

Guidance Notes on Completing the Strategic Environmental Assessment (SEA) /Sustainability Appraisal (SA) Proforma

Why Undertake SEA/SA On My Site

The Deposit LDP has been subject of both Strategic Environmental Assessment and Sustainability Appraisal (as outlined in the SEA/SA documentation). All of the LDP allocations have been assessed against a list of test questions (termed Assessment Tests) identified as part of the SEA/SA process. The results of the assessments have resulted in changes to the LDP, assisting in making the LDP more sustainable.

The LDP, along with all of the objections to it, will be subject to an Inquiry chaired by an independent planning Inspector. The Inspector will consider the “soundness” of the LDP and the objections. Part of the consideration of the “soundness” of the LDP, or of objections to the LDP, will be whether they have been produced in conjunction with, or have taken regard of, the SEA/SA. Consequently it is in the best interests of any person who is seeking the inclusion of a site for development in the LDP to assess their site in the same manner as the LDP sites. It will also assist the Inspector in considering objections relating to proposed new sites.

As part of the SEA/SA process all of the LDP allocations were considered against the same 80 Assessment Tests. The results of the assessments were recorded on a standard form, which is now being made available for objectors to use to undertake the same assessments to their proposed sites.

It is important to note that you should **only** complete an assessment form if you are either:

1. **Proposing a new site** that has not been identified in the LDP; or
2. You are seeking **the inclusion of additional land** within an LDP allocation.

Completing the SEA/SA Form

To assist in your completion of the SEA/SA Assessment the following guidance will take you through the process of answering one Assessment Test in respect of a fictitious housing site, as well as completing the information at the top and the bottom of the Assessment Form. The guidance below will firstly outline the action needed to be taken at that stage and following that the action taken in respect of the fictitious site will be outlined (**Action**).

1. The first thing to do is select the appropriate Assessment Form from the list of forms on the council web site. **Please note that these forms are set out in A3 paper format. If your printer will not print A3 size please contact the LDP team for a printed version.** There are a number of differing SEA/SA forms, each relating to a particular land use. You will need to use the form that corresponds to the land-use that you are proposing for your site, e.g. for a site being proposed for housing use the residential form, for a site being proposed for retailing, use the retail form. If your site is being proposed for a use that does not appear on the list of forms then you will need to contact the Forward Planning Team (tel no. 01495 235376, e-mail ldp@caerphilly.gov.uk) to obtain the appropriate form. All forms available on the council website are listed in Reporting Sheet 3.

Action: **The site is being proposed for residential use. Consequently the Residential Assessment Form is chosen.**

The Residential Assessment Form (part of)

SEA/SA Assessment Form : Housing

Site Name: (1)							
Representation Ref: (2)				Representor: (3)			
(4)	Predicted Effect					Comments (10)	
	(5)	Assessment of Effect			Effect Period		
		Nature of Effect	(6)	Effect Period			
				(7)	(8)		(9)
Assessment Test	Nature of Effect	Additional Effects	S/T	M/T	L/T	Analysis Any Mitigation Measures Assumptions	
18	Will it support the role and function of the settlement within which it is located?	Low Median High Minor Moderate Major Local Countywide Temp. Perm	Cumulative Synergistic Secondary				•
Comment (11)							
Issues/Factors For Detailed Design or SPG (12)							

2. The next thing to do is to complete the three information boxes at the top of the form.
 - a. **Site Name:** (Box (1) on Form) You will need to insert a site name for the site. If the site has been submitted as a candidate site, the site name used for the candidate site process would be appropriate.
 - b. **Representation Ref:** (Box (2) on form) You need to insert the number given to your comment.
 - c. **Representor:** (Box (3) on Form) Insert your name or organization

Action: Insert the site name “Winters Field, Penyrheol” into site name box.

Action: Insert the relevant comment reference “2299.D03” into the Representation Ref box.

Action: Insert the company name “Greenfield Developments Ltd” in the Representor box as it is the company that is submitting the comment.

The form now looks like this:

SEA/SA Assessment Form : Housing							
Site Name: (1) <u>Winters Field, Penyrheol</u>							
Representation Ref: (2) <u>2299.D03</u>				Representor: (3) <u>Greenfield Developments Ltd</u>			
(4)	Predicted Effect					Comments (10)	
	(5)	Assessment of Effect			Effect Period		
		Nature of Effect	(6)	Effect Period			
				(7)	(8)		(9)
Assessment Test	Nature of Effect	Additional Effects	S/T	M/T	L/T	Analysis Any Mitigation Measures Assumptions	
18	Will it support the role and function of the settlement within which it is located?	Low Median High Minor Moderate Major Local Countywide Temp. Perm	Cumulative Synergistic Secondary				•
Comment (11)							
Issues/Factors For Detailed Design or SPG (12)							

3. Column (4) sets out the question that must be asked in respect of your site and its proposed use. (**NB** *In the interests of clarity only one of the questions from the Residential Assessment Form has been included for this guidance note.*) The actual Residential Assessment Form has 19 questions that will all need to be completed in turn according to the following procedure. Each proposed landuse has a differing set of questions to the other uses.
4. Firstly the likely effect of the site and its proposed use, in respect of the question outlined in column (4), needs to be considered. Consideration needs to be given to the period over which the effect is likely to take place and as such the responses need to be provided in the following columns:

S/T (Short Term)(7) An effect that will take place during the first 5-year period of the plan.

M/T (Medium Term)(8) An effect that will occur during, or will continue into, the second 5-year period of the plan.

L/T (Long Term)(9) An effect that will occur during, or will continue into, the third and last 5-year period of the plan.

The SEA/SA process adopts a “traffic light” form of annotation for the responses and these are outlined and defined in Response Sheet 1.

NB ***Most effects are likely to start when the development is commenced (which should be assumed to be in the short term – unless there are factors that indicate otherwise) and persist throughout the plan period, again unless there are factors that would change this.***

Action ***Ask the question (does residential development on this site support the role and function of the settlement within which it is located).***

The Key Diagram, in Section A of the LDP, identifies the function of Penyrheol as a residential settlement. Even though the site is located outside of the identified settlement boundary, it enhances the residential base of the settlement and accords with the function of Penyrheol. Consequently the answer to the assessment question is “yes” and a positive (green) response is the appropriate choice. The proposed use directly accords with the settlement function and, as such, a highly positive response is correct. The proposed use will continue to support the settlement function throughout the plan period as the use will not cease.

Action ***A double positive response (two green crosses) be inserted in columns 7, 8 and 9.***

SEA/SA Assessment Form : Housing

Site Name: (1) Winters Field, Penyrheol							
Representation Ref: (2) 2299.D03				Representor: (3) Greenfield Development's Ltd			
(4) Assessment Test	Predicted Effect					(10) Analysis Any Mitigation Measures Assumptions	
	(5) Nature of Effect	(6) Assessment of Effect			Effect Period		
		(6) Additional Effects	(7)	(8)	(9)		
	Low Medium High Minor Moderate Major Local Countywide Temp. Perm.	Cumulative Synergistic Secondary	S/T	M/T	L/T		
18 Will it support the role and function of the settlement within which it is located?			++	++	++	•	
<u>Comment</u> (11)							
<u>Issues/Factors For Detailed Design or SPG</u> (12)							

5. Now you have to consider the nature of the likely effect identified in the above process, and recorded in columns 7, 8 and 9. Again the consideration is against the Assessment Question, i.e. the proposal supports the role and function of the settlement. The responses for this are contained in column (5). You will note that there are four lines of text already included in the box.

Each line in the box relates to a separate factor (defined in Response Sheet 2) and these are as follows:

- Likelihood:** *(First Line – Low, Medium, High)* Considers the likelihood of the effect actually being realised due to other factors.
- Significance:** *(Second Line – Minor, Moderate, Major)* Considers how significant the effect is likely to be in terms of the environment as a whole.
- Geography:** *(Third Line – Local, Countywide)* Considers the area over which the effect will take place, either local, within a relatively confined area, or county (borough) wide
- Duration:** *(Fourth Line – Temp. (temporary), Perm (Permanent))* Considers whether the effect will be continuous (permanent) or will occur and then disappear (temporary).

Each factor will need to be addressed in turn and the appropriate response be circled.

Action ***Consider the nature of the effect in respect of each line in turn***

- Likelihood:** *The effect will occur if the development goes ahead so the likelihood is High*
- Significance:** *The proposal will strongly affect the settlement and so the significance is Major*
- Geography:** *Whilst wider benefits may occur, the primary effect will relate to the settlement of Penyrheol so the Geography is Local*
- Duration:** *The effect will remain with the development so the duration is Perm*

Action Circle the High, Major, Local and Perm responses in the column.

SEA/SA Assessment Form : Housing

Site Name: (1) Winters Field, Penyrheol							
Representation Ref: (2) 2299.D03				Representor: (3) Greenfield Developments Ltd			
(4)	Predicted Effect					(10)	
	(5)	Assessment of Effect			Effect Period		
		(6)	(7)	(8)	(9)		Analysis Any Mitigation Measures Assumptions
Assessment Test	Nature of Effect	Additional Effects	S/T	M/T	L/T		
18	Will it support the role and function of the settlement within which it is located?	Low Medium High Minor Moderat Major Local Countywide Temp Perm	Cumulative Synergistic Secondary	++	++	++	•
Comment (11)							
Issues/Factors For Detailed Design or SPG (12)							

6. Consideration now needs to be given whether the effects for this proposal will realise additional and/or differing effects when combined with the results from other sites or policies for the same assessment question. The responses for this are contained in column (6). There are three types of additional effects, **Cumulative** (the magnitude of the effect is enlarged due to other policies or allocations), **Synergistic** (the magnitude of the additional effect is larger than the simple addition of two (or more) effects together) and **Secondary** (any significant effects that will be realised over and above the primary effect identified in columns 7, 9 & 9). Response Sheet 2 defines these categories.

Each of the categories should be considered in turn and if they do not apply then that category should be crossed out on the form.

Action Consider what additional effects the proposals may have.

- Cumulative:** *There is another housing allocation in Penyrheol and as such there will be a Cumulative effect upon the role and function of the settlement.*
- Synergistic:** *The other residential allocation is linked to the provision of a new school. The provision of a community facility in conjunction with residential development should realize effects over and above those of the individual allocations and so Synergistic effects will be realised.*
- Secondary:** *There are likely to be spin off effects from this site, in terms of increased spend within the village, greater community resource etc. However the effects will not be significant so the Secondary element should be deleted.*

Action The Secondary factor should be crossed out

SEA/SA Assessment Form : Housing

Site Name: (1) Winters Field, Penyrheol						
Representation Ref: (2) 2299.D03				Representor: (3) Greenfield Developments Ltd		
(4) Assessment Test	Predicted Effect					(10) Analysis Any Mitigation Measures Assumptions
	(5) Nature of Effect	(6) Additional Effects	Effect Period			
			(7) S/T	(8) M/T	(9) L/T	
18 Will it support the role and function of the settlement within which it is located?	Low Medium High Minor Moderat Major Local Countywide Temp. Perm	Cumulative Synergistic Secondary	++	++	++	•
Comment (11)						
Issues/Factors For Detailed Design or SPG (12)						

7. The Comments column (10) should be used to include any comments relating to how the assessment has been undertaken, including any assumptions that have been made. In addition to this the column should also be used to identify any mitigation measures that are required to alleviate or improve any neutral or negative responses. Response sheet 1 identifies which responses would benefit from the identification of mitigation measures.

Action Consider what comments and mitigation measures should be included.

Comments: *The positive result is based upon the fact that the residential development will complement the residential role of the settlement. This should be identified.*

Mitigation: *as a strong positive effect there is no mitigation to include.*

Action The column include reference the fact that the residential development will complement the residential role of the settlement

SEA/SA Assessment Form : Housing

Site Name: (1) Winters Field, Penyrheol						
Representation Ref: (2) 2299.D03				Representor: (3) Greenfield Developments Ltd		
(4) Assessment Test	Predicted Effect					(10) Analysis Any Mitigation Measures Assumptions
	(5) Nature of Effect	(6) Additional Effects	Effect Period			
			(7) S/T	(8) M/T	(9) L/T	
18 Will it support the role and function of the settlement within which it is located?	Low Medium High Minor Moderat Major Local Countywide Temp. Perm	Cumulative Synergistic Secondary	++	++	++	• The site complements the residential role of the settlement identified in the LDP Strategy
Comment (11)						
Issues/Factors For Detailed Design or SPG (12)						

That concludes the steps necessary to complete the response to that specific assessment question. Steps 3 to 7 need to be repeated for each assessment question in turn. Once all of the assessment questions have been completed you will need to complete the final two boxes at the foot of the assessment form (Boxes (11) and (12))

8. Once you have completed the assessment questions you will need to consider the all of the responses together to provide an overall commentary on the site as a whole. To do this the results of the site assessment form considered together, identifying areas where responses conflict or work together and make a short appraisal of the positivity or negativity of the overall effect of the site. This should be inserted into box (11)

Action Consider the overall impact of the site, noting any issues raised and include in Box (11).

SEA/SA Assessment Form : Housing

Site Name: (1) Winters Field, Penyrheol							
Representation Ref: (2) 2299.D03				Representor: (3) Greenfield Developments Ltd			
(4)	Predicted Effect					(10)	
	(5)	Assessment of Effect			Effect Period		
		(6)	(7)	(8)	(9)		Analysis Any Mitigation Measures Assumptions
			Additional Effects	S/T	M/T		
Assessment Test	Nature of Effect	Additional Effects	S/T	M/T	L/T		
18	Will it support the role and function of the settlement within which it is located?	Low Medium High Minor Moderat Major Local Countywide Temp. Perm	Cumulative Synergistic Secondary	++	++	++	• The site complements the residential role of the settlement identified in the LDP Strategy
Comment (11) Whilst benefitting the settlement by providing a range and choice of housing the site may realise traffic problems on the local network which need to be addressed. The site impacts upon a designated Site of Importance for Nature Conservation, although only marginally at its northern end. Mitigation will be required and the design should ensure the integrity of the SINC. Overall the site is considered to have more positive effects than negative ones and, with appropriate mitigation, mat realise significant benefits for the community as a whole.							
Issues/Factors For Detailed Design or SPG (12)							

9. Finally you should identify detailed matters and mitigation measures that need to be taken account of when the detailed design and layout of the site is being considered. These matters should be drawn from the mitigation and comments made in respect of the assessment responses as part of the assessment process. These matters should be inserted into Box (12)

Action Consider the overall impact of the site, noting any issues raised and include in Box (11).

SE/SA Assessment Form : Housing








Site Name: (1) Winters Field, Penyrheol								
Representation Ref: (2) 2299.D03				Representor: (3) Greenfield Developments Ltd				
(4) Assessment Test	Predicted Effect					(10) Analysis Any Mitigation Measures Assumptions		
	(5) Nature of Effect	(6) Assessment of Effect			Effect Period			
		Additional Effects	(7) S/T	(8) M/T	(9) L/T			
18 Will it support the role and function of the settlement within which it is located?	Low Minor Local Temp		Medium Moderate Countywide Perm	High Major Secondary	Cumulative Synergistic	++	++	++
Comment (11) Whilst benefitting the settlement by providing a range and choice of housing the site may realise traffic problems on the local network which need to be addressed. The site impacts upon a designated Site of Importance for Nature Conservation, although only marginally at its northern end. Mitigation will be required and the design should ensure the integrity of the SINCC. Overall the site is considered to have more positive effects than negative ones and, with appropriate mitigation, may realise significant benefits for the community as a whole.								
Issues/Factors For Detailed Design or SPG (12) • Traffic impacts need to be addressed on the local network • Design needs to ensure that the development protects and enhances the nature conservation integrity of the SINCC								

10 When you have completed all of the assessment questions and have filled in the boxes 11 and 12, the form should be forwarded to the LDP Team at the following address:

The LDP Team
 Caerphilly County Borough Council
 Council Offices
 Blackwood
 NP12 2YW

Response Sheet 1

Detailed Assessment Test Responses and Information Requirements

Response	Additional Information
<p> The Policy/Proposal will realise significant negative effects in respect of the assessment question, which could undermine the environmental and/or Sustainability integrity of the Plan. Mitigation is likely to only reduce the negative effects.</p>	<p>Comment: Negatives need to be balanced by positives</p> <p>Mitigation: Other aspects that could be introduced to relieve the worst effects.</p>
<p> The Policy/Proposal will realise negative effects in respect of the assessment question, which require mitigation or amendment</p>	<p>Comment: Mitigation to reduce or remove the negative effects and balance with positives.</p> <p>Mitigation: Changes that could be made to the site to make the effects more positive</p>
<p> The Policy/Proposal realises little or no significant effect in respect of the assessment question, neither positive nor negative.</p>	<p>Comment: None necessary</p> <p>Mitigation: None (unless measures to make the strategy more acceptable)</p>
<p> Effects are anticipated, but more detailed information (possibly outside the remit of the LDP – e.g. detailed proposal design) would be required to identify the level and nature of the impacts.</p>	<p>Comment: What additional information would be required.</p> <p>Mitigation: (None – unless negative impacts can be identified.)</p>
<p> The Policy/Proposal could result in positive or negative effects dependant upon how it is implemented.</p>	<p>Comment: What is not clear</p> <p>Mitigation: For possible negative impacts</p>
<p> The Policy/Proposal has the potential to realise significant positive effects in respect of the assessment question.</p>	<p>Comment: None unless desired</p> <p>Mitigation: None unless action to make the effect more positive</p>
<p> The Policy/Proposal will definitely realise significant positive effects in respect of the assessment question.</p>	<p>Comment: None unless desired</p> <p>Mitigation: None unless desired</p>

Response Sheet 2

Definitions of Effect Results

Effect Period <u>Use symbols from Response Sheet 1</u>		S/T (Short Term)	An effect that will take place during the first 5-year period of the plan.
		M/T (Medium Term)	An effect that will occur during, or will continue into, the second 5-year period of the plan.
		L/T (Long Term)	An effect that will occur during, or will continue into, the third and last 5-year period of the plan.
Nature of Effect	Likelihood (Top Line) <u>Select one only</u>	Low	There is only a limited chance of the effect taking place, possibly dependant upon certain circumstances being prevalent.
		Medium	The effect has potential for taking place but is not an absolute certainty. Some factors may lead to the effect not being realised.
		High	The effect will almost certainly be realised, except if some exceptional circumstances prevent it.
	Significance (Second Line) <u>Select one only</u>	Minor	The impact of the effect is light and having the least amount of impact. Such effects are unlikely to have significant cumulative or synergistic effects
		Moderate	The effect is notable and will have a noticeable impact. Cumulative impacts are probable and synergistic impacts are possible.
		Major	The effect is clear and the impacts are significant and possibly severe. Both cumulative and synergistic impacts are likely, as are secondary impacts.
	Geography (Third Line) <u>Select one only</u>	County	The effect is general to the county borough, being exhibited throughout the county borough or the effect itself is county borough wide.
		Local	The effects are localised, either to a small area of to a specific site.
	Duration (Bottom Line) <u>Select one only</u>	Temporary	The effect will occur but will either reduce below a significant level or be removed over time. This should be reflected in the long, medium and short term assessment boxes.
		Permanent	The effect will not reduce or disappear over time. The effect should be reflected in the long, medium and short term boxes
Additional Effects	Cumulative <u>Cross out if not applicable</u>	Where the policy being assessed will have a combined effect with other policies/allocations, that would lead to a greater effect than the policy/allocation would realise on its own. You only have to note if there would be a cumulative impact for the policy, not specifically identify the other policies.	
	Synergistic <u>Cross out if not applicable</u>	This is where two or more policies/allocations work together to produce an effect that is greater than the cumulative effects of the policies. Again this would only be the identification of the presence of such an effect, not the identification of specific policies.	
	Secondary <u>Cross out if not applicable</u>	Where the primary effect, either on its own, or in conjunction with other elements of the plan, create a second effect, different from the effect in relation to the Assessment Test.	

Response Sheet 3
List of SEA/SA Proformas by Landuse