



Legal Compliance Self Assessment Checklist 2017 Breckland Local Plan

This legal compliance self assessment checklist was produced by the Planning Advisory Service (PAS) in April 2013. Breckland District Council has used this checklist to demonstrate that the Local Plan and supporting documents meet the legal and procedural requirements as set out in the relevant legislation.

Local Plan Legal Compliance Checklist (April 2013)

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

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

Glossary:

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

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

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

LDS means **Local Development Scheme**

SCI means **Statement of Community Involvement**

DPD means **Development Plan Document**

Stage one: The early stages

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

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

- planning for community engagement
- planning the sustainability appraisal (including consultation with the statutory environment consultation bodies)
- identifying significant cross boundary and inter-authority issues
- ensuring that the plan rests on a credible evidence base, including meeting the Act's requirement for keeping matters affecting the development of the area under review.

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

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

Stage one: The beginning

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence provided |
|--|--|-----------------------------|--|---|--|
| 1. Is the DPD identified in the adopted LDS? Have you recorded the timetable for its production? | The Act section 15(2) and section 19(1) | NPPF para 153 | | <ul style="list-style-type: none"> i. The adopted LDS at the time of commencement, publication and submission of the DPD ii. The relevant authority monitoring report (if changes need to be explained) | <p>Local Development Scheme (LDS) Fifth Revision, March 2013</p> <p>LDS Sixth Revision, February 2017</p> <p>LDS Seventh Revision, June 2017</p> |
| 2. How will community engagement be programmed into the preparation of the DPD? | The Act section 19(3) Regulation 18 | NPPF paras 150, 155 and 157 | If the SCI is up-to-date, use that. If not set out any changes to community engagement as a result of changes in legislation. | <ul style="list-style-type: none"> i. The SCI ii. The project plan for the DPD | Statement of Community Involvement 2013 |
| 3. Have you considered the appropriate bodies you should consult? | Regulation 18 | NPPF paras 4.25 - 4.26 | <p>Regulation 2 defines the general and specific consultation bodies.</p> <p>The possible evidence may duplicate each other. Only use what</p> | <ul style="list-style-type: none"> i. The SCI ii. Reports and decisions setting out the approach to specific and general consultation bodies iii. Consultation statement | Statement of Community Involvement 2013 |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence provided |
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| | | | you need to. | | |
| 4. How you will co-operate with other local planning authorities, including counties, and prescribed bodies, to identify and address any issues or strategic priorities that will have a significant impact on at least two planning areas? | <p>The Act section 33A(1)(a) and (b), section 33A(3)(d) (e) & (4)</p> <p>The Act Section 20(5)(c)</p> <p>Regulation 4</p> | <p>NPPF paras 178 to 181 (which comprise the guidance referred to in the Act section 33A(7))</p> <p>Under NPPF Para 182, to be 'Effective' a plan should be based on effective joint working on cross-boundary strategic priorities.</p> <p>Strategic priorities are listed at NPPF Para 156</p> | <p>Section 33A(4) defines a "strategic matter".</p> <p>Under section 33A(6) the required engagement includes considering joint approaches to the plan making activities (including the preparatory activities) and considering whether to agree joint local development documents under section 28.</p> <p>The bodies prescribed by section 33A(1)(c) are set out at Regulation 4(1).</p> | <p>i. Reports and decisions setting out the approach to be taken</p> <p>ii. Consultation statement</p> | <p>The Duty to Co-operate Statement, June 2017</p> <p>Consultation Statement, June 2017</p> |
| 5. How you will co-operate with any local enterprise partnerships (LEP) or local nature partnerships (LNP) to identify and address any issues or strategic priorities | <p>The Act section 33A(1)(c) and section 33A(9), section 33A(3)(d) and (e)</p> <p>The Act section 20(5)(c).</p> | <p>NPPF paras 178 to 181</p> | <p>Section 33A(4) defines a "strategic matter".</p> <p>Strategic priorities are listed at NPPF Para 156.</p> <p>Regulation 4(2) prescribes LEPs and</p> | <p>i. Reports and decisions setting out the approach to be taken.</p> <p>ii. Consultation statement</p> | <p>The Duty to Co-operate Statement, June 2017</p> <p>Consultation Statement, June 2017</p> |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence provided |
|---|----------------------|---|--|---|---|
| that will have a significant impact on at least two planning areas? | Regulation 4 | | LNPs for the purposes of section 33A(9). Under section 33A(6) the required engagement includes consulting on joint approaches to relevant activities. | | |
| 6. Is baseline information being collected and evidence being gathered to keep the matters which affect the development of the area under review? | The Act section13 | NPPF paras 158 - 177 | | <ul style="list-style-type: none"> i. Documents dealing with collection of baseline information ii. Relevant technical studies iii. The annual monitoring report | Evidence Library Sustainability Appraisal Scoping Report, July 2013 Authorities Monitoring Report, 2016 |
| 7. Is baseline information being collected and evidence being gathered to set the framework for the sustainability appraisal? | The Act section19(5) | NPPF paras 165 and 167 Strategic Environmental Assessment Guide, chapter 5 | | <ul style="list-style-type: none"> i. Sustainability report scoping document ii. Sustainability appraisal report | Sustainability Appraisal Scoping Report, July 2013 Interim Sustainability Appraisal, November 2014 Emerging Site Options Interim Sustainability |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence provided |
|---|--|---|--|--|--|
| | | | | | Appraisal, December 2015 Sustainability Appraisal Report, June 2017 |
| 8. Have you consulted the statutory environment consultation bodies for five weeks on the scope and level of detail of the environmental information to be included in the sustainability appraisal report? | Regulations 9 and 13 of The Environmental Assessment of Plans and Programmes Regulations 2004 No 1633. | NPPF paras 165 and 167 SEA Guide chapter 3 | The Strategic Environmental Assessment consultation bodies are also amongst the 'specific consultation bodies' which are defined in Regulation 2). | Copies of the consultation letters sent to and any responses from the bodies | Consultation Statement, June 2017 |

Stage two: Plan preparation - frontloading phase

Information assembled during this phase contributes to:

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

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

Stage two: Plan preparation

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|--|---------------------------------|----------------------|--|--|---|
| <p>1. Have you notified:</p> <ul style="list-style-type: none"> the specific consultation bodies? the general consultation bodies that have an interest in the subject of the DPD and invited them to make representations about its contents? | Regulation 18(1) and (2)(a) (b) | NPPF paras 159 – 173 | Specific and general consultation bodies are defined in Regulation 2. | <ul style="list-style-type: none"> i. Consultation statement ii. Copies of documents consulting these bodies iii. Record of discussions iv. Copies of representations made v. A brief statement setting out the reasons why any bodies have been omitted from or included in consultation | <p>Consultation Statement, June 2017</p> <p>The Duty to Co-operate Statement, June 2017</p> |
| 2. Are you inviting representations from people resident or carrying out business in your area about the content of the DPD? | Regulation 18(1) and (2)(c) | NPPF paras 159 – 173 | | <ul style="list-style-type: none"> i. Consultation statement ii. Copies of documents consulting these persons iii. Record of discussions iv. Copies of representations made | <p>Consultation Statement, June 2017</p> <p>The Duty to Co-operate Statement, June 2017</p> |
| 3. Are you engaging with stakeholders responsible for delivery of the strategy? | Regulation 18 | NPPF para 155 | NPPF paras 160-171 4.29 give examples of relevant bodies which should be | <ul style="list-style-type: none"> i. Consultation statement ii. Copies of documents consulting these | Consultation Statement, June 2017 |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|--|---|--|---|---|---|
| | | | consulted. | people iii. Record of discussions | The Duty to Co-operate Statement, June 2017 |
| 4. Are you taking into account representations made? | Regulation 18(3) | NPPF para 155 | Evidence from participation is part of the justification. Show how you have taken representations into account. | i. Consultation statement ii. Any reports on the selection of alternatives and options for the DPD | Consultation Statement, June 2017 Sustainability Appraisal Report, June 2017 |
| 5. Does the consultation contribute to the development and sustainability appraisal of alternatives? | The Act section 19(5) Regulations 12 and 13 of The Environmental Assessment of Plans and Programmes Regulations 2004 No 1633 | NPPF paras 165 – 168 SEA Guide, chapter 3 | | i. Consultation statement ii. Any reports on the selection of alternatives and options for the DPD iii. Sustainability appraisal report | Consultation Statement, June 2017 Sustainability Appraisal Report, June 2017 |
| 6. Is the participation: <ul style="list-style-type: none"> following the principles set out in your SCI? integrating involvement with the sustainable | The Act section 19(3) | NPPF para 155 | | i. Consultation Statement ii. The SCI iii. The relevant sustainable community strategies | Consultation Statement, June 2017 Statement of Community Involvement, 2013 |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|---|--|------------------------------|---|--|---|
| <p>community strategy?</p> <ul style="list-style-type: none"> proportionate to the scale of issues involved in the DPD? | | | | | |
| <p>7. Are you keeping a record of:</p> <ul style="list-style-type: none"> the individuals or bodies invited to make representations? how this was done? the main issues raised? | <p>The Act section 20(3)</p> <p>Regulation 17</p> | <p>NPPF paras 158 - 171</p> | <p>You will need to submit a statement of representations under Regulation 22 (1) (c): see Submission stage below.</p> <p>Regulation 35 deals with the availability of documents and the time of their removal.</p> | <ul style="list-style-type: none"> Consultation statement Reports by the council on the consultation Copies of representations and relevant correspondence Technical reports on the engagement process | <p>Consultation Statement, June 2017</p> |
| <p>8. Are you inviting representations on issues that would have significant impacts on both your areas from another local planning authority? Or county issues from an affected county council that is not a planning authority? Or significant cross-boundary issues and strategic priorities of a body prescribed under Section 33A(1)(c)?</p> | <p>The Act section 33A(1)(a) (b) and (c), section 33A(3)(d) & (e) section 33A(4) section 33A(9)</p> <p>The Act section 20 (5)(c)</p> | <p>NPPF paras 178 to 181</p> | <p>Section 33A(3)(d) and (e) requires cooperation on significant cross-boundary issues before and during plan preparation.</p> <p>Section 33A(2) requires you to engage constructively, actively and on an ongoing basis.</p> | <ul style="list-style-type: none"> Consultation statement Reports by the council on the consultation Copies of representations and relevant correspondence Technical reports on the engagement process | <p>Consultation Statement, June 2017</p> <p>The Duty to Co-operate Statement, June 2017</p> |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|--|---|--|---|--|---|
| 9. Are you inviting representations on cross-boundary issues and strategic priorities from a local enterprise partnership (LEP) or a local nature partnership (LNP)? | <p>The Act section 33A(1)(c) and Section 33A(9).</p> <p>The Act section 20(5) (c).</p> <p>Regulation 4</p> | <p>NPPF paras 178 to 181</p> | <p>Section 33A(3)(d) and (e) requires cooperation on significant cross-boundary issues before and during plan preparation.</p> <p>Section 33A(2) requires you to engage constructively, actively and on an ongoing basis.</p> | <ul style="list-style-type: none"> i. Consultation statement ii. Reports by the council on the consultation iii. Copies of representations and relevant correspondence iv. Technical reports on the engagement process | <p>Consultation Statement, June 2017</p> <p>The Duty to Co-operate Statement, June 2017</p> |
| 10. Are you developing a framework for monitoring the effects of the DPD? | <p>The Act section 35</p> <p>Regulation 34</p> <p>Regulation 17 of The Environmental Assessment of Plans and Programmes Regulations 2004 No1363</p> | <p>NPPF paras 165 - 1687</p> <p>SEA Guide, Chapter 5</p> | <p>It is a matter for each council to decide what to include in their monitoring reports while ensuring they are prepared in accordance with relevant UK and EU legislation” Chief Planning Officer letter 30 March 2011 withdrawing ODPM guidance.</p> | <ul style="list-style-type: none"> i. Sustainability appraisal report ii. The authority monitoring report iii. Reports or documents setting out the appraisal and monitoring framework | <p>Sustainability Appraisal Report, June 2017</p> <p>Authority Monitoring Report (AMR)</p> |

Stage three: Plan preparation - formulation phase

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

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

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

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

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

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

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

The council should tell all parties that this is the main participation opportunity on the emerging plan. The publication stage is a formal opportunity for anyone to comment on an aspect of the DPD's soundness, and to propose a change to the plan accordingly. The more effectively this message is put across, the lower the chance of late changes being brought forward following publication.

Stage three: Plan preparation – writing the plan

| Activity | Statutory requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|--|--|---|--|--|---|
| <p>1. Are you preparing reasonable alternatives for evaluation during the preparation of the DPD?</p> | <p>Regulation 12 (2) of The Environmental Assessment of Plans and Programmes Regulations 2004 No. 1633</p> | <p>NPPF paras 152 - 182 SEA Guide, Chapter 5</p> | <p>The sustainability appraisal report and supporting documents relevant to the preparation of the DPD are part of the proposed submission documents (see Regulation 17).</p> | <p>Documents supporting decisions on alternatives and any preferred strategy</p> | <p>Sustainability Appraisal Scoping Report, July 2013 Interim Sustainability Appraisal, November 2014 Emerging Site Options Interim Sustainability Appraisal, December 2015 Sustainability Appraisal Report, June 2017</p> |
| <p>2. Have you assessed alternatives against:</p> <ul style="list-style-type: none"> • consistency with national policy? • general conformity with the regional spatial strategy where still in force? | <p>The Act section 19 (2), section 24</p> | <p>NPPF para 151</p> | <p>For London boroughs and local authorities where regional strategies are still in force general conformity is tested formally later but you need to consider it during preparation of the DPD.</p> | <p>i. Supporting documents ii. Correspondence with Mayor of London (London Boroughs and Mayoral Development Corporations only)</p> | <p>Sustainability Appraisal Scoping Report, July 2013 Interim Sustainability Appraisal, November 2014</p> |

| Activity | Statutory requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|--|---|-------------------------------|--|--|--|
| | | | | | <p>Emerging Site Options Interim Sustainability Appraisal, December 2015</p> <p>Sustainability Appraisal Report, June 2017</p> |
| <p>3. Are you having regard to (where relevant):</p> <ul style="list-style-type: none"> • adjoining regional spatial strategies? • the spatial development strategy for London? • Planning Policy for Wales? • the National Planning Framework for Scotland? | <p>The Act sections 19 (2) and 24 (1) and (4)</p> <p>Regulation 10 and 21</p> | | <p>Where the regional strategy has been revoked you should record that fact.</p> | <ul style="list-style-type: none"> i. Supporting documents ii. Correspondence with the Mayor of London, relevant Welsh or Scottish regional planning bodies (as appropriate) iii. CLG notice of revocation of the regional strategy | <p>The Duty to Co-operate Statement, June 2017</p> |
| <p>4. Are you co-operating with other local planning authorities including counties, to address significant</p> | <p>The Act section 33A(2)(a)</p> <p>Section</p> | <p>NPPF paras 181 and 185</p> | <p>.</p> | <ul style="list-style-type: none"> i. Supporting documents ii. Correspondence with LPA/County Council | <p>The Duty to Co-operate Statement, June 2017</p> |

| Activity | Statutory requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|--|---|-------------------------------|--|--|--|
| <p>cross boundary issues? Have you discussed doing joint local development documents?</p> | <p>33A(6)(a)(b) Section 20(5) (c)</p> | | | | |
| <p>5. Are you cooperating with a person prescribed for the purposes of Regulation 33A(1)(c) to address significant cross boundary issues including preparing joint approaches?</p> | <p>The Act section 33A(2)(a), section 33A(6)(a) The Act section 20 (5) (c) Regulation 4</p> | <p>NPPF paras 181 and 182</p> | <p>The bodies prescribed by The Act section 33A(1)(c) are set out at Regulation 4 (1).</p> | <p>i. Supporting documents ii. Correspondence with prescribed bodies</p> | <p>The Duty to Co-operate Statement, June 2017</p> |
| <p>6. Are you cooperating with having regard to the activities of the LEP and LNP?</p> | <p>The Act section 33A(2)(b) and section 33A(9). Regulation 4 (2)</p> | <p>NPPF para 181 and 182</p> | | <p>i. Supporting documents ii. Correspondence with LEP/LNP</p> | <p>The Duty to Co-operate Statement, June 2017</p> |
| <p>7. Are you having regard to:</p> <ul style="list-style-type: none"> • your sustainable community strategy or of other authorities whose area comprises part of the area of the council? • any other local development | <p>The Act section 19(2)</p> | | | <p>i. Supporting documents ii. The sustainable community strategies iii. Relevant local development documents iv. Correspondence with the local strategic partners</p> | <p>The Duty to Co-operate Statement, June 2017</p> |

| Activity | Statutory requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
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| documents adopted by the council? | | | | | |
| 8. Do you have regard to other matters and relevant strategies relating to: <ul style="list-style-type: none"> resources the local/regional economy the local transport plan and transport facilities and services waste strategies hazardous substances | The Act section19(2) Regulation 10 | | As well as the matters and strategies listed in the Act and Regulations there are likely to be other matters identified in planning policy statements, regional and local strategies that you will need to have regard to in preparing the DPD. | i. Supporting documents ii. Correspondence with the relevant bodies | The Duty to Co-operate Statement, June 2017 Norfolk County Council - Minerals and Waste planning, Local Transport Plan (2011-2026), Norfolk Infrastructure Plan (2016-2019) |
| 9. Are you having regard to the need to include policies on mitigating and adapting to climate change? | The Act section19(1A) | NPPF paras 93 - 108 | | Supporting documents | Sustainability Appraisal Report, June 2017 Strategic Flood Risk Assessment (SFRA), 2017 |
| 10. Have you undertaken the sustainability appraisal of alternatives, including consultation on the sustainability appraisal | The Act section19(5) Regulation 12 and 13 of The Environmental | NPPF para 182 SEA Guide, Chapter 5 | Regulation13 of The Environmental Assessment of Plans and Programmes Regulations 2004 No 1633 sets out the | i. Reports on the sustainability of alternatives ii. Record of work undertaken on sustainability appraisal | Sustainability Appraisal Report, June 2017 |

| Activity | Statutory requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
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| report? | Assessment of Plans and Programmes Regulations 2004 No 1633 | | consultation procedures. | iii. Supporting documents | |
| 11. Are you setting out reasons for any preferences between alternatives? | Regulation 8(2) | NPPF para 182 | This will include Information from the sustainability appraisal. | i. Any reports setting out alternatives and choices considered ii. Supporting documents | Sustainability Appraisal Report, June 2017 |
| 12. Have you taken into account any representations made on the content of the DPD and the sustainability appraisal? Are you keeping a record? | Regulations 17, 18(3) and 22 (1) (c) (iv) Regulation 13(4) of The Environmental Assessment of Plans and Programmes Regulations 2004 No 1633 | NPPF paras 150, 155, 157 and 159-171 | Records on the sustainability appraisal should also include recording any assessment made under the Habitats Directive. | i. Correspondence from those making representations ii. Reports on issues raised iii. Consultation statement iv. Sustainability appraisal report | Sustainability Appraisal Scoping Report, July 2013 Interim Sustainability Appraisal, November 2014 Emerging Site Options Interim Sustainability Appraisal, December 2015 Sustainability Appraisal Report, June 2017 Consultation |

| Activity | Statutory requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|--|--|------------------------|---|---|---|
| | | | | | Statement, June 2017 |
| <p>13. Where sites are to be identified or areas for the application of policy in the DPD, are you preparing sufficient illustrative material to:</p> <ul style="list-style-type: none"> • enable you to amend the currently adopted policies map? • inform the community about the location of proposals? | Regulations 5 (1)(b) and 9 | NPPF para 157 | <p>Regulation 2 defines the terms 'submission' and 'adopted' proposals map.</p> <p>A map showing changes to the adopted policies map is part of the proposed submission documents defined in Regulation 17.</p> | <ul style="list-style-type: none"> i. Adopted policies map ii. Any reports on proposals to amend the policies map iii. Illustrative material that shows how the policies map will be amended or replaced | Breckland Local Plan Pre-Submission Publication and Policies Maps |
| 14. Are the participation arrangements compliant with the SCI? | <p>The Act, section 19(3)</p> <p>Regulation 18</p> | NPPF paras 150 and 155 | | <ul style="list-style-type: none"> i. The SCI ii. Consultation statement | <p>Statement of Community Involvement 2013</p> <p>Consultation Statement, June 2017</p> |

Stage four: Publication

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

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

- do so and progress directly to publication

OR

- produce and consult on a revised preferred strategy.

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

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

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

The six weeks publication period is the opportunity for those dissatisfied (or satisfied) with the DPD to make formal representations to the inspector about its soundness. Only people proposing a change to the plan can expect to be heard at examination.

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

Stage four: Publication

| Activity | Statutory requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|---|---|---|---|---|--|
| 1. Have you prepared the sustainability appraisal report? | The Act section 19(5) Regulation 12 of the Environmental Assessment of Plans and Programmes Regulations 2004 No 1633 | NPPF paras 165 - 168 SEA Guide Chapter 5 | | Sustainability appraisal report | Sustainability Appraisal Scoping Report, July 2013 Interim Sustainability Appraisal, November 2014 Emerging Site Options Interim Sustainability Appraisal, December 2015 Sustainability Appraisal Report, June 2017 |
| 2. Have you made clear where and within what period representations must be made? | Regulation 17, 19, 20 and 35 | | The period must not be less than 6 weeks from when you publish under Regulations 19 and 35 (see below). | i. Report or record of decisions ii. The statement of community interest | Consultation Statement, June 2017 Statement of Community Involvement 2013 |
| 3. Have you made copies of the following available for | Regulation 19(a) | | Regulation 17 gives definitions. | i. Copies of the relevant statements ii. Report on where | The proposed submission documents and |

| Activity | Statutory requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
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| inspection: <ul style="list-style-type: none"> • the proposed submission documents? • the statement of the representations procedure? | | | | and when made available iii. Record of where and when made available | the Statement of Representation Procedure were made available in the Council's Libraries, main offices and on the website. A copy of the statement was also sent out to all consultees on the Council's database via email or letter. |
| 4. Have you published on your website: <ul style="list-style-type: none"> • the proposed submission documents? • the statement of the representations procedure? • statement and details of where and when documents can be inspected? | Regulations 19 and 35 | | Regulations 2 and 17 give definitions. | Record of publication | As above. Details contained in the Consultation Statement, 2017 |
| 5. Have you sent to each | Regulation 19(b) | | Regulations 2 and 17 | i. Copies of | Consultation |

| Activity | Statutory requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|--|--|--------------------|---|---|--|
| <p>of the specific consultation bodies invited to make representations under Regulation 18(1):</p> <ul style="list-style-type: none"> • A copy of each of the proposed submission documents • The statement of the representations procedure? | | | give definitions. | <p>correspondence</p> <p>ii. Record of sending</p> | <p>Statement, June 2017</p> <p>The Duty to Co-operate Statement, June 2017</p> |
| <p>6. Have you sent to each of the general consultation bodies invited to make representations under Regulation 18(1):</p> <ul style="list-style-type: none"> • the statement of the representations procedure? • where and when the documents can be inspected? | Regulation 19(b) | | Regulations 2 and 17 give definitions. | <p>i. Copies of correspondence</p> <p>ii. Record of sending</p> | Consultation Statement, June 2017 |
| <p>7. Have you requested the opinion of the Mayor of London (if a London Borough or Mayoral DC) on the general conformity of the DPD spatial</p> | <p>The Act section 24</p> <p>Regulation 21</p> | | The request must be made on the day you publish the documents under Regulation 19(a) and a response must be made within six | Copies of correspondence | N/A |

| Activity | Statutory requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
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| development strategy? | | | weeks from the request (Regulation 21). | | |

Stage five: Submission

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

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

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

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

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

Stage five: Submission

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
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| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|---|--|------------------------|---|---|--|
| 1. Has the DPD been prepared in accordance with the LDS? Does the DPD's listing and description in the LDS match the document? Have the timescales set out in the LDS been met? | The Act section 19(1) | | The Act section 15(2) sets out the matters specified in the LDS. As at January 2013, no further matters are prescribed in the Regulations. | <ul style="list-style-type: none"> i. The LDS ii. Explanation of any changes from the milestones set out in the LDS iii. Relevant authority monitoring reports | <p>Local Development Scheme (LDS) Fifth Revision, March 2013</p> <p>LDS Sixth Revision, February 2017</p> <p>LDS Seventh Revision, June 2017</p> |
| 2. Has the DPD had regard to any sustainable community strategy for its area (like a county and district)? | The Act section 19(2) | NPPF para 182 | | <ul style="list-style-type: none"> i. The sustainable community strategy(ies) ii. Reference to sections of the DPD showing how regard has been had to them | The Duty to Co-operate Statement, June 2017 |
| 3. Is the DPD in compliance with the SCI (where one exists)? Has the council carried out consultation as described in the SCI? | The Act section 19(3) Regulation 22(1)(c) | | Before the SCI is formally amended to take into account the changes in the regulations, you may need to set out how the community engagement that you carried out met the regulations (as amended). | <ul style="list-style-type: none"> i. The SCI ii. The Regulation 22(1)(c) statement | Statement of Community Involvement 2013 |
| 4. Have you identified and addressed any | The Act section 33A(1) | NPPF paras 181 and 182 | Under NPPF para 182, the plan should be | Statement identifying any strategic cross-boundary | The Duty to Co-operate Statement, June 2017 |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
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| <p>issues which are likely to have a significant impact on at least two planning areas. In doing so, have you co-operated with other local planning authorities, county councils where they are not a planning authority, LEPs, LNPs and the prescribed bodies in identifying and addressing any strategic cross-boundary issues</p> <p>If you have not agreed on the approach is there a justification?</p> | <p>and section 20(5)</p> | | <p>based on effective joint working on cross-boundary strategic priorities to be found 'Effective'.</p> | <p>issues or impacts on county matters addressed in the document and explaining the approach taken to co-operate with the relevant bodies.</p> <p>Supporting correspondence and reports e.g. Memorandum of Understanding, shared and agreed evidence</p> | |
| <p>5. Has the DPD been subject to sustainability appraisal? Has the council provided a final report of the findings of the appraisal?</p> | <p>The Act section 19(5)</p> <p>Regulation 22(1)(a)</p> | <p>NPPF para 165</p> <p>SEA Practical Guide, chapter 5</p> | | <p>Sustainability appraisal report</p> | <p>Sustainability Appraisal Scoping Report, July 2013</p> <p>Interim Sustainability Appraisal, November 2014</p> <p>Emerging Site Options</p> |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
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| | | | | | Interim Sustainability Appraisal, December 2015 Sustainability Appraisal Report, June 2017 |
| 6. Is the DPD to be submitted consistent with national policy? | The Act section 19(2) and Schedule 8 | NPPF para 151 | | i. Correspondence with PINS? ii. PAS Soundness self assessment checklist | Correspondence with PINS PAS Soundness Self Assessment Checklist |
| 7. Does the DPD contain any policies or proposals that are not in general conformity with the regional strategy where it still exists? If yes, is there local justification? If the LPA is a London borough or a mayoral development corporation has it requested an opinion from the Mayor of London on the general | The Act section 24(1)(a) and 24(4) Regulation 21 | NPPF para 218 footnote 41 | In London the requirement is for general conformity with the spatial development strategy (The London Plan). | i. Correspondence with or representations from Mayor of London (where appropriate) ii. Confirmation of (where appropriate) conformity from the Mayor or that no Regional Strategy is in place | N/A |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|--|--|--------------------|--|--|---|
| conformity of the plan with the spatial development strategy? | | | | | |
| <p>8. Has the council published the prescribed documents, and made them available at their principal offices and their website?</p> <p>Has the council notified the relevant statutory and non-statutory bodies, and all persons invited to make representations on the plan?</p> <p>Does the DPD contain a list of superseded saved policies?</p> | <p>The Act section 20(2), 20(3) and 20(5)(b)</p> <p>Regulations 8 and 19</p> | NPPF para 182 | Requirements relating to publication of the prescribed documents are listed later in this table. | <ul style="list-style-type: none"> i. The documents prescribed at Regulation 22(1) ii. Relevant authority monitoring reports iii. Records of the actions undertaken (see below) | <p>The Submission Documents and supporting evidence has been published on the website and is available at the Breckland District Council office.</p> <p>Notifications of the submission have been sent by email or letter to all relevant consultees.</p> <p>Appendix 4 of the Breckland Local Plan provides a list of all remaining saved policies. All other policies are superseded.</p> |
| 9. Are there any policies applying to sites or areas by reference to an Ordnance Survey | Regulations 5(1) (b), 9 (1), 17 & 22(1) | | | <ul style="list-style-type: none"> i. Submission policies map ii. Brief statement if a submission policies map is not required | The Council has published a Policies Map illustrating proposed allocations and designations. |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|---|--|--------------------|--|--|--|
| <p>map or to amend an adopted policies map?</p> <p>If yes, have you prepared a submission policies map?</p> | | | | | |
| <p>10. Is the DPD consistent with any other adopted DPDs for the area? If the DPD is intended to supersede any adopted development plan policies, does it state that fact and identify the superseded policies?</p> | <p>Regulation 8(3) and (4)</p> <p>Regulation 8(5)</p> | | <p>Development Plan is defined in Section 38 of the Act.</p> | <p>i. The core strategy</p> <p>ii. Documents or reports demonstrating conformity</p> | <p>The DPD is in conformity with other authorities adopted DPD's as recorded in the Duty to Cooperate Statement.</p> <p>Appendix 4 of the Breckland Local Plan provides a list of all remaining saved policies. All other policies will be superseded on adoption of the document.</p> |
| <p>11. Have you prepared a statement setting out:</p> <ul style="list-style-type: none"> Which bodies and persons were invited to make representations under Regulation 18? | <p>The Act section 20 (3)</p> <p>Regulation 22(1)(c)</p> | | <p>This will bring forward material from the Consultation statement (see Stage 2 above).</p> | <p>i. Consultation statement</p> <p>ii. The Statement as required in Regulation 22(1)(c)</p> | <p>Consultation Statement, November 2017</p> |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|---|---|--------------------|------------------|---|---|
| <ul style="list-style-type: none"> • How they were invited? • A summary of the main issues raised? • How the representations have been taken into account? | | | | | |
| <p>12. Have you prepared a statement giving:</p> <ul style="list-style-type: none"> • the number of representations made under Regulation 22? • a summary of the main issues raised? <p>OR</p> <ul style="list-style-type: none"> • that no representations were made? | <p>The Act section 20(3)</p> <p>Regulation 22(1)(c)</p> | | | <p>The Statement as required in Regulation 22(1)(c)</p> | <p>Consultation Statement, November 2017</p> |
| <p>13. Have you collected together all the representations made under Regulation 28?</p> | <p>The Act section 20(3)</p> <p>Regulation 22(1)(e)</p> | | | <p>Copies of the representations</p> | <p>Local Plan Pre-Submission Consultation Representations and Officer Responses</p> |
| <p>14. Have you assembled the</p> | <p>The Act section 20(3)</p> | | | <p>All necessary evidence and records of decisions</p> | |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|--|--|--------------------|---|---|---|
| relevant supporting documents? | Regulation 22(1)(g) | | | relevant to the DPD | |
| 15. Has your council approved the DPD for submission? | | | Check the LPA's constitution/standing orders for the authorisation process appropriate for the type of DPD. | Report and resolution of the appropriate council body | Approved by meeting of the Full Council 27 th July 2017 for delegated power to submit by the Strategic Planning Manager in consultation with the Leader and Executive Member for Growth. |
| 16. Have you sent the Secretary of State (the Planning Inspectorate) both a paper copy and an email of the following: <ul style="list-style-type: none"> the DPD? the submission policies map (unless there are no site allocation policies)? the documents prescribed in Regulation 22(1)? | The Act section 20(1) and 20(3) Regulations 22(1) and 22(2) | | Regulation 35 deals with the availability of documents and the time of their removal. Electronic copies of some of the representations and supporting documents may not be practicable. Regulation 35 deals with the availability of documents and the time of their removal. | i. Record of sending ii. Reasons why documents cannot be sent electronically | Submitting on 30 th November 2017 |
| 17. Have you made the following | Regulation 22(3) | | You should do this as soon as reasonably | Record of where and when made available | This will be undertaken after submission to PINS |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|--|--------------------------------------|--------------------|---|------------------------------|--|
| <p>available at the same places where the proposed submission documents were to be seen:</p> <ul style="list-style-type: none"> • The DPD? • The documents prescribed in Regulation 22(1)? | | | <p>practicable after submission.</p> | | |
| <p>18. On your website, have you published the:</p> <ul style="list-style-type: none"> • DPD? • submission policies map? • sustainability appraisal report? • Regulation 22(1)(c) statement? • supporting documents (where practicable) ? • representations made under Regulation 20 | <p>Regulation 22(3) and 35(1)(b)</p> | | <p>You should do this as soon as reasonably practicable after submission.</p> | <p>Record of publication</p> | <p>These documents will all be available on the Local Plan Examination page.</p> |

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|--|---------------------|--------------------|--|--|--|
| (where practicable) ? <ul style="list-style-type: none"> statement as to where and when the DPD and the documents are available? | | | | | |
| 19. For each general consultation body invited to make representations under Regulation 18(1), have you sent: <ul style="list-style-type: none"> notification that the documents prescribed in Regulation 22(3)(a)(i)-(iii) are available for inspection where and when they can be inspected? | Regulation 22(3)(b) | | You should do this as soon as reasonably practicable after submitting to the Secretary of State. | i. Copies of correspondence ii. Record of sending | This will be undertaken after submission to PINS |
| 20. Have you given notice to persons who have requested to be notified that submission has | Regulation 22(3)(c) | | You should do this as soon as reasonably practicable after submitting to the Secretary of State. | i. Copies of correspondence ii. Record of sending | This will be undertaken after submission to PINS |

| Activity | Legal requirement | Guidance reference | Additional notes | Possible evidence | Evidence Provided |
|--|--|--------------------|------------------|--|---|
| taken place? | | | | | |
| <p>21. If an examination is being held, at least six weeks before its opening has the Programme Officer:</p> <ul style="list-style-type: none"> • published the time and place of the examination and the name of the person appointed to carry out the examination on your website? • notified those who have made representations on the published DPD which have not been withdrawn of these details? | <p>The Act section 20</p> <p>Regulations 24 and 35</p> | | | <ul style="list-style-type: none"> i. Record of publication of information ii. Record of sending iii. Copies of correspondence iv. Copy of advertisement | <p>This will be undertaken after submission to PINS</p> |