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National Validation Requirements

In order to deliver a speedier and more efficient planning service, the Government issued guidance notes on the validation process in March 2005, since then this guidance has been updated; most recently through the Planning Practice Guidance. The following requirements are based on that guidance and seek to provide greater certainty as to the nature and extent of the information required in order to validate and determine planning applications.

Application Form

Electronic Submissions - Applicants are encouraged to apply electronically through the Planning Portal. One copy of all the documents is required; these can be attached electronically as part of the submission. A typed signature of the applicant or agent’s name is acceptable. Electronic copies may also be submitted in other formats e.g. CD, email and USB storage device or file transfer service.

Hard Copy Submission - Alternatively applications can be submitted in hard copy. One must be the original and 1 copy will be required. Completed forms must be signed and dated.

Certificate of Ownership

A certificate must be completed; this provides certain details about the ownership of the application site and confirms that an appropriate notice has been served on any other owners (and agricultural tenants). The forms of notice are in Schedule 2 to the Town and Country Planning (Development Management Procedure (England) (Order) 2015.

An application is not valid, and therefore cannot be determined, unless the relevant certificate has been completed. It is an offence to complete a false or misleading certificate, either knowingly or recklessly, with a maximum fine of up to £5,000.

Certificate A – Sole Ownership and no agricultural tenants. This should only be completed if the applicant is the sole owner of the land to which the application relates (including Access) and there are no agricultural tenants

Certificate B – Shared Ownership (All other owners/agricultural tenants known). This should be completed if the applicant is not the sole owner, or if there are agricultural tenants, and the applicant knows the names and addresses of all the other owners and/or agricultural tenants. This may include occasions when part of the foundations, guttering etc. encroaches on a neighbours land.

Certificate C – Shared Ownership (Some other owners/agricultural tenants known). This should be completed if the applicant does not own all of the land to which the application relates and does not know the name and address of all of the owners and/or agricultural tenants. This may be applicable if the access to the site is via a shared access.

Certificate D – Shared Ownership (None of the other owners/agricultural tenants known). This should be completed if the applicant does not own all of the land to which the application relates and does not know the names and addresses of any of the owners.
and/or agricultural tenants. This may be required if the access is via a private route where the ownership is unknown.

An ‘owner’ is anyone with a freehold interest, or leasehold interest the unexpired term of which is not less than seven years. In the case of development consisting of the winning or working of minerals, a person entitled to an interest in a mineral in the land is also an owner.

An ‘agricultural tenant’ is a tenant of an agricultural holding, any part of which is comprised in the land to which the application relates.

In accordance with Certificate C or D an advertisement must be published in a local newspaper after the prescribed date. The prescribed date is the day 21 days before the date of the application.

**Location Plan**

A location plan should be based on an up-to-date map. The scale should typically be 1:1250 or 1:2500, but wherever possible the plan should be scaled to fit onto A4 or A3 size paper. A location plan should identify sufficient roads and/or buildings on land adjoining the application site to ensure that the exact location of the application site is clear.

The application site should be edged clearly with a red line on the location plan. It should include all land necessary to carry out the proposed development (e.g. land required for access to the site from a public highway, visibility splays, landscaping, car parking and open areas around buildings). A blue line should be drawn around any other land owned by the applicant, close to or adjoining the application site.

Additional plans and drawings will in most cases be necessary to describe the proposed development. These are outlined in ‘Local Validation Requirement 5: Drawings and Plans’.

**Design and Access Statement**

A Design and Access Statement is a concise report required to accompany all major developments and all other applications for development in a designated area (World Heritage Site or a Conservation Area) as outline in the Development Management Procedure Order 2013 (Amendment), where the proposed development consists of one or more dwellings; or a building or buildings with a floor space of 100 square metres or more. And applications for listed building consent.

The level of detail in a Design and Access Statement should be proportionate to the complexity of the application, but should not be long.

Applications for a material change of use or engineering do not need to be accompanied by a Design and Access Statement. Applications to amend conditions attached to a planning permission do not need to be accompanied by a Design and Access Statement.

A Design and Access Statement must:

(a) Explain the design principles and concepts that have been applied to the proposed development; and

(b) Demonstrate the steps taken to appraise the context of the proposed development, and how the design of the development takes that context into account.
A development’s context refers to the particular characteristics of the application site and its wider setting. These will be specific to the circumstances of an individual application and a Design and Access Statement should be tailored accordingly.

Design and Access Statements must also explain the applicant’s approach to access and how relevant Local Plan policies have been taken into account. They must detail any consultation undertaken in relation to access issues, and how the outcome of this consultation has informed the proposed development. Applicants must also explain how any specific issues which might affect access to the proposed development have been addressed.


**Design and Access Statements accompanying applications for listed building consent** must include an explanation of the design principles and concepts that have been applied to the proposed works, and how they have taken account of:

(a) The special architectural or historic importance of the building;

(b) The particular physical features of the building that justify its designation as a listed building; and

(c) The building’s setting.

Unless the proposed works only affect the interior of the building, Design and Access Statements accompanying applications for listed building consent must also explain how issues relating to access to the building have been dealt with. They must explain the applicant’s approach to access, including what alternative means of access have been considered, and how relevant Local Plan policies have been taken into account. Statements must also explain how the applicant’s approach to access takes account of matters (a)-(c) above.

Design and Access Statements accompanying applications for listed building consent must provide information on any consultation undertaken, and how the outcome of this consultation has informed the proposed works. Statements must also explain how any specific issues which might affect access to the building have been addressed.

**Fee**

Where an application requires a fee please refer to our fee schedule. If confirmation of a fee is required please contact the Technical Team on 01900 878703. Payment can be made via the website, telephone or cheque. You can double check what the application fee should be using this link: [http://www.allerdale.gov.uk/planning-and-buildings/planning/planning-applications/planning-application-fees.aspx](http://www.allerdale.gov.uk/planning-and-buildings/planning/planning-applications/planning-application-fees.aspx)
Local Validation Requirements

In addition to the National Validation requirements the following criteria outline the details for Allerdale’s local list for validation purposes.

Each requirement includes its purpose, trigger and requirements, plus relevant current planning policy context.

Two hard copies of any of the required local documents must be submitted, unless an application is submitted electronically where we will only require the electronic copy.

Where supporting documents exceed 100 pages in length a summary highlighting the key points should be provided. This should not exceed 20 pages.
Document Name: Agricultural/Rural/Forestry Appraisal

Reason for requirement: To assess the need for an agricultural, rural or forestry workers dwelling.

Trigger – When it is required
Any proposal for a permanent or temporary agricultural, rural or forestry worker’s dwelling.

What’s required
An appraisal together with appropriate evidence which demonstrates an essential employment need. The appraisal should be confined to a factual statement of the agricultural, rural or forestry considerations involved and an evaluation of the need for the dwelling based upon both functional and financial tests.

Policy Guidance

<table>
<thead>
<tr>
<th>National:</th>
<th>Local:</th>
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<tbody>
<tr>
<td>◊ National Planning Policy Framework</td>
<td>◊ Allerdale Local Plan (Part 1)</td>
</tr>
<tr>
<td>◊ Chapter 6 Paragraph 55</td>
<td>◊ Policy S3: Spatial Strategy and Growth</td>
</tr>
<tr>
<td>◊ Chapter 11 Paragraph 109-116</td>
<td>◊ Policy DM2: Rural Workers Dwellings</td>
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</tbody>
</table>
Document Name: Archaeology Assessment

Reason for requirement: To assess the archaeological value of any individual site to determine the impact that the proposed development will have on the archaeological value of the site, and demonstrate appropriate mitigation to safeguard aspects of archaeological significance.

Trigger – When it is required

- Proposals directly affecting Scheduled Ancient Monuments (including the Hadrians Wall World Heritage Site or within close proximity to the World Heritage Site i.e. its visual impact/buffer zone)
- Where there are reasonable grounds to show that the proposed development has the potential to affect current unknown archaeological remains.
- Proposals affecting important sites on the Cumbria County Council Historic Environment Record also including listed buildings and Conservation Areas.

What’s required:

Archaeological building assessment and recording

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

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

The purpose of the recording is not only to provide an archive record of the building as it is, but also to advise the proposed scheme by identifying those parts of the building which are most significant and should be retained in the conversion process. It will be used to formulate a strategy for the conservation, alteration, demolition, repair or management of a building and to seek a better understanding, compile a lasting record, analyse the findings and then disseminate the results.

If an application affects a known site of historical or archaeological significance, or there’s reasonable grounds to show that there is potential to effect currently unknown important archaeological remains, applicants may need to commission an assessment of existing information about the sites and submit the results as part of the application. In accordance with the National Planning Policy Framework, the assessment will need to explain how the proposed development would be affected by the significance of the archaeological remains.

Further details on the extent and content can be obtained from the County Archaeologist.
Archaeological desk based assessment

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

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

Archaeological evaluation report (field walking, earthwork survey, geophysical survey and/or trial trenching)

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

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

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

Policy Guidance

National:
◊ National Planning Policy Framework
◊ Chapter 12 Paragraph 127-140

Local:
◊ Allerdale Local Plan (Part 1)
◊ Policy S27: Heritage Assets
◊ Police S28: Hadrian’s Wall World Heritage Site

Websites:
◊ Cumbria County Council Archaeology
◊ Historic England

Contacts:
◊ Conservation Officer (Allerdale Borough Council)
◊ County Archaeologist
◊ Historic England
◊ List of Qualified Specialists or Organisations—pages 6 & 7
Document Name: Agricultural Building Conversions – Contamination/Structural Assessment

Reason for requirement: Agricultural buildings require additional criteria in their assessment to verify any risks posed by their former uses and their structural integrity.

Contamination
An evaluation of any potential contamination from former agricultural uses of the building is required in the interest of health of the future occupiers of the converted building.

Structural Assessment
Details of the extent of any substantial scale of demolition works is required to demonstrate that the works constitute conversion rather than a new build development and that the converted building is structurally sound and capable of conversion.

Trigger – When it is required

Contamination
Change of use or conversion of agricultural buildings for residential/commercial use.

Structural Assessment
Developments which involve substantial demolition (more than one external wall), structural alteration or conversion of assets of historical, local or archaeological significance e.g. Listed buildings, barns for conversion.

Conversion of agricultural buildings in the open countryside for housing, holiday or commercial use, but excludes agricultural building conversion proposals within the settlement limit.

What’s required

Contamination
Completion of Appendix 2 – Barn Conversion Assessment.

Structural Assessment
A structural plan and report prepared by a registered structural engineer or other qualified person which identifies the structural stability and condition of the asset together with a statement identifying how the stability of the structure is to be safeguarded during development.

Policy Guidance

National:
◊ National Planning Policy Framework
◊ Chapter 3 Paragraph 28,55

Local:
◊ Allerdale Local Plan (Part 1)
◊ Policy S3: Spatial Strategy and Growth
◊ Policy S31: Reuse of Rural Buildings & Replacement Dwellings in the Countryside

Contact:
Environmental Health (Allerdale Borough Council)

Other Information:
Appendix 2: Barn Conversion Assessment
Document Name: Coal Mining Risk Assessment

Reason for requirement: There is a legacy of past coal mining activity in the region. In order to ensure coal mining related land stability issues are assessed in planning applications, a Coal Authority assessment will be required.

Trigger – When it is required

This is normally required for development which will involve excavation in Coal Mining Development High Risk Areas as defined by the Coal Authority and held by the Local Planning Authority with the exception of householder extensions or alterations, changes of use, shop front alterations and portal framed agricultural and commercial buildings excluding where wall foundations are proposed.

What’s required

The Coal Mining Risk Assessment should be prepared by a competent, qualified person and should address the following issues:

• A summary of the mining information relevant to the application site (including past/present/future underground mining, shallow coal working, mine entries (shafts or adits), mine gas within an area which has a licence to extract coal, geological features, any recorded surface hazards, or within a former or present surface mining (old open cast);

• Identify what risks these coal mining issues, including cumulative effects, pose to the proposed development;

• Identify how coal mining issues have influenced the proposed development and whether any other mitigation measures are required to manage those issues and whether any changes have been incorporated into the development

• Any development that involves intrusive activities which intersect, disturb or enter coal seams, coal mine workings or mine entries will require the prior written permission of the Coal Authority.

Policy Guidance

National:
◊ National Planning Policy Framework
◊ Chapter 11 Paragraph 120-123

Local:
◊ Allerdale Local Plan (Part 1)
◊ Policy S30: Reuse of Land
◊ Policy S32: Safeguarding Amenity
◊ Policy S36: Air, Water and Soil Quality

Websites:
◊ The Coal Authority
◊ Coal Mining Risk Assessment

Contacts:
The Coal Authority Planning and Local Authority Liaison Department
Document Name: Drawing and Plans

Reason for requirement: The council require sufficient necessary evidence through a range of accurate scaled plans and drawings to demonstrate the precise site, design and external appearance of any proposed development to enable its evaluation by all stakeholders (including the public) as part of its consultation process.

Trigger – When it is required

*Block Plan* – This plan should be included within all development proposals for new buildings, extensions and changes of use involving external alterations or the provision of facilities e.g. parking within the curtilage.

*Elevations* - These are required for any new building or external alterations.

*Floor Plans* - Any new buildings, extensions or changes of use which involve external alterations.

*Sections*– Where there is a proposed change in site levels,

Window sections required for Listed Building Applications and developments mention in Appendix 1 (see point below)

*Detailed Plans (Listed Building Consent & Householder application relating to a Listed Building)* – Any Listed Building Application & any Householder Applications relating to Listed Buildings

*Appendix 1—*All applications for windows with a Conservation Area or Article 4 areas.

*Finished Floor Levels Including Datum Points* - Where there a change to floor levels or a rise in the land of the development site as required.

What’s required

Plans should be labelled with a drawing number, title, scale and include a linear scale measuring bar.

*Block Plan* – This should be drawn to a scale of 1:500 or 1:200 and should accurately show:

- The direction of North
- The existing building and the proposed development in relation to the site boundaries and other existing buildings on the site.
- All the buildings, roads, parking and footpaths on the site and on land adjoining the site, including access arrangements;
- Any existing water courses where surface water drainage will be connecting.
- The species, position, crown spread and root protection area of all trees within the application site, including those covered by a Tree Preservation Order or within a Conservation Area.
**Elevations** – These should be drawn to a scale of 1:50 or 1:100 and show:

- Existing or proposed works in relation to what is already there;
- All sides of the development must be shown and these should indicate, the proposed building materials and the style, materials and finish of windows and doors where appropriate;
- Blank elevations must also be included if only to show that this is in fact the case; and
- Where an elevation adjoins another building or is in close proximity, the drawings should clearly show the relationship between the buildings, and detail the position of the doors and windows on each property.

**Floor Plans** - These should be drawn to a scale of 1:50 or 1:100 and show:

- Existing or proposed works in relation to what is already there;
- Extent of any demolition/rebuild works proposed.

**Sections**– These should be drawn to a scale of 1:50 or 1:100 (1:500 for major development sites) and show;

- Cross section(s) through the proposed building(s).
- Confirmation when proposed developments will/ will not alter existing site levels.

**Detailed Plans** – These should be drawn to a scale of 1:10 or 1:20 at the most and show:

- All existing and proposed windows, doors and external features for all applications affecting a Listed Building and all Listed Building Consent applications and Householder Planning Permission Applications relating to a listed building.

**Appendix 1**— This document should be completed for any applications proposing to change windows as described on the document, please see this document for more details.

**Finished Floor/ Site Levels Including Datum Points** - These should be drawn to a scale of 1:50 or 1:100

- Change in ground levels, illustrative drawings showing both existing levels including an identified fixed datum point and proposed finished levels in relation to existing and proposed buildings.

**Policy Guidance**

**National:**
- National Planning Policy Framework
- Chapter 11 Paragraph 120-123

**Local:**
- Allerdale Local Plan (Part 1)
- Policy S30: Reuse of Land
- Policy S32: Safeguarding Amenity
- Policy S36: Air, Water and Soil Quality

**Websites:**
- The Coal Authority
- Coal Mining Risk Assessment

**Contacts:**
- The Coal Authority Planning and Local Authority Liaison Department
Document Name: Nature Conservation & Ecological Assessment/ Habitat Survey/ Preliminary Ecological Assessments

Reason for requirement: The Council has a duty under the Wildlife and Conservation Act 1981 to consider the conservation of biodiversity when determining a planning application, including the safeguarding of protected species and the additional safeguarding of designated sites, habitats and geological features.

Trigger – When it is required:

Nature Conservation & Ecological Assessment:
An ecological assessment will be required for all major development that could directly or indirectly impact on rare, protected or priority species or habitats.

Habitat Survey (also known as preliminary ecological survey)/ Protect Species Assessment
For all other development/proposal types see appendix 3 for full details. Although details provided within appendix 3 are a comprehensive guide, should your site be located in proximity to an ecological sensitive site (e.g. a Site of Special Scientific Interest) it is recommended that you seek advice from a qualified ecologist on the category of ecological evidence to be submitted with any application.

NB Should Protected Species be identified within the surveys either directly on the site or in its immediate locality then any application should alternatively be supported by an Ecological/ Biodiversity and Geological Conservation Assessment as outline in Appendix 3

Exemptions:
- Following consultation by the applicant at the pre-application stage, the LPA has stated in writing that no protected species surveys and assessments are required.
- Householder Planning applications
- If it is clear that no protected species are present, despite the guidance in the table provided in Appendix 3 indicating that they are likely, the applicant should provide evidence with the planning application to demonstrate that such species are absent (e.g. this might be in the form of a letter or brief report from a suitably qualified and experienced person, or a relevant local nature conservation organisation).
- If it is clear that the development proposal will not affect any protected species present from the information provide in appendix 3, then only limited information needs to be submitted. This information should however:
  (i) demonstrate that there will be no significant affect on any protected species present and
  (ii) include a statement acknowledging that the applicant is aware that it is a criminal offence to disturb or harm protected species should they subsequently be found or disturbed.

In some situations, it may be appropriate for an applicant to provide a protected species survey and report for only one or a few of the species shown in Appendix 3 e.g. those that are likely to be affected by a particular activity. Applicants should make clear which species are included in the report and which are not because exceptions apply.
What’s required:

**Nature Conservation & Ecological Assessment:**
Applications must be accompanied by an ecological assessment and include proposals for long-term maintenance and management. This information might be incorporated into an Environmental Statement, if one is necessary. Plans should show any significant wildlife habitats or features and the location of habitats of any species protected under the Wildlife and Countryside Act 1981, Conservation (Natural Habitats etc) Regulations 1994 or Protection of Badgers Act 1992. In the event that there are Bats or Owls present or potential for them to be present on the site, a detailed investigation and assessment is required. Details of the extent of the investigation can be obtained from Natural England.

**Habitat Survey (also known as preliminary ecological survey):**
A survey and assessment by a person holding a relevant certification. This should be undertaken during the relevant time of year.

**Policy Guidance**

**National:**
- National Planning Policy Framework
- Chapter 11 Paragraph 109-119

**Local:**
- Allerdale Local Plan (Part 1)
- Policy S35: Protecting and Enhancing Biodiversity and Geodiversity

**Websites:**
- Bat Conservation Trust
- Cumbria Wildlife Trust
- Natural England
- Protected Species Natural England Standing Advice

**Contacts:**
- Natural England
- Cumbria Biodiversity Data Centre – Tullie House, Carlisle

**Other Information:**
- Appendix 3: Ecological Assessment
- Conservation and Habitat Species Regulations 2010
- Environmental Management – Wildlife and Habitat Conservation
- Planning for Biodiversity and Geological Conservation: A Guide to Good Practice 2006
- Wildlife and Conservation 1981 Act
Document Name: Flood Risk Assessments

Reason for requirement: To assess the potential impact of a development on the local water environment and any increased flood risk to and from the development site.

Trigger – When it is required:
Development proposals in high risk flood zone (Flood Zone 3a and 3b).
A Flood Risk Assessment is required if it falls within an indicative flood plain or flood zone.
Development proposals in medium risk flood zone (Flood Zone 2) Flood Risk Vulnerability Table – Table 2: Flood Risk Vulnerability Classification
Any development of 1ha or above in low flood risk zone (Flood Zone 1).
Any operational development which includes culverting or control of flow of any river or stream.
Areas of known flooding.

What’s required:
The sequential approach outlined in the National Planning Policy Framework: Chapter 10 Paragraphs 99-109 will need to be applied. See Planning Practice Guidance.

• Identify and assess the risks of all forms of flooding to and resulting from the development, taking into account climate change.
• Demonstrate how the risk of flooding will be managed.
• Demonstrate that the development complies with the policies contained in the National Planning Guidance.
• Include an Emergency Planning Statement detailing flood warning and evacuation measures where applicable.

Basic Level 1 Flood Risk Assessment FRA Screening Study:
Please see appendix 6 for full information.

Policy Guidance

National:
♦ National Planning Policy Framework
♦ Chapter 11 Paragraph 120-123

Local:
♦ Allerdale Local Plan (Part 1)
♦ Policy S30: Reuse of Land
♦ Policy S32: Safeguarding Amenity
♦ Policy S36: Air, Water and Soil Quality

Websites:
♦ The Coal Authority
♦ Coal Mining Risk Assessment

Contacts:
The Coal Authority Planning and Local Authority Liaison Department
Document Name: Foul sewage assessment

Reason for requirement: To ensure a satisfactory standard of foul drainage for the development

Trigger – When it is required:

Developments involving either the provision of new non-mains drainage or the use of existing non mains drainage (e.g. package treatment plants, septic tanks, cesspools).

What’s required:

Non-mains drainage

In order to demonstrate that the development can be effectively served by a non-mains drainage system without inadvertently affecting the environment, amenity or public health, a drainage specialist or surveyor with appropriate indemnity insurance should carry out a foul drainage assessment (with reference to Building Regulations Approved Document Part H and in BS6297). Completion of Appendix Document 4 – Non Mains Drainage Assessment.

If a non-mains drainage system is proposed its position and any associated soakaways must be included within the red line denoting the application site on a 1:1250 and 1:2500 scale site location plan. The use of soakaways will require satisfactory percolation tests to have been undertaken to demonstrate compliance with current British Standards, details of which must accompany the application (see Local Requirement 17). This is particularly the case when the non-mains drainage method incorporates a herringbone system.

If connection to any of the above requires crossing land that is not in the applicant’s ownership, other than on a public highway, notice may need to be served on the owners of that land and Certificate B, C or D completed accordingly. This could especially be the case if the method involves a herringbone system as these often require the crossing of land.

Policy Guidance

National:
- National Planning Policy Framework
- Chapter 11
- Planning Practice Guidance – Water Supply, wastewater and water quality

Local:
- Allerdale Local Plan (Part 1)
- Policy S29: Flood Risk and Surface Water Drainage
- Policy S32: Safeguarding Amenity
- Policy S36: Air, Water and Soil Quality

Other Information:
- Appendix 4: Non-Mains Drainage Assessment
- BS6297 – Code of practice for the design and installation of drainage fields for use in wastewater treatment
- Building Regulations Approved Document Part H

Contacts:
- Building Control (Allerdale Borough Council)
Document Name: Heritage Statements Assessments

**Reason for requirement:** To demonstrate the affects that a development is likely to have on a heritage asset. It should explain the significance of archaeology, history and character of the building/structure, the impact upon this significance and any justification for the proposed works.

**Trigger – When it is required:**
In most cases the Heritage Statement could form part of a more comprehensive Design and Access Statement.

For all applications which will impact upon the setting of heritage assets, a written statement that includes plans showing historic features on or adjacent to the application site, an analysis of the significance of archaeology, history and character of the building/structure/landscape. The reason and justification for the proposed works and their impact on the special character of the heritage asset, their setting and adjacent buildings. The scope and degree of detail necessary will vary from application to application according to the importance of the asset and the size of the impact. Pre-application discussion is recommended.

- Applications that involve alterations to a listed building.
- Applications that would affect the setting of a listed building.
- Major applications within a Conservation Area excluding changes of use.
- Applications affecting scheduled ancient monuments or in areas of archaeological interest, or ones that may be adjacent to and could affect them (Archaeological Assessment).
- Major applications that would affect the setting of Hadrian's Wall Military Zone World Heritage Site.
- Applications affecting the setting of heritage assets (designated/non-designated).

**What’s required:**
For a full list of what is required and guidance notes to help produce your own statement please see appendix 5.

**Policy Guidance**

**National:**
- National Planning Policy Framework
- Chapter 12 Paragraph 122-141

**Local:**
- Allerdale Local Plan (Part 1)
- Policy S27: Heritage Assets
- Policy S28: Hadrian’s Wall World Heritage Site

**Websites:**
- Conservation and the Historic Environment
- Cumbria County Council Archaeology
- Historic England

**Contacts:**
- Conservation Officer (Allerdale Borough Council)
- County Archaeologist
- Historic England
- List of Qualified Specialists or Organisations – see page 6-7

**Other Information:**
- Appendix 5: Heritage Assessment
- Historic Environment Good Practice Advice in Planning
Document Name: Highway assessments

Reason for requirement a) Transport assessments/statements:

It is important that applicants seek pre-application advice from the Local Planning Authority for definitive advice on the scope of the following documents in order to avoid abortive work. Reason being Travel Plans, Transport Assessments and Statements are all ways of assessing and mitigating the negative transport impacts of development in order to promote sustainable development.

Trigger – When it is required a) Transport assessments/statements:

Required for all development above 250 sq. m, 30 beds, 50 dwelling units. For further guidance please refer to appendix 7 for more information.

What’s required a) Transport assessments/statements:

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

Transport assessment: Should quantify and assess the impact of the proposals on traffic movement and highway safety, quantify and assess how the development could be accessed by alternative transport modes and how such alternative modes would be promoted. Details should be included of any proposals for access or transport improvements.

Any development proposal for 80 dwellings or more will require a stage 1 Safety Audit.
Reason for requirement b) Travel plan:

Is a long term management strategy which aims to increase sustainable travel to a site through positive actions. It is set out in a document that is reviewed regularly. A travel plan follows a transport assessment which will have initially highlighted the relevant issues. There are different types of travel plan proportional to the scale and type of development.

Trigger – When it is required b) Travel plan:

All types of development may require appropriate statements and supporting information where there is potential for significant impact upon the highway infrastructure and highway safety. The following list which is by no means exhaustive may necessitate a travel plan:

1) Not be in conformity with the adopted development plan.
2) Generate 30 or more two-way vehicle movements in any hour.
3) Generate 100 or more two-way vehicle movements per day.
4) Be likely to increase accidents and conflicts between motorised and non-motorised users.
5) Generate significant freight or HGV movement per day or abnormal loads per year.
6) Be proposed where the local highway infrastructure is inadequate to serve the proposed use.

What’s required b) Travel plan:

The travel plan should outline the measures to be taken to encourage staff and visitors to travel to and from the site using sustainable modes of travel in order to reduce vehicular trips to the site and therefore minimise the environmental impact of the development including:

1) Site location plan (strategic and local context).
2) Site audit of transport links, transport issues, barriers to non-car use and possible improvements to encourage sustainable modes.
Reason for requirement c) Parking and servicing:
Needs to be considered as part of any scheme. Car parking needs to be at an appropriate level to cater for the development with regard to its location and association with adjacent land uses, availability of public transport and highway safety. The information can be combined with a transport assessment or transport statement if appropriate.

Trigger – When it is required c) Parking and servicing:
All developments generating additional parking on/off site.

What’s required c) Parking and servicing:
It should include the following:
1. Rationale of parking provision.
2. Car parking accumulation and car parking layout including cycle parking layout.
3. Servicing plan for deliveries, collection, etc.
4. Parking and servicing management.

Reason for requirement d) Road safety audit:
To evaluate the highway safety merits of proposed works.

Trigger – When it is required d) Road safety audit
Where development proposals include the provision of new or alteration of existing highway infrastructure. (For the purpose of delivering this in the Checklist this is restricted to major development proposals only).

What’s required d) Road safety audit:
Audits undertaken should include the Audit Brief and Exception/Report/Designers Response, in accordance with the Highways Agency’s ‘Design Manual for Roads and Bridges Volume 5, Section 2, Part 2 HD 19/03 Road Safety Audit’.
### Local Validation Requirement 10: Highway assessments (Continued)

#### Policy Guidance

<table>
<thead>
<tr>
<th>National:</th>
<th>Local:</th>
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<tbody>
<tr>
<td>◇ National Planning Policy Framework</td>
<td>◇ Allerdale Local Plan (Part 1)</td>
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<tr>
<td>◇ Chapter 4 Paragraph 29-41</td>
<td>◇ Policy S22: Transport Principles</td>
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<td></td>
<td>◇ Planning Practice Guidance – Travel plans, transport assessments and statements in decision-taking</td>
</tr>
</tbody>
</table>

#### Websites:

- Cumbria County Council Roads and Transport

#### Contacts:

- Cumbria County Council Highways Department

#### Other Information:

- Making residential travel plans work – Good practice for new development 2005
- Parking Guidelines in Cumbria 1997
- Highways Agency - Design Manual for Roads and Bridges Volume 5, Section 2, Part 2 HD 19/03 Road Safety Audit
- Cumbria County Council Cumbria Design Guide
- Appendix 7
Document Name: Land contamination / land gas assessments

**Reason for Requirement:** In order to safeguard Human Health and the wider environment (including Controlled Waters), this evidence seeks to evaluate the risks arising from potential 'contamination' and any remediation requirements that must be considered on the basis of both the development sites current land-use (and circumstances) and its proposed use.

**Trigger – When it is required:**

*Land contamination / land gas assessment*

Stage 1 Preliminary Risk Assessment including a desk top study and site walkout should be carried out by a suitably qualified professional for outline (major) and detailed developments where:

- The land is known to be contaminated, particular attention should be paid to previously developed sites (apart from householder applications and applications for change of use which do not include any operational development)

**What’s required:**

See guidance notes in appendix 8.

**Policy Guidance**

<table>
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</thead>
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</tr>
<tr>
<td>◊ Chapters 11 Paragraphs 120-125</td>
<td>◊ Policy S30: Reuse of Land</td>
</tr>
</tbody>
</table>

**Other Information:**

- ◊ CLR11 – Model Procedures for the Management of Land Contamination
- ◊ Development of Potentially Contaminated Land and Sensitive End Uses: An Essential Guide For Developers Jan 2013
- ◊ Appendix 8

**Contacts:**

- ◊ Environmental Health (Allerdale Borough Council)
- ◊ Environment Agency
Document Name: Landscape and Visual Impact Assessment

Reason for Requirement:
To assess the impact of any individual development on the character, setting and visual amenity of the surrounding landscape and any sensitive receptors within it.

Trigger – When it is required:
For all major residential, commercial and industrial proposals (10 or more dwellings/floor space 1000 square meters and above, site area 0.5 ha or above).

For non-sensitive locations which will not affect the character of any designated landscape/heritage environments, a written statement shall be provided on the extent of any impact of the development on the local environment of the application site and its surroundings.

Any developments having potential landscape/visual impacts affecting the character or setting of the designated landscapes of the Lake District National Park/World Heritage Site or the Solway Coast Area of Outstanding Natural Beauty & Conservation areas.

What’s required:

Landscape

The assessment should include visual representations of the site before and after the proposed development such as photomontages and artist’s impressions. Sensitive sites either within designated landscapes or visually prominent on the edge of settlements, requires the submission of a Landscape and Visual Impact Assessment (LVIA) by a qualified landscape architect. The submission of Landscape Assessment should include a list of viewpoints to assess the proposal which should be agreed with the Development Management Team prior to submission of the application.

Visual

A detailed visual impact assessment on any residential properties including; distance, compass direction, orientation of the receptor to the proposal and the extent of any vision from the property (oblique/direct views), details of any intervening topography/landscaping and manmade features.

Policy Guidance

National:
◊ National Planning Policy Framework
◊ Chapter 10 Paragraphs 96-97
◊ Chapter 11 Paragraphs 109, 113-120

Local:
◊ Allerdale Local Plan (Part 1)
◊ Policy S19: Renewable Energy and Low Carbon Technologies
◊ Policy S33: Landscape

Other Information:
◊ Landscape and Visual Impact Assessment 3rd Edition
Local Validation Requirement 13: Local affordable housing statement

Document Name: Local affordable housing statement

Reason for Requirement:
To assess the provision of local affordable housing provision as part of any residential development scheme in the context of Council planning policies.

Trigger – When it is required:
Within the principle and key service centres, proposals of 10 or more dwellings or 0.3 hectares or more as part of a residential or mixed use development.

Any development proposal cumulatively generating a floor space of 1000 sq. m or more. (including first floor & above)

Where the development does not propose affordable housing where this is required by policy then justification must be provided. The proportion and types of affordable units required shall be determined in consultation with the Council’s Planning and Housing Departments.

What’s required:
Where a local affordable housing need has been identified by the Council, an affordable housing statement is required relating to the provision of affordable housing including:

◊ The total number of residential units proposed including the number type of tenure and the size of the property for affordable housing.

◊ Plan or schedule showing the location of units (to be dispersed in clusters in estate development) excluding Outline applications where siting and layout are not reserved matter.

◊ Background and justification for the proposed approach detailed in the statement.

Policy Guidance

National:
◊ National Planning Policy Framework
◊ Chapter 6 Paragraph 47-50, 54-55

Local:
◊ Allerdale Local Plan (Part 1)
◊ Policy S8: Affordable Housing

Other Information:
◊ Housing Strategy 2016

Contacts:
◊ Housing Department (Allerdale Borough Council)
Local Validation Requirement 14: Marketing and Viability Statements

**Reason for Requirement:**

To assess the marketability and viability of either existing or proposed future land uses or development.

**Trigger – When it is required:**

Planning applications for:

- Non B1 (Business), B2 (General Industrial) and B8 (Storage or Distribution) uses on existing employment sites land allocated for such purposes in the development plan.
- Demolition of Listed and locally Listed buildings.
- Removal of an occupancy condition on a dwelling in the countryside.
- Development not complying (where an identified housing need exists) with the Council’s local affordable housing provision; or required commuted sum contribution.
- Loss of community facility, see para 262 Allerdale Local Plan.
- Enabling development proposals

Marketing information may not always be required in the context of the Local Plan Policy DM8 and the need for such evidence should be clarified with the Local Planning Authority at pre application stage. A statement justifying any exemption in providing this information is required.

**What’s required:**

A marketing written assessment to demonstrate that the property/land has been advertised for sale or lease on the open market for uses appropriate to the use allocated in the development plan by a suitably qualified professional person including:

- Details of the valuation
- The length of time it has been advertised (minimum continuous 6 months).
- Where and how it has been promoted/marketed, press advertisements, estate agents, websites (including specialist agents e.g. public houses) and type of tenure sale/rent.
- Details of any offers

Details of the marketing and all offers received, if applicable, should be submitted with a written assessment. (This financially sensitive information will normally be confidential and not open for public disclosure).

See Appendix 10 for viability details.

**Policy Guidance**

**National:**

- National Planning Policy Framework
- Chapter 3 Paragraph 28
- Planning Practice Guidance - Viability

**Local:**

- Allerdale Local Plan (Part 1)
- Policy S6: Area Based
- Policy S26: Community and Rural Services
- Policy DM3: Protection of Employment Sites
- Policy DM8: Protecting Town Centre Vitality and Viability
Reason for Requirement:
The purpose of the noise assessment is to determine whether the development will have a significant impact on existing noise levels or whether the existing noise environment is unacceptable for the proposed development when all appropriate forms of mitigation have been considered.

Trigger – When it is required:
1) Proposals that generate high levels of noise such as commercial / industrial developments with noisy machinery, workshops, refrigeration and ventilation plant and equipment, sport or leisure activities involving noise generating equipment, public houses etc.
2) Proposed noise sensitive land uses such as housing adjacent to existing significant noise source including roads, railways and activities listed under 1) above or similar.

What’s required:
The information required should be prepared by a suitably qualified professional including reference to:
1) Description of site and surrounding area (and identification of any noise sensitive land uses)
2) Description of use and noise emissions, Survey details, Noise assessment criteria, Noise readings (including existing background noise levels), Description of noise sources, Description of noise sources, Assessment and calculations, Any mitigation/sound insulation measures, Conclusions and recommendations.

Policy Guidance

National:
◊ National Planning Policy Framework
◊ Chapter 11 Paragraph 122-123
◊ Planning Practice Guidance – Noise
◊ Explanatory Note of the Noise Policy Statement for England (NPSE)

Other Information:
◊ BS4142 – Methods for rating and assessing industrial and commercial sound
◊ BS5228 – Code of practice for noise and vibration control on construction and open sites
◊ BS8233 – Guidance on sound insulation and noise reduction for buildings

Local:
◊ Allerdale Local Plan (Part 1)
◊ Policy S32: Safeguarding Amenity

Contacts:
◊ Environmental Health (Allerdale Borough Council)
◊ Environment Agency (Agricultural/Industrial permits)
**Reason for Requirement:**

Assessment of town centre land uses and their impact on the vitality and viability of town centres.

This is applicable to retail developments, licensee, entertainment facilities and the more inclusive sport and recreation uses (including cinemas, restaurants, drive through restaurants, bars and pubs, nightclubs, health and fitness clubs, indoor bowling centres, bingo halls, offices, arts and culture developments including theatres, museums, galleries, concert halls, hotels and conference facilities.

**Trigger – When it is required:**

A sequential assessment is required for planning applications for main town centre uses that are not within the town centre boundaries identified on the proposals map and in appendix 4 of the Allerdale Local Plan (Part 1) and are not in accordance with an up to date development plan. Requirement applies to extensions to retail or leisure uses where the gross floor space of the proposed extension exceeds 200 square metres.

An impact assessment is required for planning applications for retail and leisure developments over the following square metres gross floor space not in an existing centre and not in accordance with an up to date development plan.

<table>
<thead>
<tr>
<th>Town</th>
<th>Square Meters</th>
</tr>
</thead>
<tbody>
<tr>
<td>Workington</td>
<td>500 sq. m</td>
</tr>
<tr>
<td>Maryport</td>
<td>300 sq. m</td>
</tr>
<tr>
<td>Cockermouth</td>
<td>300 sq. m</td>
</tr>
<tr>
<td>Wigton</td>
<td>300 sq. m</td>
</tr>
<tr>
<td>Aspatria</td>
<td>100 sq. m</td>
</tr>
<tr>
<td>Silloth</td>
<td>100 sq. m</td>
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</tbody>
</table>

**What's required:**

Sequential tests should demonstrate evidence on the potential use of preferable alternative available town centre sites prior to any alternative available edge of town centre site or any out of town centre location. Any out of town centre proposal will need to also demonstrate that there are no preferable edge of town centre sites.

An assessment of retail impact on existing centres.

**Policy Guidance**

**National:**

- National Planning Policy Framework
- Chapter 2 Paragraphs 23-27

**Local:**

- Allerdale Local Plan (Part 1)
- Policy S16: Town Centres and Retail
- Policy DM8: Protecting Town Centre Vitality and Viability
Document Name: Surface water drainage assessment / Drainage Hierarchy evidence/ Surface Water Drainage Statement

Reason for Requirement:
To ensure a satisfactory standard of surface water drainage for the development and minimise the risk of flooding in compliance with Surface Water Management Good Practice Principles and Standards the surface water drainage hierarchy outlined in the Planning Practice Guidance

Trigger – When it is required a) Surface Water Drainage assessment:
An assessment is required where the means of surface water drainage via 1) the public sewer mains sewer or 2) Sustainable Drainage System (SUDS) 3) Soakaway/Percolation evidence, 4) Existing Water-course for any major development proposals

Trigger – When it is required b) Drainage Hierarchy evidence/ Surface Water Drainage Statement:
1) For proposals where the means of surface water drainage is via a combine sewer, surface water main sewer, highway drain or other drainage system that is not via soakaway.
2) Proposals where the means of surface water drainage proposed is via a soakaway.
3) Proposals where the proposed means of surface water is to an existing water course.

Exemptions:
On outline applications with all matters reserved only, if the applicant confirms in writing to the Local Planning Authority that they are happy to deal with this as a condition were the application to be approved there would be no requirement of this at the validation stage.

What’s required a) Surface Water Drainage assessment:
In order to demonstrate that the development will not have an unacceptable adverse impact on the water environment details of how the existing and proposed surface water will be drained should be provided on the drawing(s).

Details should be provided of:
A Surface Water Drainage Assessment by a suitably qualified person to assess (including details of geology, hydrology, water table and ground conditions) to demonstrate the proposed drainage system complies with current British Standards and CIRIA guidance. This should include any relevant calculations, plans to accompany the assessment and how the system will be secured and maintained.
What’s required b) Drainage Hierarchy evidence/ Surface Water Drainage Statement:

In order to demonstrate that the development will not have an unacceptable adverse impact on the water environment details of how the existing and proposed surface water will be drained should be provided on the drawing(s).

Details should be provided of:

1. **Combine sewer, surface water main sewer, highway drain or other drainage system that is not via soakaway**

A statement should be provided outlining the surface water drainage hierarchy, specifying why the preferable options of soakaways or discharge to watercourses have not been pursued or a letter of confirmation from United Utilities.

These details should also show of the method of drainage will be maintained

2. **Soakaway/Percolation**

Sufficient evidence to demonstrate that any soakaway means of surface water drainage will practically function through the provision of details on; ground conditions/ geology/ percolation test and capacity of the site. This is required as in most cases around our Borough soakaways are not feasible due to ground quality and the designated aquifers.

These details should also show of the method of drainage will be maintained

3. **Existing Watercourse**

Details of the location of the existing watercourse including any covered culverts which should be within or adjoin the application site identified by the red line on the site location plan.

These details should also show of the method of drainage will be maintained

**Policy Guidance**

**National:**
- National Planning Policy Framework
- Chapter 11 Paragraph 122-123
- Planning Practice Guidance – Noise
- Explanatory Note of the Noise Policy Statement for England (NPSE)

**Other Information:**
- BS4142 – Methods for rating and assessing industrial and commercial sound
- BS5228 – Code of practice for noise and vibration control on construction and open sites
- BS8233 – Guidance on sound insulation and noise reduction for buildings
- Appendix 12

**Contacts:**
- Environmental Health (Allerdale Borough Council)
- Environment Agency (Agricultural/Industrial permits)
Reason for Requirement:
To assess the merits of existing trees including those protected by a Tree Preservation Order or within a Conservation Area as part of any development scheme (which may include tree canopies of adjacent sites which overhang the site boundary).

To assess the importance of any hedgerow to be removed as part of the development.

Trigger – When it is required:
A tree survey should accompany all applications where trees protected by a Tree Preservation Order or within a Conservation Area may be affected by the proposed development. This includes trees on adjacent land or highways which are within 15m of the boundary of the site.

A hedgerow assessment is required for major applications where hedgerow/s may be removed or felled by the development.

A hedgerow assessment is also required on all applications if 20 meters or more of hedgerow is proposed to be removed as part of the development.

What’s required:
Tree Survey:
Please see appendix 9 for full details

Hedgerow Assessment:
The hedgerows should be assessed against the criteria contained within the Hedgerow Regulations 1997 to determine whether any of them can be classified as “important” for any of the criteria detailed within paragraphs 1, 4, 5, 7 and 8 of Schedule 1 of the Regulations.

Policy Guidance
Other information:
- BS 5837:2012—Trees in Relation to Design and Construction—Recommendations
- The Hedgerows Regulation 1997

Local:
- Allerdale Local Plan (Part 1)
- Policy S33: Landscape
- Policy DM17: Trees, Hedgerows and Wood-