



**SCOTT WILSON PLANNING & REGENERATION**  
**Newcastle-under-Lyme**  
**Developer Contributions SPD**  
**Sustainability Appraisal Final Supplementary Scoping**  
**Report**

*January 2007*



## Scott Wilson Planning & Regeneration

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### Newcastle-under-Lyme Developer Contributions SPD Sustainability Appraisal Final Supplementary Scoping Report *January 2007*

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## 1 INTRODUCTION

### 1.1 Newcastle-under-Lyme Local Development Framework

- 1.1.1 Newcastle-under-Lyme Borough Council is in the process of preparing a Local Development Framework (LDF), which will replace the Adopted Newcastle-under-Lyme Local Plan 2011 (Adopted October 2003).
- 1.1.2 As part of the LDF the Council are preparing an SPD on Developer Contributions. The purpose of the SPD is to guide the use of planning obligations as used in relation to development within the remit of Section 106 of the Town and Country Planning Act. It will act as a supporting document to planning obligations policies contained within the Council's adopted Local Plan (October 2003), the saved Structure Plan, and the Regional Spatial Strategy. It will also be consistent with the emerging North Staffordshire Core Strategy DPD and Generic Development Control Policies and Area Action Plans (AAP) included in the Council's Local Development Scheme (LDS).

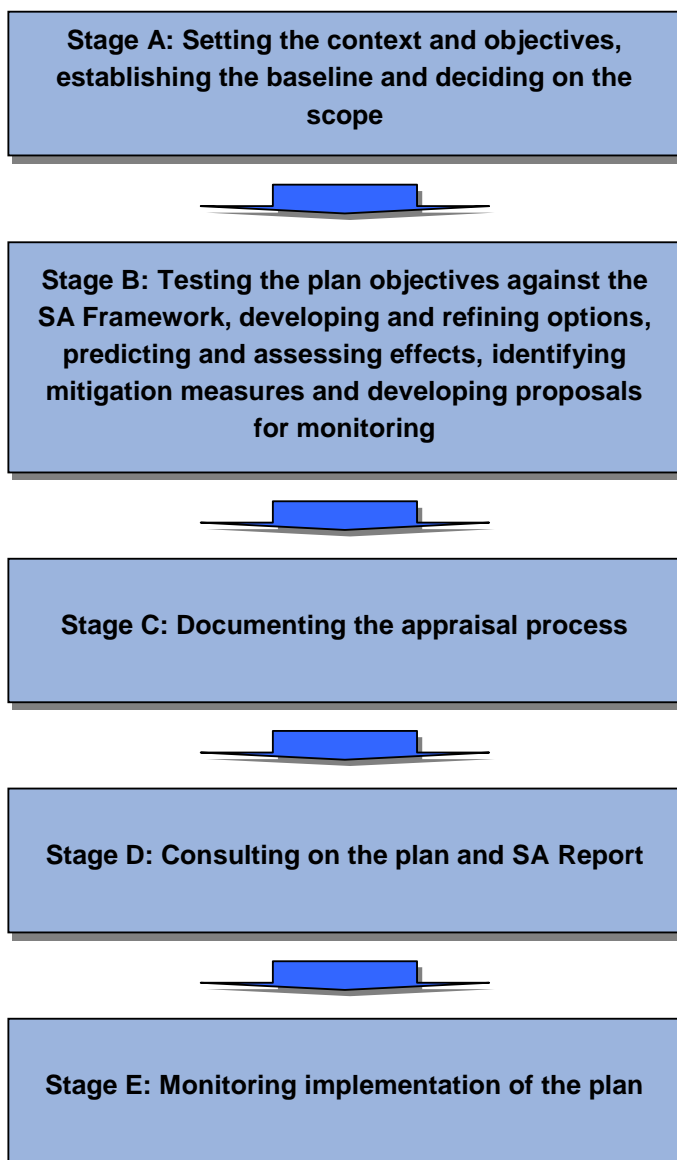
### 1.2 Strategic Environmental Assessment & Sustainability Appraisal

- 1.2.1 Under the Planning and Compulsory Purchase Act 2004, local planning authorities must undertake a **Sustainability Appraisal** (SA) for each of the Local Development Documents (LDDs) included in an LDF. LDDs include Development Plan Documents (DPDs) and Supplementary Planning Guidance (SPDs). SA involves assessing the degree to which an LDD reflects and promotes the principles of sustainable development and, where appropriate, makes recommendations for strengthening its sustainability performance. The SA process incorporates the requirements of the EU 'Strategic Environmental Assessment Directive' which requires certain UK plans and programmes – including LDDs – to undergo a formal environmental assessment.
- 1.2.2 SA involves identifying and evaluating a plan's impacts on the community, the environment and the economy – the three dimensions of sustainable development. It also suggests ways of avoiding or reducing negative impacts and can recommend measures to further enhance benefits. The findings of SA should then be considered for incorporation into the adopted SPD to help ensure that it maximises its contribution to future sustainability.
- 1.2.3 Government guidance<sup>1</sup> on undertaking SA for LDDs advocates a five-stage process. This process is illustrated in Figure 1. Each stage of the process is divided into subsections reflecting the components of the process that require undertaking and reporting.

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<sup>1</sup> ODPM (2005). *Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents* (available at: <http://www.odpm.gov.uk/index.asp?id=1143289>)

*Figure 1. Five stage approach to SEA / SA*



Source: Adapted from Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents, ODPM 2005

- 1.2.4 Stage A involves establishing the framework for undertaking the SA – essentially a set of sustainable development objectives against which the LDD in question can be assessed – together with the evidence base that will help to inform the appraisal. The evidence base should paint a picture of the area in question, which can be used in evaluating the impacts of the LDD on the sustainable development objectives. The framework and evidence base should be documented in a Scoping Report, which should be subject to consultation with the three SEA Consultation Bodies<sup>2</sup> and other stakeholders, including organisations with an economic and social remit.

<sup>2</sup> English Heritage, Natural England, Environment Agency

- 1.2.5 Newcastle-under-Lyme Borough Council and Stoke City council has carried out a Sustainability Appraisal of The North Staffordshire Core Spatial Strategy. The Scoping Report and Sustainability Appraisal Documents are available and can be downloaded at: [www.stoke.gov.uk/ccm/content/rc/development-plan/sustainability-appraisal.en](http://www.stoke.gov.uk/ccm/content/rc/development-plan/sustainability-appraisal.en).
- 1.2.6 Stage B in the SA process involves undertaking the appraisal itself. The appraisal will be documented in a '**Final SA Report**', which will be published alongside the draft SPD for public consultation.

### 1.3 This Report

- 1.3.1 This Supplementary Scoping Report is an addendum to the North Staffordshire Core Spatial Strategy Scoping Report. The North Staffordshire Core Spatial Strategy Scoping Report contains a broad range of baseline information relevant to the production of LDF documents. The Scoping Report provides a broad range of indicators, against which performance can be measured, to identify whether objectives have been achieved or whether any progress towards achieving them has been made.
- 1.3.2 Government Guidance<sup>3</sup> on SA recognises that, where appraisals of the parent DPD have already been undertaken, the need for new work in appraising an SPD may be limited. However, policies, which have not been subject to SA will need to be appraised.
- 1.3.3 Since the SPD will be consistent with the Core Spatial Strategy, it will also be consistent with the overarching sustainability appraisal for the Core Spatial Strategy. **This Supplementary Scoping Report therefore acts as an addendum to the North Staffordshire Core Spatial Strategy Scoping Report, reflecting a second stage of scoping.**
- 1.3.4 The report contains additional scoping information relevant to the Developer Contributions SPD that will form the basis of future versions of the Sustainability Appraisal. It will also seek to 'scope out' any particular sustainability considerations within the generic appraisal framework that have no relevance to the preparation of this particular document.

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<sup>3</sup> *Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents: Guidance for Regional Planning Bodies and Local Planning Authorities, November 2005 ODPM.*

## 2 STAGE A

### 2.1 Task A1 – Identifying other relevant plans, programmes and sustainability objectives

- 2.1.1 Stage A of the SA process involves establishing, amongst other things, the context in which the SPD is being prepared, i.e. the other policies, plans, programmes, strategies and initiatives (PPPSIs) that influence the contents of the SPD (and vice versa) and the opportunities and challenges they present.
- 2.1.2 The Guidance states:
- Where an up to date RSS revision or DPD is in place, the list of policies, plans, programmes and sustainability objectives may be used for the SPD. This should be updated to include locally specific documents relevant to the production of the particular SPD concerned.
- 2.1.3 The Core Spatial Strategy Scoping Report contains details of plans, strategies, guidance and legislation that are relevant to the Core Spatial Strategy. These documents range from international guidance and legislation at the highest level, through UK government policies and guidance, to corporate policies and strategies at the local level. They also include targets and objectives of regulatory and advisory organisations (for example the Environment Agency and Natural England).
- 2.1.4 Although all of these documents have implications for sustainability, not all of them are directly relevant to the preparation of the Developer Contributions SPD. We have scoped the list of documents previously reviewed, and considered which documents are relevant to this SPD and whether there are any new documents that need appraising. Documents that we consider relevant to this SPD are listed below. Documents not previously considered by the Core Spatial Strategy Scoping Report are highlighted in Italics.

**Table 1: List of relevant policies, plans, programmes, strategies and initiatives reviewed and key messages.**

<b>National Documents</b>
PPS1 – General Policies and Principles
PPG2 – Green Belts
<b><i>PPS3 – Housing</i></b>
PPS 7 – Sustainable Development in Rural Areas
PPG 9 – Nature Conservation (Draft PPS9 Biodiversity & Geological Conservation)
PPG 13 – Transport
PPG 17 – Planning for Open Space, Sport and Recreation
PPS 25 – Development and Flood Risk
<b><i>ODPM Circular 05/2005 Planning Obligations</i></b>
<b>Regional documents</b>
Regional Spatial Strategy for the West Midlands

Regional Transport Strategy for the West Midlands West Midlands Housing Strategy
<b>Local / Sub-Regional PPPs</b>
Staffordshire and Stoke-on-Trent Structure Plan 1996-2011 <b><i>Newcastle-under-Lyme Local Plan 2011</i></b> <b><i>Newcastle-under-Lyme Supplementary Planning Guidance on Affordable Housing (2004)</i></b>

- 2.1.5 Relationships between these PPPSIs will be identified, enabling potential synergies to be exploited and any inconsistencies or constraints to be highlighted in the Sustainability Appraisal Report. Where conflicts arise, principles of precedence between levels or types of plan, recent policy developments and legal requirements will be defined.
- 2.1.6 An initial review of PPPSI was carried out as part of the North Staffordshire Core Spatial Strategy Scoping Report. This section provides the results of a further review of PPPSIs relevant to the Developer Contributions SPD. The PPPSIs were reviewed to identify issues relating to Developer Contributions and possible implications for the development of the SPD and for the Sustainability Appraisal. Details of the review are included in **Appendix A**.
- 2.1.7 The additional PPPSIs identified in italics and bold in Table 1 above are analysed in the same manner in Table 2 below. They are assessed for their ability to be incorporated into (and therefore be consistent with) the Core Spatial Strategy SA Framework by identifying which of the Sustainability Objectives (see **Appendix B**) the additional PPPSIs are consistent with. This is not intended to be an in-depth analysis, but rather a means of identifying some of the key issues for consideration during this initial scoping stage.
- 2.1.8 When considering the context, it is important to recognise four factors:
- **No list or review of relevant PPPSIs can ever be exhaustive.** The context review seeks to identify the key PPPSIs and distil the key message from these.
  - **PPPSIs often exist in a hierarchy.** Generally speaking, as the hierarchy is descended from international and European PPPSIs to local PPPSIs, the implications for the SPD become more specific and precise.
  - **The context is dynamic and new or revised relevant PPPSIs emerge on a regular basis.** Of particular relevance is the gradual replacement of Policy Planning Guidance Notes (PPGs) with Planning Policy Statements (PPSs). The Council and the Consultants will keep abreast of any significant changes and the context review will be checked and revised later in the SEA / SA process.
  - **The review of PPPSIs should reflect the nature and scale of the SA** (i.e. in this instance, relating to the scope of a SPD relating to Developer Contributions).



*Table 2: Guidance Objectives and incorporation of these into SA Framework*

Guidance	Summary of Guidance	How Guidance Objectives can be incorporated into SA Framework
<b>ODPM Circular 05/2005: Planning Obligations</b> (and associated Practice Guidance, DCLG, July 2006)	<p>A thorough set of guidance on <b>planning obligations</b> that expands on Circular 06/98. Issues discussed include:</p> <ul style="list-style-type: none"> <li>• Types of contribution,</li> <li>• The role of plans in delivering obligations,</li> <li>• Improving the transparency and accountability of the process,</li> <li>• Formulae and standard charges,</li> <li>• Standard agreements,</li> <li>• The role of independent third parties,</li> <li>• The role of public involvement,</li> <li>• Unilateral undertakings, and</li> <li>• Implementing obligations.</li> </ul>	This guidance is consistent with all the Sustainability Objectives from the Core Spatial Strategy.

Guidance	Summary of Guidance	How Guidance Objectives can be incorporated into SA Framework
<b>PPS 3 Housing</b> (Communities and Local Government, November 2006)	<p>Suggests that Local Authorities should set out the approach to seeking developer contributions to facilitate the provision of <b>affordable housing</b>. In seeking developer contributions the presumption is that affordable housing will be provided on the application site so that it contributes towards creating a mix of housing. Where it can be robustly justified, off site provision in lieu of on site provision maybe accepted as long as the agreed approach contributes to the creation of mixed communities in the local authority area.</p> <p>The national minimum site threshold for affordable housing is 15 dwellings.</p> <p>Housing should be developed in areas with good access to key services and infrastructure. This should be achieved by making effective use of available public and private investment. Sustainability Appraisal should be used to develop and test various housing options, considering for each the social, economic and environmental costs benefits and risks.</p>	<p>This guidance is consistent with the following Sustainability Objectives:</p> <ul style="list-style-type: none"> <li>• To help to meet the housing needs of the whole community</li> </ul>
<b>Local Planning Policy – Newcastle-under-Lyme Local Plan 1996-2011</b> (Newcastle-under-Lyme Borough Council, Oct 2003)		
Policy H11: Affordable Housing – General Policy	Provision of <b>affordable housing</b> , where needed, to be negotiated for proposed developments of 25 or more dwellings or residential sites of 1 ha or more.	<p>This policy is consistent with the following Sustainability Objectives:</p> <ul style="list-style-type: none"> <li>• To help to meet the housing needs of the whole community</li> </ul>
Policy H12: Affordable Housing in Rural Areas	Discusses the ability to provide exceptional <b>affordable housing</b> in rural areas.	<p>This policy is consistent with the following Sustainability Objectives:</p> <ul style="list-style-type: none"> <li>• To help to meet the housing needs of the whole community</li> </ul>

Guidance	Summary of Guidance	How Guidance Objectives can be incorporated into SA Framework
Policy T1: Sustainable Development	Appropriate contributions will be required toward the costs of promoting and <b>improving local public transport facilities</b> where development is permitted.	This policy is consistent with the following Sustainability Objectives: <ul style="list-style-type: none"> <li>• To reduce the need to travel while increasing accessibility for all</li> <li>• To encourage the use of public transport, cycling and walking</li> <li>• To help to provide a safe, efficient highway network and improve the viability of public transport</li> </ul>
Policy T13: Development in the A500 Corridor	Developments close to the A500 may be required to make appropriate financial contributions towards <b>highways improvements</b> affecting the A500 corridor.	This policy is consistent with the following Sustainability Objectives: <ul style="list-style-type: none"> <li>• To help to provide a safe, efficient highway network and improve the viability of public transport</li> </ul>
Policy T14: Development and the Highway Network	Developments that have significant transport implications may be required to implement a green travel plan and make appropriate contributions toward <b>transport infrastructure improvements</b> .	This policy is consistent with the following Sustainability Objectives: <ul style="list-style-type: none"> <li>• To reduce the need to travel while increasing accessibility for all</li> <li>• To encourage the use of public transport, cycling and walking</li> <li>• To help to provide a safe, efficient highway network and improve the viability of public transport</li> </ul>

Guidance	Summary of Guidance	How Guidance Objectives can be incorporated into SA Framework
Policy C4: Open Space in New Housing Areas	Outlines the requirements for the <b>provision of open space</b> in new housing areas as a planning obligation on residential developments.	This policy is consistent with the following Sustainability Objectives: <ul style="list-style-type: none"> <li>To provide a more equitable society where the provision of the widest possible range of community, cultural, educational, health, recreational and leisure facilities are available to all sectors of the population with particular emphasis on deprived neighbourhoods</li> </ul>
Policy IM1: Provision of Essential Supporting Infrastructure and Community Facilities	Requires developers to carry out, or contribute to the funding of, appropriate <b>infrastructure / facilities improvements</b> that are required as a result of their developments.	This policy is consistent with the following Sustainability Objectives: <ul style="list-style-type: none"> <li>To provide a more equitable society where the provision of the widest possible range of community, cultural, educational, health, recreational and leisure facilities are available to all sectors of the population with particular emphasis on deprived neighbourhoods</li> <li>To help to provide a safe, efficient highway network and improve the viability of public transport</li> </ul>
<b>Newcastle-under-Lyme SPG on Affordable Housing</b> (Newcastle-under-Lyme Borough Council, September 2004)	<p>The SPG sets out the need for <b>affordable housing</b> in the borough, including in rural areas, and sets out the framework for Section 106 Agreements for affordable housing, following the guidance in Circular 06/98.</p> <p>The Borough will consider Section 106 Agreements in three situations:</p> <ul style="list-style-type: none"> <li>To secure affordable housing as part of larger housing schemes</li> <li>To permit social housing development as a rural exception</li> <li>To seek commuted payments for off-site provision</li> </ul>	This policy is consistent with the following Sustainability Objectives: <ul style="list-style-type: none"> <li>To help to meet the housing needs of the whole community</li> </ul>

## 2.2 Task A2 – Collecting Baseline Data

- 2.2.1 Annex I to the SEA Directive states that the Environmental Report (in this case the 'Sustainability Report') should include:

***“the relevant aspects of the current state of the environment and the likely evolution thereof without implementation of the plan or programme”***

***“the environmental characteristics of areas likely to be significantly affected”***

**(Annex 1(b) and (c))**

- 2.2.2 The Guidance on Sustainability Appraisal of Local Development Frameworks includes guidance on establishing the context:

*Baseline information provides the basis for predicting and monitoring effects and helps to identify sustainability problems and alternative ways of dealing with them. Baseline information consists of mainly indicators although both quantitative and qualitative information can be used. To get the best value from baseline information, it needs to be kept up to date rather than being merely a snapshot of the situation at a particular time.<sup>4</sup>*

- 2.2.3 To effectively assess the likely environmental, social and economic impact of the SPD we need detailed information to predict and monitor the effects of the SPD. As part of the North Staffordshire Core Spatial Strategy Scoping Report the Council has collected significant data about the current state of the environment, economy and society within North Staffordshire.
- 2.2.4 The Scoping Report adopted covers all LDF documents, and as such it covers the baseline at 'fit for purpose' levels i.e. the baseline information as presented as a broad series of key indicators providing a range of general information on which to base assessments.
- 2.2.5 Ideally this information should be supplemented by specific information related to Developer Contributions. However, specific data relating to the Developer Contributions is difficult to determine and new specific indicators have not been identifiable. This is predominantly due to difficulties in collecting accurate data. In the lack of such data available at the present time it is considered to be sound and reasonable to continue with the baseline data contained within the LDF Scoping Report.

<sup>4</sup> ODPM (2005) *Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents* (available at: <http://www.odpm.gov.uk/index.asp?id=1143289>)

## 2.3 Task A3 - Main social, environmental and economic issues and problems identified

2.3.1 The requirement to identify sustainability problems arises from the SEA Directive:

**The 'Environmental Report' required under the SEA Directive should include:**

*"any existing environmental problems which are relevant to the plan or programme including, in particular, those relating to any areas of a particular environmental importance, such as areas designated pursuant to Directives 79/409/EEC [the 'Birds Directive'] and 92/43/EEC [the 'Habitats Directive']"*

(Annex 1(d))

2.3.2 In light of the SA requirement, economic and social as well as environmental problems should be identified.

*The identification of sustainability issues (including environmental problems as required by the SEA Directive) is an opportunity to define key issues for the DPD and develop sustainable plan alternatives and options<sup>5</sup>*

2.3.3 The guidance emphasises that any problems identified should, where possible, be supported by evidence in the form of baseline information. The information set out above and in the Core Strategy Scoping Report highlights the importance of planning obligations in enhancing the contribution new development can make to sustainable development. The key issues identified in Core Strategy Scoping Report (**Appendix C**) are to some extent already being addressed through planning obligations.

2.3.4 The Policies in the adopted Local and emerging Core Strategy seek to formalise these arrangements in the Local Plan and to provide guidance on the key priorities for future negotiations.

2.3.5 In addition to the above, there are a number of key sustainability issues and opportunities identified in the Core strategy Scoping Report, which are particularly relevant to this SPD. These have been identified in order to further influence the Sustainability Appraisal process.

Key Sustainability Issues		SPD Opportunities
Social	<p>There is an excess of general needs affordable housing within the SPD area. The Housing Market Renewal programme suggests that 14,000 houses in North Staffordshire should be demolished over the next 15 years, and 12,000 private and affordable houses rebuilt. There remain pockets of need for affordable housing in rural areas.</p> <p>Source: Local Housing Needs Survey</p>	<p>The SPD can seek to influence contributions towards affordable housing within the Borough. It can set out the Council's approach to seeking developer contributions.</p>

<sup>5</sup> ODPM (2005) *Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents* (available at: <http://www.odpm.gov.uk/index.asp?id=1143289>)

	<p>The SPD area contains some of the most deprived areas in the UK, including wards, which fall in the 20% most deprived wards in England.</p> <p><i>Source: Index of Multiple Deprivation Score, ODPM</i></p>	<p>The SPD can seek to influence the collection of developer contributions for recreation and leisure facilities, open space, public realm improvements and community facilities thereby contributing towards a reduction in the level of deprivation.</p>
	<p>Accessibility- The M6 motorway and other major trunk roads impact on Newcastle Borough in terms of noise and air pollution.</p> <p><i>Source: Local Authority documentation</i></p>	<p>The SPD can seek to influence contributions towards the provision of transport infrastructure.</p>
	<p>Crime Rates and fear of crime has risen within North Staffordshire in recent years.</p> <p><i>Source Staffordshire Police; BVPIs</i></p>	<p>The SPD has limited ability to reduce crime rates in its own right, but there maybe scope for the SPD to influence the collection of contributions towards public realm improvements and community safety.</p>
<b>Economic</b>	<p>Low Education Standards</p> <p><i>Source: Local Authority documentation</i></p>	<p>The SPD can seek to influence the collection of contributions towards education facilities.</p>
<b>Environment</b>	<p>North Staffordshire provides an extensive habitat with great biodiversity.</p> <p><i>Source: Local Authority documentation</i></p>	<p>The SPD has limited ability to protect nature conservation sites, but through the collection of developer contributions there maybe an opportunity influence the collection of developer contributions to offset the adverse impacts of development to these interests.</p>
	<p>Lack of good quality open space</p> <p><i>Source: Local Authority Documentation</i></p>	<p>The SPD can seek to influence the provision of or contributions towards the provision, and maintenance of open space.</p>

## 2.4 Task A4 - Sustainability Appraisal Framework

- 2.4.1 The 15 sustainability objectives set out in the North Staffordshire Core Spatial Strategy Scoping Report (see **Appendix B**) have been informed by the findings of the baseline data analysis, but remain consistent with the provisions of Planning Policy Guidance/Statements and the Regional Spatial Strategy and with saved policies in the adopted Local Plan.
- 2.4.2 The analysis of the key sustainability issues, objectives and indicators from the Core Spatial Strategy SA Scoping Report is included at **Appendix D**.
- 2.4.3 These objectives have undergone previous consultation and it is not proposed to change or add any further objectives. However, additional indicators to monitor the completion of Section 106 Agreements in the Borough for each type of developer contribution may need to be added to the relevant Objectives.
- 2.4.4 The Objectives of this Developer Contributions SPD can now be assessed against the Sustainability Objectives to assess compatibility and, therefore, whether the SPD is sustainable. The completed matrix is found in **Appendix E**.
- 2.4.5 It is considered that the Objectives of the developer contributions SPD are in general conformity with the Sustainability Appraisal Objectives identified in the Scoping Report.



## 2.5 Task A5 - Consulting on the Scope of the Sustainability Appraisal

- 2.5.1 This report acts as an addendum to the Core Spatial Strategy Scoping Report and, as such, contains additional information to that previously consulted upon. This information will form a substantial amount of the detail that the sustainability assessments will be based upon and reported in the Final SA Report.
- 2.5.2 While, it is not necessary for public consultation to be undertaken on the Scoping Report, consultation with statutory authorities is required.
- 2.5.3 Article 5.4 of the SEA Directive, as stated by the ODPM document 'The SEA Directive: Guidance for Planning Authorities', makes clear that the decision on the scope and level of detail of the SEA (i.e. the Scoping Report for each development plan document) requires consultation with authorities with environmental responsibilities. These bodies are as follows:
- Environment Agency;
  - Natural England; and
  - English Heritage.
- 2.5.4 These agencies were consulted between the dates of 30<sup>th</sup> November 2006 and 5<sup>th</sup> January 2007 (the deadline was extended to 5<sup>th</sup> January from 3<sup>rd</sup> January). The opportunity was made available for other interested parties to comment on the draft Scoping Report but none were received. The comments of consultees have been taken on board in this Final Supplementary SA Scoping Report.

### *Summary of draft Scoping Report Consultation Responses*

Agency	Response	How response has been incorporated into Final Scoping Report
Environment Agency	No objections but pointed out that references to PPG25 needed updating to refer to the new PPS25 and that such policies as this SPD should really be informed by a Strategic Flood Risk Assessment that Newcastle has not yet done, although in this case it is not essential.	Reference to PPG25 modified to reflect the new PPS25.
Natural England	No comments made	N/A
English Heritage	No comments made	N/A

- 2.5.5 When commenting on the report, consultees were asked to consider the following key questions:
- Do you think that the Developer Obligations SPD has a significant Environmental impact given that it is unlikely to alter existing policy?
  - Have we identified the relevant plans and programmes?
  - What other information, facts and figures may be suitable for inclusion?
  - Are you aware of any inaccuracies in the data set out in Section A2?
  - Are there any other sustainability issues that should be considered in the SA Report?

- Are we using appropriate indicators?
- Do you consider that the SA objectives are suitable and do you consider any should be added or removed?

### 3 NEXT STEPS

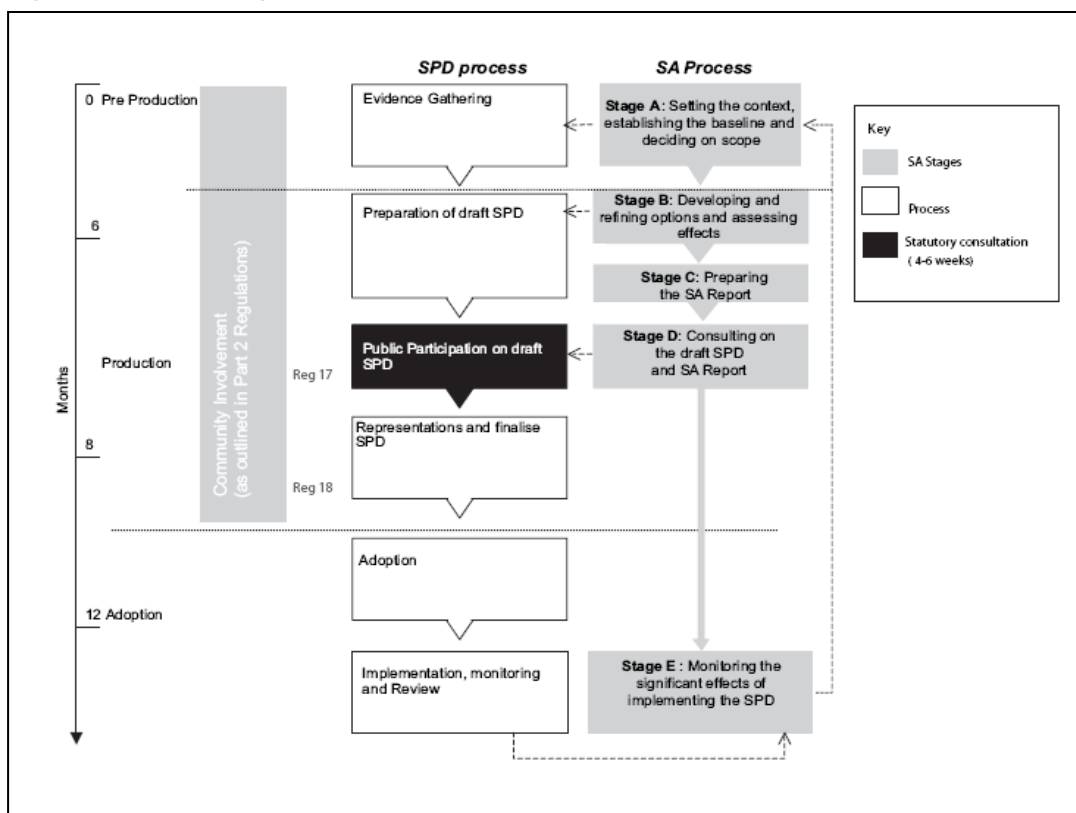
3.1.1 Once the scope of the sustainability appraisal for the Planning Obligations SPD has been agreed with the statutory consultation bodies and any other interested parties, the agreed framework will be used to appraise the likely impacts of the SPD. This appraisal will be recorded in a matrix identifying:

- Any positive or negative effects
- Whether the effects will be short, medium or long term,
- The likelihood of the effects occurring
- Their geographical impact
- Any possible mitigation measures

3.1.2 Any policy changes made as a result of the appraisal will be made clear. The appraisal will also look at other options, as a minimum, a 'do nothing' scenario, i.e. the likely changes to the baseline if the SPD were not produced. The results of the appraisal will be published in a formal 'Sustainability Report', which will be available alongside the proposed SPD during the formal consultation period.

3.1.3 Figure 3 illustrates how the stages of SA will be integrated into the SPD Preparation process.

**Figure 3: Incorporating SA within the SPD Process**



## **APPENDICES**

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## Appendix A - Key Sustainability Issues, Objectives or Requirements identified in other Plans and Programmes

Guidance	Summary of Guidance	Implications for the SPD
National Planning Policy		
<b>PPS1: Delivering Sustainable Development</b> (ODPM, 2004)	<p>Where development may cause adverse impacts, Paragraph 26 states that: <i>“local planning authorities can use planning conditions or obligations to ameliorate such impacts.”</i></p> <p>Suggestions where such agreements may be useful include: <i>“Ensuring that infrastructure and services are provided to support new and existing economic development and housing.”</i> (paragraph 23).</p> <p>With regard to the environment, Paragraph 19 states that: “Where adverse impacts [of development] are unavoidable, planning authorities and developers should consider possible mitigation measures. Where adequate mitigation measures are not possible, compensatory measures may be appropriate.”</p>	<i>SPD should facilitate the appropriate mitigation of development proposals so as to ensure that all development is sustainable without providing a barrier to development.</i>
<b>PPG2: Green Belts</b> (DETR, 1995)	<p>PPG2 suggests where the use of planning obligations and agreements could be suitable: <i>“In the case where an amenity on a site adjacent to the Green Belt is lost as a result of development on that site, it may be reasonable for obligations to provide for offsetting benefits on land in the Green Belt, as long as there is a direct relationship between the two sites.”</i> (paragraph 3.14)</p> <p>Paragraph 3.19 also supports the use of planning obligations in relation to the design and layout of development.</p>	<i>In those “very special circumstances” where development is allowed in the Green Belt, this SPD should enable mitigating developer contributions to be required to offset the adverse impacts of the development.</i>

Guidance	Summary of Guidance	Implications for the SPD
<b>PPS7: Sustainable Development in Rural Areas</b> (ODPM, 2004)	Paragraph 8 discusses the requirements for affordable housing in rural areas.	<ul style="list-style-type: none"> <li>LPA should meet housing requirements in rural areas according to local need</li> <li><i>Focus most additional housing in rural areas on existing towns, villages and centres</i></li> </ul>
<b>PPS9: Biodiversity and Geological Conservation</b> (ODPM, 2005)	<p>A process of mitigation is explained in key principle number vi), where a proposed development may cause harm to biodiversity or geological conservation:</p> <ul style="list-style-type: none"> <li>Firstly, all alternative sites will be explored</li> <li>If no alternatives are available, the local planning authority must ensure mitigation measures are in place</li> <li>Where mitigation measures are insufficient and a proposal will cause some harm to biodiversity and geological interests, suitable compensation should be sought.</li> <li>If suitable compensation cannot be sought, permission should be refused.</li> </ul>	<i>Where development unavoidably causes harm to biodiversity and geological interests, this SPD should enable mitigating developer contributions to be required to offset the adverse impacts to these interests.</i>
<b>PPG13: Transport</b> (DETR, 2001)	<p>Paragraphs 82-86 encourage the use of planning obligations in securing contributions toward transport infrastructure improvements.</p> <p>The guidance also indicates that the kinds of contributions that should be sought <i>“in relation to transport should be based around securing improved accessibility to sites by all modes, with the emphasis on achieving the greatest degree of access by public transport, walking and cycling.”</i> (paragraph 85)</p> <p>Additionally, a travel plan, or sections of it, may be made binding through the attachment of a planning obligation.</p>	<ul style="list-style-type: none"> <li>Transport related planning obligations should relate to securing improved accessibility to a development by all modes, particularly public transport, walking and cycling</li> <li>Whether such obligations apply to a development will depend on the existing accessibility to the site</li> <li><i>A financial contribution to the LA can be made toward improvements to public transport services in relation to a specific development proposal</i></li> </ul>

Guidance	Summary of Guidance	Implications for the SPD
<b>PPG17: Planning for Open Space, Sport and Recreation</b> (ODPM, 2002)	<p>Paragraph 23 states that:  <i>“Planning obligations should be used where appropriate to seek increased provision of open spaces and local sports and recreational facilities, and the enhancement of existing facilities.”</i></p> <p>Paragraph 33 explains that planning obligations should be used to improve quality and variety of open space, sports and recreation provision and encourages local planning authorities to do so, especially in areas that are deficient in these kinds of space.</p>	<ul style="list-style-type: none"> <li>Planning obligations can be used in this way where the provision is inadequate to cope with increased demand from the proposed development or where the development directly threatens existing provision</li> <li>SPD needs to direct reader to where the existing provision is and the most recent audit of open space in the sub-region – the latter needs updating regularly</li> <li>Where the obligation is to be met through a financial contribution, the SPD should set out who these contributions should be paid to (LPA, a Trust, other local bodies, etc.)</li> </ul>
<b>PPS25: Development and Flood Risk</b> (DCLG, 2006)	<p>Paragraphs G4 and G5 of Appendix G discuss Developer Contributions in relation to works for providing flood risk management and flood defence and mitigation associated with new developments.</p> <p>The developer, assuming the development meets other flood-risk management policies and the Sequential and Exception Tests, should generally fund such works.</p>	SPD should enable contributions to be sought where development proposals require flood alleviation / defence works.
<b>Regional Planning Policy – The West Midlands Regional Spatial Strategy</b> (ODPM, June 2004)		
Policy RR1: Rural Renaissance	Discusses a variety of issues, including the impact of affordable housing on rural policy, and highlights affordable housing as a priority in remote rural areas.	SPD needs to address the role of affordable housing in rural areas and how affordable housing will be achieved in such areas.
Policy RR3: Market Towns	Discusses the role of affordable housing in maintaining viable communities and meeting local needs in Market towns.	SPD should outline the wider role affordable housing has in creating viable communities and meeting local needs.

Guidance	Summary of Guidance	Implications for the SPD
Policy CF5: Delivering Affordable Housing and Mixed Communities	Using local housing needs assessments, Local Authorities should keep under review the need for affordable housing in their area both in terms of overall numbers and how they should be spread across the borough area.	SPD should have processes in place to monitor the need for affordable housing and allow periodic re-assessments to influence the obligations required of developments for affordable housing.
<b>Regional Planning Policy – The Staffordshire and Stoke-on-Trent Structure Plan 1996-2011</b> (Staffordshire County Council, May 2001)		
Policy D4: Managing Change in Rural Areas	Seeks to maintain the economic and social fabric of rural areas by, among other actions, seeking the provision of affordable housing where there is a local need.	SPD should outline where affordable housing is needed in rural areas and set out this will be provided for.
Policy D8: Providing Infrastructure Services, Facilities and/or Mitigating Measures Associated with Development	Seeks to ensure appropriate policies are in place to ensure appropriate planning obligations are in place for development schemes and that these are managed appropriately.	<ul style="list-style-type: none"> <li>Planning obligations can include: improvement to transport facilities; improvement of utility services; provision of educational and community facilities, open space and other recreational facilities; affordable housing; landscaping or woodland planting; and/or replacement of significant natural habitats / mitigation measures</li> <li>Planning obligations should seek to secure benefits only where they are necessary, where they are relevant to planning, where they relate to the scale and kind of proposed development and where they are reasonable</li> </ul>
Policy H8: Affordable Housing	Guides how local policies should provide for affordable housing.	<ul style="list-style-type: none"> <li>Provision should be established on the basis of need</li> <li>Requires that negotiations with the developers of suitable allocated and windfall sites of an appropriate size be held in order to meet this provision</li> <li>Supply of affordable housing should be encouraged through other, smaller housing developments (e.g. conversions, intensification, etc.)</li> <li>Binding agreements should be established to ensure affordable homes remain affordable for successive occupants</li> </ul>



Guidance	Summary of Guidance	Implications for the SPD
Policy H10: Affordable Housing in Rural Areas	Discusses the ability to provide exceptional affordable housing in rural areas.	<ul style="list-style-type: none"> <li>Provides for the residential development of land that ordinarily would not be given permission, though it must still be appropriate in scale and character to its location</li> <li>Rural affordable housing must meet a genuine local need that would not otherwise be met</li> <li>Arrangements must be made to ensure that this benefits local people on low incomes</li> </ul>
Policy T18A: Transport and Development	Requires the production of Green Transport Plans and/or appropriate transport infrastructure improvements prior to development if a new development is to adversely impact the existing transport network.	SPD should qualify and clarify the process by which such transport-related obligations are calculated and implemented.
Policy NC1: Protection of the Countryside: General Considerations	Outlines the possibility that, where economic or social interests outweigh the need for environmental maintenance or improvement, development is acceptable but should include adequate mitigation / compensation for adverse environmental impacts it causes.	SPD should qualify and clarify the process by which such environment-related obligations / mitigations are calculated and implemented and strictly guide what developments these obligations would be applied to.

## Appendix B – Sustainability Objectives in the North Staffordshire Core Spatial Strategy

	<b>SUSTAINABILITY OBJECTIVES</b>
<b>1</b>	To help to meet the housing needs of the whole community
<b>2</b>	To provide the best possible environment to encourage and increase economic enterprise and employment
<b>3</b>	To maintain and increase confidence in the local economy and attract inward investment
<b>4</b>	To provide a more equitable society where the provision of the widest possible range of community, cultural, educational, health, recreational and leisure facilities are available to all sectors of the population with particular emphasis on deprived neighbourhoods
<b>5</b>	To reduce the need to travel while increasing accessibility for all
<b>6</b>	To encourage the use of public transport, cycling and walking
<b>7</b>	To help to provide a safe, efficient highway network and improve the viability of public transport
<b>8</b>	Reduce crime and the fear of crime
<b>9</b>	To enable access to the widest range possible of shopping and commercial services for the resident population
<b>10</b>	To protect and enhance the vitality and viability of the city, town and district centres within the conurbation and village centres in the rural area
<b>11</b>	Retain and enhance the species and habitats targeted for improvement in the local biodiversity action plan
<b>12</b>	Reduce the amount of land SSSIs classified in an 'unfavourable' condition
<b>13</b>	To protect, and where possible enhance, valuable natural areas and features of the landscape of North Staffordshire
<b>14</b>	To help to maintain distinctiveness and foster interest in and concern for the heritage of the area
<b>15</b>	To reduce contamination, regenerate degraded environments, maintain soil resources ,air quality and minimise development on greenfield sites

## Appendix C – Key Sustainability Issues in the North Staffordshire Core Spatial Strategy

Key Sustainability Issues		Source
Social	<ul style="list-style-type: none"> <li>There is an excess of general needs affordable housing within urban North Staffordshire. This has led to housing market failure in some areas of the conurbation. The Housing Market Renewal programme suggests that 14,000 houses should be demolished over the next 15 years, and 12,000 private and affordable houses rebuilt. There is generally sufficient affordable housing in rural areas for those who need it but there remain pockets of need.</li> </ul>	Local Housing Needs Survey
	<ul style="list-style-type: none"> <li>20 out of 33 urban wards are in the 20% most deprived wards in England. 9 wards are in the least deprived 50% of wards in England.</li> </ul>	Index of Multiple Deprivation Score, ODPM
	<p>Crime rates in North Staffordshire have risen a little over the last few years, but fear of crime has increased far more.</p>	Staffordshire Police; BVPIs
Economic	<ul style="list-style-type: none"> <li>There has been a decline in employment concentrated in traditional manufacturing industries.</li> </ul>	Local Authority documentation
	<ul style="list-style-type: none"> <li>Investment in North Staffordshire has generally required a low-skilled and low paid workforce, which has resulted in little disposable income for re-investment in the area.</li> </ul>	Local Authority documentation
	<ul style="list-style-type: none"> <li>North Staffordshire contains a hierarchy of centres from the City Centre in Hanley to the smaller villages of rural Newcastle. Each is unique and should be developed to maximise its individual potential.</li> </ul>	Local Authority documentation ; North Staffordshire Retail Study
Environment	<ul style="list-style-type: none"> <li>The Borough and City Councils need to contribute to a reduction in carbon dioxide emissions (the major contributor to climatic conditions) if the frequency of unexpected climatic events is to be minimised. This can be achieved by encouraging the use of renewable energy and energy efficiency in existing and new commercial and residential developments.</li> </ul>	Local Authority documentation
	<ul style="list-style-type: none"> <li>The M6 motorway and other major trunk roads, impact on Stoke-on-Trent and Newcastle Borough, both in terms of noise and air pollution</li> </ul>	Local Authority documentation
	<ul style="list-style-type: none"> <li>North Staffordshire provides an extensive habitat with great biodiversity including many protected species. The Councils will seek to protect, and where possible enhance, the biodiversity of the Borough</li> </ul>	English Nature; Staffordshire Ecological Record Stoke City Council
	<ul style="list-style-type: none"> <li>North Staffordshire can be identified through the sprawling industrial towns of the Potteries, boasting brick and sandstone older buildings with tile and slate roofs. It also has a unified rural landscape, dominated by dairy farming dairying, with strong field patterns, merging with more mixed and arable farming. This landscape should be protected.</li> </ul>	Countryside Agency; Local Authority documentation
	<ul style="list-style-type: none"> <li>Land water and soil are scarce resources and should be protected.</li> </ul>	Local Authority documentation



## Appendix D – Sustainability Objectives and Indicators in the North Staffordshire Core Spatial Strategy

Key Sustainability Issues	Possible Objectives	Possible Indicator
<ul style="list-style-type: none"> <li>There is an excess of general needs affordable housing within urban North Staffordshire. This has led to housing market failure in some areas of the conurbation. The Housing Market Renewal programme suggests that 14,000 houses should be demolished over the next 15 years, and 12,000 private and affordable houses rebuilt. There is generally sufficient affordable housing in rural areas for those who need it but there remain pockets of need.</li> </ul>	To help to meet the housing needs of the whole community	The proportion of unfit private sector dwellings made fit or demolished as a direct result of action by the LA
		Number of unfit homes per 1000 dwellings
		Percentage of new homes built in the year which are affordable
		Percentage of new homes permitted on previously developed land
		Number of houses completed per year
		Changes in house prices relative to the regional average
		Affordable home completion rates
<ul style="list-style-type: none"> <li>There has been a decline in employment concentrated in traditional manufacturing industries.</li> </ul>	To provide the best possible environment to encourage and increase economic enterprise and employment	Number of homeless people
		Changes in the number of jobs
		Changes in the percentage of the population who are economically active
		Number of business start ups
<ul style="list-style-type: none"> <li>Investment in north Staffordshire has generally required a low-skilled and low paid workforce, which has resulted in little disposable income for re-investment in the local area</li> </ul>	To maintain and increase confidence in the local economy and attract inward investment	Number of new businesses moving to the area
		Number of jobseeker allowance claimants in the Borough

Key Sustainability Issues	Possible Objectives	Possible Indicator
<ul style="list-style-type: none"> <li>20 out of 33 urban wards are in the 20% most deprived wards in England. 9 wards in the whole of Stoke and Newcastle are in the least deprived 50% of wards in England.</li> </ul>	<p>To provide a more equitable society where the provision of the widest possible range of community, cultural, educational, health, recreational and leisure facilities are available to all sectors of the population with particular emphasis on deprived neighbourhoods</p>	Changes in the percentage of the population who are economically active
		Pattern of deprivation
		Percentage of residents satisfied with living in their local community
		Percentage of new residential development within 30 minutes by public transport of GP, hospital, primary and secondary schools, employment and major health centre
		Loss of open space to development
		Participation rates in sport
		Percentage of population with good health
		Mortality rate
		The number of playgrounds and play areas provided by the Council per 1,000 children under 12
		Percentage of residents satisfied with living in their local community
		Changes in the level of accessibility to key services
		The percentage of local authority buildings open to the public in which all public areas are suitable for and accessible to disabled people
		Number of people receiving benefit
		Differential between highest and lowest incomes
		Sq mt of Class B development completed in year
		Percentage of Class B development completed that has taken place on brownfield sites
		Percentage of Class B development which has taken place within the District's target wards
		Number of VAT registrations (includes rural businesses)
		GCSE passes at grade A-C
		Adults education
		Changes in the number of jobs



Key Sustainability Issues	Possible Objectives	Possible Indicator
<ul style="list-style-type: none"> <li>The Borough and City Councils need to contribute to a reduction in carbon dioxide emissions (the major contributor to climatic conditions) if the frequency of unexpected climatic events is to be minimised. This can be done by encouraging the use of renewable energy and energy efficiency in existing and new commercial and residential developments.</li> </ul>	To reduce the need to travel while increasing accessibility for all	Number of car journeys into City Centre
		Modal split (% of car, bus, rail, and other means of travel)
		Availability of passenger travel information systems, park and ride facilities
	To encourage the use of public transport, cycling and walking	Length of cycleway
		Percentage of new residential development within 30 minutes by public transport of GP, hospital, primary and, secondary schools, employment and major health centre
		Bus patronage
<ul style="list-style-type: none"> <li>The M6 motorway and other major trunk roads impact upon Stoke-on-Trent and Newcastle Borough, both in terms of noise and air pollution</li> </ul>	To help to provide a safe, efficient highway network and improve the viability of public transport	Changes in the level of accessibility to employment and key services
		Patterns and levels of congestion on primary highway and public transport network
		Number of days per year air quality exceed national standards
<ul style="list-style-type: none"> <li>Crime rates in North Staffordshire have risen a little over the last few years, but fear of crime has increased far more.</li> </ul>	Reduce crime and the fear of crime	Domestic burglaries per 1000 households
		Violent crimes per 1000 population
		a committed by a stranger
		b committed in a public place
		c committed in connection with licensed premises
		d committed under the influence
		Vehicle crimes per 1000 population
		Percentage of council provided car parking covered by a Secured Car Park award
		The level of fear of crime in older people
		The number of sites at which Alcohol Consumption in Public Places Regulations are in force
		Changes in the level of crime, and people's perception of crime

Key Sustainability Issues	Possible Objectives	Possible Indicator
<ul style="list-style-type: none"><li>North Staffordshire contains a hierarchy of centres from the City Centre in Hanley to the smaller villages of Newcastle. Each is unique and should be developed to maximise its individual potential.</li></ul>	To enable access to the widest range possible of shopping and commercial services for the resident population	Percentage retail / commercial floor space by type
		Shopping floor space per 1000 population
	To protect and enhance the vitality and viability of the city, town and district centres within the conurbation and village centres in the rural area	Amount of vacant/derelict land in centres
		Population living in urban/rural centres
		Rank of centre
Number of vacant shop units		
<ul style="list-style-type: none"><li>To protect, and where possible enhance, the biodiversity of the Borough</li></ul>	Retain and enhance the species and habitats targeted for improvement in the Local Biodiversity Action Plan	The area of Council owned parks and green spaces formally managed for bio-diversity
		Percentage of rivers/canals classed as good/fair quality
		Number and size of local wildlife sites e.g. LNRs, SBIs
	Reduce the amount of land in SSSIs classified in an 'unfavourable' condition. At present only 9 out of 16 SSSIs are considered to be in a favourable condition.	Increase in woodland
		Number of favourable SSSIs
<ul style="list-style-type: none"><li>North Staffordshire can be identified through its sprawling industrial towns of the Potteries, boasting brick and sandstone older buildings with tile and slate roofs. It also has a unified rural landscape, dominated by farming, with strong field patterns, merging with more mixed and arable farming. This landscape should be protected.</li></ul>	To protect, and where possible enhance, valuable natural areas and features of the landscape of North Staffordshire	Endangered species e.g water voles
		Percentage of rivers/canals classed as good/fair quality
	To help to maintain distinctiveness and foster interest in and concern for the heritage of the area	Number of buildings at risk



Key Sustainability Issues	Possible Objectives	Possible Indicator
<ul style="list-style-type: none"> <li>Land water and soil are scarce resources and should be protected.</li> </ul>	To reduce contamination, regenerate degraded environments, maintain soil resources and air quality and minimise development on greenfield sites	Number of days per year that air quality is below national standards
		Water consumption/ abstracted
		Changes in the amount of derelict and contaminated land
		Percentage of new homes built on previously developed land
		Amount of waste collected per household
		Percentage of household/commercial waste recycled
		Increased recycling facilities
		Reduction in energy consumption
		Reduction in water consumption
		Percentage of energy created from renewable resources
		Percentage of residential development taking place on brownfield land
		Percentage of commercial development taking place on brownfield land
		Percentage of other development taking place on brownfield land

## Appendix F – Compatibility Matrix

Developer Contributions SPD Objectives	Sustainability Objectives ( See Appendix B)														
	1 Housing Need	2 Employment and Enterprise	3 Inward Investment	4 Equitable Society	5 Reduce need to travel	6 Public Transport	7 Highways	8 Crime and Fear of Crime	9 Access to shopping and commercial facilities	10 Vitality and Viability of centres	11 Biodiversity	12 SSSI's	13 Landscape	14 Heritage	15 Pollution
To meet the overall development requirements for the sub-region in accordance with the West Midlands Regional Spatial Strategy	✓	✓	✓	✓	✓	✓	✓	-	✓	✓	✓	-	✓	✓	✓
To concentrate new development within the North Staffordshire conurbation to promote sustainable patterns of development, reduce the need to travel and promote accessibility by transport modes other than the private car	-	-	-	-	✓	-	-	-	-	✓	-	-	-	-	-

To focus development in rural areas on brownfield sites within the larger settlements	✓	-	-	✓	-	-	-	-	-	✓	-	-	-	-	-
To balance the supply and demand for housing by removing surplus properties and providing a better choice of homes in appropriate locations and to ensure that a sufficient number of new houses are affordable	-	-	-	✓	-	-	-	-	-	✓	-	-	-	-	-
To ensure that new residential development makes adequate provision for community facilities including health care, education and leisure and that existing facilities are retained and enhanced	-	-	-	✓	-	-	-	-	✓	✓	-	-	-	-	-

To encourage the growth of the higher education sector and training facilities to meet the needs of indigenous and incoming industries	-	✓	✓	✓	-	-	-	-	-	✓	-	-	-	-	-
To increase the opportunities for sustainable modes of travel by securing improvements to public transport infrastructure and the provision of facilities to promote walking and cycling	-	-	-	✓	✓	✓	✓	-	-	✓	-	-	-	-	-
To enhance the North-Staffordshire Green Belt and open countryside and protect it from inappropriate development	-	✓	-	-	-	-	-	-	-	✓	-	-	✓	-	-

To protect and enhance the built and natural environment of North Staffordshire including the landscape, bio-diversity, settlement patterns, historic buildings, and heritage sites (including parks and gardens and battlefields)	-	-	-	-	-	-	-	-	-	✓	✓	-	✓	✓	-
To increase the attraction of North Staffordshire as a tourist destination, utilising the unique brand created by its industrial heritage, network of vibrant urban centres and attractive rural hinterland	-	✓	✓	✓	-	-	-	-	-	✓	-	-	✓	-	-

- ✓ = Positive Compatibility
- = Neutral
- ✗ = Possible Conflict

