage and present all kinds of geographical data.

Geomorphology is the study of landforms and the process that form landforms. Formation and evolution of landforms can take place on different scales (e.g. river beds, to valleys) and by different media, such as water, wind and ice (including glaciers).

Green Infrastructure (GI) is a strategically planned and delivered network of high quality green spaces and other environmental features. It should be designed and managed as a multifunctional resource capable of delivering a wide range of environmental and quality of life benefits for local communities. Green Infrastructure includes parks, open spaces, playing fields, woodlands, allotments and private gardens.

Habitats Regulations Assessment (HRA) is founded in European legislation and government regulations which introduced a need to carry out Habitat Regulations Assessments (and the associated appropriate assessment) for any plans which may affect European sites of significance (Natura 2000 sites).

Heritage Coast is a non-statutory designation which covers coastline around England and Wales that are noted for their natural beauty or scientific significance.

Heritage at Risk/At Risk Register is updated by English Heritage and provides information on the health of England's built heritage. It aims to reduce the number of sites at risk of loss through neglect, decay, or development.

Historic Environment Records are records of archaeological sites and monuments, finds, historic buildings, parks and gardens, battlefields, industrial and 20th century remains, archaeological fieldwork and information on historic landscape character.

Historic Landscape Characterisation is a method for understanding and mapping the landscape that we see today with reference to its historical development.

Hydromorphology is a term used in river basin management to describe the combination of hydrological and geomorphological (structural) processes and attributes of different water bodies.

Index of Multiple Deprivation is a UK government measure which provides information on deprived areas across UK local councils. It measures deprivation by information on income, employment, health and disability, education, skills and training, barriers to housing or services, crime and environment.

Listed Buildings are buildings that have been placed on the Statutory List of Buildings of Special Architectural or Historic Interest. A listed building may not be demolished, extended or altered without special permission from the local planning authority.

Local Development Documents (LDDs) are a set of documents specified in planning law which a local planning authority creates to describe their strategy for development and use of land in their area of authority. They include development plan documents.

Local Development Frameworks (LDFs) are spatial planning strategies introduced in England and Wales by the Planning and Compulsory Purchase Act 2004. These documents outline how planning will be managed in a local area.

Local Enterprise Partnerships (LEPs) are locally-owned partnerships between local authorities and businesses. They aim to determine local economic priorities and undertake activities to drive economic growth and create jobs.

Local Nature Reserves (LNRs) are places with wildlife or geological features that are of special interest to local people. LNRs are controlled by their local authority through ownership, lease, or agreement with the owner.

Minerals and Waste Joint Plan (MWJP) is a planning policy document which will set out a local basis for minerals and waste planning over the local plan area.

Minerals and Waste Planning Authority North Yorkshire County Council, the North York Moors National Park Authority and the City of York Council are together the minerals and waste planning authorities for the parts of the County outside the Yorkshire Dales National Park together with the City of York. The authorities have a statutory duty to prepare a Minerals and Waste Joint Plan, containing proposals and policies to guide minerals and waste planning decisions.

National Nature Reserves (NNRs) represent the finest wildlife and geological sites in England. Natural England declares NNRs in England. NNRs contain some of England's most pristine habitats, rarest species and most significant geology.

National Park Authorities are organisations which manage the national parks of the UK. National park authorities have two main purposes: to conserve and enhance the natural beauty, wildlife and cultural heritage of a national park; and to promote opportunities for the understanding of the special qualities of the national park.

Natura 2000 is a Europe-wide network of sites which aim to protect the most seriously threatened habitats and species across Europe. Sites include Special Protection Areas (designated for birds) and Special Areas of Conservation (designated for habitats).

Natural England (NE) is a non-departmental public body whose purpose is to protect and improve England's natural environment.

Ordnance Survey (OS) is a non-ministerial government department that produces and licenses map-based information.

Plan Area The planning authority areas of North Yorkshire (i.e. the part of the county outside of the two National Parks), the City of York and the North York Moors National Park.

Plans, Policies, Programmes, Strategies and Initiatives (PPPSIs) are reviewed and updated during the production of a strategic environmental assessment or sustainability appraisal of a local authority plan. The review is carried out in order to identify how options within local plans might be affected by other international, national, regional or local PPPSIs.

Proposals Maps display (on Ordnance Survey maps) policies and proposals from the adopted local development documents of the local development framework.

Protected Wrecks are designated shipwrecks that are given protection under the Protection of Wrecks Act (1973). Designated sites are identified as being likely to contain the remains of a vessel, or its contents, which are of historical, artistic or archaeological importance.

Public Rights of Way are paths on which the public have a legally protected right of passage.

Ramsar Sites, or the Ramsar Convention is an intergovernmental treaty that embodies the commitments of its member countries to maintain the ecological character of their Wetlands of International Importance and to plan for the "wise use", or sustainable use, of all of the wetlands in their territories. A number of internationally important wetland sites are designated as Ramsar sites.

Registered Battlefields, or the Register of Historic Battlefields comprises the sites of 43 of the most important military battles on English soil. The registration offers battlefields protection and promotes understanding of their significance.

Registered Parks and Gardens is a listing and classification system for historic parks and gardens similar to that used for listed buildings. The register is managed by English Heritage under the provisions of the National Heritage Act 1983. Over 1,600 sites are listed, ranging from the grounds large stately homes to small domestic gardens, as well other designed landscapes such as town squares, public parks and cemeteries.

Rural Proofing is the scrutiny of public policy to ensure that impacts on rural areas are considered when implementing new policies and programmes.

Scheduled Monuments are nationally important sites and monuments which are given legal protection by being placed on a list, or 'schedule'. English Heritage takes the lead in identifying sites in England which should be placed on the schedule by the Secretary of State for Culture, Media and Sport.

Scoping Report or SA Scoping Report establishes the scope of, and methodology for, the sustainability appraisal and identifies appropriate data that maybe of relevance to the assessment.

Sites of Nature Conservation Interest (SINCs) are designations applied to locally important nature conservation sites and can be designated for both their ecology and geological interest.

Sites of Special Scientific Interest (SSSIs) are the country's very best wildlife and geological sites.

Special Areas of Conservation (SACs) are strictly protected sites designated under the EC Habitats Directive (92/43/EEC). The listed habitats and species are those considered to be most in need of conservation at a European level.

Special Protection Areas (SPAs) are strictly protected sites classified in accordance with Article 4 of the EC Birds Directive, 2009/147/EC (the codified version of Council Directive 79/409/EEC as amended). The areas are classified for rare and vulnerable birds (as listed on Annex I of the Directive), and for regularly occurring migratory species.

Strategic Environmental Assessment (SEA) relates to European Directive 2001/42/EC and is a process to ensure that significant environmental effects arising from policies, plans and programmes are identified, assessed, mitigated, communicated to decision-makers and monitored and that opportunities for public involvement are provided.

Sustainability Appraisal (SA) is a mechanism for assessing social, environmental and economic effects of plans in order to ensure that decisions are made that contribute to sustainable development.

Sustainability Appraisal Framework (SA Framework) is a framework that shows the objectives by which a sustainability appraisal will assess a plan or policy. In addition, an SA framework also sets out the mechanisms to monitor the achievement of those objectives.

World Heritage Sites are places (such as a forests, mountains, lakes, deserts, monuments, buildings, complexes, or cities) that are listed by UNESCO (United Nations Educational, Scientific and Cultural Organization) as of special cultural or physical significance. The program catalogues, names, and conserves sites of outstanding cultural or natural importance to the common heritage of humanity.

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