



Planning Application Validation Checklist Notes

Full Application for a Change of Use

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In order to deliver a speedier and more efficient planning service, the Government* issued guidance notes on the validation process in March 2005 which was more recently reviewed in 2010. The following notes and checklists are based on that guidance and seek to provide greater certainty as to the nature and extent of information required, in order to validate and determine planning applications.

In the absence of all the following material, the Council will invalidate your application.

Pre-Application Advice

The Council wish to highlight the wide range of topics and their respective individual criteria under the checklists. It is therefore strongly recommended that pre-application advice be sought of the Planning Department with a draft scheme of any proposal prior to its formal submission to identify the relevant local validation categories affecting the development scheme as well as seeking informal comments on the merits of any potential constraints of any proposal. This is considered of significant importance on larger schemes, for which the Council would seek to undertake a Development Management meeting at the pre-application stage to include stakeholders to provide a broader spectrum on the evidence required to be submitted under the local validation checklist for any future development scheme.

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1 Forms

Electronic submissions

One copy of all documents is required, however, a signature is not required on the planning application.

Hard copy submissions

One must be the original, three copies required in total. Please ensure completed planning application forms are signed and dated including a completed Certificate of Ownership form (see below).

2 Certificate of Ownership

2.1 Certificate A

Should you be the sole owner of all the land relating to the application, sign and date Certificate A (a signature is not required on electronic submissions). If the foundations of the proposal encroach onto and/or the gutters overhang your neighbours' land this Certificate should not be used and Certificate B should be completed instead.

[*http://odpm.gov.uk/stellent/groups/odpm_control/documents/homepage/odpm_home_page.hcsp](http://odpm.gov.uk/stellent/groups/odpm_control/documents/homepage/odpm_home_page.hcsp)

To submit online – www.planningportal.gov.uk

2.2 Certificate B

In the event that there are others owners of the land relating to this application, please sign and date Certificate B (a signature is not required on electronic submissions).

Unless all of the development (including foundations, guttering, etc.) is contained within your property, you must notify any neighbouring owner whose property is affected and complete Certificate B.

2.3 Certificates C and D

Complete when not all or any of the owners of the site are known (a signature is not required on electronic submissions).

2.4 Part 1 Notice

Should the application site involve other landowners, the Council will require confirmation that notice has been served on them and the date they were notified i.e. this is applicable if Certificate B has been completed and also may be required if Certificate C has been completed. A copy should be served on each of the individuals identified in the relevant certificate. Copies of the Notice are available from Allerdale Borough Council.

3 Plans

Three copies of **all** the following plans must be submitted, except for electronic submissions which only require one copy.

3.1 Location plan

This must be up-to-date ordnance survey based, at a scale of 1:1250 or 1:2500 and show at least two (named) roads and surrounding buildings. Direction of North must be indicated and the application site should be edged clearly with a red line. The red line should include all land necessary to carry out the proposed development (e.g. land required for access to the site from a public highway, visibility splays, landscaping, car parking and open areas around buildings). A blue line must be drawn around any other land owned by the applicant. Copies of ordnance survey plans can be obtained from the Council at a charge.

3.2 Block plan

This should be drawn at a scale of 1:500 or 1:200 and should accurately show:

- 1) the direction of North;
- 2) the proposed development in relation to the site boundaries and other existing buildings on the site, with written dimensions including those to the boundaries;
- 3) all the buildings, roads and footpaths on the site and on land adjoining the site, including access arrangements;
- 4) the species, position and spread of all trees within 12 metres of any proposed building works;
- 5) the extent and type of and hard surfacing; and
- 6) boundary treatment, including walls or fencing where proposed.

3.3 Elevations

These should be drawn to a scale of 1:50 or 1:100 and show clearly the existing or proposed works in relation to what is already there. All sides of the development 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 an 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 doors and windows on each property.

3.4 Floor plans

These should be drawn to a scale of 1:50 or 1:100 and should explain the proposal in detail.

3.5 Section drawings

These should be drawn at a scale of 1:50 or 1:100 showing 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. On sloping sites, full information is required concerning alterations to levels, the way in which a proposal sits within the site and, in particular, the relative levels between existing and proposed buildings. The drawings may take the form of contours, spot levels or cross or long sections as appropriate.

4 Design and Access Statements

A Design & Access Statement is only applicable to applications for Change of Use where it involves operational development

Design and Access Statements became a compulsory requirement for many types of planning applications. Please refer to Article 8 of the DMPO for full details, but in summary a Design and Access Statement is not required for:

- i) Engineering or mining operations.
- ii) Development of an existing dwellinghouse, or development within the curtilage of a dwellinghouse for any purpose incidental to the enjoyment of the dwellinghouse, where no part of that dwellinghouse or curtilage is within a designated area (see below).
- iii) A material change in the use of land or buildings, unless it involves operational development.
- iv) Extensions of time for implementing existing planning permissions.
- v) Development of an existing flat for any purpose incidental to the enjoyment of the flat as such, where no part of that flat is within a designated area.
- vi) The extension of an existing building used for non-domestic purposes where the floorspace created by the development does not exceed 100 square metres and where no part of the building or the development is within a designated area.
- vii) The erection, construction, improvement or alteration of a gate, fence, wall or other means of enclosure, up to 2m high or the height of the existing means of enclosure, whichever is the higher, where no part of the building or the development is within a designated area or the curtilage of a Listed building.
- viii) Development on operational land consisting of the erection of a building or structure up to 100 cubic metres in volume and 15m in height and where no part of the development is within a designated area.
- ix) The alteration of an existing building where the alteration does not increase the size of the building and where no part of the building or the development is within a designated area.
- x) The erection, alteration or replacement of plant or machinery where, as a result of the development, the height of the plant or machinery would not exceed the greater of 15 metres above ground level, or the height of the original plant or machinery, and where no part of the development is within a designated area.
- xi) Development of land pursuant to Section 73 (determination of applications to develop land without conditions previously attached) of the Town and Country Planning Act 1990.

A **designated area** means a World Heritage Site or a Conservation Area.

Design and Access Statements are not required for applications relating to advertisement control, Tree Preservation Orders, the storage of hazardous substances, prior approval for proposed development or non-material amendments to existing planning permissions.

A Design and Access Statement is a report accompanying and supporting a planning application to illustrate the process that has led to the development proposal, and 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. The length of the Statement will vary accordingly. Statements must be proportionate to the complexity of the application, but do not have to be long or complicated.

Further advice is also available on the CABE website: <http://www.cabe.org.uk/>

The Design and Access Statement comprises of the two key components: Design and Access, which are explained below.

4.1 Design Component

The design component of the statement must explain the design principles and concepts that have been applied to the following aspects of the proposal:

amount;

layout;

scale;

landscaping; and

appearance.

The **amount** relates to how much development is proposed. For residential development this means the number of proposed units for residential use and for other development, this means the proposed floorspace for each proposed use. The Statement should explain and justify the amount of development proposed for each use. This should include how the uses will be distributed across the site, how the development relates to the site's surroundings and what consideration has been given to include all users. Where the applicant specifies a range of floorspace for a particular use the reasons for this should be clearly explained in the Statement.

Layout relates to the way in which buildings, routes and open spaces (both public and private) are provided, located and orientated in relation to each other, buildings and spaces surrounding the development. The Statement should address how the layout of the proposed development helps create safe, vibrant and successful places.

Scale relates to the height, width and length of a building or buildings in relation to its surroundings. The Statement should explain and justify the scale of buildings proposed, including why particular heights have been settled on, how these relate to the site's surroundings and relevant skyline. The Statement should also explain and justify the size of building parts, particularly entrances and facades with regards to how they will relate to a human scale where appropriate.

Landscaping relates to the treatment of private and public spaces to enhance or protect the amenities of the site and the area in which it is situated through hard and soft landscaping measures. Statements should also explain the function of the landscaping (e.g. for sustainable drainage purposes, providing shading or other climate adaptation purposes) and also explain how landscaping will be maintained.

There should also be an explanation on the purpose of the landscaping, is it a private or public space and its relationship to the surrounding area. Where possible a planting schedule and schedule of hard landscaping materials is recommended.

Appearance is the aspect of a place or building that determines the visual impression it makes, including the external built form of the development, its architecture, materials, decoration, lighting, colour and texture.

The Design and Access Statement should include an explanation of the appearance of the place or buildings proposed including how this will relate to the appearance and character of the development's surroundings.

An **appraisal of the context** should also be undertaken. This must explain how the site/scheme fits into the surrounding area. It is a concept that needs to be addressed, and the revised guidance emphasises this. Context should be discussed in relation to the scheme as a whole, rather than specifically in relation to the 5 sub-headings. It is important to show an understanding of the context in which the proposal will fit.

A Design and Access Statement should explain how this understanding of the context has been considered in relation to its proposed use. An explanation of the proposed use or uses should be provided, their distribution across the site, the appropriateness of the accessibility to and between them, and their relationship to uses surrounding the site.

4.2 Access component

The access component of the Statement relates only to the “access to the development” and therefore does not extend to the internal aspects of individual buildings.

Statements should explain how the access arrangements will ensure that all users will have equal and convenient access to buildings and spaces and the public transport network. The Statement should address the need for flexibility of the development and how it may adapt to changing needs. The Statement should explain how the development has taken into consideration the relevant access policies within the Council’s local development documents.

Where relevant, Statements should also explain how the site will be accessed by the emergency services. This may include information relating to circulation routes round the site and egress from buildings in the event of emergency evacuation.

4.3 Design and Access Statements for Listed buildings

Design and Access Statements for Listed buildings are similar to other Design and Access Statements, in respect of the need for a proportionate approach. However, the content will be different due to the nature of the applications.

- Where a planning application is submitted in parallel with an application for Listed building consent, then a single, combined statement, should be submitted. This will address both the elements required for a planning application, as well as the following for the Listed building consent:
- Explanation of the design principles and concepts that have been applied to the sale, layout and appearance characteristics of a proposal (please note: Information on use, amount and landscaping is not required for Listed building consent Design and Access Statements that do not also accompany a planning permission).
- Description of the significance of the heritage assets affected and the contribution of their setting to that significance.
- Where there are heritage assets affected and the contribution of their setting to that significance.
- Where there are heritage assets with archaeological interest an appropriate desk based assessment or field based evaluation.
- Details of sources that have been considered and the expertise that has been consulted.

Further details of what is required are set out in PPS5 Planning for the historic environment (paragraphs HE6.1 to HE6.3).

The Statement will need to explain the approach taken to ensure that the historic and special architectural importance of the Listed building is preserved or enhanced. If there is potential to cause adverse effects then explanation should be provided on why this is necessary and what measures have been taken to minimise the impact.

The access element would be the same as those for other applications.

Where the duties imposed by the Disability Discrimination Act are relevant and any issues arise then the Statement should include any issues, the range of options considered and where inclusive design has not been provided, then the Statement should explain why.

More detail is provided in the Communities and Local Government “Guidance on Information Requirements and Validation” (March 2010), Section 6.0, referred to earlier in this document.

5 Other requirements

5.1 Fees

The correct fee (see fee sheet).

5.2 Pre-application

If applicable, give details of any assistance or advice sought from a Planning Officer prior to submitting your application – please indicate dates of any correspondence or discussion and name of Officer.

6 Supplementary information

The following information should be submitted, where appropriate, with the planning application. Although examples follow, where supplementary information should be submitted, the list is not exhaustive and Allerdale Borough Council reserves the right to request additional information (if the information is not submitted Allerdale Borough Council will invalidate your application).

6.1 Agricultural appraisal

This relates to development proposals including proposals which affect premises which are or will be reserved to occupiers employed in agriculture or forests.

6.2 Archaeological assessment

If an application affects a site of historical or archaeological importance, applicants may need to commission an assessment of existing information about the site and submit the results as part of the application in accordance with advice in Planning Policy Statement 5 'Planning for the historic environment'. Supporting information may include plans showing historic features that may exist on or adjacent to the application site including Listed buildings and structures, historic parks and gardens, and historic battlefields. For advice regarding the extent and content of the investigation/report, please contact the County Archaeologist.

6.3 Coal Authority assessment

To ensure development accounts for any potential former mineworkings in the locality of the site (confined to the coalfield areas identified by the Local Authority).

6.4 Drawing numbers

To ensure account records for the assessment of planning applications (which are also applicable to any subsequent amendments).

6.5 Ecological assessment

Applications for development in the countryside that will affect sensitive areas must be accompanied by ecological assessments and include proposals for long-term maintenance and management. This information might be incorporated into an Environmental Statement, if one is necessary. Plans should show any significant wildlife habitats or features and the location of habitats of any species protected under the Wildlife and Countryside Act 1981, Conservation (Natural Habitats etc) Regulations 1994 or Protection of Badgers Act 1992.

In the event that there are bats or owls present or potential for them to be present on the site, a detailed investigation and assessment is required. Details of the extent of the investigation can be obtained from English Nature.

Certificates of Likely Significant Effect may be required for schemes which potentially have an impact on designated SSSIs or SACs.

6.6 Environmental statement

The Town and Country Planning (Environmental Impact Assessment) (England and Wales) Regulations 1999 (SI 1999 No. 293) requires a developer to prepare an Environmental Statement (required for Schedule 1 projects and for some Schedule 2 projects) to enable Allerdale Borough Council to give proper consideration to the likely environmental effects of a proposed development. The Regulations provide a checklist of matters to be considered for inclusion in the Environmental Statement and require the developer to describe the likely significant effects of a development on the environment and to set out the proposed mitigation measures.

6.7 Flood impact assessment

A Flood Risk Assessment is required if a development falls within an Indicative Flood Plain or 'Flood Zone' – these maps are available from the Environment Agency or Local Planning Authority. Advice on preparing a Flood Risk Assessment can be obtained from the Environment Agency.

6.8 Foul sewage assessment (load/flow and non-mains assessment)

To minimise the risk of water pollution to the local water environment through detailed assessments of settlements at capacity or proposals adopting a means of non-mains drainage.

When proposing to use an existing public sewer system, full details of the system are required in specific settlements where there is an identified capacity issue.

In the event that a non-mains system is proposed, a drainage specialist or surveyor with appropriate indemnity insurance should carry out an assessment (with reference to Circular 3/99). The submission of the assessment of the non-mains system is required in all cases prior to the validation of the application. Further advice can be obtained from the Council's Building Control Section.

6.9 Heritage assessment

This is required for all Listed building applications and major developments within Conservation Areas. It is a written statement which includes a schedule of works to the Listed building(s) and an analysis of the significance of archaeology, history and character of the building/structure, the principles of and justification for the proposed works and their impact on the special character of the Listed building or structure, its setting and the setting of adjacent Listed buildings. The scope and degree of detail necessary in the written justification will vary according to the particular circumstances of each application. Further advice can be obtained from the Council's Conservation Officer.

6.10 Highway assessments

These are sub-divided into:

- a) Transport statement/assessment
The thresholds for these documents which relate to major development proposals are outlined in the highway table.
- b) Travel plan
- c) Parking guidance
- d) Road safety audits (major development)

6.11 Land contamination/land gas assessment

This evidence seeks to evaluate the potential pollution impact of development on the local water environment or human health. In addition, this may include land gas assessment from mine activities or landfill operations.

6.12 Landscaping and visual impact

Where the proposal includes landscaping, detailed plans should be submitted showing planting, seeding or turfing as well as planting heights and planting densities and the timescale of work to be carried out. These plans should also identify any trees (type, position and size), which are to be removed or altered in any way and those to be retained. A maintenance plan for at least the first five-year period should also be submitted.

6.13 Local affordable housing statement

Where Local Plan policies require the provision of affordable housing, Allerdale Borough Council will require applications for housing development to include relevant information. This will relate to both the affordable housing and any market housing e.g. the numbers 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, plans showing the location of units and their number of habitable rooms and/or bedrooms, and/or the floor space of the units. If different levels or types of affordability or tenure are proposed for different units this should be clearly and fully explained.

6.14 Noise/odour impact assessment

Application proposals that raise issues or disturbance or are considered to be a noise sensitive development should be supported by a Noise Impact Assessment prepared by a suitably qualified acoustician.

This is similarly applicable that may potentially have significant odour impact on adjacent sensitive landuses. Any assessment should be prepared by a qualified person. Advice on preparing the assessment can be obtained from the Environmental Health department.

6.15 Photographs and photomontages

It may be considered that photomontages are a clearer method of displaying the impact of the proposal to aid the assessment of the application. Therefore these can be submitted in addition to elevations and plans of the individual signs.

These provide useful background information and can help to show how large developments can be satisfactorily integrated within the streetscene. Photographs should be provided if the proposal involves the demolition of an existing building or development affecting a Conservation Area of a Listed building.

6.16 Planning statement

For major applications where there is potential to conflict with policies, information will be required to show how the proposed development accords with policies in the Development Plan, Supplementary Planning Document (SPD) or development briefs. It should also include details of consultations with Allerdale Borough Council and wider community/statutory consultees undertaken prior to submission. However, a separate statement on community involvement may also be appropriate.

6.17 Public right of way assessment

This concerns development affecting established designated formal rights of way.

6.18 Retail assessment

Proposals for retail development outside of the town centre will require to be supported by a sequential test. The assessment should include the need for the development, should sequentially assess the site in relation to the location of the town centre and other potential sites, and evaluate potential impacts on existing centres and locations.

In addition to this a retail assessment would be required for all retail/leisure development over 2500m² with on the edge or out of centre locations. Further advice can be obtained from the Council's Development Management Section regarding the extent of the assessment required for the proposal.

6.19 S106 heads of terms

This is relevant for applications where a Section 106 Agreement would be necessary and applicants/agents may wish at pre-application advice stage, to seek clarification from Allerdale Borough Council. If appropriate, applicants should include brief draft heads of terms, the details of the solicitor acting on their behalf and evidence of title for a Section 106 Agreement or unilateral undertaking.

Please note that you will be responsible for the Council's reasonable legal fees of preparing the agreement, whether the agreement proceeds to completion or not.

6.20 Statement of community involvement

Evidence provided on major applications to demonstrate engagement and feedback from the local community as part of pre-application publicity on large scale developments.

6.21 Structural survey

A detailed structural survey is required for all barn conversions and other conversions of existing redundant buildings where the structural stability of the building could be questioned.

6.22 Surface water assessment

This relates to development schemes proposing main drainage surface water in settlements where there is an identified capacity problem at its respective waste water treatment works.

It is also applicable to developments seeking to pursue soakaways as a non-mains means of surface water drainage.

6.23 Sustainability appraisal

Required for major applications, a sustainability statement should outline the elements of the scheme that address sustainable development issues, including the positive environmental, social and economic implications.

6.24 Tree survey

Where the application involves works that affect any trees within the application site or within adjacent sites, the species, crown spread, and position of trees should be illustrated accurately on the site plan. This must indicate any trees that are to be felled or would be affected by the proposed development. A statement in relation to the measures to be adopted during construction works to protect those trees shown to be retained on the submitted drawings will also be necessary.

6.25 Ventilation/extraction and refuse disposal details

This is appropriate for certain types of development, for example a hot food takeaway, restaurant use and laundrettes etc. where details of the extraction plant, including extraction flues, should be submitted.

7 Contacts

Allerdale Borough Council, Development Control Section: 01900 702 740 (North), 01900 702760 (South)

Allerdale Borough Council, Conservation Officer: 01900 702 713

Allerdale Borough Council, Building Control Section: 01900 702 520

Allerdale Borough Council, Planning Policy: 01900 702 610

Allerdale Borough Council, Housing: 01900 702 570

Allerdale Borough Council, Environmental Protection Services: 01900 702 590

Capita – Rights of Way/Bridleways/Highways: 01228 673 000

Cumbria County Council, County Archaeologist: 01539 773 431

English Heritage (Hadrians Wall only): 0191 269 1212

English Heritage (other Ancient Monuments): 0161 242 1400

Natural England: 0300 060 3900

Environment Agency: 08708 506 506

Police, Community Safety/Architectural Liaison Officer: 01228 558 251

The Planning Office at Allerdale House, Workington operates the following opening hours:

Mondays to Thursdays:	8:45 to 5:15
Friday:	8:45 to 4.45

Should you seek to meet with a specific member of staff it is recommended that you contact them to arrange a mutually convenient appointment.

Internal comments, questions and planning guidance from the Council's Planning Service via the following website address: planning@allerdale.gov.uk

