

Draft Planning Delivery Advice: Housing and Infrastructure



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INTRODUCTION

1. Planning has a key role to play in delivering good quality places and helping to increase the supply of housing. Linked to this, there is need to co-ordinate infrastructure investment to release the potential of development sites across the country.
2. This draft advice on Housing and Infrastructure Delivery builds on Scottish Planning Policy [Scottish Planning Policy 2](#) (SPP) published in 2014 and follows on from the Planning Infrastructure Research Report that was published in August 2015. Once finalised the advice will replace Planning Advice Note (PAN) 2/2010: Affordable Housing and Housing Land Audits.
3. This draft advice aims primarily to assist in the preparation of development plans. It may also be a material consideration in the determination of planning applications and appeals. It has been prepared in collaboration with a wide range of stakeholders (see [Annex A](#)).
4. The Scottish Government is aware that good practice is happening, but needs to be shared more widely. To inform the production of the advice, stakeholder workshops were held to identify approaches being taken by planning authorities, developers, housebuilders and infrastructure providers. The advice contains a number of examples to highlight the range of methods being used to improve housing and infrastructure delivery.

SECTION 1: DEVELOPMENT PLANS THAT DELIVER

Delivery of successful places through joint working

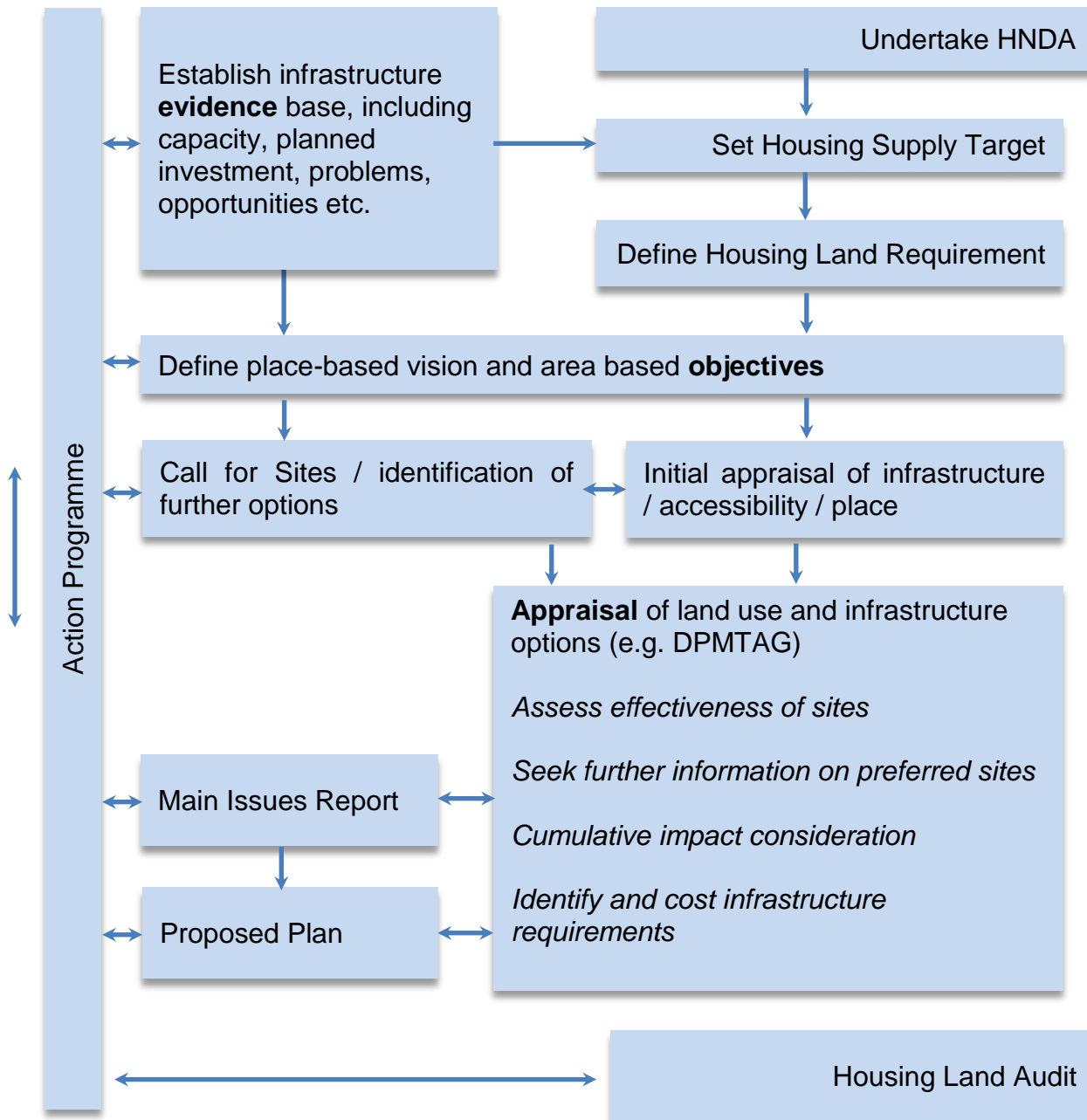
5. The central aim of planning is to deliver high quality places for people that meet the needs of communities and support sustainable and inclusive economic growth. Planning supports this by setting out a place-based spatial vision that is clear about where growth will occur, and how and when the necessary infrastructure required to support this growth will be delivered. Effective joint working is key to this - establishing a shared sense of responsibility, building partnerships and actively engaging communities.
6. Regular engagement and involvement of agencies, infrastructure/utilities providers and other delivery partners (e.g. schools, transport and health) in the development plan is essential to frontload the process, and provide clarity and certainty about the necessary infrastructure investment.

The [Place Standard](#) is a useful tool for bringing parties together to review and evaluate both the physical and social aspects of a place. It can be used to evaluate established places, places undergoing change and those which are still being planned.

Delivery of housing and infrastructure

7. Figure 1 sets out how housing and infrastructure can be considered together throughout the development plan process to achieve a greater focus on delivery.

Figure 1: Delivery of Housing and Infrastructure



Delivery of high quality development

8. Successful placemaking depends on the delivery of high quality, sustainable development. Highlighting this as a principal policy, SPP sets out the following key factors:
- planning should take every opportunity to create high quality places by taking a **design led approach**;
 - planning should direct the **right development to the right place**; and
 - planning should support development that is designed to a high quality and demonstrates the **six qualities of successful places**.
9. The delivery of high quality housing development requires leadership, a strategic vision of place and strong project management. The development plan should provide a clear framework that is delivered consistently over time. To achieve this, planning has to work with stakeholders to bring together pragmatism about economic and market conditions with aspirations for a place-based, design-led approach.

Example: Collaborative Working - Commonwealth Games Village

This multi award winning project involved the regeneration and redevelopment of 33 hectares of brownfield land. The Council worked in partnership with City Legacy – a consortium of house builders, housing associations, infrastructure providers and construction companies to plan, co-ordinate and deliver 700 mixed tenure homes built to exemplar design standards. The successful delivery of the development depended on strong project management and collaborative working to identify solutions.

10. Planning should play a confident and proactive role in ensuring development is sustainable and guided to appropriate locations:
- the development plan should establish the spatial distribution and form of development for an area, defining new housing growth areas and their connection to existing settlements in terms of layout, density and mix, landscape, and scale.
 - development needs to be supported by infrastructure provision and the co-ordination of development investment. Plans should aim to make best use of existing opportunities - for example connecting to and making the most of existing infrastructure for housing in urban and rural areas can reduce pressure on the need to provide new or additional infrastructure elsewhere.
 - urban capacity studies can be used to inform the scope for development in and around settlement boundaries and the potential for regeneration.
 - the town centre first principle in SPP requires more consideration be given to the potential for housing in and around town centres, potentially adding to footfall and providing wider economic benefits.
11. Aspirations for good design can be lost if they are not communicated spatially within development plans and can be compromised if decision-making allows poor quality development to take place.

SECTION 2: PLANNING TO DELIVER HOMES

12. Increasing levels of house building and providing sufficient land to meet housing needs is a key priority for Scottish Ministers. In recent years development planning for housing and subsequent delivery has been challenging. There has been extensive debate about the numbers of homes, and in particular the extent of allocated land required. It is critical that planning moves beyond a focus on numbers, to have a greater emphasis on delivery and the role of housing and infrastructure in supporting successful places.
13. By defining where development will take place in an open and collaborative way, successful places can be created where housing contributes positively to our quality of life and the economy.

Where does housing fit into the vision for a place?

14. A development plan should define the future vision of a place. This vision should be holistic, recognising that housing and infrastructure are a part of, but not the only consideration within, a development plan.
15. The development plan has a central role to play in providing certainty about where development will and will not take place. Allocation of a housing site within the plan should carry with it a firm and shared commitment to ensure it is delivered; an essential part of achieving this is political and community support. Active community participation is therefore essential.
16. Charrettes, undertaken early in the development plan process, can be an effective tool for achieving this. Other engagement methods are set out in [PAN 3/2010 Community Engagement](#). Planning authorities and their stakeholders should actively engage in debates about the future of their place, and be clear about how a well-planned development which includes infrastructure investment, can improve, rather than undermine, quality of life and the economy.

Example – Identifying land for housing through participative design

Like a growing number of communities across Scotland, the issue of accommodating future growth was a key challenge for the people of Callander and the Loch Lomond and The Trossachs National Park Authority to consider as part of the development planning process. A design-led event was undertaken with the community to explore options for change. The need for affordable housing was identified as a key issue, and participative design led to the identification of growth areas within a masterplan for the town.

This was set within a much wider vision for the future of the town which focused on supporting the economy, building on quality environment, walkability and making the most of its location on the River Teith. This vision was subsequently embedded in the emerging local development plan for the National Park. The process illustrates the value of full participation in discussing future options for growth, to ensure people can influence the future development of their town to meet housing needs whilst also strengthening quality of place and maintaining its distinctive character.

How much housing is required?

17. Determining the number of homes to be delivered through the development plan is just one part of the process of planning for housing. Reaching agreement on this at an early stage should allow for a much fuller debate on the spatial strategy, housing land allocations and their role in delivering positive outcomes for communities.
18. Within the city regions, strategic development plans should set a clear course for local development plans. There should be little or no debate at the local level within the four city regions on the scale of development required. Instead, the focus should be on how a place is expected to evolve over time.
19. Development plans should clearly present housing figures within the main body of the plan (see Tables 2-4). Where further background information is needed to explain and justify figures this may also be provided within a background paper.

How should the 5 year effective housing land supply be calculated?

20. Scottish Planning Policy requires that development plans should provide a minimum of 5 years effective land supply at all times. Effective land supply is defined as the part of the established housing land supply which is free or expected to be free of development constraints in the period under consideration and will therefore be available for the construction of housing.
21. The Housing Land Audit, which should be prepared on an annual basis, will capture and monitor the most up to date figure (in units) of the 5 year effective housing land supply.
22. The baseline for determining whether there is a 5 year supply of effective housing land is the Housing Supply Target (HST). The HST should be expressed as a total figure to be achieved over the development plan period under consideration, although an annual figure may also be set out.
23. Below is an example of how the 5 year effective land supply should be calculated. It is taken from the [Heads of Planning Scotland](#) Planning Performance Framework. See: PPF4 Guidance: [Annual report template and guidance notes – v4. February 2015](#).

Table 1: 5 Year Effective Land Supply Calculation

5-year effective land supply (years) =	$\frac{\text{5-year effective housing land supply (units)}}{\text{5-year housing supply target (units)}}$	X 5
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This calculation will give a numerical shortfall or surplus. For example, if the Housing Land Audit shows a 5 year effective housing land supply of 9500 effective units, but the local development plan has a 5 year housing supply target of 10000 units:

$9500/10000 = 0.95 \times 5 = 4.75$ years effective housing land supply. In this case there is a numerical shortfall in the 5 year effective housing land supply of 500 units has emerged.

When does the 'presumption' take effect?

24. Development plans should provide clear evidence of how the 5 year supply of effective housing land is to be met and maintained. SPP indicates at paragraph 125 that where a shortfall in the 5 year effective housing land supply emerges, development plan policies for the supply of housing land will not be considered up to date, and paragraphs 32-35 will be relevant.
25. In city regions, the development plan comprises the strategic development plan and the local development plan. In these areas, where the local development plan is not considered to be up-to-date but the strategic development plan is up-to-date, the development plan as a whole would not be considered to be up-to-date and the presumption would therefore apply.
26. Planning authorities may wish to consider including a 'flexibility policy' in development plans to set out how individual proposals will be considered where a shortfall in the 5 year supply of effective housing land supply emerges – as evidenced by the Housing Land Audit. Such a policy can provide criteria for considering proposals for housing on land which is not allocated in the development plan. It may also include support for sites that are identified for the longer term but which could be delivered earlier and address infrastructure constraints.

Housing Need and Demand Assessment (HNDA)

27. The HNDA is an estimate of the number of additional homes required to meet future housing need and demand. It forms part of the evidence base for the development plan. The HNDA should be used as a basis to set the housing supply target, to inform the development plan process and Local Housing Strategies. Planning and housing authorities should avoid over-complicating this stage of the process, to ensure that the HNDA is finalised prior to publication of the Main Issues Report. Once the HNDA is verified as robust and credible by the Scottish Government, the approach used will not normally be considered further at examination¹.
28. As the HNDA already accounts for existing backlog housing need, there is no requirement for this to be added to the housing supply target in replacement development plans.

Housing Supply Target (HST)

29. The HST (separated into affordable and market sector) is the planning and housing authority's settled view of the housing to be delivered over the development plan period. It should be agreed jointly by planning and housing interests and set out within the strategic development plan or local development plan outwith the city-regions.
30. The HST is a policy view of the number of homes that the authority has agreed will be delivered in each functional housing market area over the plan period. SPP (paragraph 115) states that the HST should take into account the HNDA as well as wider policy considerations and planning authorities must provide compelling evidence to support the agreed target. In defining a 'reasonable' target, the HNDA estimate of housing demand in the market sector should be reflected and wider economic, social and environmental factors, issues of capacity, resource and deliverability and other important requirements such as the aims of National Parks are to be taken into account.

¹ This does not override the provisions of Part 4 of the Town and Country Planning (Development Planning) (Scotland) Regulations 2008.

31. In setting and agreeing the HST, the [HNDA Managers' Guide](#) further advises that authorities should give full consideration to those factors which may have a material impact on the pace and scale of housing delivery, such as:
- **Economic factors which may impact on demand and supply.** The HNDA will have captured this broadly, but in setting the HST, local level economic factors can also be taken into account.
 - **Construction sector capacity.** This is unlikely to be static and developers are likely to have access to a wider pool of labour than that which is locally available. This may, however, require greater consideration in rural and island authorities where a wider pool of labour may not be available.
 - **Potential inter-dependence between delivery of market and affordable housing at the local level.** Recognising, for example that affordable housing can depend on market housing being brought forward for development.
 - **Availability of resources.** For example, current and potential future availability of funding to support the delivery of affordable housing.
 - **Likely pace and scale of delivery, based on completion rates and recent development levels.** However, as noted below, past completion rates are not necessarily indicative of future pressure for land. In some circumstances they may indicate a reduced need to make additional land available as there is sufficient capacity within the established land supply. Appropriate justification should be provided.
 - **Planned demolitions.** For example, considering the implications of any planned demolitions and their impact upon the housing supply target.
32. An appropriate balance should be struck between aspiration and deliverability when considering these factors. This may result in a HST figure which is lower or higher than the housing estimate in the HNDA. As with the HNDA, it is important to finalise the HST as early as possible in the planning process, with agreement between planning and housing authorities. The development sector and communities will also have an interest in the level of housing which is set by the target, and it is therefore good practice to describe this and invite views on it within the Main Issues Report.
33. Within strategic development plan areas, consistency and agreement on the distribution of the target among the constituent local authorities is essential, as once the HST has been set by the strategic development plan, there should be no further debate within the local development plan. Effective implementation by local development plans depends on achieving clarity, rather than flexibility, at the strategic level.
- the HST should be clearly stated and the factors taken into account in reaching the target should be fully explained; and
 - the HST should be set out in the Main Issues Report of the strategic or local development plan, as appropriate.

Generosity

34. The SPP requires that a **generous margin** is added to the HST. The purpose of generosity is to provide greater choice and flexibility in the allocated land supply to ensure that more than enough land is allocated to ensure that the HST can be met. The addition of generosity to the housing land supply will allow for unforeseen circumstances and permit additional development to take place should more delivery be possible within the plan period than originally envisaged.

- 35. The SPP states that generosity should be between 10% and 20%, depending on policy and market factors. The reasoning for the allocated level of generosity should be clearly explained within the strategic development plan or local development plan, as appropriate.
- 36. Generosity is applied at the strategic development plan level, and not revisited at the local level. Outwith strategic development plan areas, generosity is added within the local development plan.
- 37. All figures should be accompanied by a clear explanation within the plan. To reduce complexity and aid transparency, a consistent approach to the figures/information to be set out (see Tables 2-4 below) is recommended. This may be presented in graphic or tabular form, with clarity and consistency in terminology important, reflecting Diagram 1 of SPP.

Housing Land Requirement (HLR)

- 38. The Housing Land Requirement (HLR) is the Housing Supply Target with the addition of a generous margin. The HLR is set in the strategic development plan for the constituent local development plans. Outwith the city regions, the HLR is established and set out within the local development plan.
- 39. The HLR can be met from a range of sources, including the established land supply, sites which are already allocated and sites with planning permission. An allowance for windfall development and/or small sites can be made, provided that it is based on sound evidence and explained within the plan.
- 40. This provides a baseline to guide the level of proposed new land allocations required. The established housing land supply (see below) should be subtracted from the HLR to identify the housing land shortfall and the additional land requirement over the plan period.

Established land supply =	Effective land supply
	Remaining capacity of sites under construction
	Sites with planning consent
	Sites in adopted local development plans
	Other land and buildings with agreed potential

- 41. The HLR need not necessarily be confined to the plan period but can extend into the longer term where sites are identified which are programmed for delivery beyond the plan period.

Tables 2-4: Housing Figures in Development Plans

42. These tables show the key aspects of housing figures that should be presented in development plans:

Table 2: SDP Housing Figures

	SDP
<i>HNDA</i>	<i>Set out the total estimate in background paper</i>
HST	Set out the HST <ul style="list-style-type: none"> ▪ Separated into affordable and market sector ▪ For the plan area ▪ For each local authority area ▪ For each functional Housing Market Area (HMA)
HLR	Set HLR = HST + 10-20% generous margin <ul style="list-style-type: none"> ▪ For the plan area ▪ For each local authority area ▪ For each functional HMA ▪ Set out the amount and broad locations of land to be allocated in LDPs to meet the HLR up to year 12 from the expected year of plan approval, making sure that the requirement for each HMA is met in full ▪ Beyond year 12 and up to year 20, provide an indication of the possible scale and location of housing land, including by local development plan area

Table 3: LDP Housing Figures (within city regions)

	LDP in SDPA
<i>HNDA</i>	<i>Set out in SDP²</i>
HST	<i>Set out in SDP – reflect in LDP</i>
HLR	Set out in SDP <ul style="list-style-type: none"> ▪ Allocate a range of sites which are effective or expected to become effective in the plan period to meet the HLR up to year 10 from the expected year of adoption ▪ Provide for a minimum of 5 years effective land supply at all times

Table 4: LDP Housing Figures (outwith city regions)

	LDP
<i>HNDA</i>	<i>Set out the total estimate in background paper</i>
HST	Set out the HST <ul style="list-style-type: none"> ▪ Separated into affordable and market sector ▪ For the plan area ▪ For each functional HMA
HLR	Set HLR = HST + 10-20% generous margin <ul style="list-style-type: none"> ▪ For each functional HMA ▪ Allocate a range of sites which are effective or expected to become effective in the plan period to meet the HLR in full ▪ Provide for a minimum of 5 years effective land supply at all times ▪ Beyond year 10 and up to year 20, provide an indication of the possible scale and location of the HLR.

² LDPs are required by legislation to be consistent with the SDP that is in place at the time which the LDP is adopted.

Having established the scale of housing required, how are housing sites identified?

Methods to Identify Housing Land

43. Planning authorities should aim to identify a diverse range of sites to provide a good mix of tenures and densities and accommodate different types of development and user groups. Placemaking principles (as set out in the SPP) can be used to assess the contribution of sites to quality of place.
44. Planning authorities can proactively identify land for development, guiding settlement growth and regeneration, and providing wider place-making benefits. SPP is clear that planning should direct the right development to the right place, including optimising the use of existing resource capacities and considering the re-use or re-development of brownfield land before new development takes place on greenfield sites. Examples of interventions include:
- taking the lead in the redevelopment of brownfield land within settlements where there is little developer interest;
 - identifying green belt land release on the basis of an urban capacity study to inform the spatial strategy;
 - making use of land assembly; and
 - including use of compulsory purchase powers where appropriate.
45. Analysis of the available sites and their infrastructure requirements should also be considered 'in the round', so that cumulative impacts on infrastructure (see Part 3) and any associated mitigation can be identified. The required interventions can be costed and the process of identifying resourcing solutions can form part of the planning process. [Appendix 2 'Call for Sites'](#) provides advice on approaches that can be taken to identify housing land.
46. Planning authorities should work with partners to strengthen the links between development planning and community planning. This can be achieved through combined engagement and better connections being made between the planning of local services with the future spatial development strategy. A charrette or similar visioning exercise can be used to help identify capacity for development.
47. Innovative solutions to meeting housing need and demand which respond to the needs of a place and community are encouraged. For example, plans can allocate land to accommodate custom-build and self-build homes. Local authorities can proactively establish serviced plots and bring them to the market for self-build projects. Working with prospective developers, planning authorities may also wish to identify a simplified planning zone for housing.
48. Housing can also make a significant contribution to the revitalisation of town centres, by encouraging residential use of upper floors or through infill development. These opportunities may not emerge from developers but can be proactively identified by planning authorities and communities. For example this could be identified through the housing land supply or through housing initiatives, such as those focusing on the reuse of empty properties.

Example: Simplified Planning Zone – Renfrew Town Centre

Renfrewshire Council established the first town centre Simplified Planning Zone in Scotland for Renfrew in August 2015. This scheme allows conversion of non-residential properties on upper floors to flats without having to apply for planning permission.

49. The focus of housing delivery is on the sectors broadly defined as market and affordable. In allocating a range of sites to meet the housing land requirement, development plans should consider a variety of options to increase the supply of good quality housing, including a range of site sizes and alternative models of delivery. The need for specialist accommodation should also be taken into account and proactively facilitated.

Build to Rent

50. The emerging Build to Rent (BTR) sector offers new opportunities to increase the rate of delivery of housing which can contribute to the delivery of well-designed, sustainable places, often on brownfield sites.

51. BTR (previously termed the Private Rented Sector) is purpose-built accommodation for rent rather than sale, providing large-scale, professionally managed residential accommodation. It can take a variety of forms, ranging from homes which are indistinguishable from those on the market for purchase to schemes which have greater similarities to student or sheltered housing. As a consequence, the planning system needs to be responsive to reflect the particular approach being proposed.

52. The development of BTR homes has different needs around access to sites and financial viability compared to mainstream housing development, but has potential advantages over housing for sale:

- delivery of housing at scale – the pace of development can be much quicker as letting rates are higher than sales rates.
- enables rapid placemaking for large regeneration sites – BTR can kick-start larger development sites and create a sense of place.
- design quality – with a longer-term interest in the development, there are opportunities for high design quality which will attract investors and clients.
- urban/brownfield sites, using existing facilities – city centre brownfield sites with access to a wide range of facilities and amenities can be particularly attractive.

Example: Build to Rent Development on Brownfield Sites

A mixed-use development on the site of a former brewery, the planning application for the Springfield development in Edinburgh included a significant share of housing for the Build to Rent sector. The proposal included community, commercial and retail space and was subject to public engagement and consultation.

53. BTR has the potential to become an additional route to quickly expand housing supply, helping to provide flexible housing options. The Scottish Government is working to encourage a growing BTR sector which provides good-quality, well-managed homes. As part of this commitment, funding has been provided to the home building industry body Homes for Scotland to enable the appointment of a PRS Champion. Supported by a working party of experts, the Champion has been exploring opportunities to unlock large-scale BTR development in Scotland, backed by institutional investment.

54. Retention of BTR units in the rented sector should only be required if the nature of the proposal is significantly different to a standard product for sale and consequently a flexible approach has been taken to normal standards during their planning and development.

For further information on BTR in Scotland, see:

[A Place to Stay, A Place to Call Home – A Strategy for the Private Rented Sector in Scotland](#)

[Building the Private Rented Sector in Scotland](#)

Self and Custom Build

55. Self and custom build also offer alternative models to increase the supply of housing. This option is particularly important to give people the chance to own a home and remain in their communities in many rural areas, and it also provides opportunities for households in other areas to choose the type of home they want and make sure it meets their needs. Access to sites can be a particular barrier and planning authorities are encouraged to consider the allocation of sites for plots for self and custom-build as a means of supporting a broader range of housing solutions. The Scottish Government's [Self Build Guide for Scotland](#) gives anyone considering self build for the first time an idea of the issues, costs and possibilities that need to be taken into account.

Example: Approaches to Self Build- Island Authorities

Shetland Islands Council has a [dedicated web page](#) which explains the process for housebuilding (self-build) and provides a link to the [Online Shetland Directory](#) which provides contact details of all the relevant professionals to progress a self-build development (Architects, Builders, Solicitors and Lenders)

Example: Approaches to Self Build – Urban Areas

Inverclyde Council's Adopted Local Development Plan sets out that the Council wishes to encourage self-build plots in suitable locations within the urban area. Where such opportunities exist, sites are indicated in Schedule 6.1 of the plan 'Residential Development Opportunities' and provides capacity for potentially 50 dwellings in total. The Council also has a repopulation policy as part of its Single Outcome Agreement which is offering 8 self-build plots in Kilmalcolm as a pilot project.

Establishing an effective housing land supply

56. The deliverability of sites as well as their contribution to placemaking objectives should be properly understood. Indicative costs for associated infrastructure should be identified as far as possible. In practice, costings may become more defined over the course of the plan preparation process. To aid transparency, authorities may wish to 'rate' sites as a result of that analysis – for example sites can be positioned on a sliding scale which reflects the level of certainty about their deliverability. [Annex C 'Action Programme Template'](#) provides an example of how the deliverability of sites could be rated on a sliding scale (high to low risk rating or red, amber and green).

Example: Renfrewshire Council's Developers Day

Renfrewshire Council held a Developers Day to involve a range of interests from the Council and development sectors to provide updates on the Development Plan, Development Management and the Council's framework for investment. The event used collaborative working to promote the Council's 'open for business' approach and discuss the delivery of key sites in the Development Plan. Central to this event was the need to improve certainty in decision making, and high quality places

57. Analysis of sites requires an understanding of how they can contribute to the 5 year supply of effective housing land. The effective housing land supply is a sub-set of the established land supply and should comprise all sites that are deliverable or capable of being delivered in the plan period. The effective land supply can include sites which are constrained at the time the plan is adopted, providing that the steps required to overcome these constraints are set out in the Action Programme.

58. To be considered 'effective', a site must be considered against the following criteria:

- **ownership:** the site is in the ownership or control of a party which can be expected to develop it or to release it for development. Where a site is in the ownership of a local authority or other public body, it should be included only where it is part of a programme of land disposal;
- **physical:** the site, or relevant part of it, is free from constraints related to slope, aspect, flood risk, ground stability or vehicular access which would preclude its development. Where there is a solid commitment to removing the constraints in time to allow development in the period under consideration, or the market is strong enough to fund the remedial work required, the site can be included in the effective land supply;
- **contamination:** previous use has not resulted in contamination of the site or, if it has, commitments have been made which would allow it to be developed to provide marketable housing;
- **deficit funding:** any public funding required to make residential development economically viable is committed by the public bodies concerned;
- **infrastructure:** the site is either free of infrastructure constraints, or any required infrastructure can be provided realistically by the developer or is committed to by another party to allow development; and
- **land use:** housing is the preferred use of the land in planning terms, or if housing is one of a range of possible uses other factors such as ownership and marketability point to housing being a realistic option.

59. Whilst ideally sites should meet all of these criteria, a case can still be made for including a site where some are not met, but there is a clear commitment to overcoming a constraint, for example in the plan Action Programme.

What about marketability?

60. Development plans should make provision for housing of all tenures in places where people want to live – now and in the future. Marketability is an additional consideration that is relevant to the supply of land for private sector housing but should not be the determining factor in deciding whether a site is effective. As far as is practicable, planning authorities should consider the marketability of their housing land supply as a whole. The promoters of sites are responsible for providing evidence on whether or not a site is marketable, but planning authorities also have a role to play in considering its attractiveness to future buyers. In

assessing marketability, a combination of professional judgement and evidence (e.g. past completions and land values) can be used by planning authorities.

61. Unlike the other criteria for assessing effectiveness, marketability is not a fixed constraint but can change over time, with sites that may be less attractive becoming more realistic propositions as perceptions change. Sites that are not immediately marketable could still be considered effective in some circumstances. For example, it is legitimate to include sites that form part of regeneration proposals for an area, providing that the steps to delivery are clearly defined within the Action Programme.
62. Planning authorities, housing and infrastructure providers should work together to ensure that sites identified as effective are developed within the expected timescale. Where constraints arise, or funding commitments necessary to deliver the site are delayed or no longer forthcoming, the status of the site should be reviewed within the Housing Land Audit.
63. Progress recorded in the Action Programme monitoring and the Housing Land Audit can be used to inform future assessments of the performance of the housing land supply in the plan. It would not be appropriate to de-allocate housing sites simply because progress has been slower than predicted. However, careful scrutiny of longstanding development sites is recommended to avoid relying on sites which are unlikely to come forward for development as a result of, for example, infrastructure constraints or a lack of market interest. There may be good reasons for including some more challenging sites within the land supply. In such cases the plan should be clear that sites are part of a longer-term aspiration and the Action Programme has a key role to play in defining how they can be 'unlocked' to secure delivery. Where it is concluded that a site is no longer a realistic option, planning authorities should consider de-allocating such sites and identifying appropriate alternatives.

Development Viability

64. Viability testing of development sites tends to be undertaken by developers at the detailed application stage, for example, through the use of viability assessments and during negotiations over development contributions. It is at this stage that there is greater certainty over the costs and requirements of development sites.
65. There are also potential benefits from seeking information in relation to viability during the preparation of the development plan, which can be an additional factor for consideration when preparing the spatial strategy. Planning authorities can consider what form this information should take and at what stage in the plan process. In addition, Housing Land Audits and the process of establishing the effectiveness of the housing land supply may be informed by an assessment of the costs and viability of sites.
66. To reduce abortive work and to minimise resource implications, it is suggested that planning authorities should prioritise the sites for which this information is sought. For example, evidence of site viability may be sought after an initial sift, to focus on sites that the planning authority is considering for inclusion in the Proposed Plan, or it could focus on major sites/sites within strategic growth areas.
67. A key element in assessing viability is the costs of development; in particular infrastructure costs. Where possible, indicative infrastructure costs should be taken into account within viability assessments and collaboration between stakeholders is necessary to achieve this.

Scottish Government - Planning for Infrastructure Research Report:

The [Planning for Infrastructure research report](#) recommended that Cost Plans for infrastructure be prepared for each allocated site in the Plan. These would focus on infrastructure costs and be developed by site promoters in partnership with key agencies and other stakeholders. Requiring Cost Plans for all allocated sites would be a significant change in the development plan process, involving additional time and resources from all parties. Although it is not intended to introduce a formal requirement for this, where indicative infrastructure costs can be identified on an individual site basis, this can better inform site viability assessment.

68. Where viability assessments have been submitted by site promoters, planning authorities may work with other local authority professional services to consider their validity and where necessary secure additional external expertise to assess this information.

What is the role of the Housing Land Audit and what should it contain?

69. The purpose of the Housing Land Audit is to provide information on the amount and status of land which is available within the plan area over the plan period and into the longer term. Housing land audits should be undertaken annually.

70. The audit provides evidence to establish whether there is a 5 year supply of effective housing land, and includes monitoring and evidence on the capacity and programming of sites for housing. As far as possible, planning authorities should seek to agree their Housing Land Audit with Homes for Scotland.

Content of the Housing Land Audit

71. The Housing Land Audit should report:

- all land with planning permission for residential development, including the remaining capacity of sites under construction;
- land allocated for residential development (including the residential component of any mixed-use development) in adopted development plans; and
- other land with agreed residential potential such as land identified for housing in proposed local development plans or assessed as appropriate for housing following an urban capacity study.

72. Planning authorities should seek to present information in a consistent manner to allow for tracking and incorporation from the Call for Sites, through the plan, between annual audits and into the Action Programme.

73. Key variables to report in the audit will include:

- site name
- site reference/development plan reference
- site location/address/grid reference
- site area
- site capacity (total capacity, remaining capacity of sites under construction and 5 year effective capacity)
- site ownership
- planning status – including whether it is part of the effective land supply and/or a windfall site
- completions (annual) – past and projected
- greenfield/brownfield
- number and type of housing being provided
- tenure
- constraints – including the nature of the constraint (e.g. ownership, physical, contamination, deficit funding, infrastructure, land use) and any plan to overcome it.

74. In addition to monitoring the effective housing land supply, the audit should identify constrained sites and the actions required to make them effective. The information provided and used at the Housing Land Audit stage should link with the Action Programme, where further detail on the nature of the constraints, required actions, commitments and responsibilities will be updated and published. Whilst Action Programmes are required to be submitted to Ministers every two years, they should be updated on an annual basis.

75. As part of the Housing Land Audit process, information on completions can be used to identify how much land remains available. Completion rates should not automatically be used as an indicator for additional land release. Where past completions are lower than expected, it does not always follow that additional land needs to be allocated for housing. A balance needs to be struck to ensure that low levels of anticipated completions (arising from wider factors including market conditions) do not artificially inflate the level of additional land release required. Solutions may lie in unlocking allocated sites which remain constrained through more proactive intervention such as the provision of infrastructure.

76. In a small number of cases, sites may be found to remain ineffective and should therefore be considered for removal from the effective housing land supply. Justification for the possible deallocation of sites can be provided within the audit. Site promoters can be asked to provide information on whether or not the site remains effective and the anticipated programming of development delivery. Separately, the audit should also set out the sites which have been completed within the plan period.

77. The planning authority is responsible for undertaking the audit but it should be informed by engagement with developers, agencies and infrastructure providers, and made available to communities in the interests of transparency. Planning authorities should make Housing Land Audits easily available in electronic format to ensure they can be accessed online. This provides an opportunity for improved engagement and reduces costs.

Example: Housing Land Audit - Homes for Scotland Procedures

This [document](#) sets out how Homes for Scotland aims to provide consistent responses to draft audits across Scotland. It also describes the key stages in which they seek to engage with the audit.

78. The strategic development plan can use Housing Land Audit data provided by constituent planning authorities to form an evidence base for housing supply across the area. Local authorities within the city regions should therefore aim to use a common approach, present the findings consistently (ideally using a single template) and align timescales to enable consistency.

Example: Aberdeen City and Aberdeenshire – Engagement on Housing Land Audit

In producing their joint Housing Land Audit, Aberdeen City and Aberdeenshire Council undertook an initial survey to gather housebuilders intentions for their sites before consulting and engaging on the Draft Land Supply. The draft was made available online for consultation. Notification was sent to Homes for Scotland, Scottish Government (Housing Investment Division), SEPA, Scottish Water, SNH and a number of large and small developers. Once responses had been received and analysed, a meeting was held with consultees to produce an agreed statement of the land supply situation.

Both Council websites have a database and search function for all sites included in the Housing Land Audit. This provides access on site details, capacity, actual and programmed completions, additional information and planning applications.

Land with Agreed Potential

79. Land with agreed potential includes any land which is not formally identified in an adopted development plan or which does not have planning permission. It can include land identified for housing in proposed local development plans or assessed as appropriate for housing following an urban capacity study. Careful consideration should be given as to whether to include such sites in the effective land supply and audit. Its inclusion will not pre-empt subsequent consideration of the status of the site by the planning authority when finalising a development plan or determining a planning application. If a site ultimately is rejected by these processes, it should not be included in the next audit.

Windfall Sites

80. Windfall sites arise unexpectedly and are by definition not part of the planned housing supply. As set out in SPP (paragraph 117), the expected contribution to the housing land requirement from windfall sites must be realistic and based on clear evidence of past completions and sound assumptions about likely future trends.
81. Windfall sites may be particularly important in rural and island authority areas where they can make a significant contribution to the overall supply. Where possible, sites should be identified in the Housing Land Audit.
82. Windfall sites should only contribute to the 5 year effective land supply once planning permission has been granted for residential development and it is considered to be effective or is being developed.

Small Sites

83. Small sites (i.e. sites capable of accommodating up to 4 dwellings) may form an important part of the housing land supply but, in the interests of proportionality, planning authorities can provide aggregated figures in the audit or estimated (based on evidence of past completions), rather than reporting on each individual site.

House Types

84. Planning authorities are encouraged to collect and report information on tenure and housing types, in particular identifying the share of houses, flats and sheltered accommodation. This will help to better establish whether the need and demand is being met through provision of a diverse range of opportunities.

Affordable Housing

85. The categories of affordable housing are set out in [Appendix 4](#). Housing Land Audits should reflect these definitions to distinguish between affordable housing sites and completions, and private market housing.

SECTION 3: PLANNING FOR INFRASTRUCTURE

86. Infrastructure makes our places functional, supports quality of life and provides the foundations for investment. Effective planning and funding for infrastructure can unlock land for development. Infrastructure needs to be adequately addressed through the development plan process. Where it is not properly planned for, it can hinder growth, be a barrier to development and undermine the quality of our places. Improvements to infrastructure to support development can have high capital costs and require revenue funding over the long term, presenting both funding and delivery challenges. Good planning for infrastructure increases certainty, can create efficiencies, reduce costs and help to manage the phasing of development.
87. Development plans have a critical role to play in making the case for new or enhanced infrastructure needed to support development strategies. A balance between pragmatism and ambition in planning for infrastructure is required. Deliverability and the buy-in of stakeholders is critical. To make best use of available resources, strategies should be based on making use of existing infrastructure capacity, but should also be supported by longer term plans for infrastructure provision.
88. Almost all development needs some form of infrastructure. It follows that all those with an interest in the development process have a shared responsibility and a role to play in delivery, including service and infrastructure providers. As with housing, infrastructure delivery depends on many different public and private sector partners and funding often comprises a mix of investment solutions. The public sector must be able to prioritise infrastructure spend in order to make best use of available funding. For the private sector, the role of infrastructure costs in establishing development viability is critical. Sharing of information and being transparent about requirements and costs is an essential part of this.

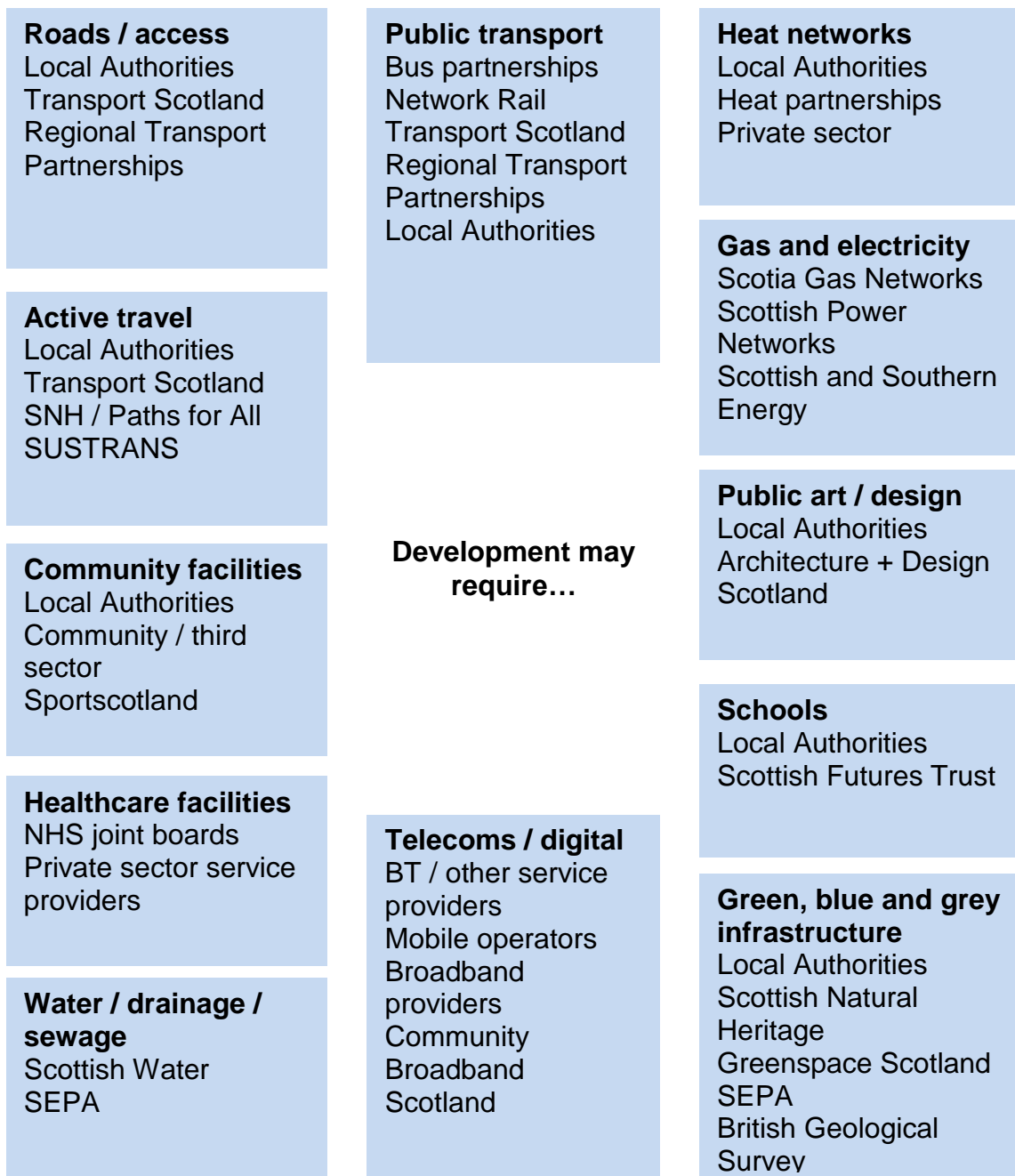
What types of infrastructure are relevant to development planning?

89. Figure 2 sets out types of infrastructure which are relevant to development plans, alongside the relevant delivery partners.
90. Local authorities will have different infrastructure priorities and needs and development plans should be tailored to provide place-based infrastructure solutions. In some cases, the infrastructure needs of communities will be identified through community planning, and therefore a strong link with the development plan is important. Consideration should be given to whether the delivery of infrastructure is a main issue for development plan areas and how this relates to the big ideas for change. [Appendix 1](#) contains more detail on the range of infrastructure types which are relevant to development planning.
91. Planning authorities should provide leadership by looking ahead to identify how development strategies can be future-proofed by anticipating and making provision for new and emerging technologies, particularly those which can contribute to lower carbon living. Developers also have a key role to play in recognising how their individual developments will impact on, and contribute to, wider infrastructure capacity and networks.
92. Strategic development plans should identify infrastructure requirements that cross local authority boundaries or have cross-boundary significance. Most commonly, this can include transport, water and drainage provision. Developments in adjoining local authorities that have cumulative impacts on infrastructure are particularly significant at a strategic scale and need to be addressed within strategic development plans to build greater certainty on the infrastructure that is needed to support development. This can help to avoid additional costs and delays, which can undermine the deliverability of sites.

93. Strategic mechanisms to secure infrastructure funding at this level should be identified where appropriate. Early engagement and collaboration between the constituent planning authorities will be required to achieve this and to take agreed approaches forward through local development plans.

94. At the local development plan level cumulative infrastructure requirements that are not cross boundary should also be considered alongside more specific requirements for individual sites.

Figure 2 – Infrastructure Relevant to Development Plans and Key Stakeholders



How can infrastructure capacity and needs be established?

95. Establishing infrastructure capacity and needs should be integral to the plan preparation process. A stock-take of the infrastructure position should form part of the monitoring statement to identify capacity and constraints.
96. As set out in Figure 2, many different public and private sector organisations are responsible for infrastructure delivery. Engagement should be continuous rather than limited to the plan preparation period:
- it is good practice to establish a working group (often referred to as a Delivery Group) to focus on infrastructure aspects of the development plan. This can have a number of benefits including the potential to share information.
 - infrastructure stakeholders, including agencies, utilities providers and other local authority departments should participate in such a group.
 - once working arrangements have been established, they should continue throughout the plan preparation process.
 - where specific issues are identified, sub-groups can be arranged to focus on these topic areas. This avoids full group meetings when not required.
 - inputs should not conclude on approval/adoption of the plan, but should continue to steer delivery through the Action Programme, the development management process and be sustained to inform the next plan.
97. [Annexes D, E, and F](#) contain information on establishing infrastructure capacity and contact details for Utilities, Transport and Education providers to facilitate such groups.
98. Planning authorities should work closely with other council services to identify infrastructure requirements. In particular, transport, education, finance and community services departments have a direct interest and should aim to embed their plans for future capacity enhancement within the development plan.
99. Planning authorities should make use of readily available information provided by key agencies, utilities providers and others, as a starting point in developing their spatial strategy. This can be assisted by developers who should also be prepared to provide clear information about the infrastructure requirements arising from the sites that they wish to see included in the development plan.

Example: Infrastructure Requirements - Collaborative Working

Planning in Aberdeen City and Aberdeenshire has been informed by groups that were established to identify the infrastructure requirements to support development. The Future Infrastructure Requirements for Services (FIRS) Groups comprise of a number of Council departments including: roads, public transport, transport policy, waste, housing, education, culture and sport and the developer obligations team; Transport Scotland, Scottish Water, Nestrans (the Regional Transport Partnership) and NHS Grampian. The groups played a key role in informing the preparation and delivery of the Aberdeen City and Aberdeenshire local development plans. The groups have meant that both councils and developers in the area can identify costs up-front, have a good view of existing and future infrastructure capacity, and are therefore well placed to factor future costs into their understanding of development viability and their own capital plans.

100. Infrastructure capacity and requirements can then be presented spatially, alongside development strategies and proposed development sites within the plan. The availability of mapped information varies between infrastructure types (refer to [Annexes D, E and F](#)). Where possible, infrastructure providers should seek to present information in mapped format, so that it can be more readily linked to the spatial strategy.
101. Local authorities and other infrastructure providers should be creative when considering how best use can be made of existing infrastructure capacity. Examples of this could include altering school catchments and consideration of travel management options. In addition, links between different types of infrastructure could create efficiency, and future proofing should be properly considered to ensure best value for money over the long term. Planning authorities should work with infrastructure providers to identify whether additional development capacity can be freed up by making small but well targeted infrastructure investments.
102. Infrastructure need and the timing of that need are often closely related to the timing of development build out or occupation. This can be difficult to predict, causing uncertainty. Although this uncertainty cannot be eliminated entirely, infrastructure working groups should engage with site promoters and developers to establish best estimates of delivery timescales to inform the infrastructure planning process. This information should feed into the Action Programmes (see [Appendix 3](#)) which will contribute to the delivery of the plan. This engagement is of particular importance for large scale development, or strategic land releases.
103. Where development is supported as a result of community, economic or place-making objectives, authorities should not rule out development sites where there is a shortage of infrastructure capacity. In these cases, the development plan Action Programme has a critical role to play in defining a clear path to providing additional capacity through investment.

Identifying infrastructure requirements in the Development Plan

104. [Circular 6/2013 'Development Planning'](#) states that '*items for which financial or other contributions, including affordable housing, will be sought and the circumstances (locations, types of development) where they will be sought*' should be identified in the plan, rather than supplementary guidance. The strategic/local development plan is the primary planning documents for the identification of the infrastructure needed to deliver the plan.
105. When identifying items of infrastructure in the development plan, this should go beyond purely setting out the basic types for which contributions will be sought but should identify the known required interventions. This could include education, transport and water/drainage. For example, if additional school provision is required, the development plan should set out the location and form of infrastructure that is required (e.g. new school/extension). It is recognised that it will not be possible to identify such infrastructure items in all cases. Planning authorities may wish to focus on the key strategic infrastructure³ items or those which will likely result in the requirement for significant developer contributions.
106. A proportionate approach is supported in this process. For example, development plans are not expected to set out every occasion in which an infrastructure item will be required for a development. It is recognised that in many cases the requirement for such infrastructure will be established at the detailed application stage and negotiated on a site by site basis. It is acceptable to provide indicative information early in the process of preparing a development plan, providing that the steps required to establish more detailed and accurate requirements are clear to those involved and outlined in the Action Programme.

³ Strategic Infrastructure is defined for the purposes of this advice as that which services new, major and multiple sites/phases in order to mitigate the individual or cumulative impacts of that development.

107. It is important that development plans also set out the circumstances in which developer contributions will be sought. Specifically, plans should be clear about the locations within the planning authority area where contributions will be required and the types of development which will be expected to make the identified contributions.
108. This is particularly important where specific infrastructure items have been identified within the plan. Where a developer contribution policy will apply across the planning authority area, it would be sufficient to set this out in a statement. However, where a delivery mechanism has been developed, for example, involving a contribution zone, the zone itself should be contained within the plan, with appropriate reference to the supporting evidence base. This will allow the principles of the approach to be consulted on and if necessary examined resulting in more transparency and greater confidence in the delivery mechanism of the plan.

Should the costs of infrastructure be defined in the development plan?

109. Development planning can have a sharper focus on delivery where it is based on an understanding of development costs and specifically costing the infrastructure upgrades required to accommodate development.
110. Although establishing infrastructure costs can be a complex and time consuming process, there can be significant benefits in doing this for key items that are required to deliver the spatial strategy.
111. Planning authorities are not expected to assemble infrastructure costs in isolation. Input from internal and external infrastructure providers, and those who are bringing forward development proposals, is required. It should be borne in mind that development plans are the first step in the process of delivering development. More precise, costed proposals for infrastructure will develop as plans become projects at the masterplanning, site brief and planning application stages. However, a reasonable level of information on costing within the development plan will allow for sources of funding to be considered and deliverability to be established.
112. Taking a proportionate and prioritised approach to cost identification within the development plan will provide the basis for developing a delivery strategy and assist in setting the principles for potential developer contributions.
113. The costing of necessary infrastructure may develop as the plan preparation progresses and it is recognised that costs are likely to be on an indicative basis. It is important that all stakeholders engage in this process.
114. Indicative infrastructure costs can be used to inform viability assessments. Where these have been submitted by site promoters (see paragraphs 64 to 68), this will help to demonstrate the effect of infrastructure costs on the overall viability of development.
115. There is no single source of information on typical costs of infrastructure, nor is there an agreed methodology for establishing the costs of specific infrastructure types. However, some types of infrastructure lend themselves more readily to standard costs than others and where this information is available this should be shared.

Should development plans define how infrastructure will be funded?

116. Establishing sources of funding to deliver infrastructure requirements at the development plan stage can be challenging. However, a strong emphasis on achieving cross-sector and

corporate buy-in can have a significant impact on ensuring the plan is deliverable and provides certainty.

117. Securing funding for projects can require time and it is recommended that this is explored early in the plan preparation process, with a view to reaching a good level of commitment within the Action Programme. Judgement will be required - a lack of an identified funding solution for key infrastructure requirements should not necessarily delay adoption of the plan.
118. In many cases, proportionate developer contributions will not, on their own, be sufficient to fully finance infrastructure requirements. In these situations it is important that a blend of funding streams is considered, with relevant funding mechanisms established through the proposed plan and Action Programme when required.
119. Public sector funding may be available to support infrastructure investment in part or wholly. Development plans should be aligned with, inform, and be informed by local authority budgets and also the investment plans/strategies of other infrastructure providers. Local authorities have used prudential borrowing to secure up-front funding for projects that is later recouped through planning obligations.
120. The development plan has a key role to play in providing clarity and certainty that developments will be delivered. For transparency, the status of any infrastructure approval or funding should be clearly described in the Action Programme.

Example: Upfront Investment - Dundee Western Gateway

Dundee City Council identified the Western Gateway as a strategic priority for significant housing and mixed use development in the Dundee and Angus Structure Plan (2001). Although multiple developers were interested in the site, the potential impact of upfront infrastructure costs was frustrating delivery. In 2008, Dundee City Council decided to take forward the required upgrades to Dykes of Gray Road, the local access road to the development, at a cost of £3.2 million. Collaborative working with TACTRAN, the regional transport partnership and Transport Scotland, underpinned this decision. The upgrading works were funded through prudential borrowing, to be repaid by developers in the Western Gateway over a longer time period. Contributions were shared by developers of the allocated sites and gathered through Section 75 obligations, payable in phases based on the sale of homes. The Council viewed this approach as a long term investment that released a strategically important development site. The long borrowing period reduced the risk of development not proceeding as expected. It is anticipated that the land will be fully built out by the end of the borrowing period.

121. Other sources are available within the public sector or through partnerships; current examples are as follows:
 - within the city regions '**city deal**' bids are a potential source of assistance. It is important that city deals inform, but are also informed by, strategic and local development plans. Interventions identified in city deals should align with the spatial strategy of plans. This is a requirement for establishing the business case for specific projects. The scope of City Deal funding to cover infrastructure should be clearly set out in the development plan to provide clarity on what can and cannot be funded.

- focusing on regeneration, **Tax Incremental Financing** (TIF) aims to support infrastructure which would otherwise be unaffordable, and to provide additional leverage for private sector investment. It is based on future additional tax revenue (established in terms of the uplift in land value and non-domestic rates) and to finance borrowing required for public infrastructure improvements. Local authorities are encouraged to propose TIF schemes supported by a business case which justifies the use of TIF to secure investment.
- The [Scottish Futures Trust](#) is responsible for the delivery of a £3.5 billion programme of projects using the **Non-Profit Distributing** model. The model provides capital funding upfront where funds are limited but future revenue budgets are expected to pay back costs over time. The programme focuses on projects relating to education, health and transport. Delivery of the programme is monitored as part of the Infrastructure Investment Plan programme pipeline.
- **Growth Accelerator Model:** a funding approach originally pioneered by Scottish Futures Trust and City of Edinburgh Council; the Growth Accelerator has been adopted for wider use by the Scottish Government.

Infrastructure contributions

122. Planning authorities can draw from a range of sources to support infrastructure, including upfront payments secured through planning conditions and contributions in kind (e.g. the provision of land or sites). In addition, planning authorities can enter into legal agreements to secure funding for infrastructure, however not all are binding on successors in title. The following identifies some of the mechanisms for securing contributions:
- planning conditions are generally preferable to a planning or legal obligation. The guidance contained in [Circular 4/1998: The Use of Conditions in Planning Permissions](#) should be followed.
 - Section 69 of the Local Government (Scotland) Act 1973 allows local authorities to enter into agreements where they can assist them in undertaking their statutory functions. This tends to be applied where there is a single third party, in one-off situations and for relatively straightforward cases.
 - Section 48 of the Roads (Scotland) Act 1984 allows roads authorities to enter into agreements with third parties to provide or improve roads.
 - Section 20 of the Local Government (Scotland) Act 2003 allows local authorities to enter into arrangements or agreements with any party for the benefit of the area in whole or part. It does not allow finance to be raised by imposing any tax or charge by borrowing.
123. In addition, agreements may, in certain circumstances, be secured in accordance with Section 75 of the Town and Country Planning (Scotland) Act 1997 (as amended). Such agreements are known as 'planning obligations'. If registered, planning obligations run with the land and may be binding on successors in title. [Circular 3/2012: Planning Obligations and Good Neighbour Agreements](#) sets out Scottish Government policy and guidance on the circumstances in which Section 75 planning obligations can be used.

124. Regardless of the mechanism to be used, the case for developer contributions should be established wherever possible through the strategic development plan/local development plan. This will allow the broad principles of any methodology to be appropriately justified, consulted on and subjected to examination. This should provide evidence of the infrastructure capacity position and establish the connection between the infrastructure and the developments being required to contribute, for example through appropriate transport assessment/modelling.
125. In establishing these broad principles, it is important that sufficient information and detail is provided in the plan to allow them to be tested in the examination, if required. This will ensure that any approaches are based on open and transparent evidence, for example, the principle upon which developments pay contributions (both in type and location).
126. The policy approach to developer contributions varies between planning authorities. To ensure that contributions are being sought fairly to mitigate impacts on infrastructure capacity, careful consideration of the methodology and evidence used to establish contributions is required.
127. Figure 2 identifies the range of infrastructure types (and their delivery bodies) that are relevant to development plans, and [Annexes D, E and F](#) provide further detail in relation to utilities, education and transport infrastructure. It is an established principle that consideration should be given to the economic viability of proposals where developer contributions are being sought. Planning authorities should therefore be clear about the priorities for which contributions need to be sought.
128. The delivery strategy for infrastructure should be looking ahead to take into account allocated land. Seeking contributions only when a piece of infrastructure has reached capacity may result in long lead in times for the provision of additional capacity or can put an unreasonable burden on a single developer.
129. The development plan can be used to demonstrate compliance with the policy tests set out in that Circular 3/2012, particularly where the need for infrastructure is created by a combination of impacts from individual developments.
130. The development plan should explain the relationship between the proposed development and infrastructure required, as well as clarifying how contributions will serve a planning purpose and will fairly and reasonably relate in scale and kind to the proposed development. The approach should be underpinned by a robust evidence base and methodology and should be transparent.

Cumulative Contributions

131. Practice has evolved in recent years, with some planning authorities taking area-based approaches to seeking combined (or cumulative) contributions to infrastructure. This type of mechanism can be particularly beneficial in addressing strategic infrastructure requirements, whether within local authorities or cross-boundary at the strategic development plan scale. They can also form a key component in supporting the delivery of a local development plan.
132. Although establishing such an approach can be time consuming - requiring modelling, mapping and costing of interventions - such approaches can be beneficial to address cumulative impacts. A robust baseline is required in order to reliably project future development impacts. In some cases planning authorities have commissioned the assistance of consultants with this task. Improved practice in costing Action Programmes will also provide a better starting point for this type of approach.

133. Typically a geographical area or zone for contributions is identified, within which development proposals of a specified type/scale, will be asked to make a contribution. Contributions may be sought from development where there is a demonstrable link with the required infrastructure and the level of contribution will vary in accordance with the scale and kind of the development. In terms of cumulative contribution levels, these need not necessarily be individually tailored or varied for individual sites – rather ‘bands’ of contribution can be defined.
134. Where the policy tests set out in Circular 3/2012 apply, authorities must ensure this ‘fairly *and reasonably relates in scale and kind*’ to the development proposals. Planning authorities should be realistic about whether market conditions within their area would support this approach. Whilst commitment, time and resources will be required at the development plan stage, this can help to streamline negotiation at the development management stage. It is important that any such proposals are transparent and discussed with the development sector, given that costs arising have the potential to impact on development viability.
135. Such approaches should be set out ideally within the strategic or local development plan, rather than supplementary guidance. Over time, there should be scope for cumulative contributions mechanisms which are currently in supplementary guidance to be embedded in the plan itself to allow for proper consideration at examination and greater transparency. This is particularly important, for example, where all interests in a large site (e.g. a strategic growth area) are expected to share the cost of infrastructure that supports the site as a whole.
136. Local authorities can also use this approach to strengthen confidence to borrow for up-front investment, which will later be recouped as development is delivered. While details will vary between authorities, a clear methodology established in the development plan with stakeholder buy-in, has an important role to play in improving confidence. Planning authorities should be mindful that developer contributions form part of a wider ‘menu’ of funding options and are unlikely to be sufficient to entirely resource infrastructure required to support delivery of a development plan.

Example: Developer Contribution Zones - Renfrewshire Fastlink

The Renfrewshire Local Development Plan supports an extension to Fastlink, a rapid bus transit scheme which extends along the Clyde Waterfront. The aim of the extension would be to better integrate land use and transport links through a high quality connection. [New Development Supplementary Guidance](#) was developed, which set out the contributions required from developers towards the cost of the extension. These vary depending on the type, size and distance from the Fastlink route. A minimum development size threshold and maximum distance to the route were defined in the guidance, the latter being graduated into 100 metre zones and shown on a map. This allows for scaling of contributions. Provision is made for reducing contributions in exceptional circumstances where financial viability of a site is affected.

137. Figure 3 below provides examples of mechanisms that have been established in development plans.

Figure 3 - Cumulative contributions – mechanisms

Cross boundary contributions have been established in development plans. Examples of this include the Strategic Transport Fund, established by the Aberdeen City and Shire Strategic Development Plan Authority. This was informed by transport modelling, which established the necessary upgrading work and the link between these works and development across the strategic development plan area.

Local authority wide contributions can be sought, where development across an area will collectively create requirements for infrastructure. As with cross-boundary contributions, the links between development still need to be established. This approach has been used in Perth and Kinross.

Contribution zones can be used to guide contributions from development proposals within specific parts of a plan area. These can be used within the development plan or supplementary guidance to set out spatially defined requirements and 'zones' within which contributions will be sought. Several authorities have used this approach to support a range of infrastructure. Methods for establishing required contributions vary and have included a 'gravity model' to assess how developments will use specific road junctions.

Project contributions have been sought for specific, often strategic infrastructure projects. Examples include funding of the Scottish Borders Railway, Edinburgh trams and the Fastlink in Glasgow and Renfrewshire. Similar to zone based contributions, an area of impact is established based on the location or route of a specific project, and the level of contribution sought is linked to the impact of development and its benefit from the infrastructure provision.

Individual contributions are commonly used by planning authorities. This level of detail provides the strongest connection between specific development proposals and their impact on specific infrastructure.

Further Information

138. The Scottish Government recognises the importance of a joined up approach to housing and infrastructure delivery. This is a key part of the ongoing review of the planning system. As a result this draft advice will be revisited as the recommendations of the independent panel are taken forward.
139. Further information on [planning](#) and [housing](#) can be found online.

APPENDIX 1 – INFRASTRUCTURE TYPES

Transport

1. Transport infrastructure is central to place-making, facilitating movement at both national, regional and local levels. It is required to support the quality and functionality of our places. The economy relies on efficient transport connections, within Scotland and to international markets. Planning can play an important role in improving connectivity and promoting more sustainable patterns of transport and travel as part of the transition to a low carbon economy.
2. Transport infrastructure and services needed to support development should be considered from the start of the plan process, as these are required to inform the delivery of spatial strategies. Transport impacts can often be identified relatively late in the process, thereby undermining the deliverability of sites within the plan. It is recommended that, along with other interests, transport infrastructure providers are actively engaged early and throughout the development planning process. Planning authorities should work with all those with an interest in transport infrastructure and service provider stakeholders to identify, assess and monitor progress on delivery of sites.
3. The structure of local authority services can assist with the sharing of information and collaboration on the development plan process. Several local authorities have brought together planning and transport services to facilitate closer working between the two disciplines.

Example: Collaborative Working – Planning and Roads Services

Dumfries and Galloway Council established a Roads Planning Hub to seek better alignment between planning and roads services. The Hub involves a lead member of staff to co-ordinate planning and roads matters across the Council's area offices. This approach to collaborative working has helped improve consistency of advice and engagement in the development plan and development management.

Example: Collaborative Working – Aligning planning permission with roads construction consent

Many councils have adopted the approach of aligning roads construction consent (RCC) with planning permission, for example Aberdeen City Council has established a staged process to achieve this.

Findings from Scottish Government [research](#) indicates that a structured approach to aligning consents can help to provide earlier certainty for developers. For this approach to be most effective it requires coordination between planning and roads services. A [letter from the Chief Planner on aligning planning permission with roads construction consent](#) encourages authorities to agree to align these consents for housing developments and to follow a consistent approach in doing so.

4. Local authorities (including planning and transport services), developers, key agencies, regional transport partnerships and other transport stakeholders should work together to establish the required interventions to accommodate development proposals, their indicative costs and potential sources of funding. Where funding sources have not been identified or committed, there requires to be general consensus that there is a reasonable prospect of the infrastructure being delivered, and agreement from those responsible for the transport network concerned. The roles and responsibilities of different transport stakeholders should be clearly defined in Action Programmes (see [Appendix 3](#)) and used to guide involvement at the development management stage.
5. Wherever possible, items of transport infrastructure (whether strategic or local) which are required to support the spatial strategy should be identified in the plan, alongside whether developer contributions will be required. In many cases, transport infrastructure can be significant, so identifying the potential for these contributions in the plan is important. Paragraph 275 of SPP identifies the expectations of development plans in relation to transport infrastructure.

Example –Development Planning for the Transport Network in Perth

The Perth Transport Futures project has been taken forward by Perth and Kinross Council to ensure alignment of future growth with investment in transport capacity. The Council identified potential impacts on congestion and air quality in and around the city and the issues arising. In response to this evidence, a series of integrated measures were identified which together formed a strategic approach to infrastructure enhancement. Key measures included junction improvements, connecting roads, a Cross Tay Link Road to divert traffic around the city and improvements within the city centre. The infrastructure enhancement was also identified to open up a significant area to the north and west of Perth for future development. In tandem with the delivery of the local development plan a study was undertaken to define the accessibility of the area. The project was used to inform the establishment of a fund for developer contributions towards the cost of these significant and long term improvements, with delivery guided by supplementary guidance. The projects will also be supported by commitments within the council's capital programme. The planning department was a key driver for this work, supported by wider corporate buy-in.

6. In preparing development plans, planning authorities are expected to appraise the impact of the spatial strategy, and its reasonable alternatives, on the transport network in line with Transport Scotland's Development Planning and Management Transport Appraisal Guidance (DPMTAG). This should include consideration of previously allocated sites, transport opportunities and constraints, current capacity and committed improvements to the transport network. Planning authorities should ensure that a transport appraisal is undertaken at a scale and level of detail proportionate to the nature of the issues and proposals being considered, including funding requirements. Appraisals should be carried out in time to inform the spatial strategy and the strategic environmental assessment. Where there are potential issues for the strategic transport network, the appraisal should be discussed with Transport Scotland at the earliest opportunity.
7. Where transport impacts, particularly cumulative impacts, resulting from development are not adequately considered during the plan preparation process, this can undermine the deliverability of the spatial strategy.

8. Undertaking Transport Appraisal work to inform development plan preparation can be resource intensive and time consuming. The scoping, timing and financing of this work are important factors to consider early in the plan preparation process. In addition, strong project management of appraisal work can help ensure that timescales are met in line with the development plan preparation timetable.
9. Whilst taking the above into account the scoping of transport appraisal work needs to be proportionate, in line with the SPP which emphasises the need to reflect the nature of the issues and proposals in order to define the appropriate scale and level of detail required.

Example: Aberdeen City and Shire Strategic Transport Fund:

The Aberdeen City and Shire Strategic Development Planning Authority played a lead role in establishing a strategic transport fund (STF) which supports the anticipated levels of growth which have been projected for the city region.

The STF was prepared in partnership with Nestrans, Aberdeen City Council and Aberdeenshire Council, with support from Transport Scotland. The STF aims to deliver an estimated £86 million of key transport improvements which were identified as being required to address the cumulative impacts of development across the city region in the period to 2026.

Projects supported by the fund include road and junction improvements, a new train station at Kintore and a new link across the River Dee. The aim was to address cumulative impacts arising at key 'hot spots' on the transport network as identified in a Cumulative Transport Appraisal.

Contributions are sought from developments in identified Strategic Growth Areas and on non-allocated sites where they are expected to contribute to cumulative impacts on the network. Different levels of contribution are sought from developments, based on their different levels of predicted impacts as established through weighting of different types of residential units and non-residential use classes. Initially developed as non-statutory guidance, the STF is now supported by statutory supplementary guidance. Over £20 million in planning obligations have already been agreed by developers. The fund illustrates the critical role of strategic level planning in addressing cross-boundary development impacts through well-planned infrastructure interventions.

Education

10. New housing can generate new or different needs for education providers. Local education authorities must find a free school place for all children who are 'of compulsory school age'. Infrastructure requirements can include primary and secondary schools, as well as nurseries.
11. Management of local authority schools estates is a complex matter. However, planning is well placed to provide a long term perspective to inform future school provision and to facilitate engagement in that process. Given the scale of investment required and its implications for local authority revenue budgets, the process of planning for education can be particularly challenging. Education provision and phasing of required improvements often plays a key role in determining development viability and therefore delivery.

12. Supplying education provision can have long lead in times and involve high capital costs. Where there are capacity constraints across school estates, issues over the funding, timing and delivery of additional provision can result in housing development being stalled. Wherever possible, the items of education provision which are required to support the spatial strategy should be identified in the plan, alongside who would be expected to contribute to the cost. In many cases, education contributions can be significant, so identifying the potential for these in the plan is important as it can build greater clarity about development viability. The timing of education provision is crucial for the delivery of the development plan. Where local authorities rely solely on developer contributions, an element of uncertainty as to when the appropriate funds will be in place to fund the infrastructure is inevitable. Where greater certainty can be provided through the use of other front funding sources, these should be considered.
13. Where the Plan identifies the needed education requirements to deliver the spatial strategy, it should also signpost the evidence base for this, for example, the school estate capacity assessment (see [Annex F](#)).
14. In order to allow applicants to make an assessment of the likely contributions required, appropriate details of the cost per property (for different school types) and the Council's pupil product ratio should be set out in supplementary guidance.
15. When considering education provision through the development plan, the requirements of the Schools Consultation (Scotland) Act 2010 also need to be addressed (see [Annex F](#)).

Utilities – electricity, heat and gas

16. Engagement with utilities providers is often only undertaken by developers when they are entering a contract with the landowner or at the planning application stage. There are however, opportunities for earlier engagement and this is encouraged.
17. Utilities providers need to take into account the risk of development not proceeding before committing to an investment. A firm commitment may not be made until there is sufficient certainty and often this requires a consent to have been granted. Nevertheless, there is still value in securing their engagement at an early stage. This can assist utilities providers, as a view on longer term land use change can help to inform their longer term investment plans. Similarly, selection of development sites and any assessment of their effectiveness will benefit from being informed by input from utilities providers.
18. To facilitate collaborative working and engagement with utilities providers, the type and level of information required should be made clear. In many cases, broad information is available online (see [Annex D](#)). This can provide a useful starting point, but will require further discussion and consultation. Ongoing engagement with utilities providers as part of the development plan process should reduce the risk of allocated sites proving difficult to deliver where there are unexpected costs arising from network connections or other infrastructure requirements. Ideally, this engagement should link with inputs from other agencies, to allow planning authorities to establish a clearer picture of the various constraints and opportunities across the plan area.

Example: Utilities Providers - Engagement with Developers

Scottish and Southern Energy, hold 'connection surgeries' throughout the country at different times of the year. This provides the opportunity for site promoters to discuss their projects, site specific capacity issues and options for connection (contact details are provided in [Annex D](#)).

19. Timing is a key consideration - establishing the relationship between the timing of the implementation of a consent and investment programming can be challenging but can be considered as part the Action Programme. As these factors are dynamic, this part of the Action Programme would benefit from regular review in consultation with utilities providers. It can be helpful to identify utilities providers in Action Programmes, especially where significant intervention/re-enforcement may be required which could impact upon the deliverability of a site.

Example: Glasgow City Subsurface Infrastructure and Planning

Glasgow City Council is working with the British Geological Survey to prepare supplementary guidance on sub-surface infrastructure and planning. This is identifying above and below ground spatial data of ground conditions, soil quality, land use, subsurface infrastructure, utility services, district heating potential, renewable geothermal energy potential, transport infrastructure, infiltration potential for SuDS, flooding and surface and groundwater resources. The Council's intention is to develop a framework to incorporate data to inform the development plan and development management. The data will be made available to provide information on uses, ownership, buffer zones and potential impacts of development.

20. The Scottish Government aims to derive 11% of non-electrical heat demand from renewable sources by 2020. Energy diversification and reducing emissions from the heat system are key objectives, as set out in the [Heat Policy Statement](#) (2015). Scottish Planning Policy reflects this, setting out requirements for development plans including identifying generation, storage, transmission and distribution networks. It recommends the use of heat mapping to inform the potential for co-locating developments with high heat demand with sources of heat supply.
21. The Scottish Government has published a [heat map](#) providing data which is shared with Scottish local authorities. This allows planning authorities to assess heat demand and supply and to establish how they can be connected. It can be used to assess areas of need, priorities and scope for decentralised energy projects. The map will be updated regularly. [Online guidance on planning for heat](#) is also available.
22. Several local authorities have established not-for-profit Energy Service Companies (ESCO), who manage and have been tasked with taking forward district heating schemes.

Example: Heat Network Partnership

The Heat Network Partnership brings together the Scottish Government agencies who provide financial and technical support and guidance to businesses, the public sector, communities and households, working with a wider partnership of key stakeholders to deliver a step change in the scale of heat networks in Scotland.

Their website sets out contacts, advice and guidelines associated with all stages of district heating. It also provides a useful map identifying where [district heating projects](#) are active or in the planning stages.

Digital and telecoms

23. Telecoms and digital infrastructure are now recognised as an essential part of new development proposals. National Planning Framework 3 and Scottish Planning Policy highlight the need for improved digital connectivity to support the economy and quality of life. Good digital connectivity can support businesses and quality of life - work is ongoing to achieve a world class digital network for Scotland. Virtual links can support homeworking and reduce the need to travel, thereby contributing at a strategic level to wider placemaking objectives such as reducing congestion. It is also particularly important for rural and remote communities, to help sustain their economic vitality and growth. As with utilities, planning for this type of infrastructure often only takes place at the stage where specific proposals enter the planning system.
24. BT openreach can provide further information on network connections and costs. A proposed layout for costing purposes can be provided prior to planning consent being granted, but charges are applicable to this and any subsequent revisions.

Example: Local Development Plans and Digital Infrastructure

Scottish Planning Policy sets out that local development plans should reflect infrastructure roll-out plans of digital communications operators, community groups and others, such as the Scottish Government, the UK Government and local authorities.

The East Ayrshire Council Proposed Local Development Plan included information on the rollout of Digital Infrastructure to support high quality mobile and fixed broadband connections. The plan requires new development to provide as standard the infrastructure necessary to connect new premises to the fibre optic network. Details of the Scottish Government's Step Change 2015 project, BT's commercial rollout and the Council's intention to investigate further Wi-Fi provision in East Ayrshire were also covered.

Water and Drainage

25. Developments can impact on water and drainage infrastructure capacity. Provision of new or enhanced facilities is often required to accommodate the needs of new households, and their design has the potential to contribute to wider placemaking and environmental objectives.
26. Scottish Water, in collaboration with SEPA, publishes an annual Strategic Asset Capacity and Development Plan which sets out capacity for each local authority area. This takes into account the impact of new development on available capacity and the creation of new capacity as a result of investment. Scottish Water has commissioned approved providers to support developers by providing plans to inform development proposals for specific sites.
27. Issues relating to water and drainage provision should not be viewed in isolation but considered in relation to the plan's objectives and settlement strategy. The availability of existing capacity will be an important consideration when identifying land for development. Engaging with Scottish Water throughout the development plan process can help to identify areas where development may be most viable, or where phasing of a development may enable quicker delivery of the strategy.

28. Action Programmes can identify water and drainage infrastructure issues and identify lead partners to deliver development. Relevant issues may include waste water capacity, water supply, water quality and requirements for assessments (flood risk assessment, drainage assessment, development impact assessment).

Green Infrastructure

29. Green infrastructure provision is an essential part of sustainable place making. Greening of other infrastructure types, such as transport networks (grey infrastructure) and water infrastructure (blue infrastructure), can contribute to green infrastructure networks. Green infrastructure can improve the perceptions of places and can play a key role in supporting health and well-being, as well as ensuring that the planning of the built environment contributes to wider ecological, landscape and sustainable economic growth objectives.

30. Development plans should take into account current green infrastructure assets and identify where enhancements to quality and connectivity should be provided to support positive, place-based development proposals.

31. Scottish Natural Heritage has a key role to play in supporting planning authorities as they identify opportunities for green infrastructure creation and enhancement. The Central Scotland Green Network also works closely with planning authorities to build green infrastructure into development plans.

Scottish Government guidance on '[Green Infrastructure: Design and Placemaking](#)' contains advice on how the context of green infrastructure should be approached in development plans.

Health and community facilities

32. New developments can result in the need for additional local healthcare facilities to be provided. GP surgeries, dentists and community health centres are essential services that form part of healthier more sustainable communities. NHS Boards should be involved from the early stages of the development plan to establish the need for new facilities to ensure appropriate service provision.

33. NHS Boards are responsible for the management and planning of their estates. The scope of NHS Boards' responsibilities for asset management includes facilities held and used by them, those held by them but used by an external organisation and those held by third parties in support of service provision.

Joint health and social care boards

34. Primary care typically provides a first point of contact in the health care system, providing an easily accessible route to care. In NHS Scotland, primary care is provided by a range of professionals, including GPs, pharmacists, optometrists, dentists, nurses, health visitors and others. Some primary care, for example GP services, dentistry, optometry and pharmacy, are often, though not always, delivered by independent contractors, with other services delivered by staff employed by NHS Boards. Regardless of the structure, these professionals work in partnership with each other and with colleagues in specialist services.

35. Primary care can be delivered in a range of settings, including people's homes, local health centres, community clinics and GP practices. Community healthcare infrastructure can be provided under a range of models: it can be held and operated directly by the NHS Board; held by the NHS Board but operated by another party; or it can be owned and operated by an external organisation, such as a GP practice or other independent contractor. NHS Boards' responsibilities for managing their asset base include facilities operated through all these models.
36. Planning Authorities should work with health care providers, including the relevant NHS boards to establish the need and the potential delivery of primary health care provision through the development plan. The model being used to provide the healthcare facility (as mentioned above) should be taken into account when considering the role of the development plan, for example, if using developer contributions.

Other community facilities

37. Other community facilities may also be required or proposed as an integral part of placemaking. Community centres and learning facilities, sports and recreation, investment in the public realm, public art and communal waste and recycling facilities may be factored into development proposals. Responsibility for this may lie primarily with local authorities but could also be of interest to other agencies and organisations, such as sportscotland, Architecture and Design Scotland and Zero Waste Scotland.

Example - South Lanarkshire Council's Community infrastructure assessment:

Policy 5 of South Lanarkshire Council's local development plan (adopted in 2015) requires an assessment of development impacts on community infrastructure. The aim is to support development by ensuring that the costs arising from required contributions to key types of infrastructure are identified up-front, and can therefore be factored into consideration of the viability of development sites.

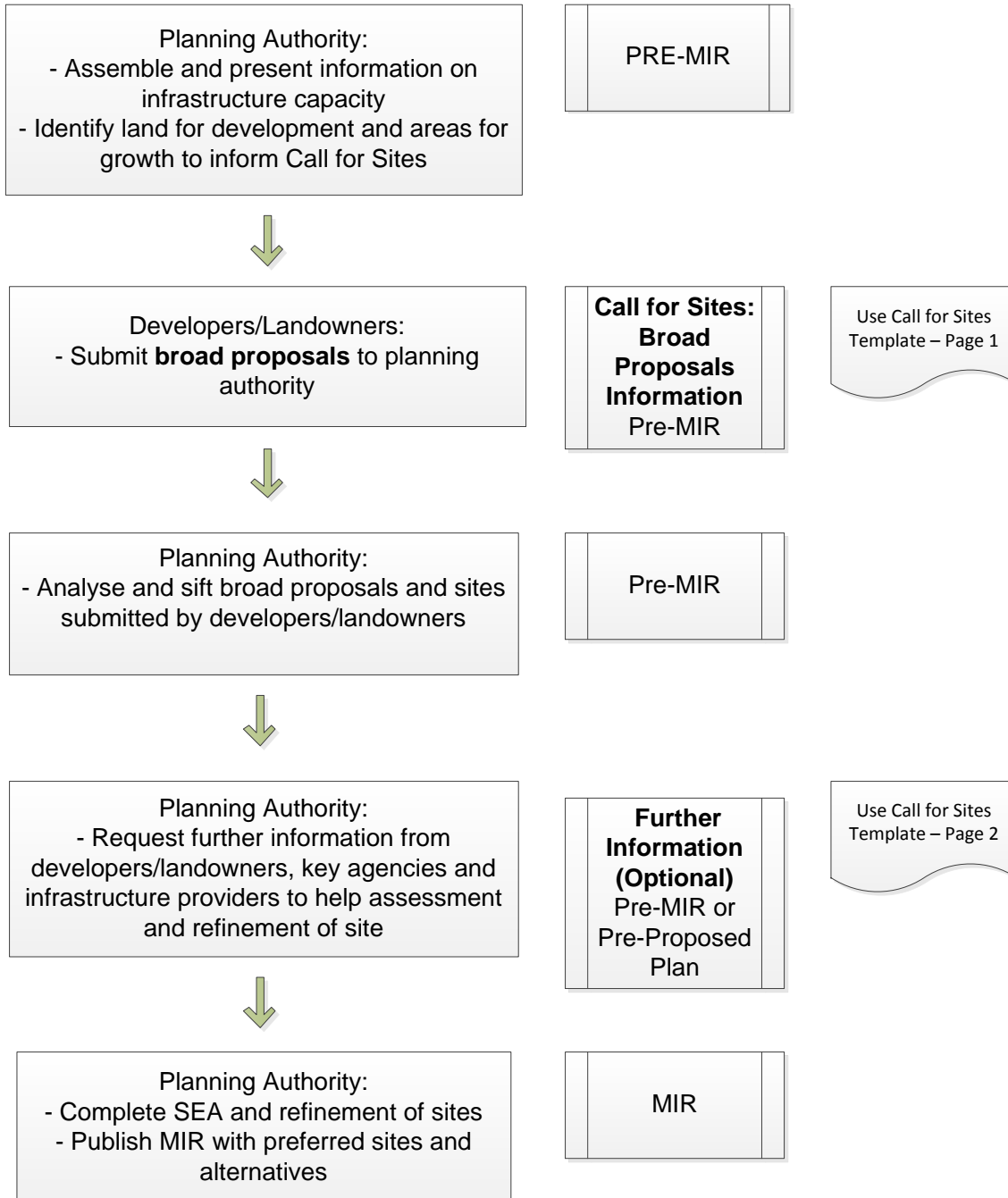
The approach is integrated and place-specific, bringing together impacts on affordable housing, roads, education, recreation and community facilities to provide an integrated picture of the required infrastructure for a community. The emerging supplementary guidance intends for assessments to be carried out by the relevant local authority services to identify requirements, as an integral part of the assessment of any planning application where impacts are expected.

APPENDIX 2 - CALL FOR SITES

Identifying Housing – The Role of Call for Sites

1. Planning authorities can use different methods to identify the land required to assemble their housing land supply. Whilst not a statutory requirement, most planning authorities issue a Call for Sites prior to preparing the Main Issues Report. This can identify opportunities for development and reflects the importance of collaboration between the planning authority and developers to produce accurate and deliverable development plans. However, the Call for Sites should be recognised as one part of the planning process and cannot, on its own, provide a development strategy. Planning authorities should look to combine their own analysis and knowledge of their area with gathering input from the Call for Sites. The plan should not be an amalgamation of all potential development sites, but should balance the wider development strategy with information on deliverable sites.
2. Approaches to the Call for Sites vary between authorities, with different levels of information being sought. Seeking too much information through the Call for Sites can prove costly and time consuming for all stakeholders. Too little and there is a risk that undeliverable sites are taken forward to form part of the effective housing land supply. A balanced approach is therefore required.
3. By being clear about desired outcomes from the plan, and mapping the spatial context for growth, the scope of the Call for Sites can be brought into focus. In the second and third iterations of the development plan, there should be scope for planning authorities to be more directive about preferred locations for development, building on previous versions of the development strategy.
4. The Call for Sites could be used to identify not only land for housing and other developments, but also the associated infrastructure requirements. By assembling and presenting relevant information, including infrastructure capacity and requirements, the Call for Sites can be used to steer submissions towards locations which will be supported by the development plan strategy.
5. Planning authorities may wish to undertake the Call for Sites in two stages:
 - the initial stage could be used to seek **broad proposals**. This could then be followed by a sift and analysis informed by discussions with stakeholders including developers, key agencies and infrastructure providers, allowing options to be narrowed down.
 - thereafter, **further information** can be sought to establish more detail about preferred sites in the MIR. Alternatively, this information could be sought at the pre-Proposed Plan stage to inform the delivery of sites and Action Programme. The timescales for this should be factored into the development plan process. Whilst this may require more upfront investment it can help reduce delays later in the development plan process.
6. The 'Call for Sites: Suggested Process' provides an example of how the call for sites could be structured:

Call for Sites - Suggested Process



7. The Call for Sites can be used to generate discussion and buy-in to the development plan and should be transparent. Planning authorities can assist this in practical ways – for example by, publishing site information online to ensure communities are given early sight of proposals, and using a coherent approach to site referencing. There should be clear links and consistency with the information gathered at this stage so that it can be transferred and incorporated into the Action Programme and the Housing Land Audit.

Call for Sites Template – Annex D

8. Page 1 of the template in [Annex D](#) sets out a suggested level of minimum information that can be sought through the Call for Sites at the **broad proposals stage**. Further/additional information that may be helpful or could be sought by the planning authority, to assist with the refinement of sites for inclusion in the main issues report or for delivery in the proposed plan, is also set out on page 2 of the template. Planning authorities can tailor this template to reflect the specific circumstances and wider approach to their individual development plans.

APPENDIX 3 - ACTION PROGRAMMES

What is the role of Action Programmes?

1. Action Programmes have a critical role in ensuring a delivery-focused development plan. In practice, Action Programmes have contained different levels of information and are used more to monitor change than proactively drive delivery. They are also often prepared towards the end of the development plan process. Increasingly their importance as a project management tool is being recognised. There is scope for planning authorities to have a greater focus on Action Programmes, so they can be used to drive change and actively guide and manage delivery of the plan.
2. As described in Circular 6/2013 proposed Action Programmes must be published and submitted to Scottish Ministers alongside the proposed plan and should be adopted and published within three months of the plan being approved. Thereafter the requirement is for Action Programmes to be updated and republished at least every two years, with planning authorities keeping them under review. In practice, it is recommended that planning authorities move towards Action Programmes being 'live' documents, updated and published annually, where practical, aligning them with the Housing Land Audit. Information gathered in the Action Programme can also be used to inform Housing Land Audits.
3. Planning authorities should facilitate active engagement in the preparation of Action Programmes in order to build shared ownership of their delivery. Action Programmes should be a corporate document which is 'owned' by the local authority as a whole, as well as wider community planning partnerships, key agencies, infrastructure providers, and developers. Actions required by any stakeholders can be identified in the Action Programme and there are no limitations on the type of action which can be included. Communities will also have an interest in Action Programmes, particularly where they set out the actions required to ensure development is accompanied by appropriate infrastructure improvements.
4. To strengthen their role in linking the plan's vision with delivery, Action Programmes should be aligned with the corporate/investment plans of local authorities and infrastructure providers as far as possible. Stronger links between development planning and community planning can help to achieve this. The involvement of local authority finance and community planning departments in the Action Programme is therefore recommended.
5. Action Programmes should set out the pathway to delivery of developments. The collection of information to populate Action Programmes should begin from an early stage (e.g. at the call for sites) and continue throughout the plan making process. As the content of the plan becomes clearer, increasing levels of detail can be defined within the Action Programme. Actions can be both procedural (i.e. assessments or further studies required) and physical (i.e. specific infrastructure interventions required, timescales of delivery). Planning authorities should prioritise actions to ensure the programme focuses on the key elements of plan delivery. Action Programmes can be used to report economic or market delivery constraints as well as other issues which can be more actively managed.
6. Strategic and local development plan Action Programmes will have different levels of detail:
 - strategic level Action Programmes should particularly focus on actions that cross boundaries as well as highlight opportunities for coordination and joint working to support delivery. This will add more value than simply bringing together or duplicating actions for all local plans within their area.

- local development plan Action Programmes should be area or site specific to identify the actions required to deliver developments. In the interest of proportionality, the programme could focus on key development areas and major developments, rather than attempting to cover every development individually. There may also be value in identifying combined actions across sites, for example where there are actions related to strategic pieces of infrastructure.
7. The Action Programme Template in [Annex C](#) can be used by planning authorities to include relevant information on the delivery of sites.
 8. Actions should be costed as far as possible and a timeline attributed to them. Costing Action Programmes can be time consuming but has the potential to increase certainty for all parties and assist the subsequent masterplanning and / or development management processes. The level of risk associated with the delivery of each allocated site should be predicted, based on the information within the Action Programme. This could also extend to a risk assessment of the delivery of specific infrastructure items, particularly ones which are required to service a number of/or large scale allocations. It is recognised that this information can change over time, underlining the need for regular updates.
 9. Where the monitoring of the Action Programme shows that progress is not being made as anticipated, this should trigger action to identify issues and solutions in order to accelerate delivery. Continuous engagement in the preparation of the plan and its Action Programme should ensure that parties are well placed to work together to resolve delivery issues where they arise. Recognition of interdependencies and the need for collective working will be required to achieve this.
 10. Where the Action Programme demonstrates a lack of delivery and progress during the plan period, or no identifiable solutions can be found to deliver the site then this may form part of the evidence base for the planning authority to consider de-allocating a site or revisiting the wider spatial strategy during the next iteration of the plan.
 11. It is important to note that Action Programmes are not part of the statutory development plan and as such, are not subject to formal scrutiny processes. It is important, therefore, that Action Programmes are not used to establish or set out key policy principles which should be within the development plan.

Example – Edinburgh City Council Action Programme

The City of Edinburgh Council is taking a proactive approach to developing an Action Programme for its emerging local development plan that has wide corporate buy-in from across the local authority. As well as site-specific actions, the Action Programme focuses on infrastructure improvements arising from multiple developments. Planning led work across council services, including education, transport and finance, which defined infrastructure requirements and costs. These costs were then used to establish a new approach to seeking Section 75 planning obligations from developments which are located in specified contribution zones. Considerable resources have been required to undertake the work to prepare the Action Programme, however it has resulted in the council establishing a clearer picture of the likely costs and mechanisms required to secure delivery of the plan as a whole.

APPENDIX 4 – AFFORDABLE HOUSING

INTRODUCTION

1. This Appendix is taken from and replaces Section 1 of PAN 2/2010 'Affordable Housing'. It provides advice and information on how the planning system can support the Government's commitment to increase the supply of affordable housing. Local authorities, housing associations, developers and the Scottish Government are involved in the delivery of affordable housing and this document explains the variety of approaches and types of affordable housing which are available. It focuses on how the planning system can facilitate the development of affordable homes by house builders and other developers, either through the transfer of land or other methods of delivery. Strategic planning for housing is important in ensuring housing need and demand is met and that the right housing choice is delivered in the right places.

Types of Tenure

2. A range of tenure types can contribute to affordable housing and these are set out below. It is important that local authorities, developers and Registered Social Landlords (RSLs) consider the full range of options and apply them as appropriate. Given the impact of tenure type on the valuation of land, local authorities should provide as much clarity as they can in Local Housing Strategies (LHSs) and development plans. Authorities should engage and reach agreement with housing developers in early discussions to make clear what mix of affordable housing provision is sought on particular sites, taking into account provision in the wider community. Homes delivered without subsidy may be considered to fulfil part of the overall affordable housing requirement where it can be clearly demonstrated that they will meet the needs of, and are affordable to, groups of households identified through the HNDA.

Social rented

- Housing provided at an affordable rent and usually managed locally by a RSL such as a Housing Association, Housing Co-operative, local authority or other housing body regulated by the Scottish Housing Regulator.

Subsidised low cost housing for sale

- **Subsidised low cost sale** - a subsidised dwelling sold at an affordable level⁴. Discounted serviced plots for self build can contribute. A legal agreement can be used to ensure that subsequent buyers are also eligible buyers. In rural areas this may be achieved through a rural housing burden⁵.
- **Shared ownership** - the owner purchases part of the dwelling and pays an occupancy payment to a RSL on the remainder.
- **Shared equity** - the owner pays for the majority share in the property with the RSL, local authority or Scottish Government holding the remaining share under a shared equity agreement. Unlike shared ownership, the owner pays no rent and owns the property outright.

⁴ For such housing to count as affordable housing, the appropriate sale price should be informed by the HNDA and agreed by the local authority.

⁵ Under the Title Conditions (Scotland) Act 2003

Unsubsidised low cost housing for sale

- **Entry level housing for sale** - a dwelling without public subsidy sold at an affordable level⁶. Conditions may be attached to the missives in order to maintain the house as an affordable unit to subsequent purchasers.
- **Shared equity** - the owner purchases part of the dwelling, with the remaining stake held by a developer⁷.

Mid-market or intermediate rented

- private rented accommodation available at rents below market rent levels in the area and which may be provided either over the medium or long term⁸.
3. Local authorities, RSLs, developers and the Scottish Government are all involved in the delivery of affordable housing. Local authorities have key roles: determining the nature and extent of housing need and demand; developing a locally-based affordable housing policy framework; securing contributions from developers to affordable housing provision; bringing forward their own resources to provide new affordable houses and supporting affordable housing provision by RSLs. Close working between the planning and housing interests within the authority will be essential, in particular to ensure close alignment between the LHS and the development plan (see Box 1 on page 48).
 4. The development industry has an important contribution to make to the delivery of affordable housing where a requirement for affordable housing is set out in a development plan. This contribution is likely to be made in a variety of ways, depending on the nature of the affordable housing required. To deliver the policy for more diverse, attractive and mixed communities, a choice of residential environments and a range of housing tenures will be required. The development industry can contribute to the overall requirement for affordable housing by delivering, as appropriate, a mix of house types and, sizes, and including the provision of market housing sold at a reduced price. This in itself may deliver affordable housing. Developers will expect certainty from the development plan and the development management process. This climate of certainty and confidence in the requirement for affordable housing will reduce the need for negotiation on each site and will be beneficial for both developers and local authorities. Where a requirement for affordable housing is set out in the development plan developers should take this into account in their financial appraisal of the site.
 5. The Scottish Government provides funding to support the provision and improvement of affordable housing for rent and low cost home ownership. The Affordable Housing Investment Programme is administered by the Scottish Government except in Glasgow and Edinburgh where it has been devolved to the city councils. Where public subsidy is involved, the affordable housing provided is required to meet the minimum development standards laid down by the Scottish Government and/or the local authority. The Scottish Government monitors the implementation of policy on affordable housing through a statistical return on Affordable Housing Securing Planning Consent, which collects information on the range and types of affordable housing granted planning permission across Scotland.

⁶ See Footnote 4. in main text

⁷ See Footnote 4. in main text

⁸ For such housing to count as affordable housing, the appropriate rent should be informed by the HNDA and agreed by the local authority or be in line with Scottish Government requirements.

6. Local authorities, RSLs, developers and other providers can work together in a variety of ways to deliver affordable housing. Where local authorities are developing an affordable housing policy, they should work with RSLs and developers in order to ensure a common and shared understanding of the policy and its implications. RSLs and developers can contribute information such as an understanding of market conditions and the financial viability of different approaches. Collaboration will also help to speed up the development process and assist in securing subsidy and developer contributions.

DELIVERING AFFORDABLE HOUSING THROUGH THE PLANNING SYSTEM

7. SPP states that where the HNDA and LHS identify a shortage of affordable housing, the development plan should set out the role that planning will take in addressing this. The HNDA provides the evidence base for defining housing supply targets in LHSs and allocating land for housing in development plans. Where an authority believes that the planning system has a role to play in the provision of affordable housing, the development plan should also be clear on its scale and distribution including an outline of what is expected from prospective developers.

Housing Need and Demand Assessment

8. The [Scottish Government's HNDA Guidance](#) provides a step-by-step approach to assessing housing need and demand across all tenures. It encourages local authorities to undertake this analysis at a housing market area level and provide a clear understanding of the operation of the housing system as a whole. The HNDA will provide evidence to inform policies about the level of affordable housing required, including the need for different types and sizes of affordable housing.

Local Housing Strategy

9. The Housing (Scotland) Act 2001 places a statutory requirement on local authorities to prepare a [LHS](#) supported by a HNDA. The LHS provides the strategic direction to tackle housing need and demand and to inform future investment in housing and related services across the local authority area. It will include housing supply targets covering all tenures, which will have been informed by the HNDA. Housing supply targets are to include affordable housing as well as market housing and are to cover new housing supply, replacement housing, empty properties to be brought back into use and conversions. The LHS is expected to cover a 5-year period, in line with development plans, to be prepared in conjunction with a range of local authority departments and involve registered social landlords, other housing providers and the local community.

Development Plans

10. SPP sets out the policy for development plans relating to housing, including timescales, the housing supply target and the housing land requirement. Information from the HNDA and LHS will allow planning authorities to plan communities and consider an appropriate tenure mix.
11. SPP states that plans should identify any expected developer contributions towards delivery of affordable housing. The level of affordable housing should generally be no more than 25% the total number of houses.
12. If a development plan includes such a policy it should not preclude a developer offering a higher percentage in an individual development. The local authority may also seek a higher percentage on a specific site but this should be justified and will only be appropriate in exceptional circumstances, for example linked to a substantial release of greenfield land or on a site owned by the local authority or another public agency which is being released for development.

13. As a general guide, local authorities and developers can normally expect on-site provision to be appropriate for developments of 20 or more units. For smaller developments, on-site provision will also often be possible, though off-site provision or a commuted sum may be appropriate. In rural areas where the general scale of development is smaller, a lower threshold for on-site provision may be appropriate in order to make affordable housing available in a range of locations.
14. Development plans should set out the scale and distribution of affordable housing required for an area and should outline what is expected from prospective developers. It is vital that development plan policies, including the percentage figure appropriate to the area, are fully justified by the HNDA and where necessary associated with a development brief. It is considered good practice for policies in development plans to:
- be developed in full consultation with stakeholders, including the development industry, with the aim of achieving a shared understanding of the potential contribution of the development plan and avoiding disputes at development plan examinations or in planning appeals;
 - be justified by a HNDA which reflects the diversity of requirements within an area. However the scope for and scale of contributions through the planning system will depend on a number of factors, including the vibrancy of the local housing market;
 - have regard to financial obligations linked to particular developments, including any expectation that developers will contribute to infrastructure and supporting development such as schools or roads. Land values vary across Scotland and the capacity of developments to bear a range of costs will also vary. Landowners and developers need to assess all the cost implications at the earliest possible stage;
 - be sensitive to different levels of need in different parts of the local authority area, particularly in rural areas; and
 - where higher percentages are sought on particular sites as exceptions to the overall policy, identify the percentage with a clear and reasoned justification for such exceptions.
15. Planning authorities will wish to consider whether the affordable housing policy in the strategic or local development plan should be supported by supplementary guidance. This may cover issues such as how affordable housing should be delivered, developer contributions or methodologies for their calculation, design and management issues. Master plans and development briefs for specific sites may also be appropriate. More information on supplementary guidance can be found in [Planning Circular 6/2013: Development Planning](#)

Box 1: Main Steps In Supporting The Delivery Of Affordable Housing

Step 1 - Define housing market areas and create housing market partnership

- Local authorities should define the housing market areas and on this basis are encouraged to co-operate regionally in housing market partnerships. Further advice is provided in the SPP and HNDA guidance.

Step 2 - Undertake a HNDA

- Local authorities are encouraged to follow the [detailed guidance](#) published by the Scottish Government on HNDA.

Step 3 - Consideration of affordable housing outputs of the HNDA

- Housing and planning officials should consider policy approaches to dealing with the issues raised by the HNDA.

Step 4 - Where affordable housing is identified as a main issue – local authorities should in the preparation of the Main Issues Report

- Engage with interested parties.
- Consider a settlement strategy to provide a long term context for development.
- Present options as to the overall land requirement for new affordable housing.
- Consider options for the distribution of new affordable housing supply by housing market areas and local authority boundaries.
- Consider the distribution and sources of sites and decide whether or not a threshold for on-site provision of affordable housing is appropriate.
- Consider an initial percentage affordable housing contribution from developers of new housing developments where this is justified by the HNDA.
- Consider viability of proposed affordable housing percentages in light of any major costs which may be associated with elements of the established land supply (e.g. any known decontamination requirements) and availability of funds.
- Form an initial view on authority's willingness to accept alternative contributions equivalent to a percentage requirement.
- Input a preferred strategy and alternative options into the Main Issues Report.

Step 5 - Preparation of LHS

- Specify a housing supply target covering all tenures. This should cover a five and twelve (or ten outside SDP areas) year period, give an indication of the possible housing requirement up to year 20, and may also be set at sub-local authority level.
- Include a reference to the percentage affordable housing contribution which will be sought from developers of new housing development considered in Step 4.
- Describe the extent and type of housing need and demand, including the balance of provision needed between affordable rented housing and other types of provision set out in paragraph 5, and consider whether this should vary to reflect different needs and market circumstances within housing market areas and sub-market areas.
- Provide clear strategic direction for housing investment.

Step 6 - Preparation of Proposed Plan

- Prepare an affordable housing policy for the Proposed Plan taking into account the consultation at Main Issues Report stage. This should include maps and site-specific proposals as appropriate.
- The policy in the development plan may be supported by detailed Supplementary Guidance.

Step 7 - Examination and Adoption

- Where the housing need and demand assessment is considered robust and credible by the Scottish Government, the approach used will not normally be considered at a development plan examination⁹.

Step 8 - Development Plan Action Programme

- Include action(s) relating to the delivery of the affordable housing policy and development proposals.

Step 9 - Monitor outcomes

- In reviewing the development plan, account should be taken of successes and failures in the implementation of existing sites and policies and any changed or new circumstances.
- Consider monitoring a range of relevant information including the number of consents and completions for all tenures and house sizes, the number of market houses on a site, grant and commuted sums and the contribution to meeting housing need.
- This information can feed into the Monitoring Statement and HNDA.

Step 10 - Review and revise policy as appropriate

- The HNDA, LHS and development plan should be reviewed every five years.

DEVELOPER CONTRIBUTIONS TO AFFORDABLE HOUSING

Delivery of Land for Affordable Housing

16. Affordable housing should ideally be integrated into the proposed development and wider community. To achieve this, the contribution from the developer of a market housing site will normally be the provision of serviced land, e.g. a proportion of the site which can be developed by or for a RSL or the local authority. Such land can be transferred either at a value relating to its end use for affordable housing or by agreement between the developer and the RSL or local authority, at a lower value. In any event it should be transferred at less than the value for mainstream housing for sale. Best practice is that the value should be independently determined by the District Valuer or a chartered valuation surveyor suitably experienced in the type of property and the locality. Wherever possible the relevant parties should agree to appoint and instruct a valuer, failing agreement, the valuer should be appointed by the Chairman of the RICS in Scotland. The valuation should reflect the location, the type of affordable housing and any other factor which will influence the value. The RICS in Scotland intends to publish a Guidance Note on the valuation of land for affordable housing.

⁹ This policy does not override the provisions of Part 4 of the Town and Country Planning (Development Planning) (Scotland) Regulations 2008.

Other Contributions

17. Depending on the type of affordable housing required, there will be a variety of other ways in which developers can provide affordable housing on site. For example, paragraph 2 noted the range of tenure types that may contribute towards affordable housing. The local authority should monitor how many units of each type are provided (see also Box 1).

OFF-SITE PROVISION AND COMMUTED SUMS

18. Exceptionally, a site may be unsuitable for affordable housing for a variety of reasons, including the size of the site, location, topography, conversion of buildings where relevant standards cannot be met and other local circumstances such as whether an appropriate tenure mix can be delivered. In such circumstances developers may offer to provide the contribution on another viable site within their ownership or in some cases provide a commuted sum as long as the proposed alternative will help to meet an identified need in the same housing market area. Commuted sums should only be used sparingly. The decision to accept a commuted sum is one for the planning authority and the rationale for accepting or rejecting a commuted sum should be set out clearly in local policy.
19. Where it is agreed that an alternative to a contribution of land within the proposed development site is acceptable, the developer will provide either land or homes or a commuted sum of a value equivalent to the cost of providing the percentage of serviced land required by the policy. Best practice is that the value should be independently determined by the District Valuer or a chartered valuation surveyor suitably experienced in the type of property and the locality. Wherever possible, the relevant parties should agree to appoint and instruct a valuer, failing agreement, the valuer should be appointed by the Chairman of the RICS in Scotland. The commuted sum is a matter for negotiation between the developer and the local authority, having regard to development costs, other contributions that are being sought, and other relevant factors, for example layout and design. Planning authorities may wish to consider a policy for calculating a commuted sum, but this should be the subject of consultation with stakeholders before being applied.

DEVELOPMENT MANAGEMENT

20. Pre-application discussions are helpful in avoiding delay in the subsequent stages of development management. This may include discussions about the number, type and tenure of affordable housing required for a particular site. More information can be found in [Planning Circular 3/2013: Development Management Procedures](#).

Planning Conditions and Planning Agreements

21. Provision of land for affordable housing may need to be the subject of a planning condition, particularly where a proportion of a site is to be made available for on-site provision of affordable housing. A planning obligation may be necessary, for example where a phased commuted sum is to be negotiated to enable off-site provision or to ensure retention of affordable units. Local authorities should ensure that where a planning obligation is considered necessary it meets all of the policy tests in Planning Circular 3/2012 and can be drawn up and agreed as swiftly as possible. For more information see [Planning Circular 3/2012: Planning Obligations and Good Neighbour Agreements](#).

Negotiating Developer Contributions

22. Calculating the appropriate percentage of affordable housing for a development plan policy, or for an individual site, must take into account an understanding of land valuation. Where non-market housing is to be provided as part of the development, or part of the site is to be purchased by a RSL or council at a value lower than market housing, this will affect the price which can be paid for the land and will require to be negotiated with the site owner. Early dialogue between landowners and developers and the local authority should be established wherever possible.
23. Where a contribution for affordable housing is specified in a development plan, developers should indicate as part of their planning application how they will deliver the affordable housing element. The provision of serviced land for development by a RSL or local authority will normally be sought, but the most appropriate mechanism will depend on the type of affordable housing needed, the nature of the site and the nature of the project.
24. Planning authorities will also need to be aware of other issues which may affect the viability of developing a site. In some cases there may be a requirement for the developer to either provide or make a financial contribution to other major supporting and infrastructure elements, such as a new school or expansion of an existing school, drainage and road improvements. On particular sites there may be high costs to remediate contamination or address poor ground conditions. In determining an application, local authorities may consider all these issues and the strategic priorities for a site holistically. This will particularly be the case where the developer can demonstrate and clearly justify that there are exceptional costs, unknown when the initial offer of purchase was made, which render the development of the site unviable as originally proposed.
25. Where the development of a large site is phased, the implications for the supply of affordable housing should be considered. For example, it may be appropriate to include some affordable housing in each phase or to allow solely market development in the first phase in order to generate a positive cash flow where this can be justified. It may be appropriate to address these issues in a development brief and in any legal agreement associated with the planning permission.

Retention of Affordable Houses

26. Local authorities should consider whether new affordable housing should remain affordable in the future and, if so, the most appropriate means to achieve this outcome. Occupancy conditions will not be necessary where a charitable RSL is responsible for the management of rented housing. Shared equity schemes may provide another means of retaining housing as affordable. Planning agreements may be used, where justified, to ensure that the affordable housing is occupied only by households falling within those categories of need defined by the local authority through its LHS.

ADDITIONAL MEANS OF DELIVERING AFFORDABLE HOUSING

27. Additional or alternative means of delivering affordable housing which authorities may wish to consider include:
 - allocating new sites in local plans specifically for affordable housing to meet requirements identified in the HNDA and LHS. This approach is most likely to be appropriate for small scale sites within or adjoining existing villages to provide for locally arising needs.
 - identifying plots for custom build or self build dwellings.
 - using compulsory purchase powers to support the delivery of new supply and regeneration.
 - making appropriate surplus local authority owned land or buildings available for affordable housing, either individually or as a package of site disposals.

- working with third parties to assemble sites for affordable housing in appropriate circumstances, including other public agencies with large land holdings who may be able to identify opportunities to convert surplus properties in their ownership or develop new affordable housing. Development Trusts may also have a role in assembling land.

Local authorities may also take other action including:

- opting to increase the rate of council tax on second homes and long-term empty properties from 50% to 90%, raising revenue which can be used to increase the supply of affordable housing within the housing market area. This may be particularly relevant in rural areas with a high proportion of second homes.

DESIGN

28. The Scottish Government's objectives of creating successful places and achieving quality residential environments should guide the whole process of delivering new housing. National planning policy set out in SPP and Designing Streets, aims to achieve high quality, well-designed homes in all new housing developments, including affordable housing. A range of housing types and tenures, linked to community facilities and services including public transport, should be considered. Attention should therefore be on both individual homes and the layout and design of the wider community.
29. Affordable housing ought to be, as far as possible, indistinguishable from the general mix of other houses on a site in terms of style and layout, use of materials, architectural quality and detail. Both 'pepper potting' of individual affordable houses throughout a development and large groupings of houses of the same tenure are best avoided. Concentrating affordable housing for rent in small groups will ease the subsequent management of the homes by an RSL and contribute towards providing mixed communities.
30. Further information can be found in Designing Streets, PAN 67: Housing Quality and PAN 72: Housing in the Countryside. These [documents and additional advice on design issues](#) can be found online.

MONITORING AND REVIEW

31. By monitoring the successful delivery of affordable housing, planning authorities will help to retain confidence and support for the policy. Box 1 provides information on monitoring. Where circumstances change, the detailed components of the policy should not be adjusted, including the affordable housing or financial contribution, until the proposed changes have been subject to full consultation and subsequent approval by the planning authority.

FURTHER INFORMATION

32. Further information about [LHSs](#) and [HNDAs](#), including the relevant guidance, can be found online.
33. Further information regarding RSLs and their geographic areas of operation, affordable housing design standards and the Affordable Housing Investment Programme is available from Scottish Government area offices. [Contact details](#) can be found online.
34. A range of statistics relating to [planning](#), [house building](#) and [affordable housing](#) can be found on the Scottish Government's statistics web pages.

ANNEX A – List of Stakeholders Involved in the Preparation of the Advice

Architecture and Design Scotland
COSLA
Heads of Planning Scotland*
Historic Environment Scotland
Homes for Scotland
NESTRANS
Network Rail
RICS
RTPI Scotland
Ryden
Scottish Canals
Scottish Cities Alliance
Scottish Enterprise
Scottish Futures Trust
Scottish Gas Networks
Scottish Government Communities Analysis Division (CHMA)
Scottish Government Learning Directorate
Scottish Government Housing Supply & Innovation Division
Scottish Property Federation
Scottish Renewables
Scottish Water
SEPA
SESTRAN
SNH
Sportscotland
SPT
SSE
Transport Scotland
WSP

* Including a number of planning authority and local authority staff who were involved in the preparation of the advice.

ANNEX B: Action Programme Template

[Appendix 3](#) of the Planning Delivery Advice highlights that there is scope for planning authorities to have a greater focus on Action Programmes, so they can be used to actively guide and manage delivery of the plan.

This Annex has been prepared to provide a suggested template that can be used by planning authorities to include relevant information on the delivery of sites within their Action Programmes in a consistent and clear manner.

Planning authorities can use this template to structure their Action Programme and identify important information on the progress of site delivery. It is recognised that all of the above information may not be available at the outset, and that resources will be required to obtain and collate this information. It is therefore important that planning authorities consider what information is readily available and can be obtained from active engagement with stakeholders.

Site Reference	Site Details	Allocation / Proposal Details	Infrastructure Requirements/Constraints	Other Site Constraints	Funding / Timing	Actions / deliverables Responsible Parties Timescales	Progress	Deliverability and Risk
<ul style="list-style-type: none"> Site name and reference Location Address Grid reference <p><i>Aim to ensure consistent site naming from Local Development Plan and Housing Land Audit</i></p>	<ul style="list-style-type: none"> Site area Current use Site ownership /developer details Is there an option on it? 	<ul style="list-style-type: none"> Site allocation details? (date of allocation, type of development/ density/ short/long term site etc.) Planning application reference and status (approved / refused / under consideration / not yet submitted). 	<ul style="list-style-type: none"> What infrastructure is required to enable the delivery of the site? e.g: <ul style="list-style-type: none"> Transport Education Water/drainage Utilities Health Nature of constraint? Identify indicative costs where possible (subject to regular review). 	<ul style="list-style-type: none"> Ownership Physical Environmental 	<ul style="list-style-type: none"> Funding position for infrastructure delivery? (sources of funding/ funding gaps) Timing requirements? Developer contributions required (yes/no, what for?). 	<p>WHAT / WHO / WHEN?</p> <ul style="list-style-type: none"> What steps are required to deliver the site? Who will take them forward? When will this happen? <p><i>Each individual action should be itemised, with a responsible party and specific timescale against it. Aim to avoid vague inputs, such as:</i></p> <p><i>Action: Junction upgrade Timescale - TBC / ongoing Responsibility – Local Authority (aim to identify who in LA)</i></p> <p><i>Also identify the assessments / appraisals which should be submitted alongside the planning application. e.g. transport, contaminated land, drainage etc</i></p>	<ul style="list-style-type: none"> Provide description of progress that has been made. If actions / timescales have not been met, provide explanation and the revised position? <p><i>There should be a regular review of progress (6 monthly, if possible). This will require input from all stakeholders involved.</i></p>	<ul style="list-style-type: none"> Risk assessment of site deliverability within identified timescales? (e.g. <i>High, Moderate or Low or Red, Amber, Green</i>). Summary of issues arising? Has the risk status changed? <p><i>Regular review will allow progress updates to inform the risk assessment.</i></p>

ANNEX C: Call for Sites Template

CALL FOR SITES TEMPLATE – PAGE 1	
Site Details	
Contact details	
Site name	
Location / grid reference	
Site area / size	
Current land use	Vacant / occupied / partly occupied
Surrounding land uses	
Type	e.g. brownfield / greenfield
Fit with LDP spatial strategy?	
INSERT SITE MAP / LOCATION	
Ownership / market interest	
Ownership/ownership history	Sole owner / part owner / no legal interest/option to purchase?
Part of a wider option / allocation / multiple ownership	
Is site being marketed?	
Marketability	Has the site been marketed for residential development
Market area description	Prime / secondary
Indicative Proposal	
Proposed use	<i>Housing / Employment / Retail / Leisure / Other</i>
Non-residential proposed sq/ft	
Residential – unit numbers / or approx. density?	
Type of dwellings	<i>Houses / flats etc.</i>
Housing tenure	Market / affordable / mixed / Number of units
Affordable housing proportion	
Planning History	
Planning history	Previous planning consents Previous assessments undertaken (e.g. flood risk, drainage, contaminated land etc.)
Is the site currently allocated within the adopted local development plan?	Yes/No – if yes, provide background on current status of site and include local development plan site reference
Legal	
Legal burdens (Ransom strip / restrictive covenant)	
Subject to discussion with local authority?	
Environmental	
Ground conditions/contamination	
Flood risk	e.g. Is site identified at risk of flooding from assessment of SEPA flood maps
Drainage capacity	e.g. Scottish Water asset capacity (based on Scottish Water Asset Capacity Search Tool)

CALL FOR SITES TEMPLATE – PAGE 2

Viability - Costs / Funding	
Delivery timescale	0-5 years 5-10 years 10+ years
Phasing details (if known)	
Viability assessment?	Indicative significant costs for infrastructure provision
Is funding in place to cover the costs from development?	If yes, please provide source?
Transport	
Has contact been made with Transport Scotland?	YES /NO If yes, when? Details of outcome?
Has contact made with Regional Transport Partnership?	YES /NO If yes, when? Details of outcome?
Contact made with local authority roads service?	YES /NO If yes, when? Details of outcome?
Active travel	Proximity of core path network / established right of way Accessible by walking and cycling
Public transport	i.e. accessible by public transport network (within 400m) or improvements required
Has a Transport Appraisal been undertaken / submitted with this submission?	
Has a Transport Assessment been undertaken?	
Are surrounding local or trunk road improvements required to enable the development?	
Education	
Contact made with the Local Authority Education Department?	YES/NO If yes, when? Details of outcome?
Education capacity / constraints	Insert details of known education constraints. Is additional capacity needed to serve the development?
Pupil product	Based on the Council's pupil product formula, what number of pupil places would your development require? Primary / Secondary / Non-dom etc.?
Water / Drainage/ Flood Risk	
Has contact been made with Scottish Water?	YES/NO If yes, when? Details of outcome?
Has contact been made with SEPA?	YES/NO If yes, when? Details of outcome?
Gas / Electricity /Heat / Broadband	
Contact made with the relevant utilities providers?	YES/NO If yes, when? Details of outcome?
Has any work been undertaken to understand and inform capacity and reinforcement issues?	Feasibility studies?
Capacity / connection information	Is there capacity within the existing network and a viable connection to the network? What distance is it to the closest connection point?
Upgrades / reinforcement	Are these known? Costs / timescales?

ANNEX D: Infrastructure Assessment – Utilities

This annex provides further information to assist planning authorities who are preparing strategic and local development plans, on the process of: assessing existing infrastructure capacity; establishing the need for further capacity; and delivery of enhanced or additional capacity. It can also be used by utilities providers (electricity, water/drainage, gas, telecoms/broadband) and site promoters to establish the information that planning authorities may seek from them at each stage of the development planning process.

The aim of this annex is to help close the information gap that can emerge when considering what additional utilities infrastructure is required to facilitate development, when it will be needed, how much it will cost and how can it be funded and delivered.

It is recognised that gathering and applying additional detail on infrastructure can be resource intensive. As a result, planning authorities should reflect on the information set out here in order to develop a proportionate approach which reflects the time and resources available.

The relevant utilities providers and contact(s) nominated by each provider to address planning issues are listed below.

Utility Type	Utility Provider	Contacts
Electricity Distribution Network Operators	Scottish & Southern Energy Network (SSEN)	Connections Manager Contacts: connectionsfeedback@sse.com www.ssepd.co.uk/Connections/Developers
	Scottish Power Energy Network (SPEN)	Connections Managers Contacts: www.spenergynetworks.co.uk/pages/connections_contact_us.asp
Water / Drainage	Scottish Water	DevelopmentPlanningandLiaison@scottishwater.co.uk 08000778778
Gas Distribution Network Operator	SGN (formerly known as Scotia Gas Networks)	Network Planning: stuart.forrest@sgn.co.uk 0131 469 1700
Telecoms/ Broadband	Digital Infrastructure Rollout	Digital Scotland: info@digitalscotland.org Scottish Futures Trust Connect: 0131 510 0800

UTILITY INFRASTRUCTURE INFORMATION SOURCES

Electricity

There are two electricity Distribution Network Operators (DNOs) for Scotland. To establish which network relates to a geographical area, the DNOs can be [verified here](#):

Some Distribution Network Operators are required by the industry regulator Ofgem to maintain information on network capacity on a publically available basis. Listed below are the sources of information that are currently publicly available for electricity capacity and which can be utilised in the early stages of plan preparation.

[Scottish & Southern Energy \(SSE\) Network Generation Availability Map](#)

[Scottish Power Energy Networks \(SPEN\) Distribution Generation Heat Map](#)

These maps cover primary transformers only (33kv-11kv). Further information on the capacity of secondary sub-stations (11kv – domestic transformers) is available in spreadsheet format. Access to this information via the DNOs is publicly available and free of charge to those that register for its use. A link to the [Scottish and Southern Energy registration page](#) is provided.

Where complex or large sites are proposed, in order to understand capacity and reinforcement issues, DNOs recommend that feasibility studies are commissioned by the developer(s). Feasibility studies are comparatively low cost exercises.

Gas

There is only one gas Distribution Network Operator (DNO) in Scotland. This is SGN (formerly known as Scotia Gas Networks). The [structure of the gas market and the process of securing a connection](#) are addressed.

The gas network is split into national transmission (pressurised to 7-70 bar) and distribution (<7 bar). There is no capacity map for the gas network equivalent to that for the electricity distribution networks. However, information on the existing network and advice on the feasibility and options available for connecting sites to the network can be provided by the Network Planning Manager upon request. To facilitate this process, it is recommended that GIS shapefiles are provided to SGN to allow potential sites to be assessed against SGN's in house models. For larger developments, SGN is able to identify whether there is a risk that a development may trigger reinforcement.

SGN also provide a Land Enquiry service for developers, which allows a developer at an early stage to submit a request seeking clarification as to whether a development can be connected without reinforcement, or if reinforcement will be required. This does not result in the scale or cost of reinforcement to be calculated, but gives an early indication if reinforcement is likely to be needed.

The primary investment focus for SGN is the replacement of the existing gas mains network; approximately 1000 kilometres of mains are replaced each year. SGN also invest for growth and resilience. The costs for connections for new development are passed to the developer.

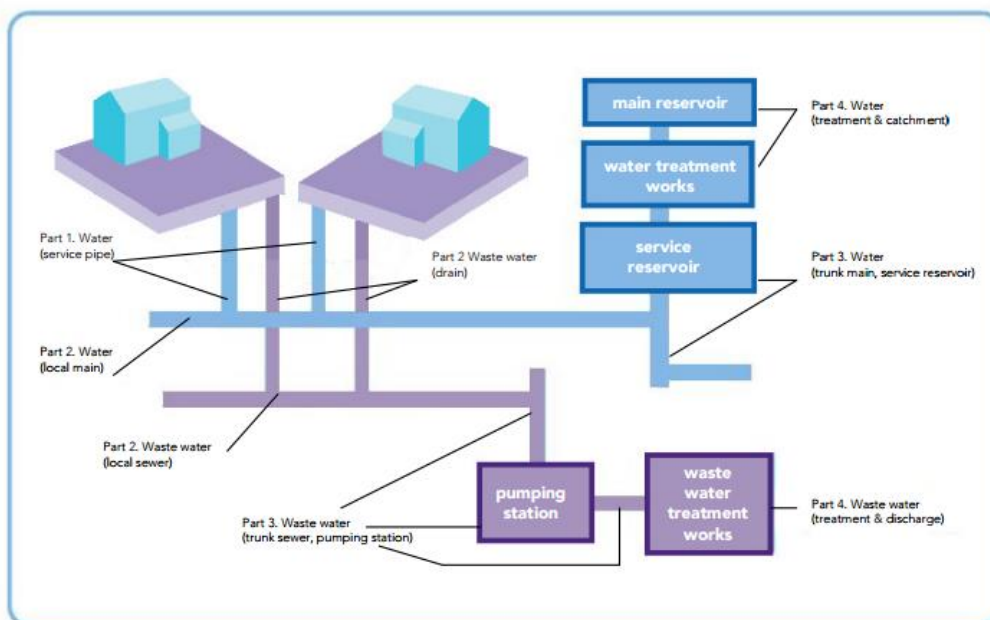
Water and Drainage

Water and drainage infrastructure can be split into four parts.

- Part 1 assets: connections from individual properties to a main or sewer;
- Part 2 assets: water mains and sewers that connect to trunk mains and trunk sewers, and some SUDS;
- Part 3 assets: local bulk infrastructure, such as trunk mains and trunk sewers, water service reservoirs, waste water pumping stations and some SUDS;
- Part 4 assets: strategic assets such as raw water intakes, raw water impounding reservoirs and aqueducts, water treatment works and waste water treatment works.

The [Strategic Asset Capacity and Development Plan](#) (SACDP) is published annually by Scottish Water. This provides information on available capacity for Part 4 Assets (water treatment works and waste water treatment works – See Figure 1).

Figure 1: Extract of Scottish Water Strategic Asset Capacity and Development Plan 2014: Illustration of Part 1 – 4 Assets



The SCADP is updated annually. For the most up to date information that factors in all new connections, the [Online Asset Search Tool](#) can be used to provide information on available water and drainage capacity.

The SACDP does not cover Part 3 assets (trunk sewers and pumping stations – see Figure 1). Information on the available capacity of these assets may be available through Integrated Catchment Studies that have previously been carried out to inform strategic development plans. Scottish Water's Capacity Impact Team is also working to develop a library of Drainage Impact Assessments and catchment studies that will allow the impact of development on Part 3 assets to be assessed more easily.

The Capacity Impact Team is also working to ensure that more data sets will be available on GIS in the future.

Scottish Water provides an extranet version of its GIS system to local authorities that enables them to see the extent of the Scottish Water network in an area. The access to this is managed via an electronic code and there is no cost to planning authorities to access this information. All planning authorities have had access to this system in the past but not all use it. The information available is limited to the location of infrastructure, the location of which must be verified on site prior to development at present. However, Scottish Water is looking at how this can be improved in the future.

Digital Connectivity

The rollout of superfast broadband across Scotland is being taken forward by commercial operators (BT Openreach) and the Digital Scotland Superfast Broadband Scotland Programme.

BT Openreach has an [online mapping system](#) that can be used to establish whether an area is or will be covered by the commercial roll out of this facility.

The [Digital Scotland Superfast Broadband Map](#) is an interactive mapping system that shows those exchange areas not covered by the commercial roll out of superfast broadband. This highlights where there is already some availability of fibre broadband; when further planned coverage is expected to be available; and what kind of internet speeds can be expected with fibre broadband in an area.

UTILITY CAPACITY OPTIONS

Electricity

The Distribution Network Operators for the electricity network in Scotland (SSEN and SPEN) react to requests for new connections to support development and have a budget set aside to allow them to do so.

Where there is no capacity or insufficient capacity for a major development, meaning that asset reinforcement or a new primary substation is required, the developer will pay for this if it is a sole use asset. If others also benefit, the developer will make a proportional payment. Each DNO has their own charge methodology. Normally connection charges are payable in advance. In some circumstances, for example where charges are above a defined level the DNO can, upon request, offer to stage payment for connection works to a schedule determined by the DNO. All connection charges are required to be paid in full prior to energising the connection.

The industry regulator Ofgem prevents DNOs from front-funding reinforcement investment on a speculative basis.

Customer Connections Managers within DNOs are best placed to engage with planning authorities on high level capacity issues. They are able to advise on the best means to manage and create capacity within the electricity network.

Gas

SGN invests for growth and resilience. If SGN knows what sites have been allocated within development plans in advance, it can factor these proposals into existing plans for network reinforcement at the distribution level (local) and transmission level (strategic).

SGN can respond to planned development in several ways. It can replace and reinforce the existing low and medium pressure distribution network in a way that takes cognisance of future development, for example by re-sizing gas pipes. It can also upgrade the high pressure transmission network.

Where SGN does not have existing plans to reinforce the distribution network locally, it will only respond to the need for additional reinforcement at the time of the development.

If strategic land allocations are planned, advance notice can allow SGN to plan to support these with upgrades to the transmission system, where required. Where the transmission system requires reinforcement, a process must be followed with Ofgem. This process can take (for example) around 4 years and, if not started well in advance of development, could act to delay the delivery of connections for new homes. Therefore early engagement in the development planning process with SGN is recommended.

Reinforcement of the local distribution system would be expected to require (for example) a 12-18 month lead-in time.

In order to arrive at the most efficient means of delivering network reinforcement to facilitate development, SGN uses in-house simulation models. SGN is able to accept planning authorities' information on potentially significant land allocations – for example housing sites above 50 homes capacity and large commercial sites in GIS format to allow it to run a simulation model efficiently. This will in turn allow SGN to provide feedback on how the gas network could potentially be adapted to accommodate proposed development.

To further assist with this analysis, planning authorities may wish to highlight: situations where sites have planning consent; where sites are allocated but do not yet benefit from a planning consent; and where potential sites are currently not supported by an allocation or planning consent. Annual updates on site progress would then allow SGN to adjust its own priorities, where necessary.

There is a cascade of costs to a developer for connecting on to the gas network. All costs are assessed by SGN to establish whether they meet an economic test. The results of this economic test can allow some of the costs of network reinforcement to be off-set against what SGN would regard as being allowable investment that would have occurred if SGN were planning to invest in the area already. The [method by which charges are levied for connections to the gas distribution network](#) is detailed online.

Water and Drainage

Responsibility for financing new developments can be summarised as follows:

- Minor Infrastructure (Part 1 assets): Developers/Applicants will pay for the immediate connection from a property to a water main or sewer i.e. the service pipe and drain.
- Local Infrastructure (Part 2 & 3 assets): Scottish Water will meet the costs of local infrastructure up to a limit based on the future income that the new connection will bring.
- Strategic Infrastructure (Part 4 assets): Scottish Water is responsible for meeting the future capacity requirements for strategic infrastructure of all anticipated new development which can be met within reasonable costs.

Scottish Water's Ministerial Objectives for 2015-2021 relating to Strategic Capacity for New Developers require the organisation to identify and make provision to enable it to service demand for new strategic capacity to meet all new housing development and the domestic requirements of commercial and industrial customers for the period.

With Scottish Water having a mandate to facilitate development, lack of capacity in Part 4 Assets should not be seen as a barrier to growth. Scottish Water will provide additional capacity if the Developer can meet its growth criteria set out in "[Enabling Development and our 5 Criteria](#)", in terms of: 1. planning consents; 2. land ownership / control; 3. commitment to mitigate network impact; 4. time remaining on current planning permissions; and, 5. reasonable proposed annual build rate.

Scottish Water will undertake feasibility studies to assess how best to address capacity issues, on a site-by-site basis. For cumulative capacity issues, integrated catchment studies may be required; these may also be cross boundary in terms of planning authorities. Feasibility studies are developed by Scottish Water, the local authority and the Scottish Environment Protection Agency (SEPA), as required by the Flood Risk Management Act.

The cost for providing additional capacity on the Scottish Water network is initially borne by developers. Upfront payment from developers is usually required. Through the system of reasonable cost contributions, if assets constructed by developers are eligible for a financial contribution, Scottish Water will issue a payment to the developer once the asset has been adopted. Payment can be claimed as each phase completes, based on habitation certificates supplied. Scottish Water is required to contribute either the cost of any works necessary to accommodate the connection, or the maximum contribution, whichever is lower.

Therefore, while the initial cost of providing connections to the water mains and sewer network must be borne by the developer, some of this cost will be offset through the reasonable cost contribution (RCC) process with Scottish Water.

Digital Connectivity

Commercial roll-out plans cover certain areas in the country but there are many areas where commercial infrastructure providers have chosen not to develop. The Digital Scotland Superfast Broadband Programme aims to provide fibre broadband infrastructure to those areas. Combined with the current commercial roll-out plans, around 95% of premises in Scotland should have access to fibre broadband by the end of 2017.

ASSESSING UTILITIES INFRASTRUCTURE AT EACH STAGE OF THE DEVELOPMENT PLAN PREPARATION PROCESS

The following step by step process provides advice on how utilities infrastructure capacity can be assessed through the different stages of the development planning process. This reflects best practice and the findings of consultations with Scottish planning authorities and utilities providers. In practice the approach will vary and will depend on the development plan preparation process being used by each planning authority.

Developing the Evidence Base

A baseline assessment of existing infrastructure can be used to inform the preparation of the Monitoring Statement and the establishment of the evidence base to inform the emerging SDP or LDP. Planning authorities may find it helpful to consider existing levels of capacity and identified constraints / opportunities for growth projects¹⁰.

To inform this, multi-partite workshop(s) with utilities providers may be used to help to explore:

- planning authority's place-based vision for area.
- availability of data sets that can be used by planning authorities to establish where opportunities and constraints on capacity may emerge.
- lines of communication with utilities providers to ensure testing of scenarios can be done if sufficient information is not publically available.
- where possible, it would be helpful for utilities providers to highlight where committed investment is planned within the area that will create additional capacity on the network.

Call for Sites / Preparing the Main Issues Report

Ideally, prior to the Main Issues Report, utilities providers should be engaged on the delivery of emerging proposals.

For strategic development plans, discussion of utilities infrastructure issues would benefit from a shared focus at an early stage on strategic, cross-boundary infrastructure impacts.

¹⁰ Where possible, information from utilities providers should be made available to the planning authority and vice versa in map based form that is capable of being regularly updated. GIS based data is preferred to allow overlay with spatial/site specific information.

Local development plans should be fully co-ordinated with other key plans/strategies from the earliest stage, with utilities providers signed up to the delivery of the emerging proposals.

The aim at this stage is to establish how individual sites being promoted will impact on different infrastructure types and to highlight where cumulative impacts are likely to emerge.

Site promoters are encouraged to submit information on the nature of their proposals and their view on how these will impact on utilities infrastructure at this early stage.

This will allow a more informed assessment of potential impacts to be undertaken by the planning authority, and will help to establish a better understanding of the impacts of potential developments both individually and cumulatively.

Partnership working between utilities providers and site promoters will help the planning authority to assess how alternative spatial strategies impact on each network, how a spatial strategy can reflect existing and optimised capacity, and where additional capacity will need to be created.

Where it would be helpful, a report on utilities infrastructure, which ideally also covers other types of infrastructure, could be integrated into the Monitoring Statement or published alongside the Main Issues Report for the emerging development plan.

Preparing the Proposed Plan

Infrastructure assessment at this stage should be geared towards obtaining a confirmed view on the impacts of the preferred spatial strategy on utilities infrastructure, and in particular:

- what additional capacity is required on the different utilities networks.
- indicative costs of these infrastructure requirements and an potential impact on the delivery, timing and phasing of development.
- how might the creation of additional capacity be delivered and funded, including where required whether there is a developer-led solution that can support the funding of infrastructure capacity.

Planning authorities should provide information on proposed allocated sites to utilities providers in form of GIS based data (shapefiles). This will allow utilities providers to work together with the planning authority and site promoters to establish:

- where additional capacity will be created/is needed to serve emerging spatial strategy (individual and cumulative impact).
- the cost of these works (utilising information provided by site promoters).

- how it is proposed that this will be funded¹¹, including whether committed funding is available at present.
- if the nature and likely cost of network upgrades is likely to affect the timing and phasing of development.

Action Programmes

Actions required to deliver utilities infrastructure should be integrated into the emerging Action Programme for the development plan. Where reinforcement/upgrade works are required as a result of development, this should be highlighted as a necessary action that must be undertaken in order to deliver sites for development.

The organisation responsible for progressing this action, usually the site promoter in partnership with the utilities provider, should be highlighted. The timescale for delivery and how the required works are to be funded should also be included.

The Action Programme will provide an opportunity for the planning authority to work with utilities providers and site promoters to establish what progress has been made towards delivering each element of infrastructure. Progress should be recorded as the site moves towards delivery. Where little progress has been made since the last iteration of the Action Programme, this could also be noted.

Further advice on Action Programmes is set out in [Appendix 3](#).

¹¹ In the case of gas and electricity, planned network reinforcement works may cover part of the cost of this, depending on their assessment of proposals and plans in the local area. Scottish Water may also be able to refund part of the cost of connections to the developer through reasonable cost contributions

ANNEX E: Infrastructure Assessment – Transport

This annex provides further information to assist planning authorities who are preparing strategic and local development plans on the process of: assessing existing infrastructure capacity; establishing the rationale for further capacity; or changes to existing networks; and considering options for delivery of enhanced or additional capacity. It can also be used by infrastructure providers/lead agencies and site promoters to establish the information that planning authorities may seek from them at each stage of the development planning process.

The aim of this annex is to help close the information gap that can emerge when considering land use option impacts and what additional infrastructure is required to facilitate development, when it will be needed, how much it will cost and how can it be funded and delivered.

It is recognised that gathering and applying additional detail on infrastructure can be resource intensive. As a result, planning authorities should reflect on the information set out here in order to develop a proportionate approach which reflects the potential level of development impacts and the time and resources available.

The relevant infrastructure providers/lead agencies are listed below.

Infrastructure Type	Infrastructure Providers/Lead Agencies	Contact
Strategic Transport Network	Transport Scotland	Alison Irvine, Head of Strategic Transport Planning Tel: 0141 272 7590 alison.irvine@transportscotland.gsi.gov.uk
Regional Transport Partnerships	Sestran	Alex Macauley, SEStran Director Tel: 0131 524 5150 reception@sestran.gov.uk
	Tactran	Eric Guthrie, Partnership Director Tel: 01738 475775 info@tactran.gov.uk
	SPT	Bruce Kiloh Head of Policy and Planning Tel: 0141 3333744 planning@spt.co.uk
	Hitrans	Ranald Robertson Partnership Director Tel: 01463 719002 info@hitrans.org.uk
	Nestrans	Derick Murray Partnership Director Tel: 01224625524 derickmurray@nestrans.org.uk
	SWestrans	Harry Thomson Lead Officer, The South West of Scotland Tel: 01387 260103 swestrans@dumgal.gov.uk
	ZeTrans	Michael Craigie, Lead Officer Tel: 01595 744868 zettrans@shetland.gov.uk

Infrastructure Type	Infrastructure Providers/Lead Agencies	Contact
Local Transport Network	Local Road Authorities	Internal contacts
	Regional Transport Partnership	As above.
Rail	Network Rail	Jonathan Pugh Head of Strategy & Planning jonathan.pugh@networkrail.co.uk
	Abellio Scotrail	Jerry Farquharson Director of Business Development jerry.farquharson@scotrail.co.uk
Active travel	SUSTRANS Scotland	Policy & Media Advisor 0131 346 1384 scotland@sustrans.org.uk

TRANSPORT INFRASTRUCTURE INFORMATION SOURCES

[Land Use and Transport Integration in Scotland](#) (LATIS) can be used to establish baseline information. LATIS has a library of national and regional transport models; planning information to support the Development Planning and Management Transport Appraisals; and a programme of user engagement by Transport Scotland. The LATIS service can be used at national, regional and local levels.

Email: LATIS@transportscotland.gsi.gov.uk

When assembling baseline information on the transport network, a proportionate approach is needed to ensure an appropriate level of information is provided and can be resourced.

Engagement with Regional Transport Partnerships is recommended when assembling transport infrastructure information sources. Contact details are provided above.

ASSESSING TRANSPORT INFRASTRUCTURE AT EACH STAGE OF THE DEVELOPMENT PLAN PREPARATION PROCESS

The following step by step process provides advice on how transport infrastructure capacity can be assessed through the different stages of the development planning process. This reflects best practice from Scottish planning authorities, the [Development Planning & Management Transport Appraisal Guidance](#) (DPMTAG) model used by Transport Scotland and the findings of consultations and workshops. In practice the approach may vary and will depend on the development plan preparation process being used by each planning authority.

Developing the Evidence Base

A baseline assessment of the performance of existing infrastructure can be used to inform the preparation of the Monitoring Statement and the establishment of the evidence base to inform the emerging strategic development plan (SDP) or local development plan (LDP). This could include information on existing levels of capacity, identify constraints and highlight pinch-points and opportunities for growth projects¹².

Multi-partite working with transport providers may be useful in some areas. This could involve Transport Scotland, the Local Roads Authority, Network Rail, Abellio Scotrail, Regional Transport Partnership, SUSTRANS, Paths for All and Cycling Scotland. This can help to establish and discuss:

- planning authority's place-based vision for area.
- availability of data sets that can be used by planning authorities to establish where opportunities and constraints on strategic and local transport network may emerge.
- lines of communication with each agency if sufficient information is not publicly available.

Where possible, it would be helpful for agencies to highlight where committed investment is planned within the area that will create additional capacity, respective to mode of travel, on the network.

Where relevant, the planning authority should work together with Transport Scotland in accordance with DPMTAG as is appropriate for this stage of plan preparation.

- Transport Scotland will provide available baseline data for the current and forecast performance of the Strategic Transport Network. This information will be provided by Transport Scotland utilising LATIS.
- where potential issues have been highlighted by initial discussions the planning authority could consider initiating a workshop with Transport Scotland, the Regional Transport Partnerships and local authority roads officers. This would aim to explore existing and emerging constraints on the strategic transport network, the availability of datasets in the area, potential data gaps and whether additional modelling will be required. This discussion can help ensure that any further work undertaken is proportionate, robust and as far as reasonably practicable, evidence-based.
- where a new or updated transport model is required to facilitate the plan making process, this should be procured and completed prior to the publication of the Main Issues Report.

¹² Where possible, information from transport agencies should be submitted to the planning authority and vice versa in replicable formats including map based GIS files capable of being interrogated and used.

- Transport Scotland and Regional Transport Partnerships can provide advice to planning authorities on options for new or updated transport models, should it become apparent that these are required to inform a strategic or local development plan. It is anticipated that the strategic development plan will be the most appropriate platform to assess cumulative, cross boundary impacts. Subsequent local development plans can then be informed by this work.

Call for Sites / Preparing the Main Issues Report (MIR)

The discussion of infrastructure issues within strategic development plans would benefit from engagement at an early stage on strategic, cross-boundary infrastructure impacts.

Local development plans should be fully co-ordinated with other key plans/strategies - such as the local transport strategy - from the earliest stage, with infrastructure providers signed up to the delivery of the emerging proposals.

The aim at this stage is to establish how individual sites being promoted will impact on different infrastructure types and to highlight where cumulative impacts are likely to emerge.

Site promoters should submit information on the nature of their proposals with their view on how these will impact on infrastructure at this early stage. This will allow a more informed assessment of potential impacts from the relevant planning authority.

Partnership working between agencies and site promoters, will help the local planning authority to assess how alternative spatial strategies impact on each network, how a spatial strategy can reflect existing and optimised capacity, and where there may be rationale for additional capacity to be created.

At Call for Sites / Pre-MIR submissions, it is recommended that site promoters work with transport providers to establish:

- how the development relates to transport corridors, particularly public transport and the relationship of the site to path / cycle network;
- distance from existing public transport routes;
- impact on local transport network and strategic transport network using proportionate level of analysis that highlights potential impacts on existing / known network constraints.

This information will be particularly useful where the planning authority is aware that the site is within a growth area where constraints on infrastructure have already been identified.

In accordance with DPMTAG, at this stage, the following elements of the Transport Appraisal work for the SDP/LDP should be undertaken by the planning authority:

- discuss transport planning objectives for the emerging development plan with Transport Scotland to raise awareness of what the plan is trying to achieve in relation to the strategic transport network.
- scoping discussions with Transport Scotland may be useful to establish whether any Cumulative Impact Appraisal is required. A proportionate methodology should also be considered at this stage.
- if the appraisal identifies a rationale for additional capacity to be provided on the strategic transport network, the relevant site promoter or planning authority should generate options for how this can be addressed through discussion with Transport Scotland.
- these options should then be assessed for how they meet with the transport planning and other objectives of the emerging development plan, prior to the selection of the preferred options for more detailed review. The impact of alternative spatial strategies should also be considered at this stage to examine whether other, potentially more deliverable, options emerge from this.

With the above information, planning authorities can assess responses to the Call for Sites in relation to infrastructure against the baseline information.

Where it would be helpful, a report on transport infrastructure, which ideally also covers other types of infrastructure, could be integrated into the Monitoring Report or published alongside the Main Issues Report for the emerging development plan. This will allow the identification at an early stage of areas where capacity may need to be increased to facilitate development.

Preparing the Proposed Plan

Infrastructure assessment at this stage must be geared towards obtaining a **fixed view** on the impacts of the preferred spatial strategy on infrastructure, and in particular:

- indicatively, what additional capacity is required on the different transportation networks? This should include consideration of mode share, public transport and demand management.
- indicatively, how much these infrastructure requirements will cost and whether they could present a barrier to development or have other implications such as on phasing and timing of development.
- How the creation of additional capacity can be delivered and funded, and, as part of a wider viability assessment, whether this has the potential to be developer-led.

The planning authority should work with key stakeholders to inform the preparation of the Proposed Plan in relation to transport infrastructure. Planning authorities should take the lead on identifying:

- where additional capacity will be required to serve the emerging spatial strategy across the transport networks resulting from individual and cumulative impacts.
- indicative cost of these works (utilising information provided by site promoters where available).
- the impact that availability of funding will have on the timing of these works.

In relation to the strategic transport network, Transport Appraisal at this stage in accordance with DPMTAG must include the following:

- the planning authority should consider the responses from Transport Scotland and other partners regarding the impact of the spatial strategy on the transport options for the strategic transport network.
- where there is a preferred option, this can be progressed to the technical feasibility and strategic business case stage.
- the body responsible for delivering the infrastructure will undertake this. In the case of addressing cumulative impacts, this may be the local authority and the Regional Transport Partnership. For individual site impacts, this is more likely to be the site promoter.

Action Programmes

The findings of the transport infrastructure assessment undertaken by the planning authority should be integrated into the emerging Action Programme for the development plan.

Where works are required as a result of planned development, this should be highlighted as a necessary action that must be undertaken in order to deliver a site.

The organisation responsible for progressing this action - usually the site promoter in partnership with the transport agencies - should be highlighted. The timescale for delivery and how the works are to be funded should also be included.

Further advice on Action Programmes is set out in [Appendix 3](#).

ANNEX F: Infrastructure Assessment - Education

This annex provides further information to assist planning authorities who are preparing strategic and local development plans on the process of: assessing existing infrastructure capacity; establishing the need for further capacity; and delivery of enhanced or additional capacity.

The information set out here can also be used by infrastructure providers/lead agencies and site promoters to establish the information that planning authorities may seek from them at each stage of the development planning process.

The aim of this annex is to help close the information gap that can emerge when considering what additional infrastructure is required to facilitate development, when it will be needed, how much it will cost and how can it be funded and delivered.

It is recognised that gathering and applying additional detail on infrastructure can be resource intensive. As a result, planning authorities should reflect on the information set out here in order to develop a proportionate approach which reflects the time and resources available.

The relevant infrastructure providers/lead agencies are listed below.

Infrastructure Providers/Lead Agencies	Contact
Local Education Authorities	Internal contacts within local authorities
Scottish Futures Trust (administrator of Schools for the Future programme to provide replacement schools).	Grant Robertson Associate Director Tel: 0131 510 0817 Grant.robertson@scottishfuturestrust.org.uk

EDUCATION INFRASTRUCTURE INFORMATION SOURCES

Local education authorities proposing to make changes to their school estates are governed by the **Schools (Consultation) (Scotland) Act 2010**. This directs authorities to undertake a consultation process where a new school, changes to catchment areas, school closure, or school relocation is proposed. [Statutory guidance](#) was updated August 2014, *as amended by: part 15 of the Children and Young People (Scotland) Act 2014*

Information on Scotland's schools estate is collated and managed by the Scottish Government. The schools estate comprises secondary schools, primary schools, special schools catering for pupils with additional support needs and local authority-run nursery schools. The statistics are updated on an annual basis in the [Summary Statistic for Schools in Scotland report on the School Estate](#).

Education reviews and forecasts of school rolls are conducted at the local education authority levels, and may be contained, for example, in a stand-alone report or in a technical annex to a local development plan. These would be subject to any ongoing monitoring and revisions made by the local education authority during the development plan period. Schools estate management plans and capital programmes are similarly maintained and can be accessed via local education authorities.

Education Authorities may have slightly different approaches to school roll forecasts and to calculating and presenting the impact of development on them.

ASSESSING EDUCATION INFRASTRUCTURE AT EACH STAGE OF THE DEVELOPMENT PLAN PREPARATION PROCESS

The following step by step process provides advice on how education infrastructure capacity can be assessed through the different stages of the development planning process. This reflects best practice from Scottish planning authorities, lead agencies and the findings of consultations with education and planning authorities. It is built on the principle of binding together development planning and education estates planning and allowing these to be mutually responsive. In practice the approach will vary and will depend on the development plan preparation process being used by each planning authority.

Developing the Evidence Base

A baseline assessment of existing education infrastructure may be useful to inform preparation of the Monitoring Statement and the establishment of the evidence base to inform the emerging strategic development plan or local development plan. This could include data on existing levels of capacity and identified existing or emerging capacity constraints.

The local education authority may be able to provide the following types of information:

- data sets – existing school rolls; percentage and place capacity remaining for individual schools; up-to-date roll projections, up to date Pupil Product Ratio (at an appropriate strategic/ major site level of detail), verified by recent audit.
- statement and single spreadsheet analysis demonstrating:
 - committed pipeline of school investment, both new build and extensions, and integrating information with SFT's Schools for the Future programme for replacement schools where relevant;
 - impact on individual school capacity levels once committed housing development (i.e. housing with planning consent) is taken into account; and
 - projected capacity levels for individual schools once committed pipeline of investment and committed housing development is completed.

Call for Sites / Preparing the Main Issues Report (MIR)

Main Issues Reports for SDPs must set out general proposals for an area, and in particular, proposals as to where development should and should not happen (Circular 6/2013). At the SDP level, strategic and cross border education infrastructure issues and opportunities should be considered. It may be useful, for example, to explore education issues arising from any strategic land allocations, or to identify whether land allocations within more than one local authority area will generate education requirements.

LDPs should be fully co-ordinated with other key plans/strategies from the earliest stage, with infrastructure providers and lead agencies signed up to the delivery of the emerging proposals.

The aim at this stage of assessment therefore is to establish how sites being promoted would impact on education infrastructure individually and cumulatively.

Site promoters are encouraged to submit information on the nature of their proposals and how they anticipate these will impact on education infrastructure at this early stage. This will allow a more informed response from the local education authority to be made alongside a better understanding of the impacts of potential developments both individually and cumulatively.

This part of the assessment, in partnership between the local education authority and site promoters, will allow the planning authority to assess how alternative spatial strategies impact across the existing and proposed education estate, how a spatial strategy can reflect existing and optimised capacity, and where additional capacity will need to be created.

At the Call for Sites / Pre-MIR submissions stage, it is recommended that site promoters work with the local education authority to establish:

- relevant school catchment areas for the proposed site.
- existing capacity of catchment schools, informed by discussion or local authority baseline information.
- predicted pupil generation for development based on initial assessment of site development capacity, likely phasing of development and predicted pupil product ratio.

This information will be particularly useful where the planning authority is aware that the site is within a growth area where constraints on education infrastructure have already been identified.

With the above information, planning authorities can assess responses to the Call for Sites in relation to education infrastructure against the baseline information. This will allow the identification at an early stage of areas where capacity may need to be increased to facilitate development. Where it would be helpful, a report on education infrastructure, which ideally also covers other types of infrastructure, could be integrated into the Monitoring Statement or published alongside the Main Issues Report for the emerging development plan.

Preparing the Proposed Plan

At this stage, the planning authority should work with the local education authority and developers towards obtaining a confirmed view on the impacts of the preferred spatial strategy on education infrastructure, and in particular:

- the additional capacity which is required across different education infrastructure school types.
- the timescales over which this capacity is required and intended to be delivered, recognising that secondary schools are larger commitments and have longer lead-in times, potentially up to and beyond 10-year housing land requirements.
- risk management solutions in response to uncertainty over definitive housing build periods and demographic mix.
- alternative solutions available to manage the schools estate including catchment reviews, extensions (linear or storeys), temporary modular accommodation and provision of bus services to neighbouring school catchments where capacity exists.
- how much this will cost and how it will be funded/ delivered, and therefore whether education infrastructure presents a barrier to development or has other implications such as on phasing and timing. Any opportunities for local education authorities to deliver additional capacity in tandem with school replacements programmes such as the Schools for the Future should be highlighted here.

The planning authority should work with the local education authority to inform the preparation of the Proposed Plan in relation to education infrastructure provision. Ideally, this should be informed by consideration of:

- where additional education capacity will need to be created to serve the emerging spatial strategy.
- assessment of options for capacity enhancement with preferred option(s) highlighted.
- cost metrics which the education authority will operate where the provision of new/ extended schools is expected to be required (£ per pupil and £ per square metre of development, subject to caveats on indexation for future price inflation) and on the indicative nature of these costs.
- percentage of costs that will be met through the local education authority capital programme and supplementary initiatives such as Scottish Futures Trust's Schools for the Future Programme.
- percentage of costs that are expected to be borne by developers.

- identification of land for delivery of new and extended schools where these are required.
- indication of the impacts on timing and phasing of development where statutory processes governed by the 2010 Act – such as catchment reviews – are deemed to be required.

Action Programmes

Actions required to deliver education infrastructure should be integrated into the emerging Action Programme for the development plan.

Local authority development planning, education, statistics / research and capital projects / finance teams should work together throughout the plan preparation process, in order to build a sense of shared ownership of the Action Programme. Reflecting good practice, planning authorities may consider holding regular education planning workshops or discussions (e.g. bi-annually). The aim should be to both inform the education estate management and to input to the development plan Action Programme.

Action Programmes can usefully be informed by a review of rolls and projections, housing completions and starts, pupil product ratios, schools capacity and take-up of that capacity, and education estate investments and commitments should be undertaken and adapted accordingly. Actions resulting from ongoing collaboration may range from minor changes to information and adjustments to schools estate plans, through to planning decision-making around applications and allocations and control of development phasing, or schools estate plans which are governed by the 2010 Act.

Further advice on Action Programmes is set out in [Appendix 3](#).

Glossary

Affordable housing	Housing of a reasonable quality that is affordable to people on modest incomes.
Brownfield land	Land which has been previously developed. The term may cover vacant or derelict land, land occupied by redundant or unused buildings and developed land within the settlement boundary where further intensification of use is considered acceptable.
Built to Rent	Purpose-built residential accommodation for rent rather than sale.
Charrette	An interactive design process, in which the public and stakeholders work directly with a specialised design team to generate a specific community vision, masterplan and action plan.
Effective housing land supply	The part of the established housing land supply which is free or expected to be free of development constraints in the period under consideration and will therefore be available for the construction of housing.
Established housing land supply	The total housing land supply – including both unconstrained and constrained sites. This will include the effective housing land supply, plus the remaining capacity of sites under construction, sites with planning consent, sites in adopted local development plans and, where appropriate, other buildings and land with agreed potential for housing.
Housing land requirement	The amount of land required to be allocated for housing to meet the housing supply target, including a generous margin.
Housing supply target	The total number of homes that will be delivered over the plan period.
Place	The environment in which we live; the people that inhabit these spaces; and the quality of life that comes from the interaction of people and their surroundings. Architecture, public space and landscape are central to this.
Place Standard	A resource used to assess the quality of places, both existing place and new developments. Considers a range of key themes that can impact on the health and quality of life of the people who live in a place.
Pupil product ratio	The number of additional pupils anticipated to be generated from new homes.
Self-build/custom build	Covers a range of routes to building a home, with the key feature being that a customer has significant choice in the design of their future home. Custom build projects see the developer working with individuals, or groups of individuals, to bring forward new housing. This differs from self-build, where an individual leads in organising the development.
Town Centre First Principle	Principle, jointly developed by SG and COSLA, which encourages the public sector to continue to invest in town centres and help communities thrive.
Windfall sites	Sites which become available for development unexpectedly during the life of the development plan and so are not identified individually in the plan.