

Appendix 1

National Statutory Requirements – Validation Checklist

Applications for full planning permission are required to be accompanied by the following:

The standard application form

From 1 April 2008, all planning applications will need to be presented on a standard application form, which will be available electronically. The Government wishes to encourage applicants to submit applications electronically wherever possible, as this provides opportunities for streamlining procedures and thereby reducing costs. However applicants will retain the option of submitting paper versions of the form. In that event, the GDPO 1995 requires three additional copies of the completed standard application form to be submitted.

An applicant may be requested by the local planning authority to submit more than three copies, but three copies is the statutory requirement for a valid application.

The location plan

All applications must include copies of a location plan based on an up-to-date map. This should be at a scale of 1:1250 or 1:2500. The GDPO 1995 requires three copies (unless submitted electronically). In exceptional circumstances plans of other scales may also be required. Plans should wherever possible show at least two named roads and surrounding buildings. The properties shown should be numbered or named to ensure that the exact location of the application site is clear.

The application site should be edged clearly with a red line. It should include all land necessary to carry out the proposed development – for example, 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.

Site and Other Plans

Copies of the site plan should be submitted. The legislation requires three copies (unless submitted electronically). The site plan should be drawn at a scale of 1:500 or 1:200 and should accurately show:

- a) The direction of North.
- b) The proposed development in relation to the site boundaries and other existing buildings on the site, with written dimensions including those to the boundaries.
- c) All the buildings, roads and footpaths on land adjoining the site including access arrangements.

d) The position of all trees on the site, and those on adjacent land that could influence or be affected by the development.

e) The extent and type of any hard surfacing.

f) Boundary treatment including walls or fencing where this is proposed.

In addition other plans should be submitted dependent on the type of Application. These may include:

Block plan of the site (e.g. at a scale of 1:100 or 1:200) showing any site boundaries

Copies of plans should show: any site boundaries; the type and height of boundary treatment (e.g. walls, fences etc); the position of any building or structure on the other side of such boundaries

Existing and proposed elevations (e.g. at a scale of 1:50 or 1:100)

These should be drawn to a scale of 1:50 or 1:100 and show clearly the proposed works in relation to what is already there. All sides of the proposal must be shown and these should indicate, where possible, the proposed building materials and the style, materials and finish of windows and doors. Blank elevations must also be included; if only to show that this is in fact the case. Where a proposed elevation adjoins another building or is in close proximity, the drawings should clearly show the relationship between the buildings, and detail the positions of the openings on each property.

Existing and proposed floor plans (e.g. at a scale of 1:50 or 1:100)

These should be drawn to a scale of 1:50 or 1:100 and should explain the proposal in detail. Where existing buildings or walls are to be demolished these should be clearly shown. The drawings submitted should show details of the existing building(s) as well as those for the proposed development. New buildings should also be shown in context with adjacent buildings (including property numbers where applicable).

Existing and proposed site sections and finished floor and site levels

(e.g. at a scale of 1:50 or 1:100)

Such plans drawn at a scale of 1:50 or 1:100 should show a cross section(s) through the proposed building(s). In all cases where a proposal involves a change in ground levels, illustrative drawings should be submitted to show both existing and finished levels to include details of foundations and eaves and how encroachment onto adjoining land is to be avoided.

Full information should also be submitted to demonstrate how proposed buildings relate to existing site levels and neighbouring development. Such plans should show existing site levels and finished floor levels (with levels related to a fixed datum point off site) and also show the proposals in relation to adjoining buildings. This will be required for all applications involving new buildings. In the case of householder development, the levels may be evident from floor plans and elevations, but particularly in the case of sloping sites it will be necessary to show how proposals relate to existing ground levels or where

ground levels outside the extension would be modified. Levels should also be taken into account in the formulation of design and access statements.

Roof plans (e.g. at a scale of 1:50 or 1:100)

A roof plan is used to show the shape of the roof and is typically drawn at a scale smaller than the scale used for the floor plans. Details such as the roofing material, vents and their location are typically specified on the roof plan.

Ownership Certificates

Under section 65(5) of the Town and Country Planning Act 1990, read in conjunction with Article 7 of the GDPO, the local planning authority must not entertain an application for planning permission unless the relevant certificates concerning the ownership of the application site have been completed. All applications for planning permission except for approval of reserved matters must include the appropriate certificate of ownership. An ownership certificate A, B, C or D must be completed stating the ownership of the property.

For this purpose an 'owner' is anyone with a freehold interest, or leasehold interest the unexpired term of which is not less than 7 years.

Notice(s)

A notice to owners of the application site must be completed and served in accordance with Article 6 of the GDPO.

Agricultural Holdings Certificate

This certificate is required whether or not the site includes an agricultural holding. All agricultural tenants must be notified prior to the submission of the application. This Certificate is not required if the applicant is making an application for reserved matters, renewal of temporary planning permission, discharge or variation of conditions, tree preservation orders, or express consent to display an advertisement.

The correct fee (where one is necessary)

 [Scale of Fees for Planning](#)

Design and Access Statements

A Design and Access Statement must accompany applications for both outline and full planning permission unless they relate to one of the following:

- A material change of use of land and buildings, (unless it also involves operational development);
- Engineering or mining operations;
- Householder developments. However, statements are required for applications where any part of a dwelling house or its curtilage fall within one of the following designated areas:
 - National Park
 - Site of special scientific interest

Conservation area
Area of outstanding natural beauty
World Heritage Site
The Broads

A design and access statement is a short report accompanying and supporting a planning application that should seek to explain and justify the proposal in a structured way. The level of detail required in a design and access statement will depend on the scale and complexity of the application, and the length of the statement will vary accordingly. The design and access statement should cover both the design principles and concepts that have been applied to the proposed development and how issues relating to access to the development have been dealt with. A design and access statement should be proportionate to the complexity of the application, but need not be long. What is required in a design and access statement is set out in article 4C of the GDPO and Department for Communities and Local Government Circular 01/06 – *Guidance on Changes to the Development Control System*.

Applications for listed building consent will also be required to be accompanied by a design and access statement. In particular, such a statement should address:

- (i) the special architectural or historic interest of the building;
- (ii) the particular physical features of the building that justify its designation as a listed building; and
- (iii) the building's setting.

The legislative requirements are set out in regulation 3A of the Planning (Listed Buildings and Conservation Areas) Regulations 1990.

Appendix 2

Local requirements – Liverpool’s Validation Checklist

New Housing- Housing Market Renewal Initiative

Housing Development SPD (adopted by Liverpool City Council in July 2005) is part of the statutory development plan. The SPD and the Unitary Development Plan will be used for making decisions on planning applications for new dwellings including conversions. In this regard it will be necessary for all these residential applications to be accompanied by a Housing Assessment.

Within the HMRI area, proposals for residential development will be considered acceptable in principle, subject to the applicant demonstrating a number of points as set out in relevant policy documents (particularly the UDP and the Council’s urban design Guide). Proposals should have sufficient information to meet sustainability provisions and quality design aims set out in PPS1.

Proposals for residential development outside the HMRI area and strategic sites will only be permitted where there is a demonstrable regeneration benefit and where it would not undermine the HMRI Zones of opportunity and the HMRI area as a whole. Information required to demonstrate would include :- the number of residential units, the mix of units with numbers of habitable rooms and/or bedrooms, or the floor space of habitable areas of residential units, and should comply with the relevant UDP policies including Policy H6.

Air Quality Assessment

Where the development is proposed inside, or adjacent to an air quality management area (AQMA), or where the development could in itself result in the designation of an AQMA or where the grant of planning permission would conflict with, or render unworkable, elements of a local authority’s air quality action plan, applications should be supported by such information as is necessary to allow a full consideration of the impact of the proposal on the air quality of the area. Where AQMAs cover regeneration areas, developers should provide an air quality assessment as part of their planning application. Further advice is available in *Planning Policy Statement 23: Planning and Pollution. UDP Policy EP 11*.

Biodiversity Survey and Report

Where a proposed development may have possible impacts on wildlife and biodiversity, information should be provided on existing biodiversity interests and possible impacts on them to allow full consideration of those impacts. Where proposals are being made for mitigation and/or compensation measures

information to support those proposals will be needed. Where appropriate accompanying plans should indicate any significant wildlife habitats or features and the location of habitats of any species protected under the Wildlife and Countryside Act 1981, the Conservation (Natural Habitats etc) Regulations 1994 or the Protection of Badgers Act 1992. Applications for development in the countryside that will affect areas designated for their biodiversity interests are likely to need to include assessments of impacts and proposals for long term maintenance and management. This information might form part of an Environmental Statement, where one is necessary. Certain proposals which include work such as the demolition of older buildings or roof spaces, removal of trees, scrub, hedgerows or alterations to water courses may affect protected species and will need to provide information on them, any potential impacts for them and any mitigation proposals for such impacts. Government planning policies for biodiversity are set out in *Planning Policy Statement 9: UDP Policy OE5, OE6, OE7*.

Daylight/Sunlight assessment

In circumstances where there is a potential adverse impact upon the current levels of sunlight/daylight enjoyed by adjoining properties or building(s), including associated gardens or amenity space then applications may also need to be accompanied by a daylight/sunlight assessment. Further guidance is provided in, for example, BRE guidelines on daylight assessments.

Further Guidance is contained in the Council's Supplementary Planning Document on Residential Development UDP Policy HD 18.

Environmental Impact Statement

The Town and Country Planning (Environmental Impact Assessment) Regulations (1999) set out the circumstances in which an Environmental Impact Assessment (EIA) is required.

Where EIA is required, an Environmental Statement in the form set out in Schedule 4 to the regulations must be provided. Where EIA is not required, the local planning authority may still require environmental information to be provided. An applicant may request a 'screening opinion' (i.e. to determine whether EIA is required) from the planning authority before submitting the application.

Out of Centre Uses (Impact Assessments)

Impact assessments are required for all retail and leisure developments over 2,500 square metres gross floorspace, and may be required for smaller developments such as those likely to have a significant impact on smaller centres. Impact assessments should also be provided for applications for other

district centre uses when they are in an edge of centre or out of centre location and not in accordance with a development plan. Policy advice can be found in **Planning Policy Statement 6: Planning for town Centres (March 2005)** Evidence should be provided to show that there are no sequentially preferable sites. Policy advice on the policy tests for town centre uses is provided in *Planning Policy Statement 6: Planning UDP S12,S13*.

Design and Access Statement

The Liverpool Unitary Development Plan – Policy HD19 *Access for All* sets out policy and Supplementary Guidance Note *Access for All* provides information and advice to developers on the standards that the City Council would like to see in development schemes. This policy and guidance is available on There is also a Merseyside wide *Code of Practice on Access and Mobility* which is an advisory document reflecting best practice and current statutory requirements for the design of buildings, structures, highways and transportation www.accesscode.info.

National Planning Policy Statement 1 makes clear that inclusive access is a material planning consideration and that the majority of planning applications should be accompanied by an access statement.

In respect of all applications (outline and full planning applications) the City Council would require an Access Statement to cover the following parts.

The access component of a statement would cover the following points:

- a) the policy or approach adopted to access, and how policies relating to access in relevant local development documents have been taken into account;
- b) what, if any, consultation has been undertaken as to the access and what account has been taken of the outcome of any such consultation;
- c) how any specific issues which might affect access to the development have been addressed;
- d) how prospective users will be able to access the development from the existing transport network and why the main points of access to the site and the layout of access routes within the site have been chosen;
- e) how features which ensure access to the development will be maintained.

The Access Statement should be an integral part of a Design Statement.

Depending on the nature of the application and the works involved exceptions to this may be made with the applications for:-

- A material change of use of land and buildings, (unless it also involves (operational development));
- engineering or mining applications;
- development of an existing single dwelling-house, where no part of the dwelling-house or its curtilage is within a designated area, e.g a conservation area.

However Liverpool City Council would expect ALL changes of use to uses which provide services to the public to be accompanied by an Access Statement

The Access Statement should illustrate what has been done from the start to ensure buildings, services and facilities are accessible to all. The statements are central to the planning application process and designers, developers and clients should explain how the needs of disabled people and everyone else are incorporated into the design of a scheme, and should be accompanied by plans showing circulation routes, facilities, dimensions etc.

The nature of Design and Access Statement may vary depending on the size, complexity and nature of the scheme. The access statement should clearly identify :-

- The philosophy and approach to an inclusive design
- The key issues of the particular scheme
- The source of advice and guidance used
- How the principles of an inclusive design have been implemented into the scheme.
- How inclusion will be maintained and managed.

If a major development is proposed a comprehensive two dimensional visualization of the proposal in the context of it's surroundings, or a three dimensional model should be submitted.

Crime Prevention

Secured by design is the UK Police flagship initiative supporting the principles of “designing out crime” by use of effective crime prevention and security standards for a range of applications.

Secured by Design (SBD) is a minimum standard for safety and security. Additional or alternative measures may be required due to local conditions, as advised by the local police Architectural Liaison Officer (ALO)

The principles of designing out crime must be incorporated (see the *Secured by Design* Principles document at www.securedbydesign.com) in the design and Access Statement. *Safer Places The Planning System and Crime Prevention*, a planning guidance document issued by the Home Office and the ODPM (now the DCLG) sets out (2.3 to 2.6 inclusive) Developers must demonstrate that the all of the attributes have been considered and applied within the design of the development.

- Access and movement
- Structure
- Surveillance
- Ownership
- Physical protection
- Activity
- Management and maintenance

Flood Risk Assessment

At the planning application stage, where necessary, an appropriate Flood Risk Assessment (FRA) will be required to demonstrate how flood risk from all sources of flooding to the development itself and flood risk to others will be managed now and taking climate change into account. Planning applications for development proposals of 1 hectare or greater in Flood Zone 1 and all proposals for new development located in Flood Zones 2 and 3 should be accompanied by a Flood Risk Assessment (FRA). This should identify and assess the risks of all forms of flooding to and from the development and demonstrate how these flood risks will be managed, taking climate change into account. For major developments in Flood Zone 1, the FRA should identify opportunities to reduce the probability and consequences of flooding.

The FRA should be prepared by a developer in consultation with the local planning authority. The FRA should form part of an Environmental Statement when one is required by the **Town and Country Planning (Environmental Impact Assessment) (England and Wales) Regulations 1999 as amended**. Planning Policy Statement 25: 'Development and Flood Risk (December 2006) provides comprehensive guidance for both local planning authorities and applicants in relation to the undertaking of flood risk assessments and the responsibilities for controlling development where it may be directly affected by flooding or affect flooding elsewhere.
UDP policy EP 13 Flood Prevention.

Heritage Statement (including Historical, archaeological features and Scheduled Ancient Monuments)

Conservation Statement

(Including listed buildings, buildings within conservation areas and the Liverpool World Heritage Site, locally listed buildings, development affecting registered historic parks, scheduled ancient monuments, archaeological remains and the setting of any of the above)

The Council deals with both planning applications affecting the historic environment (based on a number of heritage designations) and applications under separate but related legislation for listed building consent. Requirements for supporting information vary with the type of application, the complexity of the proposals and the nature of their impact.

Government advice as to the supporting information required when proposals affect the historic environment is given in Annex B (paragraph B.3) of **Planning Policy Guidance 15: Planning and the Historic Environment** (DETR / DCMS, September 1994). This includes, location plan to identify the building in context, plans and drawings to identify the work – in all but the simplest work this means measured drawings of floor plans and external (and internal as necessary) elevations. Submissions should include both survey (before) drawings and proposal (after) drawings. Photographs can be particularly helpful. Applications for listed building consent can require submission of additional technical specification for proposed works, detail of structural works and a full schedule of works. In most cases where significant development is proposed, contextual drawings showing street scenes and important views may be required.

There are also two special cases where the supporting information is required to exceed that normally required:-

(1) Listed Building Consent / Conservation Area Consent for demolition – criteria is set out in paragraphs 3.16 to 3.19 of PPG15. This includes conditions survey, structural survey, sales and marketing information, options feasibility study, financial information of costs and possible end values (development appraisal).

(2) Enabling development - by definition this is development that is harmful but is considered necessary as the least harmful solution to preserve a historic building. Advice as to the required information is set out in **Enabling Development and the Conservation of Heritage Assets** (English Heritage, June 2001) at section 2. It will include similar information to the above where demolition is proposed, some information about the feasibility of options, and financial / development appraisal.

Informed Conservation (English Heritage, 2001) is the good practice guide to PPG15 and provides further advice about the form and detail of submissions that can be used to accompany applications including, a 'heritage impact assessment' and 'conservation statement', as well as the more complex 'conservation management plan' which is only likely to be required for large and complex applications.

Where development may affect archaeological remains, guidance about the supporting information for an application is set out in **Planning Policy Guidance 16: Archaeology and Planning** (DoE, November 1990). Where there are known archaeological remains a desk-based assessment of the likely archaeological interest will be needed. For more complex applications, especially major development or infrastructure works, where archaeological remains may survive (as may be agreed in pre-application discussions) an applicant may need to commission a field-based assessment and submit the information as part of application.

Applications for scheduled ancient monument consent are currently submitted directly to the Department for Culture Media and Sport.

Land Contamination assessment

Applications may also need to be accompanied by a land contamination assessment which should include an extended assessment of contamination in line with **Planning Policy Statement 23 'Planning and Pollution Control' (November 2004)**. Where contamination is known or suspected or the proposed use would be particularly vulnerable, the applicant should provide such information with the application as is necessary to determine whether the proposed development can proceed. **UDP** Chapter 13, policy EP2 which requires details of a site survey identifying the type, degree and extent of any contamination, a requirement for remedial measures to deal with any hazard, together with the proposed timescale for the implementation of the measures.

Landfill applications

Applicants should provide sufficient information to enable the waste planning authority to fulfil its requirements under **The Landfill (England and Wales) Regulations 2002**. This information may be provided as part of the Environmental Impact Assessment.

Lighting assessment

Proposals *involving* the provision of publicly accessible developments, in the vicinity of residential property, a Listed Building or a Conservation Area, or open countryside, where external lighting would be provided or made necessary by the development, should be required to be accompanied by details of external lighting and the proposed hours when the lighting would be switched on. These details shall include a layout plan with beam orientation and a schedule of the equipment in the design. **UDP policy HD28 Light Spillage.**

Noise impact assessment

Application proposals that raise issues of disturbance or are considered to be a noise sensitive development in what are considered noise sensitive areas should be supported by a noise impact assessment prepared by a suitably qualified acoustician. Further guidance is provided *in Planning Policy Guidance note 24: Planning and Noise (September 1994)*. UDP Policy Pollution EP11.

Open Space assessment

Planning consent is not normally given for development of existing open spaces which local communities need. For development within open spaces, application proposals should be accompanied by plans showing any areas of existing or proposed open space within or adjoining the application site. An applicant seeking planning permission may seek to demonstrate through an independent assessment that the land or buildings are surplus to local requirements and any such evidence should accompany the planning application. Government planning policy is set out in **Planning Policy Guidance note 17: Planning for open space, sport and recreation (July 2002)**.

UDP Policy OE 11, OE12, OE13 and OE14.

Planning obligations - Draft Head(s) of Terms

Planning obligations (or “section 106 agreements”⁴) are private agreements negotiated between local planning authorities and persons with an interest in a piece of land (or “developers”), and are intended to make acceptable development which would otherwise be unacceptable in planning terms. Where Local Development Framework policies give details of likely section 106 requirements, a statement of the proposed Heads of Terms may be submitted with the application where it is known a 106 agreement is likely to be required. Further advice is available in ODPM **Circular 05/2005, Planning Obligations** and the model section 106 agreement, both of which are available on the Communities and Local Government

UDP Policy OE14

Parking provision

All non-householder applications will be required to provide details of existing and proposed parking provision, including cycle parking, and to justify the level of provision.

Applicants will be required to justify proposals which exceed the Council's maximum parking standards. Existing and proposed parking details may be required for proposals where existing parking will be lost.

Planning Statement

A planning statement identifies the context and need for a proposed development and includes an assessment of how the proposed development accords with relevant national, regional and local planning policies. It may also include details of consultations with the local planning authority and wider community/statutory consultees undertaken prior to submission. However, a separate statement on community involvement may also be appropriate.

Regeneration Statement

Applications may also need to be accompanied by a supporting statement of any regeneration benefits from the proposed development, including: details of any new jobs that might be created or supported; the relative floorspace totals for each proposed use (where known); any community benefits; and reference to any regeneration strategies that might lie behind or be supported by the proposal.

Site Waste Management Plan

Proposed new development should be supported by a Site Waste Management Plan of the type encouraged by the code of practice published in 2004 by the Department of Trade and Industry, now the Department for Business Enterprise and Regulatory Reform **Site Waste Management Plans: Guidance for construction contractors and clients**. These do not require formal approval by planning authorities, but are intended to encourage the identification of the type and volume of material to be demolished and/or excavated, opportunities for the reuse and recovery of materials and to demonstrate how off-site disposal of waste will be minimised and managed.

Statement of Community Involvement

Applications may need to be supported by a statement setting out how the applicant has complied with the requirements for pre-application consultation set out in the local planning authority's adopted statement of community involvement and demonstrating that the views of the local community have been sought and taken into account in the formulation of development proposals. Further guidance on Statements of Community Involvement is available in Chapter 7 of Creating Local Development Frameworks: A Companion Guide to PPS12 (November 2004).

UDP Policy C8 sec 12.76

Planning Policy Guidance 13 'Transport' (March 2001) advises that a Transport Assessment (TA) should be submitted as part of any planning application where the proposed development has significant transport implications. The coverage and detail of the TA should reflect the scale of the development and the extent of the transport implications of the proposal. For smaller schemes the TA should simply outline the transport aspects of the application, while for major proposals, the TA should illustrate accessibility to the site by all modes of transport, and the likely modal split of journeys to and from the site. It should also give details of proposed measures to improve access by public transport, walking and cycling, to reduce the need for parking associated with the proposal, and to mitigate transport impacts. Further guidance will be found in Guidance on Transport Assessment, published by the Department for Transport (March 2007).

(Draft) Travel Plan

A (draft) travel plan should be submitted alongside planning applications which are likely to have significant transport implications. A (draft) travel plan should outline the way in which the transport implications of the development are going to be managed in order to ensure the minimum environmental, social and economic impacts. The (draft) travel plan should have a strategy for its implementation that is appropriate for the development proposal under consideration. It should identify the travel plan coordinator, the management arrangements for the plan – e.g. a steering group and the development timetable. The strategy should also include activities for marketing and promoting the plan to occupiers, users, visitors and residents of the site. Further advice is available in **Using the planning process to secure travel plans: best practice guidance for local authorities, developers and occupiers [ODPM and DfT, 2002]** and **Making residential travel plans work** [DfT, 2007].

On the issue of transport the following UDP policies are relevant :-

T6 : cycling, T7 walking and pedestrians, T9 road safety, T12 major road corridors.

Combined these policies focus the need for sustainable transport whilst acknowledging the car as a main source of travel. The result is a balance

between vehicular and non-vehicular means, which promotes pedestrian and vehicular safety.

Telecommunications Development

Planning applications for mast and antenna development by mobile phone network operators in England should be accompanied by a range of supplementary information including the area of search, details of any consultation undertaken, details of the proposed structure, and technical justification and information about the proposed development.

Planning applications should also be accompanied by a signed declaration that the equipment and installation has been designed to be in full compliance with the requirements of the radio frequency (RF) public exposure guidance of the International Commission on Non-Ionizing Radiation Protection (ICNIRP). Further guidance on the information that may be required is set out in **Code of Practice on Mobile Network Development (2002)**

Tree survey/Arboricultural implications

Where there are trees within the application site, or on land adjacent to it that could influence or be affected by the development (including street trees), information will be required on which trees are to be retained and on the means of protecting these trees during construction works. This information should be prepared by a suitably qualified and experienced arboriculturist. Full guidance on the survey information, protection plan and method statement that should be provided with an application is set out in the current **BS5837 'Trees in relation to construction – Recommendations'**. Using the methodology set out in the BS should help to ensure that development is suitably integrated with trees and that potential conflicts are avoided.

UDP policies HD22, HD23.

Utilities Statement

A utilities statement should include how an application connects to existing utility infrastructure systems. Most new development requires connection to existing utility services, including electricity and gas supplies, telecommunications and water supply, and also needs connection to foul and surface water drainage and disposal.

Refuse Disposal Details

All proposals involving the creation of new dwellings or new retail, business, industrial or leisure or other similar developments will be required to be

accompanied by details of proposed facilities for the storage and collection of refuse, including access for refuse collection vehicles.

Large scale developments may result in requirements for recycling facilities.

Sustainability

Sustainability Statements will be required for all major planning applications which demonstrate the sustainability principles of the proposed development, including the positive environmental, social and economic considerations.