

# **A66 Northern Trans-Pennine Project**

**TR010062**

## **1.4 Guide to the Application**

**APFP Regulations 5(2)(q)**

**Planning Act 2008**

**Infrastructure Planning (Applications: Prescribed Forms and  
Procedure) Regulations 2009**

**Volume 1**

**June 2022**

---

Infrastructure Planning

Planning Act 2008

**The Infrastructure Planning  
(Applications: Prescribed  
Forms and Procedure)  
Regulations 2009**

A66 Northern Trans-Pennine Project  
Development Consent Order 202x

---

**1.4 Guide to the Application**

---

<b>Regulation Number:</b>	Regulation 5(2)(q)
<b>Planning Inspectorate Scheme Reference</b>	TR010062
<b>Application Document Reference</b>	1.4
<b>Author:</b>	A66 Northern Trans-Pennine Project Team, National Highways

<b>Version</b>	<b>Date</b>	<b>Status of Version</b>
Rev 1	13 June 2022	DCO Application

---

## **CONTENTS**

<b>1</b>	<b>Introduction</b>	<b>3</b>
1.1	Purpose of this document	3
1.2	Structure of this document	3
<b>2</b>	<b>The Project</b>	<b>4</b>
2.1	Project Overview	4
2.2	Project Objectives	4
2.3	Project History	5
2.4	Qualification as a Nationally Significant Infrastructure Project (“NSIP”)	6
<b>3</b>	<b>The Applicant</b>	<b>7</b>
<b>3.1</b>	<b>National Highways</b>	<b>7</b>
<b>4</b>	<b>Application Documents</b>	<b>8</b>
<b>5</b>	<b>Volume 1: Application Information</b>	<b>9</b>
<b>6</b>	<b>Volume 2: Our Proposals</b>	<b>10</b>
<b>7</b>	<b>Volume 3: Assessment of Our Proposals</b>	<b>12</b>
<b>8</b>	<b>Volume 4: Development of Our Proposals</b>	<b>16</b>
<b>9</b>	<b>Volume 5: Authorisation of Our Proposals</b>	<b>17</b>
	<b>APPENDICES</b>	<b>21</b>
	<b>APPENDIX A: APPLICATION DOCUMENT TRACKER</b>	<b>21</b>

## **1 Introduction**

### **1.1 Purpose of this document**

- 1.1.1 National Highways (the “Applicant”) has submitted an application under Section 37 of the Planning Act 2008 (the “PA 2008”) to the Secretary of State (“SoS”) via the Planning Inspectorate (“PINS”) for an order to grant development consent (“DCO”) for the A66 Northern Trans-Pennine Project between M6 Junction 40 at Penrith and the A1 junction at Scotch Corner (the “Project”).
- 1.1.2 This document provides an accessible guide to the Project, Applicant and application, and it will assist those in reviewing the application documentation.

### **1.2 Structure of this document**

- 1.2.1 The document comprises 9 chapters as described below:
- Chapter 1 – introduces this document;
  - Chapter 2 – provides a high-level description of the Project;
  - Chapter 3 – introduces the Applicant;
  - Chapter 4 – gives an overview of the application documentation;
  - Chapters 5 to 9 – explain the purpose of each of the documents submitted.
- 1.2.2 An Application Document Tracker is provided alongside this document at Appendix A in order to help the Examining Authority and interested parties understand the DCO application as it evolves through the examination process by identifying the latest version of any DCO application document.

## 2 The Project

### 2.1 Project Overview

- 2.1.1 The existing A66 corridor is a key national and regional strategic transport corridor. It carries high levels of freight traffic and is an important route for tourism and connectivity for nearby communities. There are no direct rail alternatives for passenger or freight movements in this location.
- 2.1.2 Despite the strategic importance of the A66 corridor, the route between the M6 at Penrith and the A1(M) at Scotch Corner is only intermittently dualled and has six separate sections of single carriageway. The route carries local slow moving agricultural and other traffic making short journeys, which impacts road speeds and capacity, detrimentally impacting on other users, especially on the single carriageway sections. The variable road standards, together with the lack of available diversionary routes when incidents occur, affects road safety, reliability, resilience and attractiveness of the route.
- 2.1.3 If the existing A66 route is not improved, it will continue to constrain national and regional connectivity and may threaten the transformational growth envisaged by the Northern Powerhouse initiative and the achievement of the Government ‘Levelling Up’ agenda.
- 2.1.4 The need for improvements to the A66 corridor was identified in the Northern Trans-Pennine Routes Strategic Study (NTPRSS) announced as part of the first Road Investment Strategy (RIS1) in December 2014 (Department for Transport, 2015a) (“DfT”). The study was one of six national strategic studies. Funding for the A66 corridor improvements was committed to in the Road Investment Strategy 2 (RIS2) in March 2020 (DfT, 2020a).
- 2.1.5 The Project proposes dualling all of the remaining single sections of carriageway to create a continuous 70mph dual carriageway (other than at Kemplay Bank with a speed limit of 50mph) across the North Pennines, between the A1 and M6 motorways.

### 2.2 Project Objectives

- 2.2.1 In upgrading the A66 corridor, and in being chosen as part of the RIS programmes, the Project is required to demonstrate that it can meet the specified project objectives as defined by the Department for Transport (DfT). Table 1: below further provides a summary of the project’s objectives:

**Table 1 – Summary of project objectives**

Theme	Project objectives
Economic	Regional: Support the economic growth objectives of the Northern Powerhouse and Government ‘Levelling Up’ agenda <sup>1</sup> .

<sup>1</sup> The Northern Powerhouse is a vision for joining up the North’s great towns, cities and counties, pooling their strengths, and tackling major barriers to productivity to unleash the full economic potential of the North. Its objective is to achieve a sustained increase in productivity across the whole of the North. It is at the heart of the government’s ambition for an economy that works for everyone. (Northern Powerhouse Strategy – November 2016, HM Government)

Theme	Project objectives
	Ensure the improvement and long-term development of the Strategic Road Network (“SRN”) through providing better national connectivity including freight.
	Maintain and improve access for tourism served by the A66.
	Seek to improve access to services and jobs for local road users and the local community.
Transport	Improve road safety, during construction, operation and maintenance for all, including road users, Non-Motorised Users (NMU), road workers, local businesses and local residents.
	Improve journey time reliability for road users.
	Improve and promote the A66 as a strategic connection for all traffic and users.
	Improve the resilience of the route to the impact of events such as incidents, roadworks and severe weather events.
	Seek to improve NMU provision along the route.
Community	Reduce the impact of the route on severance for local communities.
Environment	Minimise adverse impacts on the environment and where possible optimise environmental improvement opportunities.

2.2.2 The Project will achieve the objectives, as confirmed in section 5.5 of the Case for the Project (Application Document 2.2).

## 2.3 Project History

2.3.1 The key dates of the Project history are summarised in Table 2. A full and detailed history of the Project is set out within the Project Development Overview Report (Application Document 4.1).

**Table 2 - History of the Scheme**

Year	Activity
2017	Project begins following the Government announced that the A66 presented the strongest case for an upgrade and that plans for full dualling between the M6 junction 40 and the A1(M) at Scotch Corner would be developed for the next RIS.
2017 - 2019	Several options were identified and appraised resulting in taking a number of potential route options to public consultation.
May – July 2019	Options consultation to understand views towards the proposed route options. The public consultation ran from 16 May to 11 July 2019.
May 2020	Preferred Route announced with proposals to upgrade the single carriageway of the A66 over 18 miles of route in total. The Preferred Route was developed following an analysis of the responses to the non-statutory options consultation alongside other information including additional environmental and site considerations and relevant policy.
September to November 2021	Statutory consultation on the proposed upgrades to the eight schemes within the Project. The public consultation ran from 24 September to 6 November 2021.

Year	Activity
January to April 2022	Supplementary consultations following changes to the design based on feedback to the Statutory Consultation.
May 2022	Submission of the DCO application, with the application having had regard to the responses to the statutory and supplementary consultations. Further detail of how the application has had regard to those responses is provided in Section 6 of the Consultation Report (Application Document 4.4)

## 2.4 Qualification as a Nationally Significant Infrastructure Project (“NSIP”)

- 2.4.1 The Project lies wholly within England and involves the construction of a highway for which the Applicant is the strategic highway authority. On that basis and given the speed limit will be 50mph or more and the area of development exceeds the 12.5 hectares threshold, the Project is therefore an NSIP as defined within sections 14(1)(h), 22(1)(a) of the Planning Act 2008 (PA 2008). Further detail is provided within the Explanatory Memorandum (Application Document 5.3).
- 2.4.2 Pursuant to the PA 2008, development consent must be obtained from the SoS to authorise the Project, and an application for a DCO must be made to PINS who administer the DCO process on behalf of the SoS, under section 37 of the PA 2008. If granted by the SoS, the DCO will provide the necessary authorisation to allow the scheme to be constructed, operated and maintained.

## **3 The Applicant**

### **3.1 National Highways**

3.1.1 The Applicant is appointed and licensed by the SoS as the strategic highways company for England. It is responsible for operating, maintaining and improving the SRN in England. The SRN is made up of England's motorways and all-purpose trunk roads (the major "A" roads) and the existing A417 is part of the trunk road network for which National Highways is responsible. Following construction of the scheme, National Highways will be responsible for operating, maintaining and improving (under its general statutory powers in respect of the latter) the improved dualled A66.

3.1.2 The Project contact details are:

**A66 Northern Trans-Pennine Project Team  
Regional Investment Programme, Major Projects**

National Highways

5<sup>th</sup> Floor

3 Piccadilly Place

Manchester

M1 3BN

**Email:** A66NTP@nationalhighways.co.uk

**Telephone:** 0300 090 1192

**The A66 Northern Trans-Pennine Project Team**

3.1.3 The Project is managed by the Applicant through its A66 Northern Trans-Pennine Project Team, which is responsible for delivering the Project in accordance with the Project's requirements.



## 4 Application Documents

4.1.1 A list of documents within the application is set out in the Covering Letter (Application Document 1.1) and the completed Section 55 Checklist (Application Document 1.2); further detail on the documents within the application is provided in the following chapters.

Volume	Content
1 Application Information	The completed application form, Section 55 Checklist and an introduction to the Project
2 Our Proposals	Plans, drawings and sections that illustrate the location of the Project, the proposed works, the land to be acquired and provide local geographical information.
3 Assessment of our Proposals	An assessment of the likely significant effects (both positive and negative) of the Project on the environment and a description of mitigation measures proposed to reduce any negative impacts.
4 Development of our Proposals	Details of the pre-application consultation that National Highways has undertaken on the Project and how consultation feedback has been taken into account.
5 Authorisation of our Proposals	The draft Statutory Instrument containing the legal powers that National Highways is seeking to enable it to build, operate and maintain the Project, together with separate documents explaining the provisions of the DCO and how other required consents will be obtained. Evidence of why National Highways requires legal powers to compulsorily acquire land, how the Project will be funded and details of the land interests that are required for the construction and use of the Project.

4.1.2 If you require a copy of any of the application documents, or parts of them, please contact the A66 Northern Trans-Pennine Project Team (contact details in section 3.1.2). A reasonable charge for printing and distribution of hard copies may be made.

## 5 Volume 1: Application Information

- 5.1.1 This volume provides details of the application information required by PINS for the application and how to navigate the documentation.
- **Application Document 1.1: Cover Letter.** The letter provides a brief overview of the Project and an introduction to the application.
  - **Application Document 1.2: Section 55 Checklist.** A checklist completed by the Applicant to evidence how the application fulfils the conditions for acceptance by the PINS under section 55 of the PA 2008. The Schedule of Compliance with section 55 will also be completed by the PINS on receipt of the DCO application.
  - **Application Document 1.3: Application Form.** A completed version of the PINS standard form, which provides a high-level summary of the scheme and the documents that have been submitted. It is a form that originates from Schedule 2 of the Infrastructure Planning (Applications: Prescribed Forms and Procedures) Regulations 2009.
  - **Application Document 1.4: Guide to the Application** (i.e. this document). This document acts as a guide to the Applicant's DCO application, providing a brief description of the volumes and documents that make up the DCO application. Appendix A of this document provides an Application Document Tracker, this is a 'live' document which will track document versions as and when documents are updated. The tracker will be updated throughout the examination period and submitted at each deadline.
  - **Application Document 1.5: Application Glossary.** A glossary of the abbreviations and definitions used within the application.
  - **Application Document 1.6: Electronic Index.** A list of the electronic file names for all of the DCO application documentation.

## 6 Volume 2: Our Proposals

- 6.1.1 **Application Document 2.1: Understanding the DCO Application.** This provides a guide to facilitate navigation of the DCO application documentation and to support the understanding of the nature of the Project for which National Highways seeks development consent, and of the 'consent envelope' within which the Project could be brought forward. In addition, it highlights the relationships between certain key DCO application documents and the concepts which underpin those documents and the relationships between them.
- 6.1.2 **Application Document 2.2: Case for the Project.** This sets out the need for the Project, the objectives that it seeks to address, options and alternatives considered and an explanation of the Project over time. It sets out how the Project meets its objectives and how it accords with government policy in the National Policy Statement for National Networks.
- 6.1.3 **Application Document 2.3: Project Design Report.** This report explains how the designs have been evolved, consulted upon and how the principles of good design have been applied. It provides graphical information which illustrates how the Project would look for some of the key areas of the Project.
- 6.1.4 **Application Document 2.4: Walking, Cycling and Horse-Riding Proposals.** This report shows the design proposals for improving routes and facilities for walking, cycling and horse-riding.
- 6.1.5 **Application Document 2.5: General Arrangement Drawings.** These drawings comprise general arrangement plans of all the highway works proposed, with information on the engineering features of the Project.
- 6.1.6 **Application Document 2.6:** Application Document not used. The key information on the potential construction activities associated with the Project, is set out in Environmental Statement (Application Document 3.2) that sets out the information on the construction methods and approach that has been relied upon for the environmental impact assessment, and Environmental Management Plan (Application Document 2.7) which sets out the measures, commitments and actions needed to manage and mitigate environmental effects identified within the ES for the construction of the Project.
- 6.1.7 **Application Document 2.7: Environmental Management Plan.** This plan sets out the management actions that need to be implemented to mitigate the environmental effects of the Project as identified in the Environment Statement ("ES") and to demonstrate compliance with relevant environmental legislation. It sets out the measures, commitments and actions needed to manage and mitigate environmental effects identified within the ES during construction and operation of the Project.
- 6.1.8 **Application Document 2.8: Environmental Mitigation Maps.** These maps show the locations and types of environmental mitigation proposed as part of the Project.
- 6.1.9 **Application Document 2.9: Mitigation Schedule.** This schedule sets out the mitigation controls and other best practice measures identified in the

ES and identifies the means by which these controls and measures will be secured. It provides a unique reference number for each item included and identifies the paragraph number of the ES where the mitigation measure is referenced and the potential impact or topic which the mitigation measure is intended to address or relates. The Schedule also summarises the mitigation measures, as set out in the ES, identifies the 'control document' within which mitigation measure will be implemented, and the means by which the mitigation measure will be secured.

## 7 Volume 3: Assessment of Our Proposals

- 7.1.1 **Application Document 3.1: Environmental Statement Non-Technical Summary.** A concise summary of the main findings of the ES in terms of the likely significant environmental effects of the scheme in non-technical language.
- 7.1.2 **Application Document 3.2: Environmental Statement Volume 1 (Main Report).** The EIA and the Environmental Statement are legal requirements and accord with relevant legislation and current guidance. Both the Scoping Opinion and comments provided by statutory consultees to the Inspectorate have been considered in undertaking the EIA and in preparing the Environmental Statement. The Scoping Report and Scoping Opinion has been included in Environmental Statement Appendix 4.1 and 4.2).
- 7.1.3 The Environmental Statement also provides general information on the Scheme including context, description of the Scheme and its construction, alternatives considered and technical information and assessment on a range of topics. The ES includes the following chapters:

**Table 3 - Environmental Statement Chapters**

Chapter	Title / topic
1	Introduction
2	The Project
3	Assessment of Alternatives
4	EIA Methodology
5	Air Quality
6	Biodiversity
7	Climate
8	Cultural Heritage
9	Geology and Soils
10	Landscape and Visual
11	Materials and Waste
12	Noise and Vibration
13	Population and Human Health
14	Road Drainage and the Water Environment
15	Cumulative Effects
16	Summary

- 7.1.4 **Application Document 3.3: Environmental Statement Volume 2 (Figures).** The diagrams, plans and figures referred to within the ES.
- 7.1.5 **Application Document 3.4: Environmental Statement Volume 3 (Appendices).** The ES is accompanied by a series of appendices which provide further information and detail to support the EIA. A list of the ES appendices is included below:

**Table 4 Environmental Statement Appendices**

Appendix	Title
1.1	Evidence Plan
4.1	EIA Scoping Report
4.2	EIA Scoping Opinion
5.1	Legislation, Policy, Guidance
5.2	Air Quality Assessment Methodology
5.3	Air Quality Baseline Monitoring
5.4	Air Quality Assessment Results
6.1	Non-Significant Effects
6.2	Designated Sites
6.3	Phase 1 Habitat Survey
6.4	Hedgerows
6.5	Phase 2 National Vegetation Classification
6.6	Amphibians
6.7	Reptiles
6.8	Terrestrial Invertebrates
6.9	Badger <b>CONFIDENTIAL</b>
6.10	Red Squirrels
6.11	Bats <b>CONFIDENTIAL</b>
6.12	: Other Terrestrial Mammals
6.13	Breeding Birds
6.14	Wintering Birds
6.15	Barn Owls <b>CONFIDENTIAL</b>
6.16	Otters
6.17	Water Voles
6.18	Fish Habitat Assessment and MorPH
6.19	Fish
6.20	Aquatic Macrophyte and River Corridor Survey
6.21	Aquatic Invertebrate
6.22	White Clawed Crayfish
7.1	Greenhouse Gas Assessment
7.2	Climate Change Resilience Assessment
8.1	Archaeological and Historical Background
8.2	Historic Landscape Baseline Report
8.3	Geoarchaeological Desk Based Assessment
8.4	AP and LiDAR Assessment
8.5	Geophysical Survey Report
8.6	Trenching Report(s)

Appendix	Title
8.7	Geochemical survey report
8.8	Gazetteer
8.9	Historic Environment Research Framework
8.10	Outline Historic Environment Mitigation Strategy
8.11	Impact Assessment Table
9.1	Non-Significant Effects
9.2	Ground Investigation Reports (GIR)
9.3	Geology and Soils Detailed Risk Assessment and Conceptual Site Models
9.4	Preliminary Source Study Report (PSSR)
9.5	Agricultural Land Classification (ALC) Factual Soil Survey Report
10.1	Landscape and Visual Policy and Consultation Tables
10.2	Landscape and Visual Impact Assessment (LVIA) Methodology
10.3	Landscape and Visual Study Area
10.4	Landscape Character Assessments
10.5	Schedule of Landscape Effects
10.6	Schedule of Visual Effects
10.7	Landscape Mitigation Schedule
10.8	Zone of Theoretical Visibility (ZTV) and Visualisation Methodology
10.9	Limits of Deviation Assessment
11.1	Operational Materials Consumption and Waste Generation Estimates
11.2	Demolition Waste Estimates
11.3	Excavation Waste Estimates
11.4	Construction Waste Estimates
11.5	Non-Significant Effects
12.1	Baseline Noise Survey Results
12.2	Construction Assessment Assumptions
12.3	Construction Assessment Results
12.4	Operational Assessment Results
12.5	Non-significant Effects
12.6	Noise and Vibration Results at Ecology Receptors
13.1	Population and Human Health Non-Significant Effects
13.2	Agricultural Land Holding Baseline Summary
13.3	Health Evidence Literature Review
14.1	WFD Compliance Assessment
14.2	Flood Risk Assessment and Outline Drainage Strategy
14.3	Water Quality Assessment
14.4	Hydromorphology Assessment

Appendix	Title
14.5	Spillage Risk Assessment
14.6	Hydrogeological Impact Assessment
14.7	Groundwater Dependant Terrestrial Ecosystem Assessment
14.8	Desk Study Karst Risk Assessment
14.9	Detailed Geomorphological Modelling
14.10	Assessment of Value
14.11	Non-Significant Effects
15.1	Consideration of Cumulative Effects
15.2	Cumulative Assessment

- 7.1.6 **Application Document 3.5: Habitat Regulations Assessment Stage 1: Likely Significant Effects Report.** This report has been produced to inform the Habitats Regulations Assessment (HRA) process for the Project.
- 7.1.7 **Application Document 3.6: Habitat Regulations Assessment Stage 2: Statement to Inform Appropriate Assessment.** This report has been produced to inform the HRA process for the Project.
- 7.1.8 **Application Document 3.7: Transport Assessment.** This report assesses the impact of the Project on the strategic and local highway network, road safety, and local sustainable modes of transport. It consists of:
- an overview of relevant planning policy;
  - detail on the development of the various traffic models;
  - forecasts of the strategic and local network performance;
  - a road safety assessment;
  - a sustainable transport assessment; and
  - an assessment of the construction impacts.
- 7.1.9 **Application Document 3.8: Combined Modelling and Appraisal Report.** This report details the traffic data collection, traffic modelling, traffic forecasting and economic appraisal in relation to the Project.
- 7.1.10 **Application Document 3.9: Legislation and Policy Compliance Statement.** This statement provides an assessment of the Project against relevant legislation and policy in line with the requirements of the Planning Act 2008. Specifically, it includes an assessment against the National Policy Statement for National Networks and the adopted local development plans.
- 7.1.11 **Application Document 3.10: Equalities Impact Assessment.** This report details how the Project considers protected characteristic groups, paying particular attention to vulnerable users of the highway network and those protected characteristic groups that are affected by the construction and operation of the Project.



## 8 Volume 4: Development of Our Proposals

- 8.1.1 **Application Document 4.1: Project Development Overview Report.** The report provides a summary of design development up to Statutory Consultation, with a key focus on the principal changes to the route or locations of junctions to ensure that the Project continues to meet its objectives. The report describes the rigorous process of evaluation of options and alternatives at earlier stages of the Project as part of the Trans-Pennine Route Strategic Study (2014-16) and evaluated alternative route alignments during 2016 to 2020 as part of PCF stages 1 and 2. It also describes in detail the evaluation of route alignments for some schemes that were undertaken more recently in 2021 (the findings of which were presented at Statutory Consultation in Autumn 2021).
- 8.1.2 **Application Document 4.2:** Application Document not used. This is provided as Appendix 2 to the Project Development Overview Report (Application Document 4.1).
- 8.1.3 **Application Document 4.3:** Application Document not used. This is provided as Appendix 1 to the Project Development Overview Report (Application Document 4.1).
- 8.1.4 **Application Document 4.4: Consultation Report.** This provides an account of the pre-application consultation undertaken on the Project. The report includes details of the statutory consultation which the Applicant is required to undertake in accordance with the PA 2008, the informal engagement (Options consultation), and the supplementary consultation that has taken place, and how the comments received have been taken into account when developing the Project including changes made in response to feedback.
- 8.1.5 **Application Document 4.5: Statement of Commonality and Statements of Common Ground.** This document provides a summary of the principal issues covered in the Statements of Common Ground (SoCGs) and demonstrates where there is commonality in the topics or matters. The document also provides the latest position on SoCGs between the Applicant and statutory consultees in relation to the scheme. This is a 'living' document that will be updated during the examination stage. The draft SoCGs with a range of stakeholders are appended to the Statement of Commonality at the time the DCO Application is submitted.

## 9 Volume 5: Authorisation of Our Proposals

9.1.1 **Application Document 5.1: Draft Development Consent Order.** This sets out the powers that the Applicant is seeking to enable it to construct and maintain the scheme. It sets out the parameters for what development would be permitted. It consists of five parts and is accompanied by nine schedules as outlined below.

**Table 5 - Structure of the Draft DCO**

Part/Schedule	Contents
Part 1	Preliminary
Part 2	Works provisions / Principal powers
Part 3	Powers of acquisition and possession of land
Part 4	Operational provisions
Part 5	Miscellaneous and general
Schedule 1	Authorised development – lists the works that would be authorised by the grant of development consent, which are shown on the works plans and to which the schedule refers.
Schedule 2	Permanent stopping up of highways and private means of access and provisions of new highways and private means of access – sets out the highways and accesses which National Highways would permanently stop up as a result of the Scheme and provides how National Highways would replace them (where necessary). Should be read in conjunction with the Rights of Way and Access Plans.
Schedule 3	Land in which only new rights etc. may be acquired – sets out the land over which National Highways is seeking to acquire new land rights only (such as the rights to maintain infrastructure) rather than acquiring the entire freehold interest in that land. Should be read in conjunction with the Land Plans.
Schedule 4	Modification of compensation and compulsory purchase enactments for the creation of new rights – amends relevant compulsory purchase legislation to ensure that it can apply to the DCO (particularly in connection with land and rights compulsorily acquired under the DCO)
Schedule 5	Land of which only temporary possession may be taken – sets out the land which National Highways is seeking to possess temporarily for the purpose of constructing the Scheme.
Schedule 6	Classification of roads etc. – lists the road classification (for example road numbers) by which the new and altered highways would be identified and sets out how the Scheme would be integrated into the existing network of highway classifications. Should be read in conjunction with the Classification of Roads Plan and the De-trunking Plans.
Schedule 7	Traffic regulation measures – sets out the traffic regulation measures (for example speed limits, clearways etcetera) to which the Scheme would be subject and which would be required on the surrounding highway network in consequence of the Scheme. Should be read in conjunction with the Traffic Regulation Measures Plans.
Schedule 8	Protective provisions - includes provisions to protect the interests of various bodies (for example statutory undertakers) in the context of the Scheme.

Part/Schedule	Contents
Schedule 9	Documents to be certified - contains a list of documents that would be 'certified' under the relevant article of the DCO, if the DCO is made by the Secretary of State.

- 9.1.2 **Application Document 5.2:** Application Document not used. It has been agreed with the Planning Inspectorate that this document will be provided during the course of the Examination. The document will provide a report to confirm that the draft DCO complies with the rules for drafting a Statutory Instrument.
- 9.1.3 **Application Document 5.3: Explanatory Memorandum.** This explains the purpose and effect of each provision in the draft order including why it is considered necessary. This explains the purpose and effect of each provision in the draft order including why it is considered necessary.
- 9.1.4 **Application Document 5.4: Consents and Agreements Position Statement.** This sets out the intended strategy for obtaining the consents and associated agreements needed to implement the Project.
- 9.1.5 **Application Document 5.5: Statement of Statutory Nuisance.** This identifies the matters set out in section 79 of the Environmental Protection Act 1990 in respect of statutory nuisances and considers, whether the Project would engage one or more of those matters. Where any matters may be potentially engaged, this statement sets out its proposals for mitigating or limiting them.
- 9.1.6 **Application Document 5.6: Funding Statement.** This explains how the Project, including any compulsory purchase acquisition, would be funded.
- 9.1.7 **Application Document 5.7: Book of Reference.** This identifies all parties who own or occupy land and/or have an interest in or right over the land affected by the scheme, and/or who may be entitled to make a 'relevant claim' as defined in section 57 of the PA 2008. It is structured in five parts in accordance with relevant regulatory requirements. The five parts are:
- Part 1: Names and addresses for service of each person/organisation within Categories 1 and 2 as defined in section 57 of the Act in respect of any land which it is proposed shall be subject to powers of compulsory acquisition; rights to use land; or rights to carry out protective works to buildings.
  - Part 2: Names and addresses for service of each person/organisation within Category 3. These are interests who might be entitled to make a relevant claim if the DCO were consented and implemented, e.g. potential claimants under Part 1 of the Land Compensation Act 1973 (c. 26), section 10 of the Compulsory Purchase Act 1965, section 152(3) of the Act.
  - Part 3: Names of all those entitled to enjoy easements or other private rights over land (including private rights of navigation over water) which it is proposed shall be extinguished, suspended or interfered in the draft DCO.

- Part 4: Owner of any Crown interest in the land which it is proposed to be used for the purposes of the order for which application is being made.
  - Part 5: Land for which the acquisition could be subject to special parliamentary procedure, is special category land, or is replacement land.
- 9.1.8 **Application Document 5.8: Statement of Reasons.** This statement explains that there is a compelling case in the public interest which would justify the Applicant's exercise of powers of compulsory acquisition in order to acquire land and rights permanently and to use land temporarily to enable it to construct, operate and maintain the Project.
- 9.1.9 **Application Document 5.9: Compulsory Acquisition and Temporary Possession Schedule.** This schedule provides evidence of why and where legal powers of compulsory acquisition and temporary possession is being sought, as well as information on how the Project is to be funded.
- 9.1.10 **Application Document 5.10: Schedule of Negotiations.** The schedule details the discussions undertaken and ongoing with all freeholders who have an interest in the order lands.
- 9.1.11 **Application Document 5.11: Project Design Principles.** This report sets out the project-wide and scheme-specific design principles by which the detailed design of the Project will be carried out.
- 9.1.12 **Application Document 5.12: Location Plans.** These plans identify the location of the Project in its wider context.
- 9.1.13 **Application Document 5.13: Land Plans.** These plans correspond to the Book of Reference (Application Document 5.7) and set out:
- the limits of land to be acquired or used permanently or temporarily for the scheme.
  - the land to be acquired or used permanently for construction, operation and maintenance works for the scheme.
  - any land over which temporary possession may be taken for the scheme.
  - any land to be used temporarily and for rights in the land to be acquired permanently for the scheme.
- 9.1.14 **Application Document 5.14: Crown Land Plans.** These plans show the boundaries of any Crown land.
- 9.1.15 **Application Document 5.15: Special Category Land Plans.** These plans show the boundaries of any special category land.
- 9.1.16 **Application Document 5.16: Works Plans.** These plans show the centre line of the proposed works and the limits of deviation within which the development and works may be carried out. Most importantly, the plans will show the extent of the individual works.
- 9.1.17 **Application Document 5.17: Engineering Section Drawings: Plans and Profiles.** These plans and profiles show the levels of the proposed works including the ground levels, the height of certain structures and the depths of any cuttings required for the Project and any drainage details.

- 9.1.18 **Application Document 5.18: Engineering Section Drawings: Cross-sections.** These sections show the levels of the proposed works including the ground levels, the height of certain structures and the depths of any cuttings required for the Project and any drainage details.
- 9.1.19 **Application Document 5.19: Rights of Way and Access Plans.** These plans show any new or altered means of access, stopping up of streets, roads and any diversions, extinguishment or creation of rights of way.
- 9.1.20 **Application Document 5.20: Classification of Roads Plans.** These plans show the classification of roads to be applied to the Project.
- 9.1.21 **Application Document 5.21: De-Trunking Plans.** These plans show the downgrading from trunk road to the local road network of the existing A66. These sections would be operated and maintained by Cumbria County Council, Durham County Council and, North Yorkshire County Council as the local highway authorities.
- 9.1.22 **Application Document 5.22: Traffic Regulation Measures (Clearways and Prohibitions) Plans.** These plans show the clearways and prohibitions of roads and restrictions on vehicles proposed to be applied to the scheme.
- 9.1.23 **Application Document 5.23: Traffic Regulation Measures (Speed Limits) Plans.** These plans show the speed limits of roads and restrictions on vehicles proposed to be applied to the scheme.
- 9.1.24 **Application Document 5.24: Tree Preservation Order Trees and Important Hedgerows Location Plans.** These plans detail the trees subject to a preservation order and important hedgerows, including those affected by development.

## APPENDICES

### APPENDIX A: APPLICATION DOCUMENT TRACKER

Application Document	Document Library Reference	Name of Document	Version Number	Document to be Certified (Y/N)	Examination Deadline / Submission Date
1.1		Cover Letter	0	N	13 June 2022
1.2		Section 55 Checklist	0	N	13 June 2022
1.3		Application Form	0	N	13 June 2022
1.4		Introduction to the Application	0	N	13 June 2022
1.5		Application Glossary	0	N	13 June 2022
1.6		Electronic index	0	N	13 June 2022
2.1		Understanding the DCO Application	0	N	13 June 2022
2.2		Case for the Project	0	N	13 June 2022
2.3		Project Design Report	0	N	13 June 2022
2.4		Walking, Cycling and Horse Riding Proposals	0	N	13 June 2022
2.5		General Arrangement Drawings	0	N	13 June 2022
2.7		Environmental Management Plan	0	Y	13 June 2022
2.8		Environmental Mitigation Maps	0	N	13 June 2022
2.9		Mitigation Schedule	0	N	13 June 2022
3.1		Environmental Statement Non-Technical Summary	0	Y	13 June 2022
3.2		Environmental Statement Volume 1 (Main Report)	0	Y	13 June 2022
3.3		Environmental Statement Volume 2 (Figures)	0	Y	13 June 2022
3.4		Environmental Statement Volume 3 (Appendices)	0	Y	13 June 2022

Application Document	Document Library Reference	Name of Document	Version Number	Document to be Certified (Y/N)	Examination Deadline / Submission Date
3.5		Habitats Regulations Assessment Stage 1: Likely Significant Effects Report	0	N	13 June 2022
3.6		Habitats Regulations Assessment Stage 2: Statement to Inform Appropriate Assessment	0	N	13 June 2022
3.7		Transport Assessment	0	N	13 June 2022
3.8		Combined Modelling and Appraisal Report	0	N	13 June 2022
3.9		Legislation and Policy Compliance Statement	0	N	13 June 2022
3.10		Equalities Impact Assessment	0	N	13 June 2022
4.1		Project Development Overview Report	0	N	13 June 2022
4.4		Consultation Report	0	N	13 June 2022
4.5		Statement of Commonality and Statements of Common Ground	0	N	13 June 2022
5.1		Draft Development Consent Order	0	N	13 June 2022
5.3		Explanatory Memorandum	0	N	13 June 2022
5.4		Consents and Agreements Position Statement	0	N	13 June 2022
5.5		Statement of Statutory Nuisance	0	N	13 June 2022
5.6		Funding Statement	0	N	13 June 2022
5.7		Book of Reference	0	Y	13 June 2022
5.7		Statement of Reasons	0	N	13 June 2022
5.9		Compulsory Acquisition and Temporary Possession Schedule	0	N	13 June 2022
5.10		Schedule of Negotiations	0	N	13 June 2022
5.11		Project Design Principles	0	Y	13 June 2022
5.12		Location Plan	0	N	13 June 2022

Application Document	Document Library Reference	Name of Document	Version Number	Document to be Certified (Y/N)	Examination Deadline / Submission Date
5.13		Land Plans	0	Y	13 June 2022
5.14		Crown Land Plans	0	Y	13 June 2022
5.15		Special Category Land Plans	0	Y	13 June 2022
5.16		Works Plans	0	Y	13 June 2022
5.17		Engineering Section Drawings: Plan and Profiles	0	Y	13 June 2022
5.18		Engineering Section Drawings: Cross-sections	0	Y	13 June 2022
5.19		Rights of Way and Access Plans	0	Y	13 June 2022
5.20		Classification of Roads Plans	0	Y	13 June 2022
5.21		De-Trunking Plans	0	Y	13 June 2022
5.22		Traffic Regulation Measures (Clearways and Prohibitions) Plans	0	Y	13 June 2022
5.23		Traffic Regulation Measures (Speed Limits) Plans	0	Y	13 June 2022
5.24		Tree Preservation Order Trees and Important Hedgerows Location Plans	0	Y	13 June 2022