

13. Delivery and Monitoring

An Introduction to Monitoring and Implementation

- 13.1** The National Planning Policy Framework (NPPF) explains that Local Plans should be aspirational but realistic. Plans must demonstrate that they can meet the needs for development with the flexibility to adapt to rapid change. The option to review the Local Plan in whole or in part is one of the ways that the Council can adapt to changing circumstances.
- 13.2** Implementation and delivery of the Local Plan does not just depend on achieving outputs that provide for the quantitative requirements of the plan. It is also necessary to ensuring that the wider outcomes satisfy the vision and objectives of the Local Plan and contribute to net gains for sustainable development.
- 13.3** This section deals with how the strategy will be delivered, including the delivery of infrastructure. It informs a framework for how the policies of the Local Plan will be monitored and helps to set out the expected delivery of new homes, jobs and infrastructure as specified by the Local Plan and its supporting documents. It is one of the most important aspects of the whole Local Plan as it sets out how the overall strategy outlined at the introduction to the Local Plan will be delivered, by who and when.
- 13.4** Monitoring and delivery needs to reflect that there are multiple stakeholders and bodies responsible for implementing the Local Plan in addition to the Council. The success of certain policies and schemes will depend on co-operation and co-ordination of resources. This includes parties from the public sector, including surrounding local authorities, Essex County Council and the departments and agencies of Central Government, for example Highways England, in addition to the private sector, such as developers or businesses. It is only by working together in a coordinated way that the vision for the area can be met. How this will happen is set out in more detail in the Monitoring Framework (Appendix 2) of this document.
- 13.5** National policy requires that plan-making should be evidence-led and this in-turn should support the implementation and delivery of the Local Plan's objectives. Policies in the Local Plan are based on a robust evidence base establishing the level of development expected to 2033. This takes into account the costing of required improvements and the likely phasing of development.
- 13.6** Monitoring provides the basis for identifying when the implementation of policy is not delivering the vision and objectives of the Local Plan. The Monitoring Framework reflects the approach throughout the Local Plan, which looks to provide for challenging levels of growth and a step-change in opportunities to support sustainable development. It is important that monitoring and implementation gives the Local Plan a chance to succeed. Monitoring provides contingency in itself through identifying trigger points for policy delivery and ensures corrective measures, including the possible review of policy, are considered at the earliest opportunity.

The Approach to Monitoring and the Housing Trajectory

- 13.7** This Local Plan contains challenging requirements for the delivery of housing as well as the associated provision of additional opportunities for employment and retail development. The objectively assessed needs for housing and economic development represent a step-change compared to recent levels of growth.
- 13.8** National planning policy recognises the need for Local Plans to provide a clear indication of how they will meet the requirements for development alongside promoting a sustainable strategy. This is particularly true for the delivery of housing needs. The NPPF sets out that authorities should use their housing trajectory to set out the expected rate of housing delivery for the Local Plan period, how this is expected to be achieved and how a five-year supply of housing will be maintained. Authorities need to have regard to their Local Plan being aspirational but realistic when setting out their approach.
- 13.9** Locally, this approach is determined by the local circumstances in the District and the spatial strategy of the Local Plan to support sustainable patterns of growth. The Council recognises that in Uttlesford the long-term approach to sustainable growth can be better served by supporting new large-scale developments. This is due to the constraints and limitations on further opportunities to expand the market towns of Saffron Walden and Great Dunmow.
- 13.10** This is reflected by the Local Plan's allocations to support three new Garden Communities and concentrate opportunities for strategic economic development at London Stansted Airport. It will realistically take some time to obtain and implement planning permission for these sites and to then achieve peak levels of output of new development. Supply in the early years of the Local Plan following adoption is heavily influenced by those existing sites with planning consent, but also reflects the anticipated delivery of land allocated for additional development in settlements across the District. The Housing Trajectory for the Local Plan covers the entire Local Plan period 2011 to 2033 and takes account of these circumstances.
- 13.11** These circumstances define how delivery of the housing requirements of the Local Plan will be monitored. How the Local Plan accounts for overall performance against the 'annualised' requirements for housing and economic development are critical to the Local Plan's prospects for securing sustainable development. The Local Plan will therefore be monitored against the housing trajectory set out at Appendix 3.
- 13.12** The principles of monitoring and review run throughout the Local Plan to aid the effective implementation and delivery of individual policies and associated infrastructure. Policies in the Local Plan have been prepared in a way that enables progress on delivery to be actively measured. Targets have been set where appropriate and relevant indicators have been selected that best reflect required outputs or outcomes. Mechanisms for review are provided through a system of triggers. These highlight levels of outputs or outcomes that if observed would indicate delivery has varied significantly from that intended in the implementation strategy. A range of contingency measures are set out in Policy M1 that provide a starting point for how remedial action will be taken where considered necessary. The type of contingency considered depends on both the type of outcome or output not being observed and a judgement regarding the significance for the Local Plan.

13.13 The following initial measures should be explored where the outputs from development are not proceeding as expected:

- Identify the reasons and causes for delays and discuss with partners and other stakeholders;
- Review the evidence base including the Strategic Land Availability Assessment and Employment Land Review to provide an update on the availability and deliverability of land for employment and housing;
- Work with developers and landowners to produce a suitable and viable scheme for existing commitments or allocated sites;
- Identify the problem and barriers/ causes preventing infrastructure delivery. Seek to identify additional sources of finance or alternative programme for delivery.

13.14 Where development outcomes appear to be having effects different from those intended the following areas should be explored:

- Review the implementation of policy and monitoring mechanisms with development management colleagues;
- Assist with identifying sources of finance to address the situation (to aid the viability of including improvements as part of specific schemes);
- Discuss with partners and service providers potential solutions to better address issues within the design of schemes e.g. crime.

13.15 These measures should be read alongside the Monitoring Framework at Appendix 2. If these actions fail to realign expectations for outputs and outcomes the more significant measures provided by Policy M1 below will be implemented. These measures are intended to more clearly inform where a review of the Local Plan might be required.

Policy M1 - Monitoring and Review

The policies of the Local Plan will be monitored to ensure that they support implementation and delivery of the Local Plan's aims and objectives. Contingency for the policies in the Local Plan is provided through the Monitoring Framework. Each policy is assigned targets reflecting intended outputs and outcomes from development. Relevant indicators to assess each policy are provided by the Monitoring Framework at Appendix 3.

The Authority Monitoring Report will be the principal mechanisms for reporting implementation and delivery. Critical areas to be monitored include:

1. The completion of serviced employment floorspace, the creation of jobs and the availability of land for employment in the future;
2. Housing completions by location and type alongside the availability of land for the remainder of the Local Plan period, including the ability to demonstrate a rolling Five Year Supply of land for housing;
3. The delivery of floorspace for retail, education or other community infrastructure uses such as healthcare;
4. The delivery of major infrastructure projects required to support the Local Plan; and
5. The conservation and enhancement of assets in the built, natural and historic environment.

The delivery of housing will be monitored against the Housing Trajectory at Appendix 3. Due to the circumstances of the District and the nature of proposals within the Local Plan, any shortfall against overall requirements will be addressed over the remaining years of the Local Plan period.

The Council's procedures and measures summarised under supporting text will be implemented to support achieving the proposals of the Local Plan. Where these remain unsuccessful, the following procedures will be applied:

- a. A review of targets and phasing
- b. Preparation of Area Action Plans, 'Town Plans' for the market towns and key villages and additional support for Neighbourhood Plans looking to provide for housing
- c. Support changes to the details or locations of land allocated for employment or housing
- d. Consider the use of Compulsory Purchase Order Powers
- e. Undertake a full or partial review of the Local Plan policies and strategy.

Strategic Major Projects Monitoring including New Garden Communities

- 13.16** Successful delivery of the outcomes and levels of development anticipated at the three new Garden Communities is critical to ensure that the vision and objectives of the Local Plan as a whole are achieved. The success of the Local Plan to support economic development is also partly dependent on the provision of further strategic employment opportunities at London Stansted Airport.
- 13.17** The Local Plan's policies for the new Garden Communities and for London Stansted Airport have been adopted following extensive consultation between developers, landowners, infrastructure providers and other key stakeholders. The anticipated timetable for delivering these strategic allocations is therefore well-understood and realistic. The Local Plan period and housing trajectory allows some contingency for relatively minor delays in the earlier phases.
- 13.18** The Council considers that proposals should be submitted that reinforce and support these assumptions wherever possible and demonstrate clear pathways to delivery. It is important that the Council commits its own resources in seeking to ensure development comes forward as expected. Wherever possible options should be explored that provide timely determination of individual applications.
- 13.19** It is important that the Local Plan provides further safeguards to secure successful outcomes wherever possible. This is reflected in the policies for monitoring and implementation. The Housing Trajectory contains a separate entry for each Garden Community, which will be used to monitor progress. This is an important 'warning sign' for whether development is proceeding as expected. The Council considers that such a warning should be triggered if delivery falls below 25% of those levels expected from the site over any three-year period.
- 13.20** Should these monitoring triggers be identified the Council considers that a range of contingency measures exist and should be pursued prior to considering a fundamental review of the Local Plan or the Garden City allocations themselves. These include direct intervention in delivery of these developments where development is not proceeding because of land owner or developers' value aspirations, this will not be accepted as a valid reason for not meeting policy requirements in full. The land value should reflect the Local Plan's policy requirements. The development of the Garden Communities will extend beyond the Local Plan period and have a long-term role in securing sustainable development. The Council will respond positively to applications to various schemes where this would secure higher levels of sustainability – for example through adopting new technologies or measures for energy efficiency within the developments.
- 13.21** As the delivery of the Garden Communities relies on multiple stakeholders and interdependent elements of the scheme, the Monitoring Framework at Appendix 2 provides a range of specific indicators for the policies for each Garden Community to ensure that progress can be measured effectively. Due to the balance of land uses provided for by the Garden Communities, it is important that all types of development (e.g. employment, education, open space) come forward as expected. This will be reported as part of the Authority Monitoring Report.

Policy M2 - Implementation and Monitoring of Major Projects

The Council will support proposals for development at the new Garden Communities and for the strategic development at London Stansted Airport where they provide sufficient evidence to inform future arrangements for monitoring and implementation.

Applications should provide robust information on the expected phasing and delivery rates for development. This should include the timetable and proposed arrangements for marketing development and infrastructure delivery. Where necessary and appropriate the Council will provide support in engagement between stakeholders and infrastructure providers and will look to secure provision via planning obligations.

Progress of housing delivery for the New Garden Communities will be measured against the housing trajectory. Where performance over a rolling three-year period falls more than 25% below the expected rate of completions, the Council and other stakeholders in development will seek to implement the following hierarchy of contingency measures:

- Review the timetable for phasing and delivery in the Local Plan period;
- Explore measures to secure additional funding or re-allocate funding to enable essential infrastructure provision;
- Require additional marketing and expand the range of development partners;
- Review the details of the allocation in terms of the type, scale and location of housing and the mix of other land uses.
- Direct intervention in delivery

The Council will positively encourage measures to speed-up the determination of planning applications within such developments, including Planning Performance Agreements (where appropriate). The Council will respond positively to applications where these demonstrate that amendments to the proposals would be in the interests of sustainable development and improving the prospects for delivery.

Infrastructure Delivery

- 13.22** The co-ordination and delivery of necessary infrastructure alongside (and sometimes in advance of) development is crucial to achieving attractive and sustainable places where people want to live. In the recent past, Uttlesford has suffered where the delivery of additional growth across the network of market towns and smaller settlements has not been matched by the ability to secure additional built, social or green infrastructure.
- 13.23** Section 8 of the Local Plan provides the overarching framework for the delivery of infrastructure to support growth in Uttlesford. Section 8 and the other sections of the Local Plan set out policies that set out requirements for specific types of infrastructure including open space and sport, electronic communications, transport and the environment. The key mechanism for monitoring and reviewing the infrastructure needs of the Local Plan will be the Infrastructure Delivery Plan (IDP).
- 13.24** The improvements programmed in the IDP, and their required phasing to support development, are essential to ensure the objectives and the developments set out in the Local Plan are achieved. The Local Plan provides a framework for the prioritisation and phasing of key elements of infrastructure and it is important that projects are committed and delivered as planned to sustainably bring forward residential and commercial sites. This will ensure key social, economic and environmental requirements are met through development. It is possible for monitoring to report outputs against infrastructure requirements in addition to the levels of development achieved. This is important to highlight progress in funding and delivering infrastructure, particular for major projects i.e. road improvement schemes and open space provision.

Funding and Delivery

- 13.25** The ambitious proposals in this Local Plan offer significant opportunities to secure future funding for development but the process must be managed carefully. In many cases the projects identified to support the Local Plan will need to compete for funding alongside others being promoted by surrounding authorities. The process of implementing the Local Plan must ensure that the needs of present communities continue to be met without placing an unacceptable burden on existing infrastructure.
- 13.26** Implementation of the Local Plan requires demonstration of how the requirements for sustainable development can be achieved and remain acceptable in planning terms. This involves working together with the delivery agencies to find innovative ways of funding necessary infrastructure or changing the way existing infrastructure is used and continues to meet needs.
- 13.27** In addition to public funds, developer contributions will be sought to deliver the essential infrastructure required to support new development. Section 8 of this Local Plan sets out the approach to developer contributions. The role of monitoring the Local Plan includes taking account of the amount of contributions secured towards particular projects and ensuring that these can be utilised to support implementation of the Local Plan.

Monitoring the Local Plan

- 13.28** Good monitoring is about measuring and ensuring the effectiveness of the Local Plan in achieving the spatial vision and objectives once it has been adopted. The monitoring approach also sets out the triggers which will identify when the Local Plan's objectives are not being met, and the examples of contingency actions which can be taken to address the issues identified. Monitoring can continue to provide an understanding of the wider social, environmental and economic issues affecting the area as well as reporting outputs from new development.
- 13.29** A Monitoring Framework has been developed that can record and assess the implementation of the Local Plan policies. The following different types and sources of indicators will be needed to demonstrate the outputs and outcomes of development:
- 13.30 Output Indicators** – Indicators reporting key tangible outputs in residential, commercial and environmental development. This includes monitoring the housing trajectory. There is already a time-series of core development outputs such as housing and employment floorspace completions covering many years. Reporting these aspects is part of established monitoring practice in Uttlesford and will continue in the future. There is a statutory duty to report several output indicators to Government. Other output indicators have been developed locally to record against specific targets set in the policies of the Local Plan. These cover matters like infrastructure delivery, creating more open space or meeting design standards. These are set out in more detail in the Monitoring Framework (Appendix 2) of this document.
- 13.31 Contextual Indicators** – These are often from secondary data sources like the Office for National Statistics. They show key features in Uttlesford (such as population and income) and how these change over time.
- 13.32 Significant Effect Indicators** - These come from the objectives in the Sustainability Appraisal. They check the effects of policies designed to meet these objectives, and whether the effects on the area are as intended (bringing a positive change). For example, these might include changes in the quality of the natural environment or biodiversity assets. Some of these are already provided by the other indicator types recorded. Those indicators that measure significant effects will be identified and monitored in the Authorities Monitoring Report.
- 13.33** Monitoring should be an efficient process and can aid cooperation and data-sharing between different bodies and different parts of organisations. Where data is already being recorded the Council will avoid the duplication of information.
- 13.34** The approach to the Monitoring Framework set out in the tables at Appendix 2 seek to provide the following to report delivery against each objective of the Local Plan:
- The indicator - what is being measured;
 - Who is responsible for delivery;
 - The target - what is to be achieved and by when;
 - The source - i.e. if it is local or nationally available data;
 - Triggers to establish significant discrepancies between actual policy implementation and established policy targets; and
 - Contingency measures that may be considered if a trigger is identified.

- 13.35** Monitoring should also provide clarity about what policies are expected to deliver, and when. The Monitoring Framework has been developed to demonstrate that the impact of any policy is “SMART” - i.e. ‘Specific’, ‘Measurable’, ‘Accurate’, ‘Realistic’, and ‘Time-bound’.
- 13.36** Monitoring will also be used to help provide updates to the evidence base for the Local Plan as these are required. For example, this includes reporting planning permissions against the Strategic Land Availability Assessment to update information on the supply of deliverable sites available. These updates will inform future reviews of the Local Plan, when required.
- 13.37** Authority Monitoring Reports will be published to demonstrate progress against the indicators required to monitor the Local Plan. These will also include an update of any progress to prepare other documents in the Local Development Scheme and report engagement under the Duty to Cooperate.
- 13.38** The Authority Monitoring Report does not need to be published at a fixed yearly deadline but must be updated within a period not longer than twelve months. To ensure relevant information is made available to the public as soon as possible, such as significant progress in the development of any Local Development Scheme document or substantial departures from adopted policy, the Report will be updated as appropriate and its publication duly advertised.