REPORT

URBAN PLANNING REVIEWS

Governance of Planning

Local Planning

Urban Management

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Urban Planning System Baseline Reflections

This Volume presents a review of the existing structures which support planning in Saudi Arabia illustrating a baseline situation that is both is complex and evolving. This review is grounded in an assessment of the key material provided by Un-Habitat as part of the Future Saudi Cities Programme combined with reflections generated from engagement with a broad range of ministerial and sectoral experts in the Kingdom including MOMRA, local municipalities, academics, other Ministries with spatial planning implications (Ministry of Economy and Planning, Ministry of Housing etc.), special planning agencies (e.g. ADA and Royal Commission) and stakeholder groups (e.g. women and youth representatives)

Baseline Reflections of the Urban Planning System in Kingdom of Saudi Arabia

Future Saudi Cities Programme

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Contents

Executive Summary

The changing economic climate of the Kingdom of Saudi Arabia, as well as its position as a growing global power, has required its government, and specific the Ministry of Municipalities and Rural Affairs (hereafter MOMRA), to examine whether, and if so, how reform to the Kingdom's planning system could (a) reinforce its position regionally and internationally and (b) offer solutions to its evolving socio-environmental landscape.

Through the production of the Vision 2030, the reforms of the National Spatial Strategy (henceforth NSS), and in collaboration with the UN Habitat Future Saudi Cities Programme, the Kingdom of Saudi Arabia is engaged in a wider ranging exploration of how changes to the planning system could promote a more inclusive, sustainable and diverse society. The transitional period the Kingdom is currently moving through offers MOMRA and the wider government an opportunity to reflect internally and internationally on examples of best practice to reform the ways in which the funding and implementation occurs across the Kingdom.

The following report discusses the current context of planning in Saudi Arabia reflecting on the utility of existing systems, processes and instruments in managing development in the Kingdom. This questions whether a truly functional and coherent framework for planning exists through an examination of the component elements of the Kingdom's existing planning system. The outcome of this review, conducted in conjunction with a panel of Saudi planning experts and UN Habitat, is a more refined understanding of the barriers, successes and opportunities available to MOMRA to base reforms on.

Working with the UN Habitat principles the report proposes that any reforms of the Saudi Arabian planning system should comply with the following:

- A system that is dynamic not static both in terms of the system itself and the way policy frameworks (often in the form of plans and strategies) are revised;
- A system that is outcome-orientated, and consequently monitoring (to help delivery political/societal goals in terms of the built and natural environment) becomes an important aspect of planning;
- A system of plan-making and decision-making that is open, transparent, accountable and responsive to the needs and aspirations of key stakeholders;
- A system that attempt to shape market conditions (both in relation housing and the economy more generally) to deliver politically desired outcomes, which requires strong partnership working between public private and voluntary sectors);
- A system that seeks to co-ordinate activity between different levels (vertical integration) and between different sectors (horizontal integration);
- A system that seeks to be responsive to local needs and opportunities;
- A system that has a strong focus on implementation;
- A system that may be co-ordinated by the public sector in terms of determining the goals and aspirations but is not necessarily delivered exclusively by the public sector both in the making of policy and the delivery of outcomes on the ground;
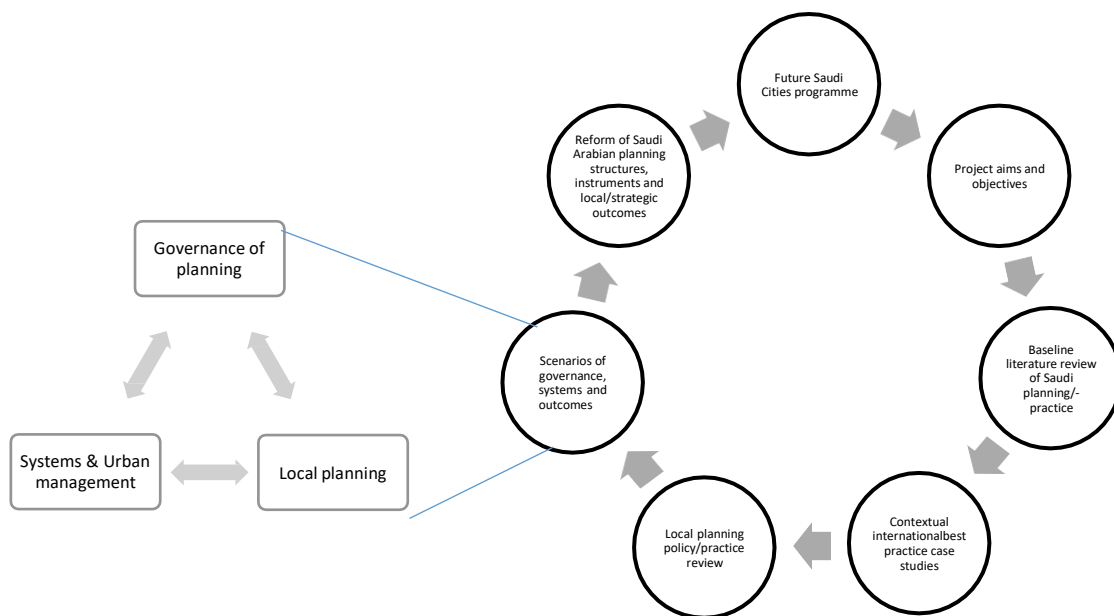
1. Introduction

One of the key outputs of the Future Saudi Cities programme is to advise the Kingdom of Saudi Arabia on possible options for its future approaches to strategic planning and development management. The current system in the Kingdom is considered limited in its ability to align national, sub-national and increasingly local development needs with the growth agenda presented at the national level. It has also become apparent that to ensure continuity between the actions of a divergent set of actors who hold different levels of responsibility for the delivery of the strategic development goals of the Kingdom is fraught with complexity.

Through the development and release of '*Vision 2030*' the Kingdom, supported by MOMRA and UN Habitat, are reflecting on the structures, instruments, processes and outcomes of the existing planning system in Saudi Arabia examining where reforms could be instigated. Aligned with Vision 2030 a clear momentum is evident within the Kingdom supporting calls for a systematic review of *where* and *what* development is needed and *how* planning praxis manages and facilitates this process.

The following report presents a review of the existing structures which support planning in Saudi Arabia illustrating a baseline situation that is both is *complex* and *evolving*. This review is grounded in an assessment of the key material provided by Un-Habitat as part of the Future Saudi Cities Programme combined with reflections generated from engagement with a broad range of ministerial and sectoral experts in the Kingdom including MOMRA, local municipalities, academics, other Ministries with spatial planning implications (Ministry of Economy and Planning, Ministry of Housing etc.), special planning agencies (e.g. ADA and Royal Commission) and stakeholder groups (e.g. women and youth representatives).

Fig. 1.1. Method and scenario development

To facilitate the production of an evidence-based investigation into the existing processes and potential opportunities for reform of the Kingdom's planning system a systematic approach has been taken to the following report. Fig 1.1. outlines the structure by which the following report will discuss and synthesize these changes drawing on evidence generated from local experts in Saudi Arabia, from MOMRA and from in-situ observations and discussion with MOMRA over the course of

2016. Moreover, and with specific reference to the proposed scenarios outlined in this report, the following uses a triumvirate thematic approach to analysis that locates governance and planning, the systems of urban management, and local planning activities at the centre of these debates. These three areas will be used throughout to frame the ways in which the proposed reforms are debated, and will be used in practice to move from the conceptualization phase to implementation and monitoring. To examine the rationale for possible change though requires a baseline set of data to be developed which outlines the current situation regarding the structures, processes and actions of planning in the Kingdom of Saudi Arabia.

The production of such a baseline understanding supports the presentation of a series of scenarios based on documentary and in-situ evidence collected in the Kingdom, which propose alternatives that MOMRA and other stakeholders could adopt to restructure the country's planning system. Each of the options proposed makes best-use of existing expertise within (and across) governmental departments at a national and sub-national level (regional, municipal/metropolitan and local). They also suggest that structural changes may be an increasingly beneficial approach to adapt as they allow divergent stakeholders greater fluidity to meet sub-national needs more effectively. However, although reform of the existing structures is proposed MOMRA will retain its position as a structurally critical partner pivotal to the translation, cascading and delivery/monitoring of any change. Thus the scenarios proposed should not necessarily be seen as mutually exclusive, and indeed the adoption of any new approach could engage with and reflect elements of each scenario; especially at the local scale. Such variation does, to a certain extent, already reflect existing and/or emerging practice, and the reforms presented are proposed as a mechanism to formalize and/or provide added institutional, financial and legal support to sub-national planning actors.

The proposed scenarios are followed by a review of existing local planning system structures, and outlines proposals for reform at the sub-national scale. The discussion of such reforms are embryonic but the detailed analysis of three local plans provided in Section 4 provides evidence to support these reforms.

Finally, at the conclusion of this package emphasize has been put on the need for a cultural change and greater capacity building within the structures of planning policy-making, delivery and regulation, as they are currently broadly defined in the Kingdom, if the proposed changes to the overarching systems, as well as the actual planning instruments, for example the National Spatial Strategy (NSS), are to meet their full potential. When reading this document, it is also important to acknowledge that practice is already changing to reflect both a growing realization of the need for reform combined with the bold transformational opportunities offered by Vision 2030, and the associated strategic development objectives outlined in the NSS.

2. Baseline situation

At present Saudi Arabia, like many nations across the world, has a centralised planning system that is largely controlled through a single government ministry. The Ministry of Municipalities and Rural Affairs (MOMRA) are the executive decision-makers of planning in the Kingdom of Saudi Arabia and are responsible for developing the National Spatial Plan (NSP), as well as setting the development agenda for the country. Rethinking national development priorities within the context of Vision 2030 and the ongoing revisions to the National Spatial Strategy (NSS), seeks to provide a more defined spatial articulation of the challenges and opportunities facing the Kingdom. This is being combined with an implementation programme which outlines *how* and *who* will assist in the delivery of key spatial priorities that could act as a catalyst for the development of a more cohesive and appropriate investment framework for the Kingdom.

One of the key challenges of engaging with such a process is the view that the current planning system is relatively static promoting a process of technical master planning, where locations are planned according to government guidelines with limited influence or engagement with or from local stakeholders. Although such commentary perceives the Saudi planning system as inflexible the existing system, which comprises a three-tier structure: *National*, *Regional* and *Local*, could through evidence-based reform be highly responsive to needs of communities, the economy and the environment at all scales. The development of a revised NSS, the previous articulation was produced in 2000, is specifically designed to ensure that a framework is developed which can integrate the range of investment needs, barriers and aspirations across the three-tiers of the Saudi Arabian Planning system. As a consequence, two alternative views of the Saudi Arabian planning system exist. One argues that the three-tiered system is more responsive to sub-national needs and that the existing level of devolution between MOMRA and the regions/sub-regions (i.e. municipalities) already facilitates regionally specific development. The second, constructs the process as being technically proficient but lacking nuance and the reflectivity needed to meet and/or address local planning needs effectively. Moreover, due to the technical nature of planning in these discussions they may be perceived as being more theoretical in their scope rather than practice led. The outcome of which is a limited ability for planners at a sub-national scale to implement the strategic objectives of each master plan.

Moreover, there are calls from within the Kingdom for a devolution of authority due to the growing influence of other government ministries to aid MOMRA in delivering the strategic planning objectives. Hence there is a call for greater horizontal integration across government at all levels and between ministries. For example, the Ministry of Housing (MoH), and Ministry of the Economy & Planning (MoEP), and the Ministry of Finance (MoF) could all be engaged to develop a more responsive and evidence-based form of strategic development for the Kingdom. It is also important to acknowledge the monitoring role of the Ministry of the Interior (MoI) at the regional scale within such debates. A more effective process of co-ordinating and utilisation between the expertise within these ministries could thus create a platform for the development of more robust form of decision-making based on real-time data, expertise and effective delivery. Such discussions should though be considered in relation to the preparation of the new National Spatial Plan (NSP), for example the Ministry of Housing is also becoming more proactive in facilitating housing delivery to achieve the targets articulated in the National Transformation Programme. However, it would be inaccurate to underplay the current and ongoing role of MOMRAs in this process. Within the shaping of Vision 2030, and the wider City Planning Reforms MOMRA have clearly articulated their development objectives, as well as outlining how the broader national (and sub-national investment goals) could be achieved. Furthermore, the new NSP should provide a spatial articulation of these goals at a national level and have a strong emphasis on delivery.

Arguments that the planning system is too rigid/static and lacks adaptability have to be discussed against the changing social (and demographic), ecological and economic reforms proposed for the Kingdom. As petro-chemical income has become, and may well remain, unstable as a function of global oversupply there is a growing global discussion focusing on the shift to a lower carbon economy. This has led to growing calls within and outside of Saudi Arabia for the Kingdom to look to other natural, human and financial resources to ensure its development trajectory is not diminished. Vision 2030 articulates such a shift in emphasis illustrating this within the Kingdom's *Human Development Hedge Fund*, which aims to balance the uncertainty of economic change being witnessed within Saudi Arabia with greater social inclusivity in development conversations. However, it would be unwise to limit the discussions of the changes within the Kingdom to petro-chemical income. As the Kingdom has become increasingly located within regional *and* global socio-economic debates the evolution of access and inclusivity to services, housing, employment and education must also be considered.

Figure 2.1. Population distribution in Saudi Arabia (2000-2015)

FIGURE 4: Evolution of the Distribution of Population across Urban Agglomerations (2000-2015)
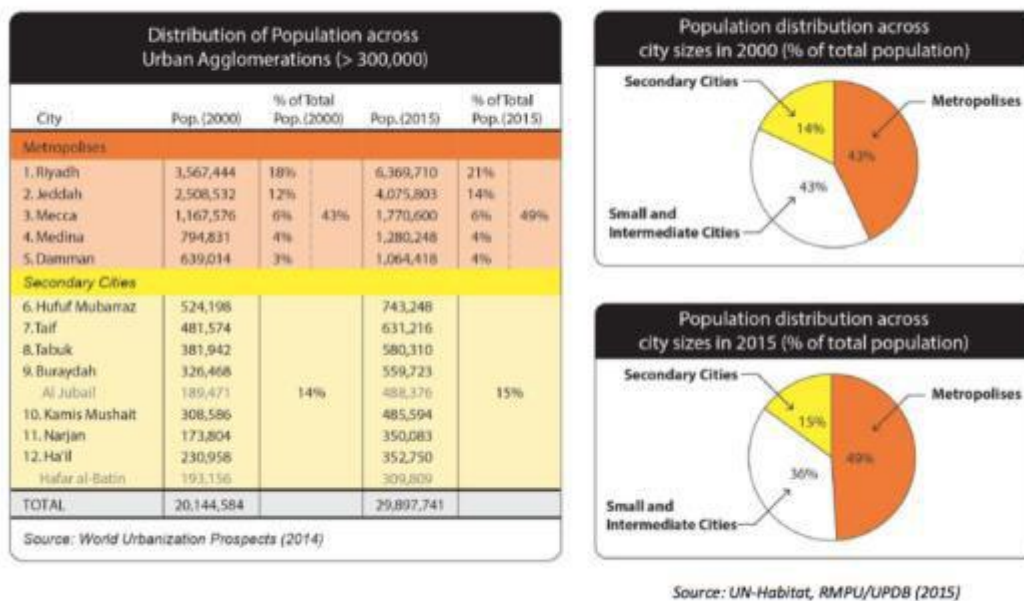
Fig. 2.1 outlines the growth of key urban settlements in Saudi Arabia up until 2015. Predictions within the Kingdom suggest that urban growth will continue and that access to services will increase. As a direct consequence there will be greater pressure on the delivery of essential infrastructure such as gas, water and electricity, as well as roads, but also access to social services including educational institutions. The demand for services raises interesting questions regarding who should pay for such amenities: government or citizens, and in the current changing economic times the Kingdom is reviewing whether Vision 2030 or the revised NSS can provide the systems and a key institutional framework to address such changes.

This transition is exacerbated due to what has been traditionally been perceived as a centralised and top-down approach to the administration of planning (and development) within Saudi Arabia. MOMRA, under the guidance of the King, and in many cases the Ministry of Finance set the development platform, which has subsequently been cascaded to a sub-national[1] delivery agents. However, although MOMRA has personnel located in each local/municipal authority there is a

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[1] Throughout 'sub-national' refers to tiers of government including regional, local, and municipal. 'Sub-national' is used as an overarching term including each of these scales unless explicitly stated in the report.

perceived lack of integrated and collaboration between MOMRA officials centrally and those other agencies involved with the delivery of planning policy objectives/mandates at the local level. This has led to difficult discussions between held regarding what constitutes appropriate development and whether or not it complies with the strategic investment programmes set nationally by MOMRA. Nuance and local understanding may therefore be side-lined within sub-national implementation if, and when, local planning authorities attempt to prioritise national development mandates over local needs.

This issue has led to a perceived, and actual, variance in local delivery across the Kingdom. Whilst MOMRA and the government aim to establish parity between cities, regions and local municipalities in reality there is a wide range of interpretation and application of strategic planning objectives across the Kingdom. A lack of compliance with national policy and diminished continuity between locations, therefore, has the potential to undermine the process of planning in Saudi Arabia and has led to calls from other government ministries, semi/quasi-autonomous planning departments, special development agencies (such as the Arriyadh Development Agency – ADA), and other stakeholders to provide greater flexibility in what delivery in permitted in a number of locations. Although calls for greater devolution and/or great collaboration between stakeholders would increase the responsibility placed on non-MOMRA agencies, this is considered by many as a way of addressing sub-national issues more directly and effectively.

Fig. 2.2. Operating Model of the National Transformation Program (Kingdom of Saudi Arabia, Vision 2030, 2016).

Operating Model of the National Transformation Program

Finally, it is important to emphasise that the systems and processes, policy instruments and delivery practices of planning and governance are extremely dynamic within the Kingdom, and sitting alongside Vision 2030, the National Transformation Programme outlines clear aspirations in terms of how the governance arrangements at both national and local scales needs to be transformed in deliver its ambitious targets (See Fig. 2.2).

Many of these aspirations have highly significant spatial planning implications and include:

- Creating 450,000 new jobs through a much more diversified economy, less dependent on oil based industries;
- An increased role for the private sector in investing in the economy, in part through the development of a real estate industry who both contributes to local investment needs and

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reduces state led investment by up to 40% but also benefitting from the uplift value of land and property.
- Potential to transfer what have been public bodies into more private entities, for example creating new regulated companies to deliver water supply to users. This in turn may affect their investment decisions and priorities
- 300 million SAR over 5 years to create "center of excellence" to support the privatization of state-owned companies and infrastructure providers
- Public and private sector expenditure to increase to 50% from 36%, led by the Ministry of Energy.
- Information technology proportion of GDP to double to 2.24%, media contribute 6.64 billion SAR (up from 5.2 billion SAR)
- Proportion of from pharmaceutical industry to rise to 1.97% (from 0.98%)
- Female participation in the workforce to increase to 28% (from 23%) and number of women in civil service to increase to 42% (from 39.8%)
- All land holdings to be surveyed, compared with only 6% currently[2]

MoMRA too has key objectives within the Transformation Plan and some 25 Key Performance Indicators (KPI), which in summary relate to delivering:

- A better quality of life, through access to water, open spaces and better roads, quicker and speedier decision-making and a strong emphasis on rebalancing the economy through promoting more growth within small and medium sized towns.
- Improving financial self-sufficiency through better national and local methods of revenue generation and collection.
- A more efficient, coherent and streamlined process of collection for local and other revenues.
- Improved spatial land management information, including land ownership data to help reduce land disputes.
- Improved levels of service delivery in relation to urban management.

To deliver these ambitious objectives new governance arrangements, as well as taxation and revenue raising activities will be required to demonstrate collaborative working within and between government agencies, with government agencies and other private sector bodies and stakeholders (including the public) who have an interest in places to facilitate greater co-ordination. More focused investment decisions which identify key/strategic outputs, as well as greater transparency and openness will also be needed in decision-making with a specific emphasis on spatial development. Achieving such high-level objectives will require significant transformational change for planning both in terms of the systems of plan-making and the capacity and cultural practices of all actors and agencies involved in the plan-making and implementation processes. Whilst capacity building and culture change is easy to argue for, it is often more challenging to deliver and must be seen as part of a gradual, ongoing and evolutionary process.

2a. Planning in Saudi Arabia

Currently planning in Saudi Arabia follows a technocratic model of policy formation with less explicit emphasis placed on delivery. The plans that are currently being prepared are much more narrowly focused on land use regulation and zoning control (i.e. within prescribed urban growth boundaries) rather than setting strategic development objectives and seeking to manage and or phasing of the

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[2] Figures from Bloomberg: http://www.bloomberg.com/news/articles/2016-06-06/the-saudi-national-transformation-program-what-we-know-so-far and Financial Times: https://www.ft.com/content/cbb86ed2-2e38-11e6-a18d-a96ab29e3c95, both access 18th October 2016.

development process. However, the proposed changes outlined in Vision 2030 offer an alternative approach to planning in Kingdom, which from a planning or a territorial perspective highlight three key themes for delivery: *a vibrant society*, *a thriving economy* and *an ambitious nation*. Through the discussions of the revised National Spatial Plan (NSP), and in conversations with government, quasi-government and academic partners within the Kingdom, it is possible to identify support for a more integrated and holistic framework for planning that would benefit the Kingdom. Currently, however, the Kingdom could be considered to work with a binary set of proposed approaches:

a) The existing technical master planning that is static, time limited, and lacks dynamism to react to changing social and economic needs
b) A reformed integrative and fluid form of spatial planning that is responsive to change and mindful of local/sub-national needs.

However, to move from model (1) to (2) requires MOMRA and the broader Saudi Arabian government to rethink how the use of the National Spatial Plan, as well as regional, sub-regional and local/municipal plans, can positively meet the development objectives of the Kingdom in economic, social and environmental terms.

Table 2.1. Regulatory levels and functions for planning in Saudi Arabia

Table (5.1): The main functions of regulatory levels

National level	Regional level	Local level
The political system in the country	Translation of national goals into regional plans while maintaining regional relations (sectoral relations among regions)	Local participation of citizens and local community development ;
Determine the national goals of economic and social development	The spatial conciliation and coordination of sectoral development	Identify local targets in an interconnected framework with the rest of the localities/municipalities constituting the region
Preparation and issuance of long-term and medium-term national plans and annual plans	Coordination between local levels in the fields of development	Local services management
The sectoral distribution of development and achievement of the general balance between the sectors	Upgrading of local desires to the national level	Study and development of human resources
Achievement of coordination and balance in the spatial development process	Ensure more effective participation of the population at the local level regarding the planning processes	Study of natural resources and suggest the best ways to exploit them

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The following sections present an overview of the current frameworks which support planning in Saudi Arabia before reflecting, via a SWOT analysis (see Table 2.1), on how these existing structures could be modified to through the reforms proposed in this report.

a) National Spatial Strategy (NSS) (Future Saudi Cities Programme, 2016)

The National Spatial Strategy (2000 and currently under revision) was developed as a direct reaction to perceived inadequate development across the Kingdom of Saudi Arabia leading to an uneven forms of population, resource and service distribution over a forty-year period. MOMRA initiated the

first NSS in the late 1970's to establish a more balance and equitable process of development within the Kingdom.

The NSS is based on the delivery of nine key objectives:

- **Objective 1**: "Promoting a spatially balanced pattern of population distribution on national space"
- **Objective 2**: "Minimizing the adverse consequences of the continuous increase in the population of large cities"
- **Objective 3**: "Ensuring the efficient utilization of infrastructure and public services already in place"
- **Objective 4**: "Directing support to the overall growth of small and medium cities"
- **Objective 5:** "Intensifying efforts to diversify the economic base of different regions as to fully utilize their existing and potential resources"
- **Objective 6:** "Supporting selected settlements to act as growth centers capable of transmitting and coordinating development impulses toward surrounding areas"
- **Objective 7:** "Supporting new activities that contribute positively to the integration between rural and urban areas"
- **Objective 8:** "Improving the administrative structure of selected growth centers and defining accurately their service areas"
- **Objective 9:** "Fostering development within border cities due to their importance for national security"

The NSS has been updated periodically since its first release and in 2000 the Saudi Council Ministers approved a revised strategy which included two new policy instruments to aid MOMRA and partners in delivering development more effectively. These two instruments were: *development corridors*, which were promoted as delivering (i) transport, (ii) transit, (iii) economic activities, and (iv) socio-environmental improvements) and *growth centres*.

Figure 2.3. National Spatial Strategy (2000)
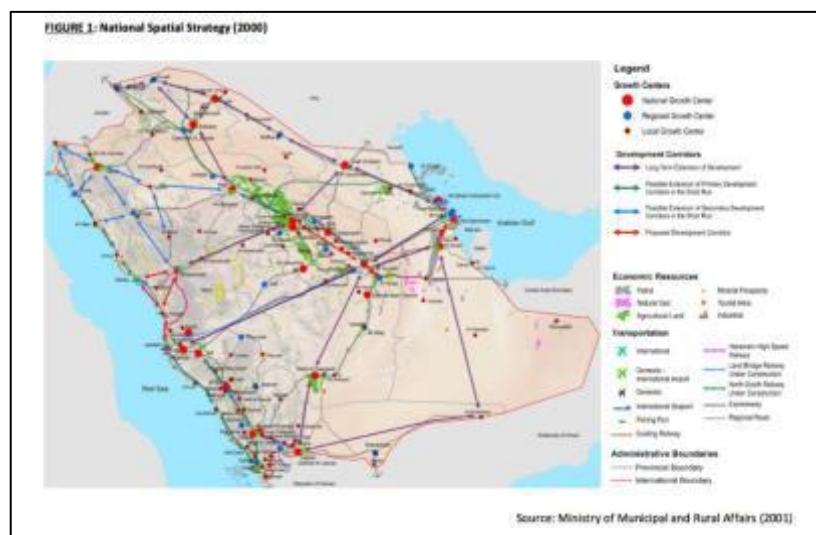
In light of growing concerns relating to the ongoing development of the Kingdom MOMRA have initiated a full-scale review of the NSS and have revised its strategic objectives to meet the future-orientated needs of Saudi Arabia, as promoted in Vision 2030. This, in part, reflects the need to plan equitably for the 'Big 5' cities of Riyadh, Jeddah, Mecca, Medina and Dammam (which constitute

48% of the Kingdom's population, and other sub-regional cities (which have grown at a similar rate over a fifteen-year period), and acknowledges that the current NSS does not provide an effective monitoring or evaluative framework for planning praxis across the Kingdom. The revised NSS thus proposes to improve the economic, social and ecological resilience of the Kingdom through a more effective process of land management, economic development and social uplift framed through a set of nationally identified strategic objectives (see Fig. 2.3).

Fig. 2.4. Planning policy levels in Saudi Arabia

Figure 2: The Institutional Network contributing to Regional Development in Riyadh
Source: Strategic Plan for Arriyadh Region, Technical Working Paper Governance, 2005, page 10, quoted in Althabt 2013, p. 193
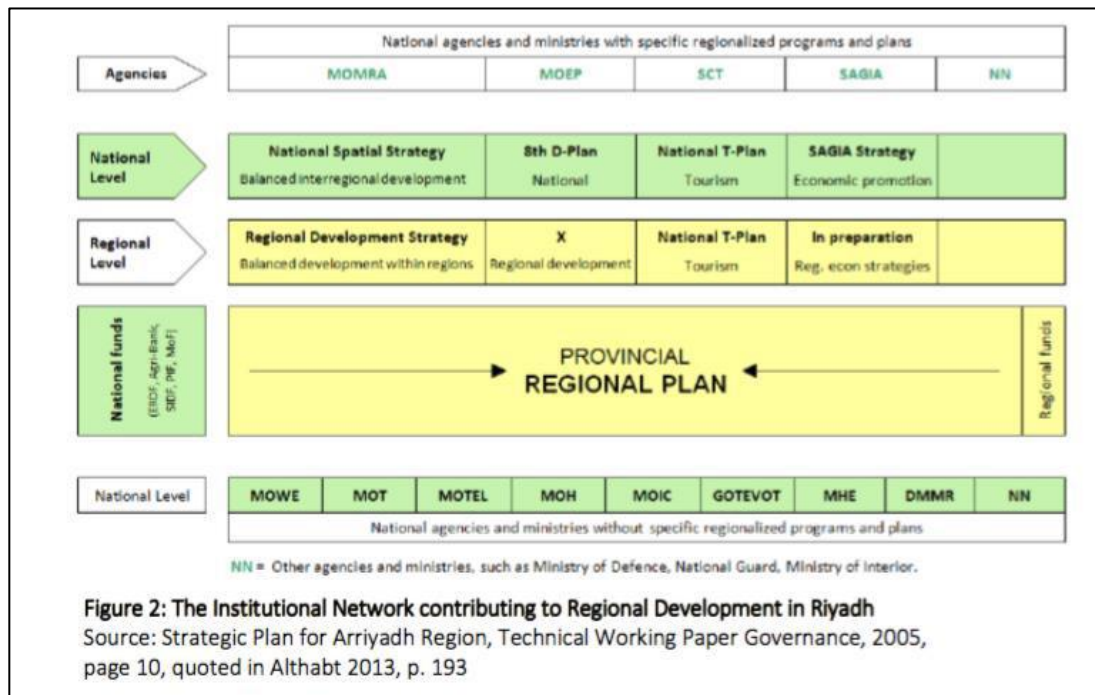
b) Regional planning (UN Habitat, MOMRA and Future Saudi Cities Programme, 2016)

Regional planning in the Kingdom of Saudi Arabia is controlled through a number of different stakeholders including MOMRA, the Ministry of the Interior and Special Development Agencies. Since the release of the 5th National Development Plan (1985-1990) greater emphasis has been placed on regional planning by government, and an increased number of plans being adopted across the Kingdom. Due to the variation in terms of which agency is charged with developing the Strategic Plan for an area there are subsequent differences in the aims and objectives of each plan.

Regional Plans are also spatially larger than local plans, as they cover both core cities and a regional hinterland. Plans are therefore, in many cases, skewed by being focussed on the delivery of development in the core city, but also plan for the provision of essential infrastructure (normally housing) in the wider administrative area. Due to the variability of the physical location and service/infrastructure needs the focus of Regional Plans is inherently diverse. As a result there is decreased level of continuity between the NSS, the NPS and the plans produced at the regional scale. The sub-national focus of Regional Plans has, however, enabled them to make significant strategic recommendations for more locally focussed development, which can subsequently be aligned with the national development mandates of MOMRA and the central government.
To ensure that regional plans are provided with sufficient authority within the Saudi planning system it has been recommended by MOMRA, the Future Saudi Cities Programme and UN Habitat that a number of key issues be addressed.

Firstly, and understanding of location and physical space matters in terms of where and what development occurs, and how it can be aligned with the broader investment objectives of the Kingdom. However, there is a need to recognise regions as an indispensable intermediate level of planning that enables a continuity of development objectives between the national and the local level. Thus there is a perceived need for regional planning to act as a strategic process that aligns or binds policy development at one scale but being delivered at another. To achieve such an integrated and reflective process there must be effective mechanisms of participation for all key stakeholders to ensure that the most appropriate forms of investment are delivered. Unfortunately, there is significant variability in terms of both engagement by varied stakeholders and the political will to support regional planning, which impacts upon the administrative, financial and legal capacity or regional government/agencies to develop strategic development objectives. Moreover, there is an ongoing requirement for multi-agency inclusion in such activities to assist in the development of regional plans and to promote a better and more effective alignment of these documents with other policies at a sub-national scale. An example of the variation in structure and authority underpinning regional planning in the Kingdom is shown in Fig. 2.4.

Fig. 2.4. Regional policy formation structure – Arriyadh Region

Figure 3: Institutional Structure in the Arriyadh Region (Source: Althabt 2013, p. 211)
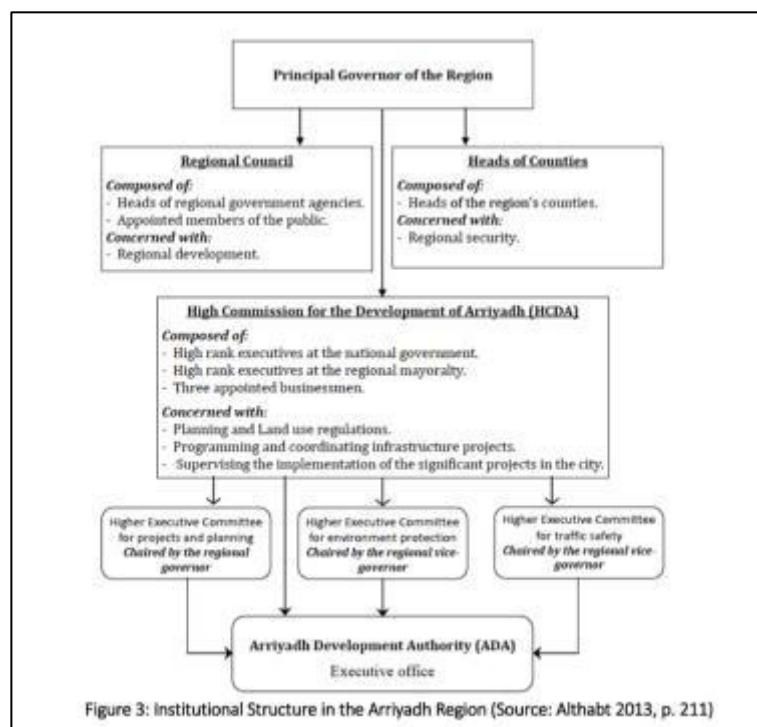
To ensure that these issues are addressed the following parameters have been identified by Saudi planning experts[3] as key variables supporting the development and functionality of regional plans in Saudi Arabia:

- Establishment a policy environment for regional planning that includes an accepted definition, and appropriate structures for the financing and development of institutional and human capacities.

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[3] Throughout the production of the proposed reforms a steering group of Saudi Arabian planning experts have been engaged to provide essential context, understanding and examples of how the planning systems in the Kingdom function and where barriers to more effective policy-making and delivery occur.

- There is a need to promote managerial reform in the planning governance and organizational structure change in the appropriate councils and bodies that control development.
- Facilitation of a regional dialogue on development that promotes the potential of the region, e.g. in form of a Regional Development Conference (RDC). This should be approached through the creation of a forum for public participation in local and regional development debates.
- Establish a vision for regional development and its links to national development using national and provincial development control bodies, as well as local councils, provincial councils, universities and other public institutes of higher learning, and local schools, media critics and icons, and public hearings as conduits for dissemination and investigation. All such processes should also look beyond the immediate region to promote continuity.
- Development of a regional development strategy and action plan (Regional Plan) in consultation with local, regional, national and international experts.
- Implementation of the Regional Plan, through a transferable process coordinated by the local and provincial planning and development control authorities. This should be monitored and audited by local and provincial councils.

c) City planning systems

Planning at a local municipal/metropolitan scale comprises a number of complex intersecting plans at a variety of different scales, and some are still being used for decision-making although formally these plans have been superseded. Nevertheless two separate but intersecting instruments, are used to define the scope of development and its implementation. These two elements are:

- **The structure plan:** Was considered as the future vision for land use distribution, the major activities in the administrative boundaries of a local municipality and all development associated therewith up to the proposed target year for the expected number of population and economic activities. It was based on the urban development strategy and the regional and sub-regional plans. However, this type of plans was suspended in 2006 and replaced by the urban boundaries.
- **The master (indicative) plan:** was a comprehensive development plan covers all the processes of development-related to urban, social and economic financing aspects. It consists of three basic stages: the structure plan, land uses plan and integrated sectoral plans. This type of plans no longer applies as noted before, and it has been included in the local plan**.**

The two instruments aim to apply urban controls specific to urban land use and building regulations in line with the NSS, provide public services and infrastructure to avoid duplication of planning/delivery by different agencies and thus ensure continuity between and across administrative boundaries. They are also tasked with controlling the planning and delivery of the Kingdom's road network and development public/private housing plans aligned to Kingdom wide policy. A number of these activities need to be developed and/or delivered in accordance with the regulation/development mandates of the Amanah.

In additional to the formal city government and governance systems employed in the Kingdom a number of alternative approaches to development can also be identified. These include the devolution of authority for development to quasi-private agencies or public-private partnerships that have the vision to develop economically and socially. Examples of such alternatives include: the growing number of industrial cities including King Abdullah Economic City and King Abdul-Aziz City for Science and Technology), more contemporary forms of city government that incorporate the

skills of development corporations such as the Medina Development Authority (MDA) or the Arriyadh Development Authority (ADA). Moreover, a small number of semi-autonomous Royal Commissions have been established to enable focussed development to occur including the Royal Commission of Jubail and Yanbu. Within cities there are also a series of more bespoke/smaller governance structures that include establishing government sub-centres within a city boundary, as well as working with urban observatories (for example in Riyadh) to aid the development of Comprehensive Plans.

d) Local planning.

Today the local plan is largely focused on those areas of a municipality which are contained within the urban growth boundary, and within this area there is a focus on housing development within the Urban Atlas, which zones land outside of the built up area but within the urban boundary yellow, i.e. housing. The aim of the local plan is to apply urban controls to urban land use and building regulations; to provide public services and infrastructure in a cost effective and integrated manner; set basic requirements for proposed road networks; and help facilitate the development of public and private sector housing. The time horizon against which plans are being set are 2029, and new guidelines as to how these plans should be prepare was produced in 2015.

Within the Institutional Framework of Urban Planning for the Kingdom produced by UN Habitat (Date), as delivered by the Amanah are responsible for the following activities:

- Organizes and coordinates the city according to a regulatory plan in coordination with competent authorities.
- Granting licenses for establishing and controlling buildings, constructions and all public and private utilities and extensions.
- Maintain the appearance and cleanliness of the city as well as establish parks and squares.
- Establish markets and locating points of sale.
- Expropriation of properties for public benefit.
- Identifying and collecting fees, municipal revenues, fines and penalties imposed on violators.
- Preventing and removing infringing and encroachment against private and public properties under its control, in coordination with the competent authorities.

However, the Amanah are engaged in a range of activities that focus on the construction of local plans, project management and monitoring construction. They also work with MOMRA to oversee the urban observatories to monitor the urbanisation process and provide evidence for government to improve the process of planning delivery. In some cities, specifically the 'Big 5' additional agencies are affiliated with the Amanah, such as in Jeddah or Mecca to facilitate more effective growth.

e) Land subdivision plans.

These are potentially the more localised and yet critical elements of planning at the local level, as they regulate development. Where a development proposal is in accordance with an approved land sub-division plan the investment can occur. Land subdivision plans can be prepared by the local municipality, a land owner, a developer or an individual and aim to ensure that the road layout for the site is in accordance with the national regulations, that a suitable urban environment providing for the comfort and safety of the residents is designed. This includes the proximity to mosques, and the provision of schools, shops and open spaces. Approval of Land Subdivision Plans are by Ministerial decision-makers, where checks are made to ensure that the plan conforms to nationally defined standards, and once approved is used to check that proposals are in conformity with the approved plan.

2b. Barriers to successful policy-making and implementation in Saudi Arabia

Currently there is a strong perception within the Kingdom that a lack of alignment exists between the formations of master plans, which are co-ordinated and managed by MOMRA (although often prepared by consultants), and the delivery or implementation of these plans at a local scale. This has been complicated due to changing development priorities and the specification and re-specification of urban growth boundaries (through successive changes to urban growth boundaries). This has seen areas zoned and/or allocated for development, primarily housing, change. As a consequence, the nature of master planning cannot always meet the challenges of changing socio-economic and demographic needs within the Kingdom. Furthermore, master plans tend to designate the whole area within the urban boundary for development, predominately housing, even though other economic or regional development priorities can often be identified beyond the urban growth boundaries. This, in practice, exacerbates the problems associate with low density, fragmented and dispersed urban sprawl, as well as a lack of continuity between local planning areas.

Due to changing nature of policy and regulation it is though possible to identify distinct eras of planning in the Kingdom that have led to variance in what *can*, *is* and *has* been delivered. Moreover, due to changing land use classifications there have been extensive development in areas previously (and currently) not classified for investment. However, due to the rights of citizens to build on ladn they own land, and be provided with services (i.e. water, electricity, sewage, and transport infrastructure) there are, again, significant variations in how urban areas have developed across the Kingdom. This highlights the extensive dispersal of sites which have been fully serviced by the state but which constitute am extremely scattered and fragmented residential development pattern within these plots.

Furthermore, with the expansion of potentially developable urban areas, as the urban growth boundaries have been extended, there has been an ongoing discussion of how to balance the technical master planning of the Kingdom with more sensitive and integrative spatial planning techniques. Therefore, although urban populations are increasing this remain moderate to low urban populations and densities, because, in some locations, development has continued to occur in peripheral areas (due to changing zoning regulations). Although there have been ongoing calls to repopulate urban centres the density of a significant number urban areas is still relatively small. The proposals to facilitate urban densification could help address the 700,000 families waiting for homes, and the additional 400,000 with bank loans who are to build their own homes. However, the inflexibility of zoning regulations to allow intensification and densification does not align itself easily or effectively with the current process of master planning and development management in Saudi Arabia.

Changing zoning regulations have also had an influence on land values, land ownership and development rights within the Kingdom. As urban growth boundaries changed through the 1980-1990's there was a corresponding change in development patterns, as greater permitted development in peripheral areas occurred leading to a more complex form of land ownership in Saudi Arabia. The outcome of which has been a growing potential for conflicts between MOMRA and land owners regarding how development should occur. Thus conflicts between personal/strategic land values, development priorities (and compulsory development), and ownership rights have increased simultaneously highlighting and undermining the relative lack of flexibility within permitted development policies in Saud Arabia. It could also be argued that the opaque process of regulation and monitoring from MOMRA has limited the ability of sub-national stakeholders to act more flexibly and adapt of local needs.

The SWOT analysis presented below in Table 2.2 enables us to examine the issues noted above, and to identify a wider range of strengths and weaknesses within the Saudi planning system. Each of the factors reported have a direct impact on how planning is currently structured, and delivered, in the Kingdom. Whilst there is a clear and tangible logic to a centralised top-down process of planning controlled by MOMRA, the changing nature of development and socio-economic needs in Saudi Arabia suggests that a more flexible and/or responsive form of planning would provide opportunities to react more positively to identified sub-national needs.

Table 2.2. SWOT of planning issues in Saudi Arabia

STRENGTHS	WEAKNESSES
1. Central government control needed for execution 2. Stability of political system and established security 3. Public support for government 4. Availability and steady flow of financial resources 5. Developed existing infrastructure (especially roads at all planning level) 6. Young population belongs to working age cohort (more than 55 % of the country are classified as youth-age) 7. Highly-educated population 8. Vast natural resources including land, petroleum, minerals 9. Strategic location 10. Stable geo-political system 11. Long-term financial investment scheme 12. Developed national urban planning system over years from the technical view (especially at national and city level) 13. Established provincial councils, municipal councils and regional centers of control 14. Access to information technology	15. Poor public/private integration 16. Low level of public participation in decision-making 17. Municipal centers and local administration are not advanced compared to provincial and national levels 18. Lack of access of services to the villages 19. Lack of trained planners 20. Lack of specialized urban planning centers 21. Unbalanced urban planning training institutions to meet the growing demands 22. Lack of gender integration into the urban planning process 23. Poor Inter-organizational collaboration especially for mega projects 24. High rate of unfinished or delayed project completion across Saudi Arabia 25. Lack of proper financing schemes for mega projects 26. Old/obsolete government procurement procedures (Here this lead to the over dependence on local consultancy firm in doing urban planning work mainly due to their advantage of being cheap in delivering urban planning work) 27. Lack of ready-to-use digitized information for planning affairs 28. Lack of access to information across government agencies 29. Absence of a single government information depository 30. Lack of reference linkage to the importance of day-to-day planning in general education system 31. Lack of needed cooperation between different agencies in implementation of tasks emanating from nati0nal strategic urban plan and policies 32. Poor public awareness on planning laws and legislations 33. Insensitive practices by national and foreigners in public places 34. Improper taxation/fees on cost to services (Municipal services are highly dependent on the country rather than being depending on cost recovery) 35. Weak regional planning and integration 36. Absence of professional society for Saudi urban planners 37. No sponsorship programs by government agencies for urban planning graduates. 38. Gap between academia and practice (University staff members are not usually the big known planners in the country, also the system in universities doesn't incentives them to practice urban planning)
OPPORTUNITIES	THREATS
39. A new trend of job-creation 40. A new generation of graduates coming from the Custodian of the Two Holy Mosques program from the US (More than 200, 000 in the last five years) 41. Proximity and integration with the GCCs 42. General education in higher education is expanding (This was seen as one of success of the NSS) 43. Creation of knowledge-based economy (More than five economic cities were established to boost this new economic way of thinking), however some of these think tank institutions are not linked to the economy of agglomeration within the big cities of the country	59. Access by GCC professionals to the job market 60. Adherence to the planning regulations and implementation 61. Complacency of so-far accomplishments 62. Inability to distinguish between meeting the requirements and avoiding accountability 63. Resistance to social and cultural change within the urban settings 64. Transparency 65. Exemptions from the law 66. Conflict of interest 67. Inability to constantly benchmark with international standards and best practices

44. Integrating the new Vision 2030 of transformation 45. Providing an opportunity for more businesses and integration in terms of urban services 46. Implementation of data intensive informed 47. Trend in Saudi Arabia to move towards Smart city (new vision) 48. Balanced growth (Old vision, but still a viable one that MOEP and MOMRA have made it clearly supported by most of the national ministries) 49. Alignment of local, regional and national plans 50. New GCC rail system 51. Agro-cultural tourism 52. More liberal commercialization of airports in major metropolitan areas 53. Privatization of harbours and airports 54. Divert some endowment into developing infrastructure 55. Invite public/private partnership based infrastructure investment 56. Create border cities to re-route pilgrims 57. Creation of healthy and safer communities 58. Metro projects / inducement for TOD (Riyadh and Jeddah at least at this moment)	68. No visible KPI progress and update by government organizations 69. Not updating the urban observatories 70. Taking advantage of the 2030 transformation to update and revise obsolete regulations 71. High dependency on foreign planners and consultants

There are also a series of *push* and *pull* factors which can, and need to be discussed to debate the existing and potential options for revising planning in Saudi Arabia if development is to be aligned to Vision 2030.

2c. Push factors for a revised planning system

Within the Kingdom a number of factors can be identified pushing MOMRA and the countries leaders to rethink the functionality of the existing planning system. Many are structural in terms of a lack of horizontal coordination between departments within national government, and vertically at a sub-national, including Royal Commission, Regional Authorities, Municipality, Local, and Special Development Zones scale. Others are more process driven asking whether the Kingdom is engaged in a technocratic and static process of master planning or if it should be engaged in a more responsive and localised form of spatial planning. It is, however, clear from documentary and reported evidence from stakeholders within the Kingdom that there is a perceived disconnect between the strategic objectives of planning and delivery.

1. Poor performance by planning departments

There is a persistent view that master planning and development control in Saudi Arabia is not maximising its resources to deliver investment. This includes a lack of alignment and integration of policy directions between government departments, a lack of authority and/or willingness for planners to display strong leadership, take effective decisions, and a lack of reflection and/or evaluation from central government on the nature and practices of national and sub-national level planning activities. All of which leads to variation in the types of development allowed, where development occurs, what timeframes they work to, and whether investment is aligned with strategic development goals. Moreover, there was a visible historical split between the structures and implementation of urban and economic planning in the Kingdom. This is, and has been, under review through the development of the revised NSS, and through the increased level of advocacy and/or leadership being development by the Ministry of Economy and Planning (as well as other ministries). This Ministry is working alongside MOMRA to revisit the processes associated with strategic, sub-national and local planning to support government initiatives, as a prerequisite for central government central budget funding

2. Changing nature of supply and demand within development for housing, infrastructure and other commercial activity

The pace of growth in the Kingdom and the demands for property and services has placed ongoing pressures on the government to deliver services. With the changing management of urban growth boundaries and approximately 700,000 families waiting for new homes and 400,000 with bank loans to build their own homes, the Kingdom is engaged in a significant process of development. However, there are concerns that the existing structures controlling planning lacks nuance to meet sub-national development priorities, needs and opportunities. Moreover, the static nature of the country's technocratic spatial planning systems limits the ability of local/municipal planning authorities to maximise the socio-economic potential of a given site, as they are constrained by an outdated National Spatial Plan, a significant delay in terms of policy production and decision-making, and a lack of autonomy to deliver investment. Government could thus be considered as becoming more responsive and accepting of the need for compact development in some locations. However, there remains scope to reflect upon the potential time-lags between different tiers of the Saudi Arabian planning systems, and the variation in the pace of approvals across the Kingdom. A lack of continuity between the three-tiers of the planning system is thus deemed to be a potential issue. Other agencies, including Aramco in cooperation with other national stakeholders, has however revised and issued new guidelines for encouraging sustainability in land use, transportation and other essential infrastructure within Saudi cities. Moreover, in 2015 MOMRA, at a national level, issued a decree urging both MOMRA at a sub-national, i.e. regional and city planning city, and secretariats and municipalities to reconsider their activities to align themselves more directly with the potential reforms of the Saudi planning system.

3. Recognition that state led investment needs to much more targeted in order that it can be delivered cost effectively to ensure maximum benefit

With recent falls in the price of oil there is growing realisation that the Kingdom needs to both maximise its use of natural and social resources, and ensure that it spends its resources in a more cost effective and focused way. The Kingdom is also assessing how it can develop is social, economic and environmental capital to grow the economy through the National Transformation, the Human Capital and the Public Investment Fund Restructuring programmes. Financial services are one area where Saudi Arabia's strategic location within the Gulf could act as an East-West confluence for investment. However, the requirement to consider such a transition raises questions over the Kingdom's ability to continue to deliver the same quality of life, development opportunities, and rate of investment expectations. Therefore, calls are being made to promote the roles of a more divergent range of stakeholders who have the expertise and the economic foresight to limit the impacts of changing oil prices and/or be more strategic in terms of where public money is invested in infrastructure as a whole; water, power, social ICT and transport infrastructure all need to be included in this process. Whilst, it may not be prudent to diversify too greatly from an economic model that has effectively supported the Kingdom for fifty-years, there is scope to evaluate how other public-private, private and international stakeholders could effectively deliver development in the Kingdom. For example, the Kingdom's water supply systems will increasingly be managed by an agency that is arm's length from government, and they will expect betters return on their investment when providing water infrastructure. Further evidence is also needed to examine how municipal services can, and are, being diversified to meet the changing need to the Saudi population. Thus by concentrating on strategic development sites: areas, corridors or zones, and an integrated process of spatial planning focused on delivery could play a more prominent role in facilitating co-ordinated development, thereby better 'sweeting the assets'.

4. Limited deliverables due to variability between cities, provinces and municipalities

There are significant variations within the Kingdom in terms of the ability of sub-national bodies to prepare and implement plans. Within the Un-Habitat 'Future Saudi cities Programme' the 'Big 5' of Riyadh, Mecca, Medina, Jeddah, and Dammam have significantly more capacity to deliver strategic planning objectives, and indeed often have special development agencies (e.g. ADA) focused on delivery outcomes compared to the 17 next largest major cities. Cities, such as Jeddah, are also calling for greater devolution of planning powers to promote decentralised planning and decision-making. Elsewhere capacity and trust is more variable with some cities and local/rural municipalities needing to carefully consider whatever planning reforms are proposed and their capacities to deliver them, both now and in the future. In addition, Royal Commissions such as Jubail and Yanbu have specific planning powers and responsibilities in developing new cities, their plan making processes, and ability to control, co-ordinate and phase investment opportunities to create liveable cities might provide effective internal models as to how practice could evolve. Therefore, within the Kingdom there are already considerable variations in the power, responsibilities and effectiveness of various planning agencies at the local level, in what can be described as an asymmetric system. It will be important to recognise, acknowledge and engage these differences to deliver successful planning outcomes.

5. Structural change, educational awareness and increased capacity from within the planning profession

There are suggestions that the process of planning in the Kingdom is under resourced. Although planners are nationally and internationally trained to address strategic and implementation planning issues there are concerns that there are simply too few planners to effectively manage the process and/or those that are in planning positions are not properly trained and therefore lacking basic professional skills. Therefore, employing more planners with knowledge of different planning systems would be advantageous. However, this is not a call to employ foreign educated planners or consultants but to maximise the internal capacity within the Kingdom and align it more effectively with external knowledge and/or skills. This is not a short-term goal, but will require the long term development of capacity sitting alongside a suitable structure of employment opportunities and rewards and could be in the public or private sector or a combination of the two. There is also a need to reflect on the positions that trained planners hold in the three-tiers of planners to ask whether the most suitable individuals and/or agencies are influencing decision-making. Whilst it is a positive to have a highly skilled and competent work force, unless they are delegated to make judge evidence-based development plans and analyse the effectiveness of decision-making then the process of plan-making and implementation can be undermined.

6. Ministerial silos that limit dialogue, collaboration and coordination between agencies/stakeholders.

There is a concern that currently planning operates in ministerial silos within the Saudi Arabian government. As MOMRA has executive authority over the scope and focus of planning there are concerns that other Ministries, such as the Ministry of Finance and the Ministry of the Economy & Planning are excluded from the setting of strategic objectives and decision-making. At the same time other Ministries, e.g. Ministry of Housing are beginning to play a more integrative role in speeding up the delivery of new housing to address shortages. Here the focus is very much on enabling implementation to occur. Such fragmentation can though limit the effectiveness of strategic planning for economic development and investment in built infrastructure, as the availability of data, expertise and the visions of other department may, or may not, provide additional context and understanding of a given development issue. Equally there are opportunities for more joined up

thinking in plan making and collaboration in practice, so that sharing, co-ordinating and integrating responsibilities might lead to better outcomes. This is already visible in the NSS but there is room at the regional level where there are ongoing concerns to empower the regions as a means to move towards decentralization

7. Variability of planning and development (strategic and localised) in Riyadh, the other big five cities (Mecca, Medina, Jeddah and Dammam), and the next 17 middle-sized cities

Due to the variation in planning practice and delivery there is a lack of continuity between different cities and scales in the Kingdom of Saudi Arabia. Moreover, there is a perception that government lacks the authority to moderate or manage development effectively across the country, as such variation leading to disjointed investment. Whilst the 'Big 5' continue to prosper, the nature of development in each city varies dramatically. Furthermore, development in the next 17 cities, and in local municipalities shows further variation. All of which limits the ability of MOMRA at both the centre, and in the regions, to effectively manage development, as it is subject to greater variability, management, evaluation and funding. In order to speed up development opportunities and growth outside the 'Big 5' there is a need to facilitate both the capacity and market conditions in these localities for investment and development to succeed, otherwise the growth of the core cities will continue at the expense of the periphery. It is interesting to note how a core planning principle of the current national Spatial Plan calls for more balanced territorial development and yet the last sixteen years has witnessed the most rapid growth in the core cities.

8. Acknowledgement that regulation is weak but the expertise and capacity are available within the Kingdom to promote a reflective and adaptive form of monitoring and reporting

The current system of development is perceived to be too static and lacking effective regulation. Although Saudi Arabia has the personnel and expertise to manage the development landscape, there are concerns that the current planning system (including investment, development and monitoring) is relatively weak. As a consequence, there is less confidence in the ability of governmental ministries to effectively deliver appropriate development. Furthermore, where investment does take place there is a lack of evaluation and/or monitoring of development against the strategic planning documents of a given locale.

9. Pressure from citizens on the government requesting the quality in city services

In conjunction with professional calls for greater capacity and authority within planning for stakeholders there is a parallel call for government to meet the needs of the Kingdom's citizens. Due to a history of service provision, land allocations and assistance in building Saudi nationals have expectations of its government unlike most other nations. The Kingdom's government, therefore, needs to consider the financial, institutional and public ramifications of service provision throughout Saudi Arabia. The developing NPS and NSS should go some way to shaping development frameworks to provide a structure for regional and local planners to deliver high quality, yet cost-effective, service provision.

2d. Pull factors for a revised planning system

In addition to the push factors there are a series of issues which are promoting changes to the Saudi Arabian planning system in a more positive manner. Whilst, these reflect the concerns raised previously, the pull factors are focussed on the potential improvements that can be made in the Kingdom to facilitate a more forward-thinking and sustainable process of development. Once again this will build on the existing capacity available within the Kingdom but will also use new policy

developments, specifically Vision 2030 and the revised National Spatial Strategy, to reframe development.

1. Momentum for change facilitated by Vision 2030, MOMRA's new strategy and the Transformation Plan associated led by the city planning secretariat within the Future Saudi Cities Programme

With the release of Vision 2030, and the associated Transformation Programmes, Saudi Arabia is seeking to achieve the necessary governance reforms which can be aligned with the Future Saudi Cities programme, and the wider UN-Habitat's 'New Urban Agenda' . This is highlighted in a growing momentum within the Kingdom to modify the planning system. Each of these programmes is attempting to reframe the ways in which the Kingdom views development and its long-term future. They should therefore be used as the basis for discussions between partners at all levels to formulate a more inclusive, transparent and responsive form of development. There is currently a window of opportunity that could take advantage of these supportive mechanisms

2. A growing awareness of the need for the Kingdom to become more divergent in its economic objectives/strategy and to promote resource efficiency

As oil prices continue to fluctuate there is a recognition within the Kingdom that a reliance of petro-chemical income limits the long-term investment strategy of Saudi Arabia. The country's government, its professionals and its collaborative private investors are thus discussing how to diversify the use of natural resources and expand the opportunities for economic development outside of petro-chemical investment. The Saudi Aramco Strategic Transformation programme and the Public Investment Fund Restructuring programme are two examples from Vision 2030 which are provide clear guidance on how this can be achieved. As the Kingdom attempts to rationalise its economic standing in light of changing oil revenue there are strong indications that alternative investment and development opportunities will develop, which will have significant spatial and development ramifications.

3. Growing range of economic incentives in the form of compensation, payments and development returns to develop land

Land ownership and development have seen significant costs placed on the Saudi Arabian government. The provision of services, loans and land for private/semi-private development has major cost implications for the Kingdom. One proposed mechanism to address such issues is to develop, implement and monitor a series of economic incentives designed to ensure that development occurs in the right locations, with the most appropriate focus, and to an acceptable delivery timetable. This might lead to better co-ordination of service deliver. Processes designed to achieve more effective land assembly projects could be developed to enable land owners to gain through collaboration, compensation and payments to encourage development are being used, but could be extended further. Conversely new disincentives are being introduced though fines or taxes being imposed through the 2016 White Land decree, which will limit the barriers to effective development witnessed historically. Whilst there are questions as to how such incentives/penalties might work in practice and what happens to any revenue raised there may be scope to use this revenue as further resources promoting or facilitating development in strategic locations

4. Increased technical, logistical and financial management capacity within Kingdom of Saudi Arabia to deliver strategic thinking and delivery

Saudi Arabia, as with many MENA countries, has a growing wealth of expertise in the technical, logistical and financial management aspects of development. Internally the Kingdom has a network of planning academic and professionals with experience of development within the Kingdom and internationally, which could be used to facilitate more ambitious and sustainable forms of development. Furthermore, by utilising this expertise effectively MOMRA and the Kingdom as a whole could benefit from improved strategic thinking that understands the nuances of financial markets and socio-economic needs within Saudi Arabia.

5. Understanding the nuanced needs of Saudi Arabia

There is a growing understanding within the planning and development professions of the 'spatiality' of planning in Saudi Arabia. This looks at the need to identify strategic objectives at a national, regional and local scale which are aligned to deliver investment that is sustainable, appropriate and supportive of local socio-economic needs and national development agendas. Planners and planning related professionals therefore have the skills and vision to address the priorities needed for the Kingdom as it moves towards greater inclusivity and transparency, and away from a reliance on petro-chemical incomes.

As well as looking at the system as a whole a large proportion of the Future Saudi Cities programme focuses on the way the local plans are developed, scrutinised and implemented across the Kingdom. Many of the key principles outlined in the Baseline Report, as well as the International Best Practice and Local Case Studies report regarding the need for greater flexibility, being responsive, dynamic and adaptable in plan-making, which are increasingly open and inclusive to stakeholder, and for which there is openness and transparency about how and why plans are adopted, and subsequently reviewed, have all involved critiquing how the existing making process is operating, as well as shaping ideas as to what new local plans could do and where should responsibility lie for plan preparation and approval.

In consultation with UN-Habitat, MoMRA and a panel of Saudi experts' identified and reviewed three local plans. These cases were selected as being representative of local practice outside of the' Big 5' cities as we are aware that considerable work has already focused on these areas and that they have the capacity, resources, power and authority to adapt. It is therefore in the cities beyond these five that perhaps some of the more significant challenges arise. The three local plan areas are presented in Table 1. The local plan review considered in more detail in the Local Plan Review Report, but the following discussion reflects current thinking on the existing situation, experiences from international best practice and the review work undertaken to date.

Table 1 Local Case Study Selection

Leading Process	Case Study	Location	Size
MoMRA	Albaha	South west (Albaha Governorate)	109.000
Amanah	Alehsaa	Alehsah Governorate	397.000 (Alhofouf City)
Baladyia	Alkharg	Alkharg Governorate	23.500

There are a number of critical questions to discuss in relation to local plan making.

1. Location of decision-making powers and scope for devolution/decentralisation of decision-making

Initial assumptions suggested that MoMRA led the plan making process at the local level, although the case study selection suggests that in practice different government bodies have initiated the process, although MoMRA may still have an important role in funding and guiding the plan-making process through the appointment of consultants. Nevertheless in many areas of the country there is a call for greater devolution of plan-making authority. It is important to emphasise that devolution and decentralisation are not necessarily the same thing, and responsibility for plan making can be given to the both of the Amanah or Baladyia, to reflect local conditions. However, the process of decision-making and scrutiny of plans can remain centralised, as in the case of the UK. Alternatively, in the Netherlands there is more power decentralised to the local authorities although the nature of the planning instruments available remains centrally regulated. With either model, it might be possible to delegate or decentralise plan-making without necessarily devolving power. An alternative approach might be to accept the asymmetrical nature of the current planning system and depending on capacity devolve plan making so that local plans are prepared locally

2. The structure of local plans

Within Saudi Arabia local plans are prepared as technically orientated and detailed zoning plans that seek to be comprehensive in terms of allocating land for different development uses within urban areas, defined by the outermost extent of the urban growth boundaries. Much of the land that is currently underdeveloped in Saudi Arabia is simply zoned for housing. These detailed regulatory zoning plans are often technically derived, inflexible in character and provide a limited role in guiding development decisions in an increasing complex and rapidly changing world. Moreover, as the authority of the state to control and regulate is potentially decreased planning needs to be more flexible, responsive and adaptable. This needs to be reflected in policy instruments and their role in decision-making. Many places now have a more flexible policy-making framework, which may consist of a broad strategic framework for the whole of the administrative area. This could be a municipality, Amanah or Balaydia or a combination which creates a functional region and go beyond the urban growth boundaries in broad terms, looking territorially (spatially) at local needs and opportunities, before more detailed plans could be created for particular areas where change was envisaged. There is variation in who prepares these plans, i.e. local government or the private sector, and if the latter, who approves the plans and using what criteria. For the areas not covered in detail through a local plan development proposals could be determined in accordance with either nationally or regional determined regulations, which could be varied to meet local circumstances. It is worth noting that within the Kingdom there is the broad approach to the use of plan-making instruments used by the Royal Commission with the creation of the new strategic cities. Whilst this body is able to exercise particular planning powers, including land management and the co-ordination of other public sector investments their idealised planning approach, comprises a broad strategy, which is periodically updated, detailed Area Action Plans or Masterplans for parts of the city that are being developed and generic zoning ordinances for managing developments elsewhere. This therefore creates a framework within which development opportunities can be managed co-ordinated and controlled.

3. Establishing a baseline for plan-making, plan review and urban management

Currently concerns are visible that too much time and the cost of plan-making are excessive and spent on information gathering. The first part of the survey-analysis and plan idealised process takes up a disproportionate large component of the current plan-making process. Through the Transformation Plan and the development within MoMRA of integrated information systems for particular cities. i.e. in Medina, the basis for developing a nationally information system where local information can be added, for both strategic planning and more day to day urban management activities is being developed. We have also heard that a lack of information regarding land ownership has been considered a historical problem. Such information systems should or could however provide decision-makers with better baseline information and through the updating of such systems monitoring and the triggering of full/partial plan reviews could be enabled as planning becomes perceived and acknowledged as an ongoing process rather that a periodic theoretical activity. Clearly development of this approach will require technology and skills resources throughout the Kingdom, and a recently published report on capacity building reports how GIS skills are lacking in many municipalities. If these systems can be rolled out then the process of plan making could be adjusted to one which is more of a focus onto analysis and future scenario building.

4. Integrating data gathering and data analysis as a key part of plan-making

As baseline information becomes increasingly available the focus of planning could switch to analysis and forecasting of future trends rather than simple zoning, as a means of scoping both what is required from the plan, as well as developing scenarios as to how the plan could best achieve its

objectives. Again there is a significant need for training and capacity building if the nature or the plan and the plan-making processes are changed. These observations are at best tentative and the more detailed review of local plans may shed some further light on the plan making process.

5. Improving transparency and inclusivity within plan-making

Questions have been raised as to the openness and transparency of the planning process at all stages including from what or whom triggers new or revised plan-making, to how consultants are appointed, and the level of engagement with critical stakeholders, and finally how the plan is approved. Each of these issues facilitates ongoing discussions of who owns the plan and who takes responsibility for implementation and delivery. IN many cases local plans were not initiated by MoMRA, but may well be supported by MoMRA. In such circumstances this may be further evidence that the planning system is already evolving and that there are opportunities to consolidate and accelerate this process by redefining the purpose, scope and instruments of planning.

6. Establishing clearer links between plan-making, implementation and delivery

Concern remains as to the extent to which plans are actually implemented in practice raising questions about the value and purpose of plans in the first place. Evidence from the Kingdom suggests that most development is regulated in some way. In Jeddah and Mecca elements of development have been described as informal, illegal, or primarily unregulated. The real time information being collected in Medina appears to illustrate how many projects are regulated or licensed, but not in accordance with the detailed land use regulations contained in the approved plan. Furthermore in Riyadh the ADA have spent a considerable period of time attempting to gain approval for projects that do not fall within existing land use regulations stating that regulations need to be adjusted to allow the development to occur. Where informal land use is occurring it could therefore be proposed that the detailed land use regulations currently being used are probably too prescriptive and inflexible to change with rapidly changing market conditions. This supports the development of a more flexible approach to plan-making. This would, however, have implications for the regulation of development which we have not explored. Further questions regarding the cost and value of plans that are currently being produced would also be a factor of such conversations.

A final and critical component to consider in any reform process is the capacity of the system to deliver. Many commentators within Saudi Arabia reveal that there is currently a shortage of suitable people, with the necessary skills within the planning service in both central and local government. The recent Technical Needs Assessment (TNA) Report for UN-Habitat suggests this is in part a structural issue in terms of how civil servants are recruited into local government and assigned suitable positions, which is in part a function of a lack of suitably qualified engineers (planners) and relatively poor remuneration and career progression opportunities within local government. By contrast it would seem that the various special urban development authorities and Royal Commissions do not seem to suffer from the same shortages in terms of capacity (skills, finances or personnel). Furthermore, it has been reported that in the local authorities that significant time is spent by planning staff managing local land disputes and relatively minor operational details rather than developing more strategic plans. Consequently, many plans in the Kingdom are currently being prepared by foreign consultants. Whilst this in and of itself is not necessarily a key issue there is an opportunity to provide more opportunities for Saudi citizens to full these shortages.

To overcome these structural problems is not a quick or easy fix, and there is an understanding that there are currently fairly limited opportunities within the Kingdom to study planning. Those Universities that offer planning programmes have also been facing student recruitment challenges. This in turn could be considered as a symptom of the perceived lack of opportunities or prestige associated with planning as a discipline and/or as a career. The TNA report suggested a series of fundamental reforms in terms as to how planners should be recruited to local government and what levels of rewards might be. These changes would fit within the aspirations of creating new opportunities for Saudi citizens and in particular youth groups.

Furthermore, the TNA survey revealed particular skills shortages in what might be, in summary, described as spatial analytical skills that should be so important for plan making including GIS and statistical analysis and forecasting. These shortages reflect perceived shortages based on the existing rather than any reformed system, although we would argue that to create a futures-orientated and flexible planning policy framework that these are the sorts of skills that will be required. We also note that the TNA recommends that the training topics, processes or themes should be geared towards 'exactly critical functions' for planning rather than being generic.

There is also a question regarding who should provide the training. Although it appears clear that resources will be needed on an ongoing basis in order to provide the key actors with the necessary skills and that there will be a need to continually reinforce the messages and practices that the envisioned culture change will require. It has already been noted that culture change is easy to advocate but much harder to deliver as embedded customs and practices have to be reformed.

In addition to the institutional capacity, primarily based around human capital, personnel numbers and skills, there is also scope to ensure that the hardware is also available for delivery. Whilst a lot or emphasis is placed on spatially referenced information (GIS) which increasingly can be held in real time, there are questions as to whether people need training in the management, maintenance and use of the system rather than more detailed knowledge of the technical aspects of GIS. Furthermore, more emphasis needs to be placed on analytical and interpretative skills of the information, as well as the information itself. Furthermore use of ICT could make processes and information much more readily accessible to citizens. For example within the UK all local authorities now provide all their services and information in an accessible format online through the growing e-governance agenda. Hence all plans are publically available, as is the evidence base that sits behind the plan and the process and outcomes of external scrutiny that is required before a plan is adopted. All planning

applications can be submitted online and many local authorities now have interactive maps which enable citizens to see what planning applications have been submitted on a particular piece of land and what the planning decision has been. Hence from a planning perspective plans and decisions are publically available and open to public scrutiny. Future developments in the Kingdom may use such examples as templates to assess whether ICT could offer an opportunity for more open and accessible planning information.

The previous offer a synopsis of some issues related to governance and planning in the Kingdom of Saudi Arabia. There is however further information and analysis to be undertaken, as described in the Local Planning and International Best Practice Reports, but the precise focus of governance and capacity building will depend on the nature of the planning reforms enacting in Saudi Arabia. There is also a recognition that such discussions and evidence will be a critical component of any reform agenda, and that the reform process will take time, and that best practice and learning from experience is often the best way to engineer change.

VOLUME2

International Best Practices in: Governance of Planning & Growth Management

This Volume sets out to describe and evaluate the planning systems for three nation states, which can act as an inspiration and reflection on how the Saudi system and practice might reform. The systems analysis is not intended to provide a blueprint or template as to how the reforms within KSA should be organized. This is an important element to take into account when reading the international case studies, with a focus on principles, themes and practices rather than a very detailed account of the procedural aspects of the system itself.

In Addition to focusing on challenges of phasing development and regulating sprawl. Benefiting from two international experiences USA (Portland) and Canada (Toronto).

Learning from International Experience

SYSTEMS CASE STUDIES

SHAW, DAVID, STURZAKER, JOHN, MELL, IAN, BRODIE, IAN, SYKES. OLLY, DEMBSKI, SEBASTIAN, SAHAR, ATTIA,

1 INTRODUCTION

INTERNATIONAL CASE STUDY SELECTION

1.1 INTRODUCTION AND CONTEXTUAL BACKGROUND

All countries throughout the world have instruments in place that seek to shape the way that development takes place and often is rooted in the idea of creating sustainable places or communities, places where people want to live work and play. These systems are not simply technical, but their powers and responsibilities are provided by the state. In other words all planning systems, whilst they may have important technical component are inevitably political in character, and as political priorities, political aspirations and the global context within which national states operate evolve then inevitably the planning systems can be subjected to pressure for change. So planning systems are inherently dynamic and subject to increasingly frequent reform.

The role, scope and purpose of planning is very much tied up in the nationally specific local, historical, political, administrative and social contexts. In the Compendium of Spatial Planning Systems and Policies (CEC 2000) spatial planning was used as neutral term 'which describes the arrangements used by governments to influence the future distribution of activities in space. It is undertaken with the aim of producing a more rational organization of activities and their linkages, and to balance competing demands on the environment. Spatial planning also incorporates those activities undertaken to achieve a more balanced distribution of economic activities than would arise from market forces alone' (p19).

From this planning systems are:-

- Dynamic, not static, both in terms of the system itself and the way policy frameworks (often in the form of plans and strategies) are revised;
- Involves an attempt to shape market conditions to delivered politically desired outcomes and therefore requires strong partnership working between public private and voluntary sectors);
- Seeks to co-ordinate activity between different levels (vertical integration) and between different sectors Horizontal integration);
- Seeks to be responsive to local needs and opportunities;
- May be co-ordinated by the public sector in terms of determining the goals and aspirations but is not necessarily delivered exclusively by the public sector both in the making of planning policy and/or delivering outcomes on the ground;
- But nevertheless planning, however defined, requires willing a cadre of professional actors to help deliver whoever is concerned with creating the strategies and frameworks, identify suitable implementation mechanism and monitoring whether the desired outcomes are being delivered; and,
- Outcomes and consequently monitoring (to help delivery political/societal goals in terms of the built and natural environment) become an important aspect of planning;

- The efficiency and effectiveness of the planning system reflects the governance system within which planning is embedded.

What is also important to remember is each system has different ways of organizing spatial planning and when undertaking cross national comparison it is important that ideas are **translated** and **adapted** to meet local needs and local circumstances, without simply being transposed and/or imported.

Within the KSA there is currently a desire and opportunity that the planning system should be reformed to better meet the existing and future challenges facing the Kingdom. Currently planning is seen as being a technical process, largely concerned with developing detailed comprehensive locally land use regulations covering all of the land within the defined urban growth boundaries of the municipalities. We have been told that the plan making process is slow, technical bureaucratic and there is often a disconnect between the plans, what actually is needed and happens at the local scale. Indeed it is argued that the planning system itself has at least contributed to the problems associated with unconstrained sprawl. Furthermore there are questions being raised about openness, transparency and inclusion of different stakeholders within the decision making processes related to planning. Despite these negative criticisms there is also signs of hope and opportunity, and indeed within KSA, there are examples of different practice of plan making and implementation which are helping to create more sustained cities where growth is more carefully managed (for example the new cities planned under the jurisdiction of the Royal Commission, the special agencies in many of the largest cities focusing more on co-ordinated implementation (e.g. ADA in Riyadh) and the development of more evidenced based information systems within MOMRA which could provide more consistent baseline information for future planning activities. Furthermore there is an expectation that the planning system has a central role in helping to deliver the outcomes of the recently published *Vision 2030*. In this document there is a recognition that the KSA needs to be much more outward facing; that resources in the future are likely to be scarcer; public investments will have to be better co-ordinated in order to deliver more value for money; and there is greater need to focus on delivery to meet the needs of both the economy and society as a whole. Within this ambitious reform programme there is an expectation that planning will have a central role and, in 2017, it is expected that there will be new planning legislation coming forward.

This report, which forms part of the UN-Habitat's *Future Saudi Cities Programme* is seen as being central to this agenda. This report focuses on how international systems as a whole function and seeks to identify generic lessons that can be used to help shape a future planning system within the Saudi context.

This report sets out to describe and evaluate the planning systems for three nation states, which can act as an inspiration and reflection on how the Saudi system and practice might reform. The systems analysis is not intended to provide a blueprint or template or simple solution as to how the reforms within KSA should be organized. This is an important element to take into account when reading the international case studies, with a focus on principles, themes and practices rather than a very detailed account of the procedural aspects of the system itself.

The remainder of this paper is intended to provide a framework as to how these case studies were be constructed before describing the three international systems in more detail and reflecting on potential lessons for future Saudi practice. This report needs to be read alongside the Baseline and Scenarios Report where many of these ideas help to influence the development of the scenarios. .

1.2 INTERNATIONAL SYSTEMS CASE STUDIES

These case studies and have followed a similar structure to aid comparison and focused on the extent to which they to support the principles of urban governance contained in the Habitat III *'Draft Outline of the Global Agenda of Local and Regional Governments'*, with the emphasis on the need for structural change and the role of territorial planning and spatial governance in delivering these agendas. In this report the emphasis is on:-

- integrated approaches both horizontally and vertically,
- the importance of decentralization so that policy reflects both the challenges and opportunities of particular places (in Europe this is known as smart specialization)
- The importance of stakeholder engagement in policy development and delivery and the importance of measuring and monitoring as an integral part of the process.
- The capacity of the system to deliver the aspirations of the system (this might be both human as well as technical (i.e. is there a robust evidence base as the foundation for plan making)).

Furthermore our analysis needs to reflect on the extent to which the existing governance arrangements are fit for purpose in order to deliver the desired outcomes (which in accordance with the UN-Habitat III Guidelines for Urban and Territorial Planning), which are:-

- Urban and territorial planning is an integrative and participatory decision making process;
- Urban and territorial planning aims to realize adequate standards of living and working conditions for all (reflecting equity goals and cultural heritage and diversity);
- Urban and territorial planning is an enabling framework for new economic growth and involves better connectivity to all territorial levels;
- Urban and territorial planning seeks to provide a framework to protect and manage the natural and built environment (including increasing human security and resilience mitigation and adaption to climate change);
- Urban and territorial planning is an iterative process grounded in enforceable regulations that aims to promote compact cities and synergies between territories;
- Effective implementation and evaluation requires continuous monitoring, periodic adjustments and sufficient capacities;

Following conversations with Un-Habitat and the Saudi experts it was agreed that the international case studies should be:-

1) UK, more particularly the English planning which is a highly centralized system in many ways, although planning powers and responsibilities are devolved to local planning authorities. It is interesting in that there is no formal national spatial plan, but a national planning policy framework which sets the framework for local plan making and determining whether development should occur or not (but again most decisions are locally made). Plans are flexible and there is an on-going discussion and debate regarding the role of sub-national planning (often called regional planning). From a delivering perspective planning is

increasingly being delivered by the private sector. Professional planners (whether public or private) behavior and practice is controlled by a code of ethics.

2) Netherlands. The Dutch system is often perceived as a comprehensive system where there is a good inter-relationship between national regional and local planning. The nature of the planning instruments especially at the municipal level are both strategic and detailed masterplans that effectively regulate development. Depending on the size of the municipality the planning service might be delivered by the public or private sectors working together.

3) South Kore is a highly centralized system of governance, form an emerging economy whose planning system has been significantly reformed and refreshed in recent years and is now perceived to be delivering good planning outcomes. This case study will explore how and why the system has changed and what have been the critical success factors, especially the role of smart cities. Furthermore the Future Cities programme has already used this country from a regional perspective and so we can build on this work, but we are taking a whole system approach (Olly Sykes)

Each of the international case study reports will be about 20 pages in length (including diagrams and references) and highlight critical factors that may be relevant to KSA.

Key issues that have been considered include:-

- **Scope of planning** (however it is defined).
    - o What is the current scope of the planning system and how has it changed. You might want to provide a brief overview of the history of planning how the scope of the system is defined in law and what mechanisms are used nationally to change planning perhaps separating out the system and procedures from more fluid policy concerns. Do not get too bogged down in history and you may want to focus on changes that have/are taking place since the turn of the millennium. A key point is that planning systems for political and other reasons are dynamic and changing. In thinking about the scope is spatial planning as an activity broad in scope as outlined above (see compendium definition or narrow focused on land use regulation for example).
    - o What are the legislative mechanisms through which the system, however defined (broadly in terms of achieving desirable outcomes or perhaps narrowly in simply regulating development in accordance with the regulations) operates.
    - o In this section should describe the purpose of the planning system in the country of origin. What are its objectives and what is the legislative basis upon which the system based (is there faming legislation with accompanying policy arrangements). If the planning system has changed since 2000 please explain why and how the system has changed and what where the motivations and have they worked. Finally in this section can you please try to articulate? What are the key defining successes of the system and limitations and think about whether the aims and objectives of the system are close or distant in practice. (i.e. how well does the system work and both in the comprehensiveness of the system in theory and in practice.)

- **Agencies of Planning**

- Primary planning agencies. Please describe for three levels, what are the key governmental agencies responsible for planning, by describing their key roles and responsibilities. For this purpose we are looking at three levels, national, sub-national and local. (We are deliberating using the term subnational as the term regional often becomes confusing based on the relative power assigned to this governance level, e.g. differences between federal, regionalized and tiered systems of governance. Equally there may be more than on tier of governance at regional and local levels.

- Secondary government agencies. Are there other key governmental agencies that have an important role in helping to deliver planning outcomes and the three levels and how do they inter-relate to planning

- Other key actors involved in the planning process. Please identify other key actors who are actively involved in the planning process. This might include the private sector, special agencies, non-governmental organization and the public more generally

- Are there special agencies (or different agencies) that have been given planning powers

- **Plan and Policy Making**
  - At what levels does plan making take place, what are the instruments of planning and how effective is horizontal and vertical integration both in theory and practice
  - How plans are scrutinized to ensure that they are both in conformity of higher level plans and/or are reflective of local needs and aspirations?
  - Is the planning system concerned with outcomes, i.e. are there effective monitoring systems in place providing a broad indication as to whether the desired outcomes are being achieved and if they are not, or circumstances change, are there mechanisms to adapt, adjust or modify the planning frameworks.
- **Regulating Development**
  - What is the system of regulating development and how effectively does it work?
  - What happens if unregulated or illegal development takes place (is there a system of enforcement)
- **Implementation**
  - Who is responsible for the preparation and implementation of various planning instruments including the role of the private sector?

- **The capacity to deliver the objectives of the system** (within either the public and/or private sector or a combination of the two)?
  - What the capacity of the system is to deliver the policy outcomes? There are perhaps two aspects to this. The first is concerned with the human capacity to deliver in terms of personnel, skills and training. Is planning a predominantly public sector activity and is this model of delivery changing, are those preparing plans and regulating development professional recognized and do they have special standing. What role and status do they have within society? How is the planning function

being funded, exclusively through the public purse, through fees etc. Secondly to what extent is the technological infrastructure in place to deliver the outcomes of the system and is it available throughout the whole country, or can some places do planning and others are compromised by lack of capacity.

1.3 REPORT STRUCTURE

Following this introduction the second part of the report provides a detailed description of the three international systems case studies using the template outlined above to structure the discussions. Thereafter a brief discussion of some of the lesson that could be learnt for the Saudi context is provided. Here it is important to emphasize that the lessons are very much based around principles and some of these ideas are developed much more extensively in the *Baseline Review Report*.

2 INTERNATIONAL SYSTEM CASE STUDIES

2.1 Planning in England
Dave Shaw

The United Kingdom is one of the most developed countries in the world, with a population of about 65 million. It is one of the most densely populated country in the world averaging 697 persons per square mile. Its growth rate is about 0.6% per annum driven by both net immigration and natural growth. The population is generally aging and in 2016 the average age of the population was 40 (up from 35 in 1985). 81.5% of the population live in urban areas. From an economic perspective, notwithstanding the current uncertainties associated with the recent Brexit referendum the economy remains strong (5th largest in the world if measured in terms of GDP). From the point of view of overall Human Development Index the UK is currently ranked =14 (UNDP, 2015).

As an economy there is significant imbalance between the South East which includes London and the rest of the country.

Over the last few years the political governance structure within the UK has been, and will continue, to change. There has been a longstanding process of devolving power to the separate nations within the United Kingdom, Scotland, Wales and Northern Ireland, and it is too early to predict what the consequences of the Brexit vote will be both for the UK's relationship with Europe and within the UK, between the UK and the devolved administration. Furthermore within the devolved administration there has also been a strong rhetoric focusing on the decentralization of decision making in planning.

The origins of the current planning system are often traced back to the reforms that were put in place in the immediate aftermath of the Second World War and reflected in the 1947 Town and Country Planning Act. Whilst there have been many reforms since then, many of the key principles that were established then have remained in place, with plans providing guidance for individual decision making (no plans are legally binding) and all development rights have effectively been nationalized, with no development being permitted until the state, often through local planning authorities, has granted planning permission. Significantly the planning system covers the whole of the territory urban and rural where the rules are the same although the policy context might vary.

The planning system, externally has often been perceived as being efficient and effective, which probably has as much to do with the capacity of local government (within which planning sits) and a culture of general compliance with the law. If you take the United Kingdom whole there are four planning systems related to the four devolved parts of the territory: England, Scotland, Wales and Northern Ireland. In this paper we are focusing only on England and are exploring how the planning and governance arrangements work for this part of the territory.

2.1.1 SCOPE OF PLANNING

The key principles of the current English planning system can be found in the National Planning Policy Framework, a document produced by the Department of Communities and Local Government (see below) in 2012. This sets out the purpose of planning as contributing the development of sustainable development through taking a positive approach to the delivery of the three pillars of sustainable development. More particularly planning should play a positive role in the following areas of activity:-

- o "**an economic role** – contributing to building a strong, responsive and competitive economy, by ensuring that sufficient land of the right type is available in the right places and at the right time to support growth and innovation; and by identifying and coordinating development requirements, including the provision of infrastructure;
- o **a social role** – supporting strong, vibrant and healthy communities, by providing the supply of housing required to meet the needs of present and future generations; and by creating a high quality built environment, with accessible local services that reflect the community's needs and support its health, social and cultural well-being; and
- o **an environmental role** – contributing to protecting and enhancing our natural, built and historic environment; and, as part of this, helping to improve biodiversity, use natural resources prudently, minimise waste and pollution, and mitigate and adapt to climate change including moving to a low carbon economy." (DCLG, 2012. 2)

This suggests planning should be positive and support growth through integration, communication and partnership with public and private stakeholders. This positive approach is reflected in the presumption that planning decisions should support development unless there are good reasons to prevent development taking place. Planning applications can range from individual household extensions, to individual dwellings to large complex sites where multiple building units might be granted planning permission simultaneously). The decisions as to whether to grant planning permission, or not, are primarily and technically made by elected politicians, mainly at the local level (see below for more details of the process).

In some respects the basic principles of planning were set out in the immediate post war period and the 1947 Town and Country Planning Act established the principles that all development rights were effectively nationalized and that no development should take place until planning permission was granted by the state. Usually these decisions were to be made in accordance with development plans which covered the whole country and set out the way in which area should be developed and or preserved. These plans provide the framework for decision making and have never been legally binding. From a fairly narrow perspective, the English Town and Country planning system of national and local policy helping to shape individual development decisions at a variety of scales has perhaps focused on land use regulation. However it is important to note that planning is often seen as being a co-ordinating activity which should help to ensure positive policies are promoted to meet both the needs and opportunities of particular places. There is great emphasis placed on the plan making process so that plans meet the needs and aspirations of communities and is deliverable, meaning that public and private stakeholders are supportive both of the aspirations and plan and its more detailed land allocations.

Whilst there is a great deal of autonomy at the local level to prepare plans and make decisions regarding whether development should occur or not, the processes and procedures are heavily regulated by central government, who scrutinizes local plans before adoption to ensure they are in accordance with national policies and project applicants have the right of appeal to the Secretary of State (central government) if planning permission is refused. Hence there is a lot of central control and scrutiny, but plans and decisions to a large extent are managed at the local level

The system is political and undoubtedly shaped by the ideology of the national government who often considers that planning is a potential impediment to growth (DTER 2001, Conservative party 2010).   Hence whilst many of the key principles of planning remain fundamentally the same in the last twelve years there have been four primary pieces of planning legislation and others that will impact on the organization and practice of planning (see table 1).

Table 1 Recent Changes in Primary planning Legislation

Date	Title of legislation	Government Type	Planning purpose
2004	Planning and Compulsory Purchase Act	Labour	Designed to make the local plan making process more inclusive, focused on area needs and opportunities, deliverable and outcomes orientated
2008	Planning Act	Labour	Designed to speed up decision making associated with nationally important infrastructure
2011	Localism Act	Coalition (Conservation-Liberal democrats)	Aspiration to see further decentralization of decision making with the introduction of neighborhood plans below the level of the local authority
2016	Housing and Planning Act		To increase home-ownership opportunities, speed up the plan making process to ensure up to date coverage and accelerate housing delivery

In addition to this primary legislation the practice of planning can also be framed by regulations, national policy and national guidance. Hence whilst plan making and decision making is localized designed to meet local development trajectories there is perhaps surprisingly a strong level central control, guidance and scrutiny.

For the last decade there has been an increasing focus on making the planning system quicker speedier and more positively orientated towards growth. There is a deeply embedded perspective that the planning has and continues to slow down growth (DTER 2001, Conservative party 2010), especially in relation to the building of housing which is seen as a key government priority.

Nevertheless most planning applications are approved (88%) with the prescribed time limits (eight weeks for normal applications and 16 weeks for large and complicated applications), These time limits have been set by central government. (DCLG2016).

Most would see that the planning system in England works reasonably well. Nearly all development is carefully regulated and there is considerable effort placed on ensuring that new development is of a good quality. About 60% of local planning authorities have an approved up-to date local plan and this should guide development in their locality (see below). Indeed government expects that all local planning authorities will have an adopted plan in place by 2017 and is threatening to intervene directly if this isn't achieved. But nevertheless planning remains a process that is under constant scrutiny and challenge as inevitably the decisions that it makes supports the needs of some, but also others may feel that their interests are being compromised.

2.1.2 Agencies of Planning

In terms of how planning operates within England there are many agencies and institutions who are involved in, or have an interest, in planning outcomes. In terms of describing these very briefly we have divided our discussion in terms of governmental departments and agencies, private and public interests.

Currently planning practice in England is structure at two levels, national government and local government. This is a relatively new structure with the intermediate tier, the regional scale having been abolished as recently as 2012, although arguably it still exist in London with the Greater London Authority. The reasons for abolition of this tier of planning were largely political. For some the regional tier allowed difficult and unpopular decisions to be made, which were often strategic in nature with regards regional and local housing numbers, waste and mineral sites and sites for gypsy and travelers. For others notably the incoming Conservative main party, the costs of preparing regional plans were long and complex and most importantly the bodies that prepared them lacked a democratic mandate, consequently imposing unpopular targets for development on local communities (Communities and Local Government Committee 2011).

2.1.3 National Planning Actors and Agencies

Primary Planning Agencies

Currently the main government department responsible for planning is the Department of Communities and Local Government (DCLG). This body is primarily responsible for ensuring local government works effectively to meet the needs of their communities with a particular emphasis on housing and growth more generally. Planning therefore is intended to set the context for this activity and to manage change on the ground.

Other Key National Departments with Planning Impacts

Other government departments will inevitably have an impact on planning through their roles and responsibilities, and consequential impact on spatial development. For example, The Department for the Environment and Rural Affairs (Defra) has a responsibility for protecting the environment, food and farming and rural communities, all of which have impacts on land and the way land is used and hence planning. The Department of Energy and Climate Change had a responsibility for energy security and ensuring national and international climate change obligations were met. The Department of Business Innovation and Skills was responsible for economic growth and developing human capital, both of which inevitably have land use or spatial implications. Following the recent appointment of Theresa May a Prime Minister in July 2017 these two Departments have been merged into one a Department of Business Energy and Industrial Strategy, showing how fluid the governmental ministries can be in terms of form.

Executive non-Departmental Public Bodies

Sitting alongside these governmental bodies are a whole raft of what are known as Executive non-Departmental Government bodies that are fully or partially funded by central government and have various responsibilities that have a very direct impact on planning in practice. Many are often given the power of statutory consultees who must be consulted by local planning authorities in preparing

plans or with regards considering whether particular planning projects should be approved or not. These bodies are often called Quangos and to a certain extent are a political despite being government funded. A small sample of these bodies is noted below, but there are many others (see table 2)

Table 2 Selective Key Executive Non-Departmental Public Bodies with a significant planning role.

Agency	Sponsoring Gov't Department	Planning Roles and responsibilities
Planning Inspectorate (PINS)	DCLG	Provides scrutiny and oversight on planning matters ensuring that planning rules are followed. It scrutinizes local plans plans, adjudicates on appeals and determines national infrastructure projects
Homes and Communities Agency	DCLG	Help to provide public land (gov't owned) for housing and employment purposes and provides funding to social housing providers to deliver affordable housing
Environment Agency	DEFRA	Who amongst other responsibilities have a major role in managing flood risk, including advising on the siting of new development to avoid risk
Natural England	DEFRA	Responsible for helping to protect England's biodiversity and landscapes and the ecosystem services that they provide
All National Park Authorities	DEFRA	Each of the designated national parks in England (10 in total) are independent planning authorities for the areas of the national parks

2.1.3.1   *Secondary Governmental agencies.*

Currently there is no regional tier of government or governance in England, possibly with the exception of the Greater London Authority which was seen as the one of the eight regions in England who used to produce a regional spatial strategy which framed the way local plans were made. When the Coalition government came into power in 2010 they announced they felt that is regional tier of government was undemocratic and in 2012, all the regions and their planning powers and functions were abolished, with the exception of the GLA who still retains significant planning powers.

So below national government planning powers and functions are assigned to local planning authorities. The nature size and scale of the planning authorities varies considerably across the country, but all areas rural or urban fall with the boundary of a local planning authority. So all land and development is regulated by a planning authority. In England there are 32 London borough councils, 36 metropolitan borough councils, 201 non-metropolitan councils, 55 unitary councils and 10 national park authorities, and all have exactly the same planning powers. The size of the local planning authorities varies considerably ranging from Birmingham (the largest) with a population of 1.1 million to West Somerset (the smallest) with a population of 34,222.

Each local authority is expected to prepare a local plan to guide development and provide the basis for making decisions on individual applications. Each authority will have its own professional planning team, whose size and composition will vary depending on the size of the local authority and the planning demands and pressure it is facing. These factors make it difficult to define an average planning authority, but in some work undertaken by Arup (2015) for the North West of England the average numbers of people employed in the planning service in 2010 was 31 and by 2016 this had reduced to 20 per authority.   These officers are employed by the local authority to advise and make recommendations to elected councilors (politicians) who are charged with the responsibility of making decisions.

At the moment there is a strong momentum to devolve and decentralize power from the centre and many parts of the country are being offered 'devolution deals', many of which include increased planning powers. Many of the core cities are being offered the opportunity to reconfigure themselves based on the idea of more functional city regions to create what are known as 'combined authorities.' These 'Combined authorities,' currently combinations of local authorities working together on a voluntary basis, will have an elected mayor to oversee powers and competences that they have been given/negotiated, and these vary between different combined authorities   in these areas the city region would prepare a structure plan for the whole region within which the local plans for the metropolitan boroughs would be expected to fit. Furthermore devolution deals are also being offered to areas beyond the city regions and again broad spatial strategies are intended to guide development priorities in these areas. These plans are expected to be prepared over the next couple of years and should theoretically be in place by 2017. At the moment none of these have been prepared. Hence we can arguably begin to see the emergence of new sub-national structure sitting between the national and local levels, but are probably sub-regional rather than regional in character in terms of administrative areas, size, function and population. Furthermore it is difficult to speculate as to whether these new combined authorities over time will become more powerful local authorities in their own right. Nevertheless local government structures are constantly being adjusted in line with political priorities and changing circumstances. It is important to note that local government structures in England have power responsibilities and duties for overseeing many local functions including education, social care, health and well-being , education, etc. a great deal of which has planning of spatial implications for a particualr place.

2.1.3.2   Other actors involved in the planning process

The planning process is intended to be an inclusive and responsive which responds to local needs and priorities, although is focused on delivering of facilitating growth. Within the National Planning

Policy Framework planning's role is to contribute positively to 'sustainable development', hence there ae many other actors who play a significant role in the operation of the planning system.

- The private sector is an important consumer of the planning service and most development takes place on land that is in private ownership and/or is largely funded by the private sector, with a view to making profit through the real estate process. Within the private sector there are various sector specific actors including for example, property development companies, the construction industry, and private sector planning consultants etc., who collectively make a significant contribution to the overall economy. In the second quarter of 2015, for example 74% of construction sector outputs were for the private sector (mainly housing and commercial) and the remainder on public sector contracts, which in overall GVA terms accounted for 6.5% of the overall economy (Rhodes 2015).

- Utility companies. Over the last three decades many of what might be described as public utilities have been transferred from the public sector to the private sector, who under license and state regulation are able to deliver services at a profit. They are also responsible for managing, renewing and refreshing the infrastructure. So for example most public transport provision (road, bus and trams) are operated by private enterprises, water (potable and waste water), energy production, supply and consumption, telecommunications infrastructure are other examples where competition in the market has been introduced with a view to improving efficiency and reducing costs. All have implications for planning in terms of shaping their investment priorities and ensuring there is capacity in the system for growth.

- Third sector organizations and civic society. Within the planning system where there is a presumption that groups and individuals can have an input into the decision making process there ae a range of sector specific groups who will engage with particular plans or issues to ensure their voices are heard. As well as organized groups, many of which have a strong environmental perspective (e.g. Campaign for the Protection of Rural England (CPRE), The National Trust, and the Royal Society for the Protection of Birds (RSPB)) and largely seeks to limit development others such has the House Builders Federation lobby government arguing that planning as a process is slowing down or blocking development. In addition the public more generally have the right to be heard on planning matters and sometimes decisions are made due to political expediency rather than planning law and policy, especially is local decisions are locally unpopular or controversial.

- With the demise of the Regional Development Agencies in 2010, these have now been replaced by 38 Local Enterprise Partnerships which are public private partnerships intended to guide the economic growth of the city regions of wider functional areas. They cover the whole country and seek to shape the economic growth potential of particular areas based on endogenous assets and seek to improve the human capital to take advantage of new employment opportunities. As the devolution agenda accelerates it may be that the role of these bodies becomes subsumed into the devolved administrations, although the principle that there should be a close working relationship between the local public and the local private sectors are likely to remain strong.

All these actors will have different roles interests and agendas that they want satisfying through the planning system, which has to positively identify where development can (and conversely should not occur) and co-ordinate or facilitate development with a view to making a contribution to 'positive growth making economic, environmental and social progress for this and future generations' (Clarke 2012, introduction to NPPF)

2.1.4 Plan and Policy Making

Plan making in England now takes place at two basic levels although the Greater London Authority does prepare a strategic plan covering the whole of the 32 London borough and this provides a strategic framework within which more local plans should be situated. In this part of the report we focus on policy and plan making at a national and local level.

2.1.4.1 National Plan and Policy Making.

There is no coordinating spatial strategy at the national scale, although there is a National infrastructure Plan (Treasury 2016), which was produced by the Treasury and outlines the priorities for investing in a whole range of infrastructures and committing expenditure plans to these ideas. There are a number of points to be made about this relatively introduced document which identifies the investment priorities form 2016-2020. First it is a plan which has been produced by the Treasury and whilst it identifies projects which have specific locations and routes or programmes for investment, the plan to a very large extent is spatially blind. There are no real maps looking at the way the territory as a whole is intended to develop. Nevertheless the document does and will have important spatial ramifications which need to be taken into account at the local scale.

The second key document at the national level is the National Planning Policy Framework. This was produced in 2012 in an attempt to simplify and condense the policy guidance given to local authorities. This document provides guidance on the process of how plans should be prepared and how local decisions regarding development should be made. In addition it provides guidance in terms of the principles that local planning should take with regards to thinking about the various sectors of development. For example, one of the key political priorities is providing enough housing in the right place, of the right tenure and quality in relation to housing. More particularly they should:-

- use their evidence base to ensure that their Local Plan meets the full, objectively assessed needs for market and affordable housing in the housing market area, as far as is consistent with the policies set out in this Framework, including identifying key sites which are critical to the delivery of the housing strategy over the plan period;
- identify and update an annually a supply of specific deliverable sites sufficient to provide five years' worth of housing against their housing requirements with an additional buffer of 5% (moved forward from later in the plan period) to ensure choice and competition in the market for land. Where there has been a record of persistent under delivery of housing, local planning authorities should increase the buffer to 20% (moved forward from later in the plan period) to provide a realistic prospect of achieving the planned supply and to ensure choice and competition in the market for land;
- identify a supply of specific, developable sites or broad locations for growth, for years 6-10 and, where possible, for years 11-15;
- for market and affordable housing, illustrate the expected rate of housing delivery through a housing trajectory for the plan period and set out a housing implementation strategy for the full range of housing describing how they will maintain delivery of a five-year supply of housing land to meet their housing target; and

- set out their own approach to housing density to reflect local circumstances. (DCLG 2012, 12-13).

From a spatial planning perspective, there are a number of points worth making. First, as pointed out above, the NPPF focuses on the process and principles that local planning authorities need to take into account. The rather short NPPF is further elaborated through a series of Planning Practice Guidance notes that are updated on a regular basis. Secondly and perhaps most importantly the NPPF does not consider the spatial implications, plan making and decision making is left to the local scale. It is therefore important to re-emphasis that planning is administratively highly decentralized, although with relative little autonomy at the local level, as the rules of plan making and the principles are prescribed, scrutinized and enforced by the centre. This lack of autonomy at the local level is reflected in the way that the performances of planning authorities are measured at the national level and increasingly central government is suggesting that if planning performances are not satisfactory they will send in external agents to deliver the service. New targets are being set for complete coverage of local plans by 2017 and the speed at which planning applications, the nature of the decisions and the numbers of appeals (see below) by developers against local authority decisions are all seen by central government as key indicators of overall performance.

Following the Coalition Government's election in 2010, it made it clear it wanted to speed up and clarify the planning system and make it more accessible to the public. The NPPF sought to summarize some 1300 pages of guidance more succinctly into 58 pages. A draft of the NPPF was released for public consultation and debate in 2011, before the final document, as approved by the government was issued in March 2012.

In the UK the precise meaning and interpretation of the policy and planning law is often tested in the courts and much decision making is based on the outcomes of the court cases, which in turn may lead to updates in either the policy or the guidance.

2.1.4.2   Local Development Plans.

All local planning authorities are expected to produce and maintain an up to date local development plan, whose form and function might vary from place the place but should cover the whole of the administrative territory. This plan, assuming it is up to date, is the primary 'material consideration' upon which specific development proposals (planning applications) should be considered. Most local plans are prepared in house by professional planning staff, who will often use specialist consultants to undertake specific tasks, such as employment land surveys, strategic housing land allocation studies (SHLAS), Strategic Environmental Assessments, and on rare occasions the whole plan making process might be subcontracted out, but managed by the local planning authority. Indeed in a survey of all local authorities in the North West of England, each were on average spending approximately £35,000 per annum on consultants (Arup 2015).

Local Plans are the key documents that set out a vision for the area over a 15 to 20 year time horizon and provide the framework through which particular individual decision should be made within the framework of a 'presumption in favour of sustainable development. ' This means there needs to be good reasons why planning permission should be refused. It is interesting to note that in 2004 Planning and Compulsory Purchase Act the idea that the development plan should consist of a portfolio of documents that could be developed in a flexible way was introduced. In this context the

core strategy would provide the framework covering the whole area and then other area based plans, sector plans or guidance for developers could be produced in a flexible manner depending on local needs, hence the idea of a portfolio. More recently there is a move back towards a more flexible plan although many authorities will still prepare many different types of document.

The plan is led and produced by the planning local authority but there is a key emphasis on the process of plan making, which should be a shared collaborative process between all interested stakeholders, local communities, developers, land owners and other interested parties.

Once the plan has been prepared by the local authority it is subject to an independent examination by the Planning Inspectorate, working on behalf of the Secretary of State in DCLG, to ensure that the plan has been properly prepared. There is an assumption that if this is the case, and the plan is in general conformity with the NPPF then the plan should be found to be 'sound'. It is important to emphasis the emphasis on process as in theory at least if a good process has been followed then in theory there should be little emphasis on the content of the plan.

The test of soundness includes four key principles

- It should be positively prepared. This means that there should be open discussion and debate between stakeholders at various stages in the process so that in theory a broad consensus develops regarding the key issues and priorities of particular places that the plan should try to address. There is also a strong emphasis within this notion of public and stakeholder engagement that this must include neighbouring authorities, because many issues and indeed opportunities cannot be contained within the boundaries of administrative areas. This has become known as the 'duty to cooperate'.
- The plan should be justified. This means that the plan needs to be supported by a robust evidence base and that in the plan making process various options should be explored and evaluated, including public consultation before the preferred option is chosen (see figure 1). At the moment a key priority of national policy is the delivery of housing and it is anticipated that to meet demographic needs up to 2020 we need to build about 220,000 housing units per year and latest figures show that in the previous 12 months from March 2015-6, approximately 140,000 housing units were completed, and this represented in improvement in terms of an all-time low of just under 100,000 units in 2010-11, but still short of the target. Hence there must be a robust assessment of the need for market and affordable housing, (this is the SHLA). This provides the baseline by which local authorities need to provide a 5 year supply of housing land with an additional buffer of 5% to encourage choice competition and delivery through making land available for development. Where delivery remains persistently poor then this buffer should be increase to 20% above the 5 year supply. The local plan therefore needs to think about the short medium and longer term in terms of how land may be phased for development. This supply of land must then be balanced against constraint factors such as green belts and other designated areas for protection and areas that might be prone to flooding and hence a risk for development.
- The plan should also be effective. This means that the plan can be deliverable and that key stakeholders involved in delivery are broadly in support of the approaches being adopted. Will the land owners, often working with developers be prepared to bring the land forward for development, will key service provides provide the necessary infrastructure often partly financed by the developer etc.? Does the phasing make sense? In addition the monitoring of the key outputs will provide a key indication as to whether the planning policies are working (or not) and whether the plan as a whole, or particular parts needs revising.

- The plan needs to be in broad consistency with national policy

Figure 1 A Simplified Guide to Local Plan Making (Urban Forum and Planning Aid, 2012)
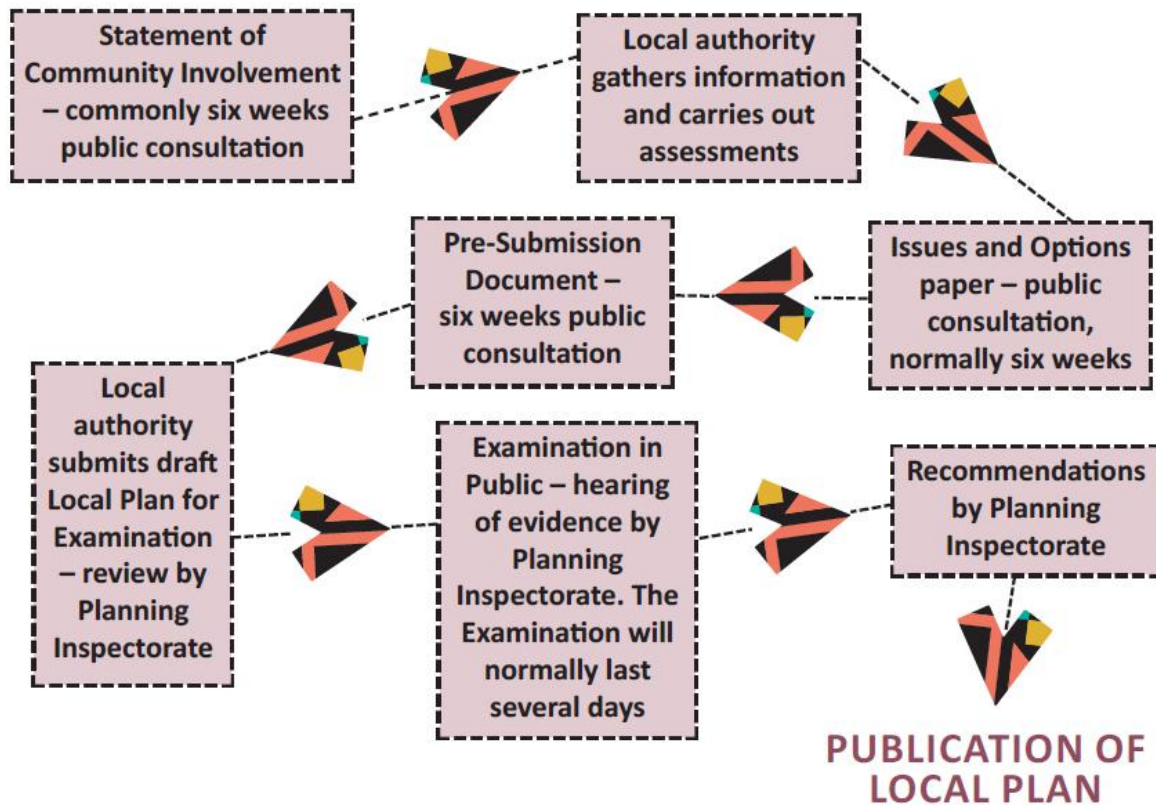
Hence at the local scale, the process of plan making is clearly set out in national guidance and that the local authority in its plan making process is expected to fulfill an number of obligations in terms of openness and transparency in the plan making process and through constant monitoring the plans and or policies within plans can be subject to change. Indeed major changes in government policy and/or priorities can also trigger review. Hence they are intended to be dynamic and guide development, although the process of review is often locally determined when something isn't working or circumstances and priorities change. Whilst the local plan, in strategic terms covers the whole authority, there is also scope for more detailed plans to be prepared to guide development. Very often these Masterplans or Area Action Plans can be formally adopted or could be developed by the private sector as ideas that are subject to negotiation and reform before the final decision to approve is made. It is also important to realise that plans within England are not legally binding and the broad identification of areas for development does not immediately   provide development rights, planning permission is still required (see below). However more recently with the passing into law of the Housing and Planning Act (2016) there are suggestions that sites in adopted plans zoned for housing and or brownfield land may have Planning Permission in Principle(PIP) but it is really too early to know whether this will in practice make any significant difference. Finally it is worth reiterating that whilst plans are locally prepared the process is centrally designed and the plans themselves subject to scrutiny by the centre to ensure that they have been properly prepared and help to deliver national priorities associated with growth and particular meeting housing needs.

Figure 2 Blackpool Core Strategy (Blackpool District Council 2016)

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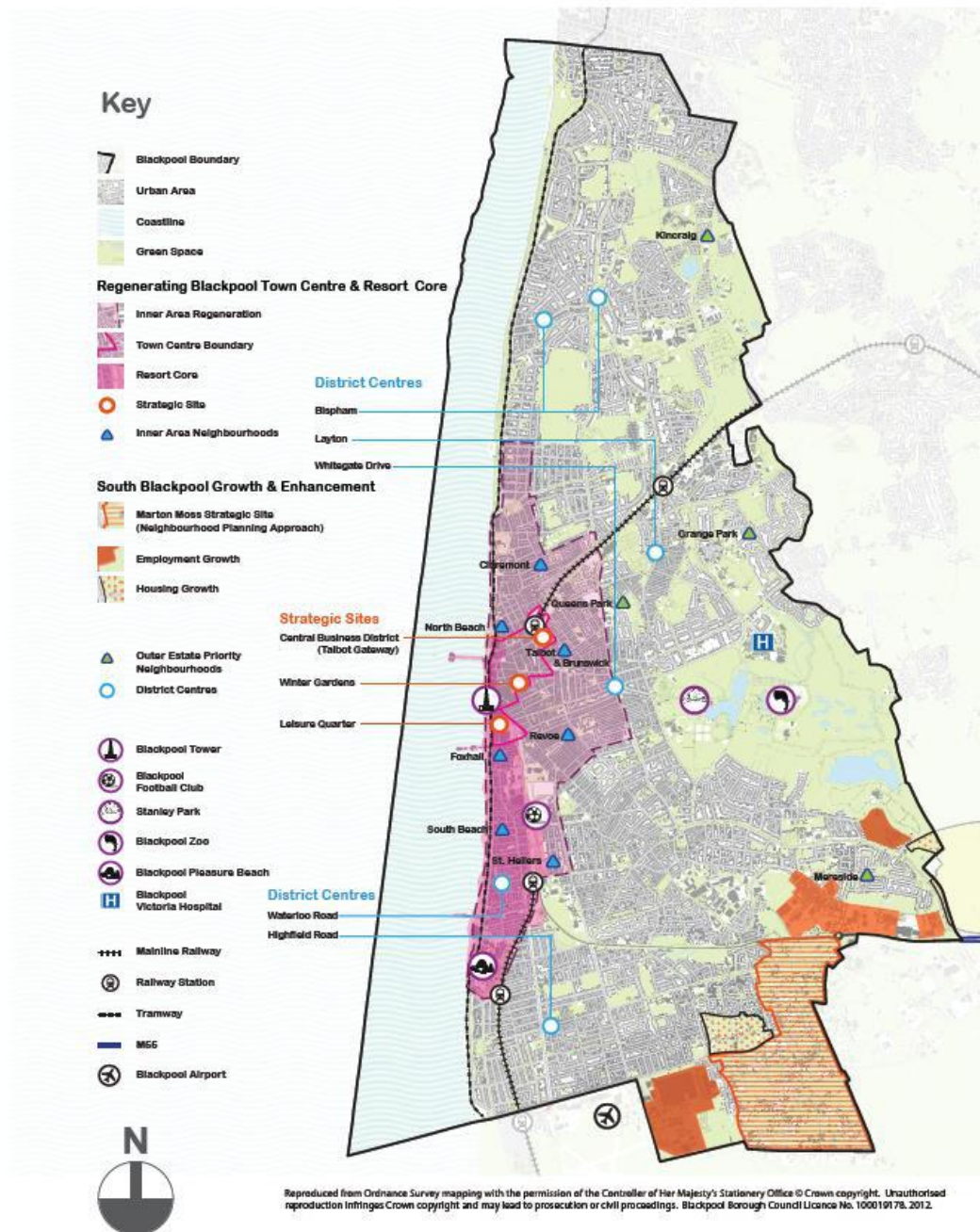
Figure 2 shows the key diagram for Blackpool Borough Council a unitary authority on the North West Coast of England, The plan was recently approved and adopted in January 2016. Blackpool is a key coastal resort of about 142,000 which grew to prominence in the Victorian era, but in the last 50 years is facing serious issues of decline and social exclusion. The plan focuses on regeneration of the existing urban core with some key greenfield sites being identified for potential housing and employment growth. It is interesting to note that large areas within the administrative boundary have been left as green field sites and not identified as potential areas for development.

2.1.4.3 Neighbourhood Plans

Since the 2010 Localism Act, local communities within a local authority have been given the power to develop their own neighbourhood plans. These plans can focus on any aspect of the neighbourhood that the community needs addressing, but there is a strong sense they should be looking to facilitate new or more growth than that contained in the local plan. If the neighbourhood plan is approved and adopted then it will act as part of the development plan and will be used by the local authority when considering decisions for sites within the plan area. Whilst gaining momentum and popularity, as yet few of these have yet to be adopted, probably under 100. These plans start by designating an area for which the plan needs to be developed and then the community starts to prepare the plan, which can be specific covering particular types of policy, e.g. affordable housing or more general and comprehensive looking at sites for development. One key point of these plans is that they should be encouraging more development than is being proposed in the local plan. Once the plan has been prepared it will be subject to an independent examination by a planning expert and then a local referendum from residents. If it passes both then is will be adopted by the local planning authority as part of the local development plan (see figure 3).

Figure 3 A simple Guide to Neighbourhood Planning (Urban Forum and Planning Aid, 2012)

The community wants to shape the growth and development of where they live

If there is a parish or town council it takes the lead

The community applies for a neighbourhood area to be designated

If no parish or town council, a neighbourhood forum is designated

Work up details with the community and statutory consultees and those who live, work or carry out a business in the area

For Right to Build the process can be instigated by a 'community organisation' or Parish/Town Council

Submit proposals to the local authority

Independent Examination

The examiner is checking the basic conditions – a plan or order must:

✦ fit with local and national policy;

✦ have special regard for listed buildings and conservation areas;

✦ be compatible with European and equality / human rights obligations

✦ Contribute to sustainable development

Opportunity for consultees to provide written representations where major issues not dealt with above

Local authority checks proposals

Community referendum

A simple majority is required here

Consultees notified of outcome

MAKE A PLAN OR ORDER

2.1.5   Regulating Development

2.1.5.1   Planning Permission

Most new development in England requires permission from the state before construction can begin. This process is known as planning permission. There are a few exceptions which can include some changes of use of a building and some minor household extensions which are now granted, what is known as permitted development, in other words the development does not require planning permission.

In the last year, up to March 2016, some 470,000 planning applications were received by local planning authorities for them to consider. These can broadly divided into two broad categories of small and large scale planning applications. The latter often being those that are by definition large, complex or potentially sited on a sensitive location and often require an Environmental Impact Assessment. With normal cases the local planning authority has up to 8 weeks to determine the outcome with larger applications then the target timescale is extended to 13 weeks. Of the planning applications received, 83% were approved by the local authority responsible with making the decision.

Planning permissions can also be divided into two types, outline or full. With outline permission the applicant is seeking in principle permission to develop a site with the details being elaborated later. With full planning permission, once all the details have been accepted the applicant has three years to start the development.

The process of determining a planning application is illustrated in Figure 4 and briefly described below.

Most applicants are advised to engage in pre-application advice in order to determine whether there proposal is likely to succeed. Often local authorities may charge for this advice. It is now becoming increasingly common that some developers enter into what are known as planning performance agreements where the developer and local authority enter a contract to agree how the planning application will be handled from start to finish. This is often used for complex projects and will usually involve a significant fee. The idea is that through pre-application discussions and areas of conflict can be managed and hopefully the planning application process can proceed smoothly.

Once the developer is ready to submit the planning application they submit it to the local authority using a standardized form and include a fee for processing the planning application. The fee will vary depending on the size, scale and complexity of the project, and is used to recover much of the administrative costs of processing the application. Once the application is submitted it is checked (or verified) to make sure all the relevant information necessary to make a decision has been submitted. If information is missing the applicant will be asked to provide this material before the verification process is complete.

Figure 4 Planning Application Process

Figure 4 Planning Application Process
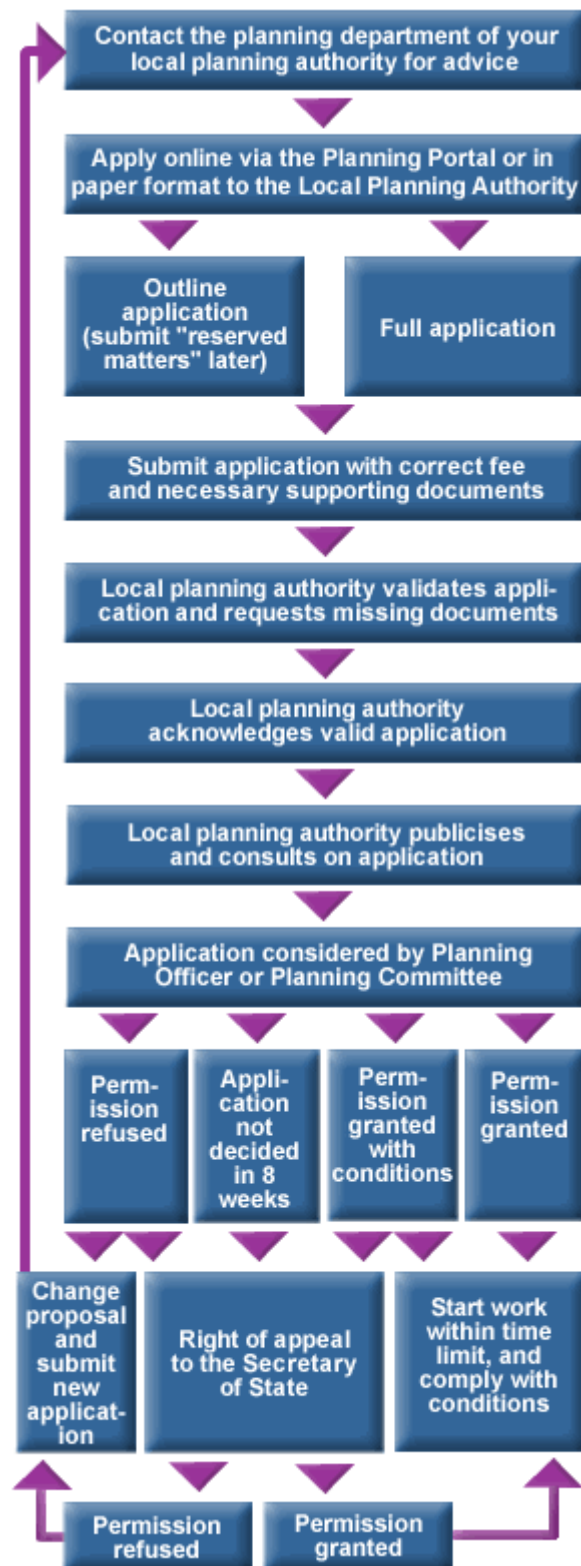
Once the application is verified it is passed to a planning officer to provide a professional perspective as to whether to recommend that the application should be accepted or refused. There will be a period of consultation with key interested parties, including the public who can make their opinions (either for or against the application) known along with their justified reasons. The officer will

consolidate this information and make a recommendation based on an evaluation of the 'material considerations' that are pertinent to each case. Each case will be considered on its individual merits, but material consideration could include, local and national policy and plans, precedent associate with previous cases and case law, highways issues, infrastructure capacity, risk of flooding, noise and disturbance etc. But the presumption is in favour of development. Traditionally the final decision is made by the Planning Committee which is made up of a number of locally elected councilors. But because of the numbers of planning applications being received many minor, or non-controversial applications, have been delegated to the planning officers to determine. Each local authority will have its own protocol explaining how the delegation works and in what circumstances, often related to size and scale of objections, will require a political decision to be made by the planning committee. This whole process should be completed within eight weeks for most planning applications and within sixteen weeks for large scale of particularly controversial schemes

If planning permission is refused and/or the applicant considers that any conditions attached to the approval are unreasonable then they have the right to appeal to the Secretary of State, and these appeals are usually considered by the Planning Inspectorate. The appellant can choose the nature of the appeal, written representation, hearing or a public inquiry and if the council is considered to have made a wrong decision in law (often for local political reasons) then often the legal costs of the process will have to be paid by the local authority. Equally if a developer makes a frivolous application then the council can claim costs, dependent on the view of the Planning Inspector.

2.1.5.2   Enforcement

The vast majority of development in England is highly regulated, and the enforcement process is a very important part of the system. If it is suspected that a building has been erected without planning permission or is being used for a purpose other than its original use (unless this is permitted development) then the local planning authority can investigate and require the individual/s responsible for the unauthorized development to take corrective action. This needs to be proportionate and could include in less serious cases applying retrospectively for planning permission or in extreme cases pulling the development down.

2.1.5.3   Developer Contributions to Infrastructure Costs

The granting of planning permission within the English system automatically generates a significant uplift in land value compared with what the value of the land might have previously been. Whilst this will clearly vary from place to place, and over time, depending on market demand and whether the sites are green field or brownfield sites and recent book by Barker (2014) suggested that in 2010 agricultural land around Cambridge was worth about £18,000 per hectare but with planning permission that same piece of land would be worth about £2.9 million. By contrast in Belfast a hectare or agricultural land might be worth £24,000 with a residential value of £1.25 million. A key question facing planning is to what extent the planning system can capture some of this value, a process known as betterment. As public spending becomes more limited then there is a growing expectation that the private sector should contribute more, although conversely the private sector is claiming that some of the demands being made upon them might be threatening the viability of projects. This means that planners and planning are increasingly having to consider the economics of the development industry when trying to negotiate what public benefits the planning system can

capture from the granting of planning permission. Equally with brownfield sites where the land value may even be negative due to issues of land contamination, incentives may need to be provided by the state to bring this land back into productive use. The use and re-use of brownfield land has and remains and government priority

From a planning perspective there are three broad tools that are being used to help deliver public benefit using developer 'profits,' although each face their own challenges:-

- Delivering a proportion of affordable housing. For many years there has been an expectation that new housing developments should be expected to deliver a proportion of the planned units as affordable housing. The local plan will determine the size and the proportion of units expected and this can vary across the country according to market conditions. More recently, particularly in the aftermath of the financial crisis and period of slow recover, many developers argued that reduced house prices meant that housing projects were no longer viable if they had to deliver the proportion of affordable housing units as specified in planning conditions (delivery requirements associated with planning permission – a section 106 agreement).

- Section 106 agreements, as they have become known are legally binding conditions designed to make a development acceptable. They are often confined to the site and may be designed to meet prescribed outcomes (e.g. deliver affordable housing at rates set out in the local plan), compensatory payments (to overcome loss or damage as a result of the development (e.g. to open space or biodiversity assets) or mitigation (to help alleviate the negative impacts of the development through the provision of road infrastructure, support for public transport or cycle infrastructure. The charges or contributions should also be fair and reasonable.

- More recently some local authorities have been charging what is known as a Community Infrastructure Levy. Rather than being a site specific tax this is wider contribution to a local authority's broader infrastructure needs and is a payment based on most development. The fee can be pooled and used for delivering critical local infrastructure at the discretion of the local authority. The CIL charge is based on an audit and costing of infrastructure needs at the scale of the local authority and is published via a Regulation 123 list. Section 106 agreements are site specific, CIL is more general and local authorities cannot double count. If CIL payments are collected for a development that falls within the boundary of a neighbourhood plan the local community is entitled to 25% of the charge and they can use this resource for their community benefit.

2.1.6 Implementation

Whilst the planning system is intended to provide the framework for development through plan and policy making and regulates where development should go through development control, the planning system as a whole, working with others plays an important role in creating the conditions within which largely private sector investment in buildings and development can flourish. It is important that the planning system has been designed to promote and facilitate sustainable growth and it also has an important eye on implementation and positive delivery.

For many years, in order to deliver large scale strategic projects including the development of new towns and cities or the regeneration certain areas, one tool or instrument that has been used was the creation of a free standing location specific Development Corporations. These bodies often have control over the land and have effectively become a freestanding planning authority in their own right, managed by a Board rather than elected councilors, with all the delegated powers of a planning authority. Currently the key development corporations include:-

- Ebbsfleet designed to create a new garden city on the edge of London,
- The London Legacy Development Corporation originally designated to develop the Olympic Park at Stratford, West London and now ensuring that the whole site fulfils its regeneration potential
- The Old Oak and Park Royal Development Corporation to the west of London designed to take advantage on the intersection of the proposed HS2 (High Speed Rail route from London to the North) and Cross rail (a new rail route across London)

As the devolution deals play themselves out across the country, then it is expected that City Regional mayors may seek to establish their own Development Corporations, with special planning powers in order to deliver substantial change on the ground.

Another key aspect of implementation today are public private partnerships with a range of stakeholders working together to deliver action on the ground. In some cases this might include public support and investment, in other areas, partly depending on market conditions it might be much more private sector led, and managed, facilitated and guided by the public sector.

The National Infrastructure Plan provides an indication as to how public sector money will be spent on projects and or programmes. Many local authorities have been dependent on public sector grants to help facilitate change, although increasingly they are being challenged to be much more creative in using their assets, land, buildings and borrowing capacity to be more entrepreneurial in delivering growth outcomes, and available increasing scarce resources seem to be increasingly based on competitive processes.

2.1.7 THE CAPACITY TO DELIVER THE OBJECTIVES OF THE SYSTEM

In this final section we will explore the capacity of the system to deliver, against its objectives.

First it is important to understand that the profession of planning is promoted by the Royal Town Planning Institute (RPTI). This is a membership organization who admits members based on a combination of their educational background (have they undertaken a professional accredited degree programme) and professional experience (can they demonstrate their competence through a self-reflective process called the Assessment of Professional Competence). There is no requirement that those working on planning practice necessarily have to join this professional body and many planners have never joined the RTPI or have allowed their membership to lapse. Hence it is very difficult to gauge the exact numbers of those of those actively involved in planning practice to any great extent.

Currently there are about 23 Universities within the United Kingdom offering a range of undergraduate and postgraduate planning programmes. Whilst some schools are in Wales, Scotland and Northern Ireland students graduating from these programmes can work in professional planning anywhere within the UK and indeed abroad. Each programme will be structured differently, but all will meet the prescribed learning outcomes of the Institute.

Institute membership is currently reported as 23,000 and if we discount those not living in England, those who have retired and student members who are still at University it is likely that the number of practicing planners who are members of the RTPI and working in England are in the order of 15-16,000. Of these the latest RTPI 2013 members Survey (Koch and Harris, 2014) suggest about 50% work in local government. Furthermore the areas of activities that planners describe themselves as working in is varied, ranging from development management, local planning policy, urban policy, regeneration, heritage or conservation community development or economic development. Hence there is a wide range of tasks that planners become engaged in.   It is important to once again reiterate that these are conservative numbers, and it is impossible to quantify the actual numbers of those gauged in public or private sector planning practice. Indeed the boundaries are becoming increasing blurred as often the private sector is being contracted in to provide consultancy services to the public sector, either in terms of specialist advice and guidance, but also more routinized activities such as preparing local plans or processing planning applications. In such circumstances a strong code of ethics is required among the profession, so that there is not a conflict of interest when making recommendations.

Nevertheless there is a growing realization that there is a shortage of capacity within the system and a growing feeling the cuts to local authority budgets more generally has seen a particular squeeze placed on the planning service. Within development management teams they can raise revenue through fees for planning performance agreements some pre-application advice and processing planning applications. Policy making is more of a cost burden on the local authority and the Local Government Association (2012) showed how the planning service was hardest hit public sector cutbacks. This is not new and during the mid-2000s DCLG was providing about £1.4million per annum to support postgraduate planning education, with a view that successful graduates would work in the public sector, at least for a few years. Again at the moment there are growing concerns that public sector planning in particular with 55% of planning authorities reporting they were significantly under-resourced (GL Hearn 2015).

One of the key characteristics of the planning system is that in recent years it has been in a constant state of flux, and one of the key challenges is to ensure that officers and councilors really understand the implications of the changing process. To this end quite a considerable effort has been given to training and retraining and providing advice, guidance and best practice examples. The RTPI run a whole series of training courses and provide briefing materials to members and the planning Advisory service (PAS) part of the Local Government Association provides advice guidance mentoring and benchmarking exercises for all parts of the public planning process, from policy, through to development management for professional planners and councilors alike. It used to be core funded by DCLG but as this budget is being reduced it is increasingly relying on subscription to retain its function.

In order to drive citizen access to wider public services and decision making more generally there has been an enormous push towards e-governance more generally and this too affects the planning service. Through e-governance individuals have access to the services and information provided by local government unencumbered by office hours or office location. Today most planning application are submitted online using standardised planning application forms through the Planning Portal. All local planning authorities now have their own planning webpages where the local plan and the evidence bases that support it are publically accessible. Advice and guidance is given regarding the way the citizens can interact with the planning service and all planning applications are available online so that individuals can consult the key documents, respond to public consultations and see the decisions and the reasons for the decisions when they are made. Most local authorities have interactive maps where key policies and planning applications can be explored on a spatial basis. Hence from an ICT perspective anybody who has access to the internet can access key planning information, although the way that local authority sites function does vary from place to place. This move to e-governance is very much driven by ideas of accessibility, openness and transparency in the decision public decision making processes (of which planning is an integral part). The need to make professional decisions and the need to keep websites up to date ad current has altered the needs for administrative support for planning rather that reducing the need for planners per se. The reduction of the planning service within local authorities and an increased tendency for outsourcing planning services is being largely driven by budgetary cuts to the service.

2.1.8   Conclusions

One of the key characteristics of the English planning system is continuity in terms of the basic principles of a plan led system and all development requiring planning permission, alongside licenses for building permits, with many decisions being decentralized to the local level. There is also a high degree of central scrutiny to ensure that locally made decisions (whether in relation to plans or planning applications) are consistently delivered and in accordance with nationally derived policy and political priorities. Nevertheless despite this degree of continuity, it is also a system that is constantly being changed to meet political priorities. Planning therefore is a political process and to large extent the system would be described as working, particularly in terms of the way that development is effectively controlled and managed.

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2.2 PLANNING IN THE NETHERLANDS

Sebastian Dembski

The Netherlands have one of the internationally most highly regarded planning systems in the world. They are also considered as one of most planned countries, which is partly due to the human and physical geography of the country (Van der Cammen and De Klerk, 2012). The Netherlands is a highly urbanised country in Northwest Europe, with a population of 17 million. With a population density of 500 inhabitants per km² it is one of the most densely populated countries in the world (CBS, 2016). At the same time, almost a quarter of the land is below sea level, protected only by dikes and pumps from the sea and the large rivers, making it one of the most vulnerable countries. Land has been reclaimed from the sea for centuries and the resulting polder landscape required a high degree of collective organization, and thus planning, to fight the water (Woltjer and Al, 2007).

The Netherlands are one of the most developed economies of the world, currently ranking fifth on the Human Development Index (UNDP, 2015). The largest cities are located in the Randstad, the polycentric metropolitan area in the Western part of the Netherlands. The Randstad constitutes the economic engine of the Netherlands including the cities of Amsterdam, Rotterdam, The Hague and Utrecht, which form a ring around a relatively open area.

The saying that 'God created the world, the Dutch created the Netherlands' is illustrative of the strong human influence on the landscape. This is reflected in the orderly nature of cities and landscape. Most of the Dutch cities are located in the delta formed be the Rhine and Maas rivers. Even nature is created (Doevendans et al., 2007). Most of the higher grounds were characterised by poor soil and remained sparsely populated until the beginning of the industrialisation in the 19th century. From very early on, the Dutch water management became essential for the prosperity of the country. The Dutch have literally built there country for a thousand years, substantially extending the land surface through land reclamation. Efficient land management is a necessity. This does not only apply to the cities, but also to agricultural land. The countryside changed tremendously over the course of the 20th century as a result of land consolidation. Despite its size it is one of the top food exporting countries in the world, due to its intensified and highly productive agricultural sector (FAO, 2015). The belief that society can be formed has perhaps had more currency than in any other country.

The Netherlands are a decentralised unitary state with three tiers of government – central government (*rijk*), regional government (*provincies*) and local government (*gemeenten*) – and the regional water authorities (*waterschappen*) as devolved special purpose entities, each with directly elected legislatures. The administrative structure dates back to the 1848 constitutional reform and has not fundamentally changed ever since. The local level is generally considered as the most important tier. The Netherland is part of the Napoleonic legal family, which is characterised by a norm-based system and therefore a legal approach of codification (Newman and Thornley, 1996). Legal certainty plays a predominant role in Dutch planning, which includes easy access for citizens to the courts (Davies, 1988).

2.2.1   Scope of planning

Faludi has described the Netherlands as a country with a soft spot for planning (Faludi, 2005). The Netherlands have a comprehensive planning system with spatial plans at all levels of government. Planning in the Netherlands is about both, the regulation of land uses to provide a legal framework for development (*toelatingsplanologie*) and the active facilitation of development (*ontwikkelingsplanologie*). Both are considered equally important to achieve the desired outcomes of planning (Korthals Altes, 2006). While the core of the planning is concerned land use planning, many policy sectors have to go through the planning system.

There is a deeply rooted understanding for the need for collective action, which originates in the struggle with water, both the sea and inland. This collective action formed the basis for trust into state action. The organisation of society along lines of political-denominational ideologies created a relatively fragmented political system, in which no political party had the upper hand. The Netherlands are traditionally governed by a coalition of several parties, which in turn created some political continuity and created a 'depoliticised' field for planning (de Vries, 2015). Planning was left to experts, enabling the development and implementation of long-term visions and trust in the expertise of planners (de Vries, 2015; van der Valk, 2002). It has helped to develop a strong interest in the spatial quality of the public domain, which is share by a wide range of actors beyond experts, including the private sector (Kloosterman and Trip, 2011).

The emergence of today's spatial planning system is usually associated with the Housing Act (*Woningwet*) of 1901 which established the first development plans, building bans and regulations regarding compulsory purchase to guide the rapid urbanisation of towns due to industrialisation. Early on the state recognised the need for planning in order to realise transport infrastructure and protect open space, and thus to correct the negative outcome of speculation and profit maximisation. Spatial planning was driven by housing reformers, hygienists, architects, and conservationists. In subsequent years, spatial planning evolved from a minor component of the Housing Act into an independent profession, but it was only in 1962 that a separate Spatial Planning Act (WRO) was established.

The 2008 Spatial Planning Act, in Dutch *Wet ruimtelijke ordening* (Wro) forms the legal basis for the activity of planning, outlining a system of spatial plans, their material contents and the procedures to be followed. It is a purely procedural act that does not involve any material guidance on the content. The purpose of the activity of planning is to result in 'well-ordered space' (*goede ruimtelijke ordening*), an open norm providing lots of discretion to governments at all levels. This abstract norm is brought to life in the actual policy documents, where local, regional and national governments establish the preferred spatial developments. In this sense there is a clear separation between the planning system in a narrow sense and the normative direction of planning.

There is a series of related sectoral and administrative laws as well as constitutional rights that hugely influence planning. Directly relevant are the Environment and Planning Permits Act (*Wabo*), which regulates the procedures for permits for any land use and building activities, the Compulsory Purchase Act (*Onteigeningswet*) and many sectoral laws regarding topics such as the protection of monuments, environmental regulations, and nature protection which need to be respected by spatial plans at all levels. Administrative law provides many of the general principles that apply to the procedures of spatial planning. While this makes the actual making of statutory plans more complex, it also improves the actual realisation of the plans as many concerns regarding the appropriateness of building and development plans have been removed by the planning system upfront.

In spite of the fact that the planning system is merely procedural, and therefore less susceptible to day-to-day policy concerns, it underwent some profound changes over the past decade or so. The Spatial Planning Act has been fundamentally reviewed and was enforced in 2008. It replaced the *Wet op de Ruimtelijke Ordening* from 1965. It was basically a new act, which is expressed in the different name and acronym (the old WRO is in capital letters). The new act aimed, inter alia, to separate policy from rules and to restore the position of the land-use plan as the primary instrument to provide guidance for development (Buitelaar et al., 2011; Needham, 2005). The 2008 global financial and economic crisis resulted in the Crisis and Recovery Act, which was intended to accelerate decision-making in spatial planning,

The most fundamental revision of the planning system is currently in the process of implementation. On 1 July 2015, the House of Representatives approved the Environment & Planning Act (*Omgevingswet*), which combines 26 sectoral laws into a single Act to simplify regulations (*Staatsblad*, 2016) and will come into force in 2019. The new act can be regarded a drastic extension of the scope of the planning system as it regulates everything that concerns the protection and use of the physical environment. Only the future will tell how practice will effectively change. The fundamental review of the previous planning act in 2008 did not substantially change the practice of planning (Buitelaar et al., 2011).

While the system is highly codified, the statutory planning system is only part of the story. Visioning, conceptualisation and metaphors play an important role in Dutch planning. The continuous professional and political debate on planning concepts has resulted in the development of master frames or a planning doctrine (Faludi, 1996), which is deeply internalised by planning professionals and almost self-evidently guides their actions. Plans are not so much effective because of their hierarchical power, but due to their communicative persuasiveness and internalisation of principles.

These guiding principle were also powerful because they perfectly aligned with the prevailing interest, e.g. housing production or international competitiveness (Hajer and Zonneveld, 2000). In the late 1990s Dutch planners became increasingly dissatisfied with the effectiveness and the legitimacy of the planning system (Hajer and Zonneveld, 2000). The Netherlands embraced an infrastructure or project led approach, while traditional planning lacked the financial means to bring its land use plans to life (Hajer and Zonneveld, 2000). Furthermore, the increasing individualisation of society resulted in different housing demands. As a result Dutch planning reinvented itself and developed new spatial concepts and planning strategies. An important pillar in the reinvention of planning is a strong trend towards more self-organisation (PBL and Urhahn, 2012; (Rauws, 2016). However, it were not the Netherlands if the self-organisation was not orchestrated and by the state.

2.2.2   Agencies of planning

A wide range of actors at all levels of scale is concerned with spatial planning. While the national level planning has contributed much of the fame of the Dutch planning system, it is at the local level where the numerous decision about the use of land are taken. Our concerns if foremost with the statutory agencies of planning, as defined in the Spatial Planning Act, before briefly highlighting some of the other key agencies of planning.

Statutory Planning Agencies
The Dutch central government has played an important role in post-war planning, by defining the cornerstones of what has become known as the planning doctrine and by providing funding for key national projects. Within the Central Government, spatial planning was for several decades the domain of the Ministry of Housing, Spatial Planning, and the Environment (VROM). After a departmental reshuffle in 2010, spatial planning is part of the Directorate-General for Spatial Development and Water Affairs (DGRW) within the Ministry of Infrastructure and the Environment. Over the past decade, the planning department has clearly lost influence at the national level, which is partly due to the decentralisation efforts of the central government. Despite a trend of declining public investment, the central government still tends to play a strong role in spatial planning, albeit via softer instrument (Spaans et al., 2013; Savini, 2013). The Multi-Year Investment Programme (MIRT) is the central investment instrument in the physical environment and managed by DGRW. To a limited extent, the central government also performs a control task. The Human Environment and Transport Inspectorate (ILT) ensures that national interests are sufficiently recognised in the provincial plans. Planning enforcement of the local authorities has become the responsibility of the provinces. The ILT carries out limited research on the compliance by municipalities with national regulations.

There are twelve provinces (*provincies*) in the Netherlands with directly elected assemblies. In the multi-layered planning system of the Netherlands, the role of the provinces is the most ambiguous. Traditionally, the provinces had been concerned with the provision of spatial frameworks and control of municipal land-use plans on conformity. The provincial investment budgets are comparatively small. In the beginning of the 1990s a debate over their role in spatial planning took off (IPO, 2003). This debate was boosted by the shift towards more development oriented planning policies (WRR, 1998; (Hajer and Zonneveld, 2000). In the new model the provinces should take on a

more proactive role stimulating development by facilitating, participating and investing in regional projects (IPO, 2003: 47). With the new planning act the traditional role of the provinces in spatial planning has been ultimately eradicated. It may not be surprising that such a fundamental change in the self-image of the provinces may trigger difficulties of finding their role between the national and the local level. Integral development approaches in the Netherlands, which gained prominence during this time, were an ideal playing field for the provinces to profile themselves. It resulted also in new instruments, though they use in practice seems limited thus far (Van Straalen et al., 2014; Korthals Altes, 2006).

Municipalities (*gemeenten*) are the basic administrative level in the Netherlands. There are currently 390 municipalities (1 January 2016), ranging from Amsterdam with 835,000 inhabitants to Schiermonnikoog with less than 1,000 inhabitants. Their number has reduced significantly over the years due to mergers. Their executive is formed by the mayor, appointed directly by the Crown, and the aldermen, which are appointed by the municipal council. While carrying out a number of national policies on behalf of the central government, municipalities have considerable autonomy as long as it does not interfere with national policies. Planning takes a prominent role. However, municipalities are heavily dependent on central government funding, as they have very little power to raise own revenues. Some of the larger cities are subdivided into districts, with their own elected council. The districts operated relatively independent, particularly in the field of planning, which sometimes resulted in conflicts with the central municipality. Since 2014, their status has considerably weakened and they only have advisory powers.

There is a recurring debate about the meso-level of the Dutch administrative system, in particular how to govern city regions. The functional urban area of cities extends their administrative boundaries. Yet any formal metropolitan government would question the role of the provinces as they are too close in scale and too similar in their function (Dijkink, 1995). The provinces themselves are traditionally weak and in the case of some city regions do not very well reflect the functional geography too. The big cities entertain direct relationships with the central government and thus bypass the provinces. In the example of the Amsterdam Metropolitan Area, the municipality of Amsterdam clearly takes the lead, with the Province of North-Holland being one of the many members. A first attempt to install a metropolitan government in the Greater Rotterdam port area (Rijnmond) in the 1960s had failed, as did attempts to create city provinces (*stadsprovincies*) in the mid-1990s, which were rejected overwhelmingly in referenda in Rotterdam and Amsterdam. Instead the central government proposed city regions (stadsregio's) as a form of delegated local government with a limited set of responsibilities such as regional economic planning. Since 2015 these have been abolished in order to restore the purity of the three-tiered administrative system. However, many of the city regions continue to work informally. On top of that the larger cities started to upscale their governance networks beyond the under-bounded city-regions, resulting in the formation of the informal Amsterdam Metropolitan Area (Janssen-Jansen, 2011) and the Rotterdam The Hague Metropolitan Area, the latter being the first successful collaboration between two cities of equal size in the Netherlands.

Besides the three statutory levels of planning, a series of other agencies are strongly influential in shaping the physical environment. This concerns other state institutions and arms-length agencies, as well as the private and third sectors.

The Regional Water Authorities (*waterschappen*) are one of the oldest democratic institutions in the Netherlands, dating back to the 13th century. Their sole responsibility is water management (Toonen et al., 2006). Regional Water Authorities are a form of special purpose government with independent taxation powers. Historically, Water Authorities are considered a local form of government, but their number has greatly decreased from 3,500 in 1850 to 23 in 2016. Their territorial structure is based on river basins and has no overlap with the existing administrative structure. While planning does not belong to their remit, water management and spatial planning develop stronger links (Woltjer and Al, 2007) and the Regional Water Authorities become increasingly relevant for planning. For instance the Water Test (*watertoets*) is a new instrument to better integrate water management into spatial plans. Planning authorities are obliged to involve the competent water authority and justify how they respond to their advice. The Water Authorities also played an important role in the Space for the River programme, which moved water management from a technocratic towards an integrative spatial planning exercise (Brouwer, 2015).

There is a number of influential government agencies, though none of them is assigned to the Spatial Planning Directorate. The Central Government Real Estate Agency (RVOB), managed the national real estate and was involved in several urban project as developer on behalf of the central government. Rijkswaterstaat (RWS) is the national highways and water management agency that designs, develops and constructs national infrastructure. The Bureau for Rural Areas (DLG) was until 2015 the land bank for rural areas, but its tasks have been transferred to the provinces in 2015.

While not concerned with planning per se, there are a number of agencies advising government and contributing to the public debate. First, there is the Netherlands Environmental Assessment Agency (PBL), one of the three independent governmental policy research agencies. Its main tasks are spatial monitoring and policy evaluation, the exploration of relevant societal trends, agenda-setting of new spatial policy problems and the development of scenarios for the future. The Council for the Environment and Infrastructure (Rli), established in 2012 as a result of a merger of four independent councils, advises central government and the parliament on matters concerning the environment and infrastructure. Finally, there is the *Scientific Council for Government Policy (WRR)*, an independent and interdisciplinary advisor body, which in the past has launched several landmark reports, studies and working papers related to matters of the spatial domain and public administration.

Housing associations have been and still are important actors. Officially independent from the state, they were central in housing production and are typical hybrid organisations (Blessing, 2012). In 2014 housing associations owned about 2.4 million homes, which means that about 30 percent of the housing stock is owned by social entrepreneurs. Since the 1990s the share of the social-rental sector is continuously declining. Nevertheless, they still play a pivotal role in urban regeneration investing in deprived neighbourhoods.

Private developers have emerged relatively late as important actors in Dutch planning, which is mainly due to the dominance of the social housing sector in the post war era. Perhaps more accurate would be that they were almost absent during the heydays of the welfare state and the Dutch housing system. It is fair to say that the planning system only emerged because of profit-seeking

private investors, resulting in overcrowded and unhealthy cities. It was only with the urbanisation policy in the 1990s, that private sector parties acquired massive landholdings around cities. The central government had publicly outlined the key locations for residential development and restricted urbanisation elsewhere, which significantly reduced the risks of land speculation (Buitelaar, 2010). The Dutch large-scale residential projects are dependent on large developers and vice versa large developers are only interested in projects of a certain scale. The existence and involvement of large real estate companies in residential development is a consequence of the economies of scale offered by the urban development system that had evolved (Tennekes et al., 2015). Private investors have partly taken the place of the housing associations.

2.2.3   Plan and Policy Making

Planning is carried out at the national, provincial and municipal level, but only local level plans are legally binding to citizens. With the introduction of the new Spatial Planning Act in 2008, a clearer differentiation has been made between indicative policy and normative rules (Van Buuren et al., 2010: 346). Each level is expected to outline the main policy ambitions, including how these will be delivered, in a vision statement (*structuurvisie*). It is considered a policy document, not a legal plan (Van Buuren et al., 2010: 20-21). There a two types of vision statements. First, there is an integral vision statement for the whole territory so that good spatial planning or well-ordered development is ensured. This type of vision statement is obligatory. The second type of vision statement is voluntary and relates to specific aspect of spatial policy. Both types require some information on how the respective level intends to deliver its vision. Vision statements at all levels have explicitly a non-binding character, though it is not impossible that some relevance might be assigned to them in a judicial review (Van Buuren, 2010). Under certain circumstances, they are subject to the SEA procedure. Alongside these plans, each level formulates normative rules that become part of legislation. At the local level the rules are mainly laid out in the land use plan. It serves as legal basis for issuing building permits. The local authority cannot decline proposals that do not comply with the plan. In the following the plans for each level will be outlined.

At the national level, there is a long tradition of national policy documents guiding urbanisation in the Netherlands. In the past these have addressed the fundamental question of the spatial structure in the Netherlands: concentration or dispersion of economic activity and population both at the national and urban level. They have shaped some of the core ideas and introduced some of the central concepts dominating Dutch spatial planning and development over much of the second half of the twentieth century, such as Randstad, Green Heart and new towns policy, which have led some scholar to speak of a planning doctrine. However, the foundations of Dutch national spatial planning are clearly under threat (Roodbol-Mekkes et al., 2012; Hajer and Zonneveld, 2000).

Since the late 1990s, there is a clear shift towards decentralisation of spatial planning policy, finishing with an era of top-down planning (Bontje, 2003). The most recent National Policy Strategy for Infrastructure and Spatial Planning (*SVIR*) (I&M, 2012) is the first spatial strategy under the new legal regime, replacing the 2006 National Spatial Strategy (*Nota Ruimte*) and a series of other spatially relevant memorandums. It fills in the new division of labour between the various governmental tiers. Many policy fields have been devolved to the provinces, in particular open space

preservation and urbanisation policy. However, in particular in the economic key areas of the Netherlands the National Government remains closely involved, including the formulation and negotiation of housing targets for the North and South Wing of Randstad, as well as key infrastructures such as Rotterdam seaport and Amsterdam airport. It also integrates the marine dimension of spatial planning (I&M, 2012).

All binding national policy is laid down in the Decree on General Rules for Spatial Planning (Barro), which outlines general rules that legally bind lower levels of government. While the title of the Decree refers to general rules, most of the rules relate to the spatial reservations and rules of specific national projects or policies. The decree has taken over and replaced the function of Key Planning Decision (PKB) under the previous act. PKBs were part of the National Spatial Strategy document and formed the legal part of national policies such as the Rotterdam seaport extension or flood plain reservations. The vast majority of the national concerns spatial national transport infrastructure, national flood defence and management, UNESCO World Heritage sites and the protection of the Wadden Sea.
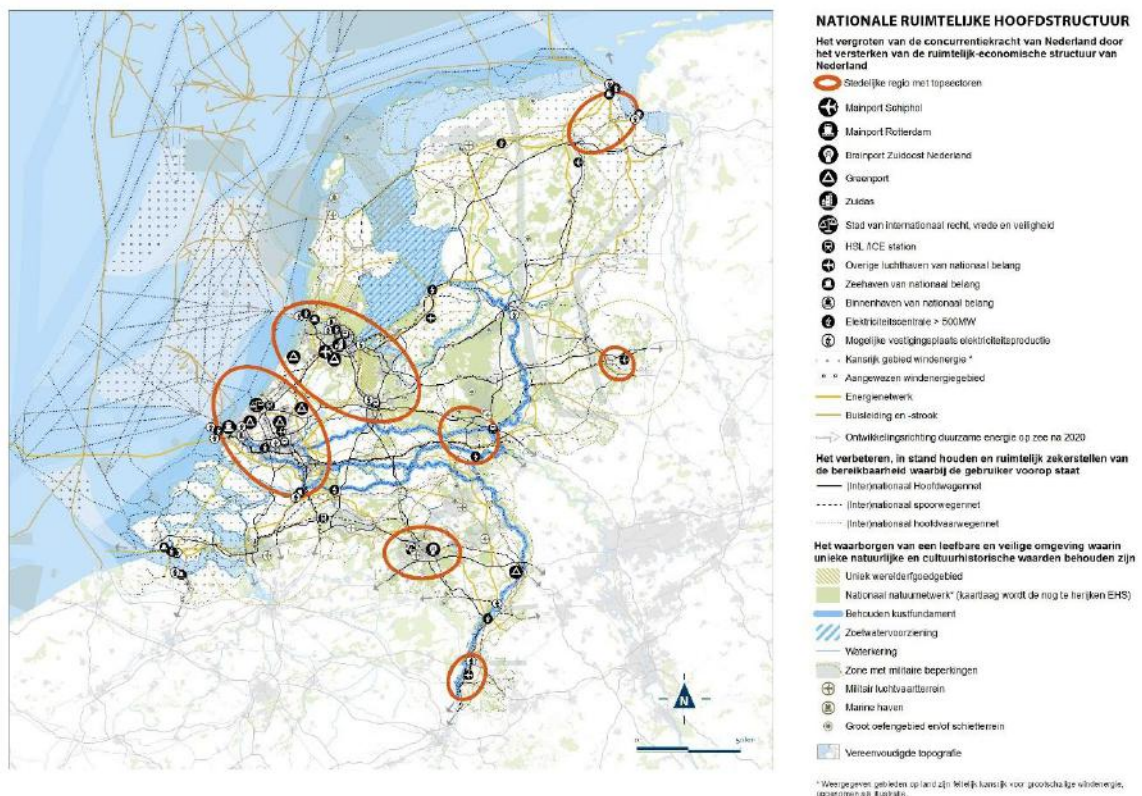
Figure 3. National Spatial Structure (I&M, 2012)

The provinces are obliged to outline the planned development of the provincial territory and the key aspects of provincial spatial policy in a provincial spatial strategy (*provinciale structuurvisie*). Traditionally, the provinces had specified the abstract national spatial policy in a regional plan (*streekplan*), which particularly outlined the boundaries for urban development. The regional plan was binding to the provincial government and indirectly also to the municipalities, because the province were not allowed to approve plans that are not in line with the regional plan. This control

function has evaporated over time, particularly when the provinces too focussed on implementation. Under the current legislation of the Wro, the province outlines the spatial development of its territory. Green infrastructure planning plays traditionally an important role in provincial planning. The provinces are also regional transport authorities, which might be reflected in the plans. Wind energy planning has become an important and contested policy field. Similarly to the central government, all legally binding rules are laid down in a provincial ordinance (*provinciale verordening*). With the recent shift towards more development oriented planning, the provinces identified their own policy agendas, particularly in the field of green infrastructure. Their acceptance differs strongly. In the urbanised part of the country, the provincial strategy is often not well aligned with the large cities. The provinces lack the funding and the human capacity to take up with the large cities.
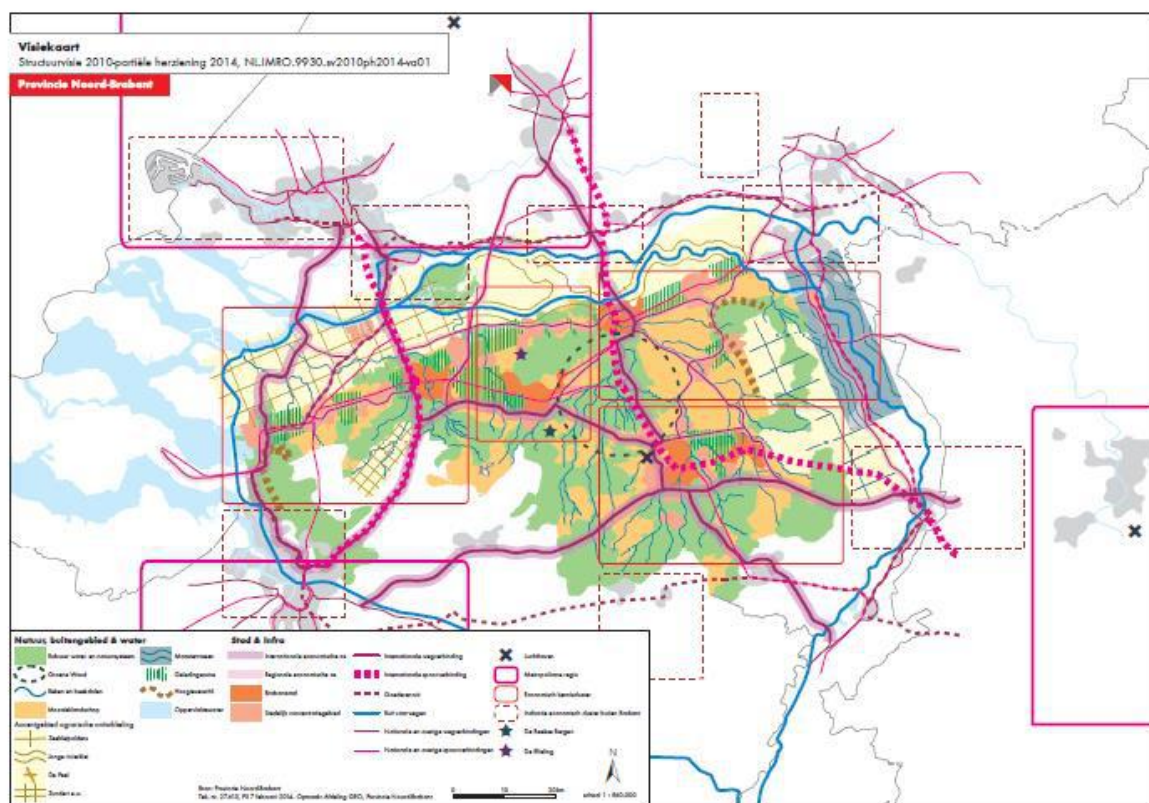
Figure 4. Revised Spatial Strategy of the Province of North Brabant (North Brabant, 2014)

At the local level, municipalities outline their ambitions in a development plan (structuurvisie), which replaced the Structure Plans under the previous act. The Development Plan is also often used for defined areas or policy sectors. These plans are no blueprints and changes in circumstance might require the adaptation of the plan, yet in general these can be regarded as cornerstones of a municipality's urban development policy. An important function of the plan is to provide certainty for investment decisions. The most well-known plan is the 1935 General Extension Plan (AUP) from Amsterdam, guiding urban development for the next decades (DRO, 2003). While there is no prescribed procedure to involve citizens in the Wro, there is an obligation to document how the public has been involved and most municipalities will set up a public process.
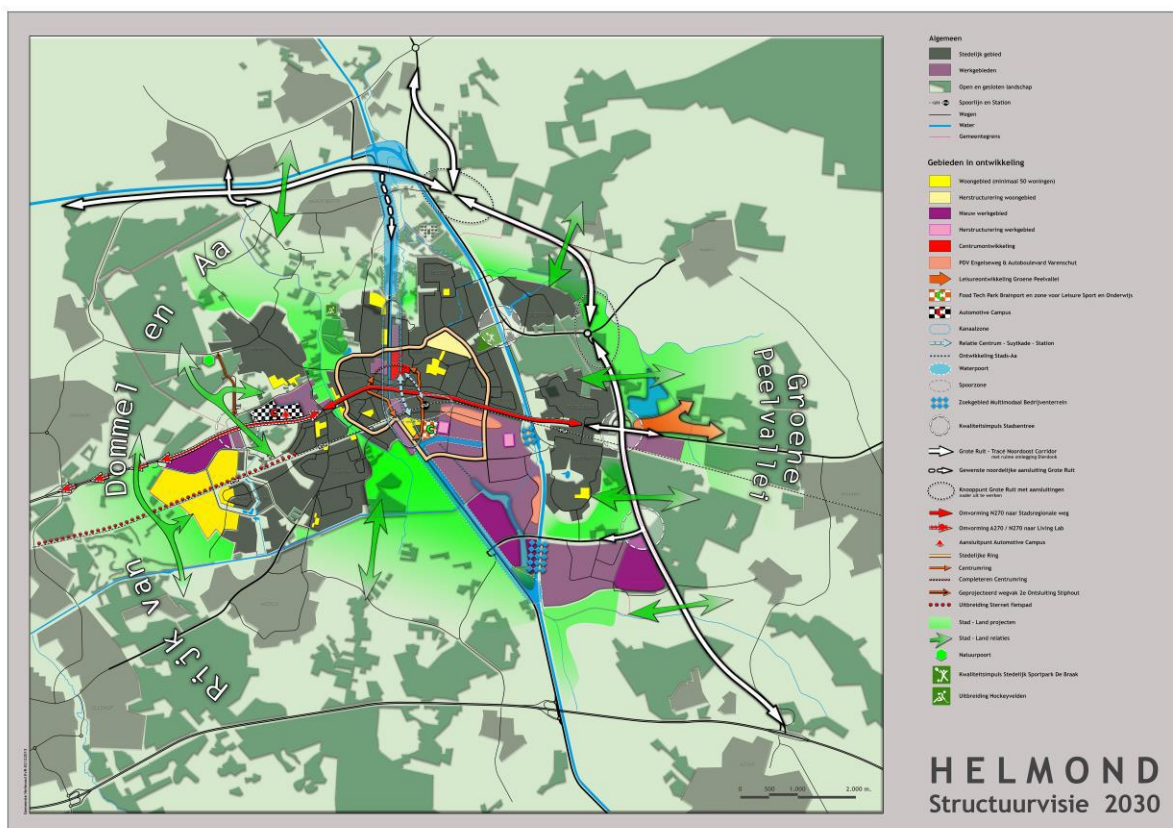
Figure 5. Spatial Strategy 2030 for Helmond (Helmond, 2014)

The land-use plan (*bestemmingsplan*) is considered the central instrument for regulating land use. Literally, *bestemmingsplan* can be translated as 'destination plan' (Davies, 1988), already giving an indication of its function to outline the future spatial structure and how it will be realised. It has the status of a municipal ordinance and is legally binding to both public sector and citizens. The municipal council is obliged to have one or several land-use plans for the whole territory. For areas without any foreseen spatial development, municipalities can use an alternative instrument, the Management Ordinance (*Beheersverordening*), which has never developed large practical relevance. In order to achieve 'good spatial planning' the land use plan needs to carefully balance the different interests. This provides the municipal council with a considerable amount of discretion. However, in an appeal plans will be tested against procedural norms of the Spatial Planning Act as well as material norms in sectoral laws and general legal principles. This requires a series of studies, depending on the type of development and the area, which are often time-consuming and costly.

The land use plan has to designate the land uses and provide associated rules, which at least specify the use of land and buildings. While these legal requirements give a rather minimalistic impression, the land use plan has the potential to regulate a great level of detail. All plans are digitally stored centrally and made accessible via a web portal (http://www.ruimtelijkeplannen.nl). There are no standard definitions of land-uses. Instead the Standards for Comparable Land-Use Plans (*SVBP2012*) only define standard terminologies and colours. Therefore, the exact definition of land uses is an important part of each Dutch land-use plan (see Tab. 1). The level of detail differs greatly between plans, which in practice has resulted in a differentiation between global and detailed land-use plans.

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Traditional provisions regulate floor space indices, building heights, building lines, parking requirements, environmental restrictions, etc.
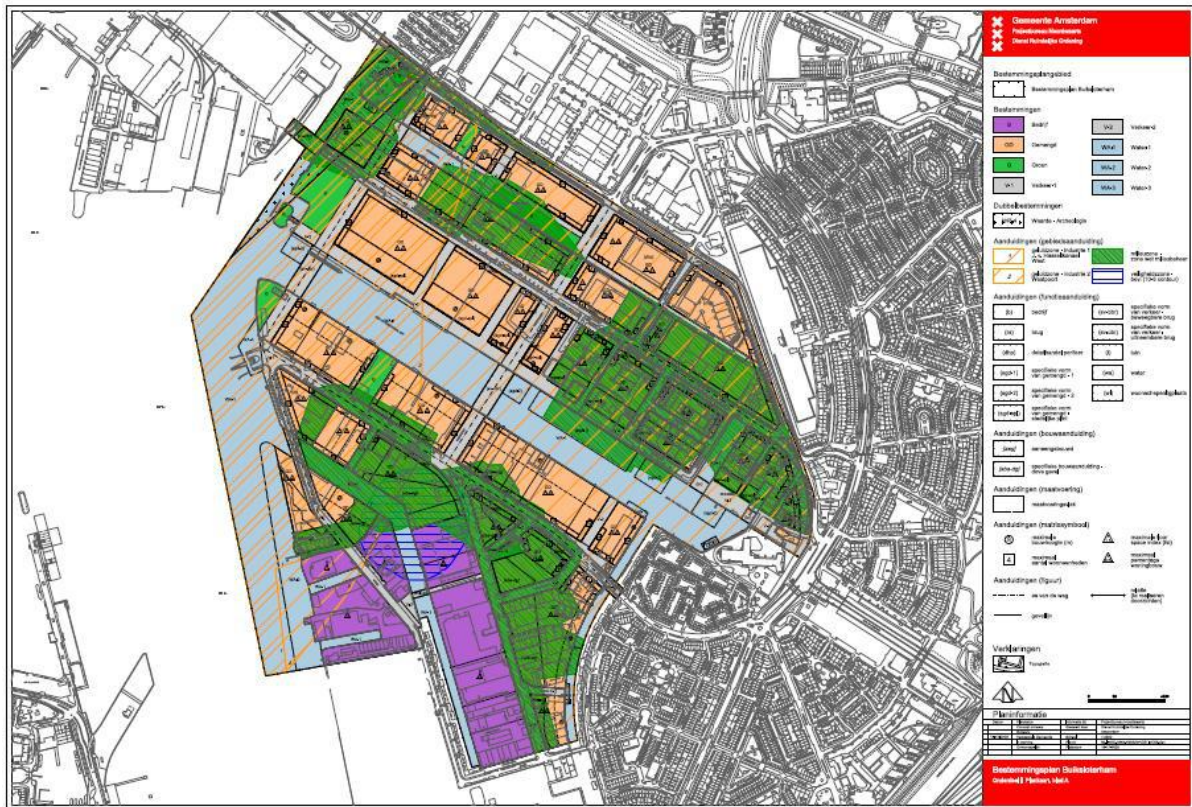

Figure 6. Land Use Plan Buiksloterham, Municipality of Amsterdam, 2009

Table 1. Rules defining the land use type "Industry" for the Land Use Plan Buiksloterham, 2009

Land use type description	Building Rules	Use Rules
a. Industry b. Offices c. Hotels, restaurants and catering cat. I (fast food), III (night club) and IV (restaurant) d. Creative functions e. Access roads f. Parking g. Green infrastructure h. Utilities	a. For buildings a maximum building height of 30 meter applies, unless indicated otherwise on the plan. b. For built structures that are no buildings, a maximum building height of 10 meter applies. c. Per plot a maximum floor space index in line with the indication on the plan applies to new built buildings. d. Built parking facilities will not be included in the calculations of the floor space index as mentioned under c. e. For areas that have been designated as 'vistas to be realised' a number of strips corresponding to the indications in the plan needs to be kept free from buildings up to a building height of 3,5 meter. f. For the strips named under e a minimum width of 10 meter applies. g. For each plot a maximum of 1 car entrance via the lands with the land use type 'traffic-1' (V-1) applies if functions have been realised after enforcement of this land use plan	a. For functions mentioned in the left column that are classified industries, only environmental pollution categories 1, 2 or 3 are allowed. b. Deviation from the provisions under a, the following functions will be allowed: (list of three specific exemptions omitted) c. A maximum of 1 parking place per 125m² net floor space applies for industries and offices. d. For hotels, restaurants and catering cat. I, III and IV and creative functions, unless these are industries or offices, a maximum of 1 parking place per 100m² net floor space applies. e. For new buildings the maximum mentioned under c and d constitute at the same time the minimum number of parking places to be realised on the plot. f. For hotels, restaurants and catering cat. I, III and IV a maximum floor space of 500 m² per establishment applies. g. Within 10-6 contour as indicated on the plan, vulnerable functions as specified in the External Safety Decree (BEVI) are not allowed.

The land-use plan guides development for a period of ten years, after which the land-use plan requires approval by the municipal council. While the ten-year rule is not new, the new Spatial Planning Act introduced sanctions, disallowing municipalities to charge fees for building permissions (*leges*) if they do not redraft plans in time (Van Buuren, 2010).

While the land-use plan is a static document, a series of instruments allow for a certain degree of flexibility. For instance, land-use plans may include an option for the municipal government to adapt the plan within agreed limits (*wijzigingsbevoegdheid*). These amendments may not result in profound changes of the spirit of the plan. Another important option is the opportunity to specify certain elements of a plan at a later stage (*uitwerkingsplicht*). The initial plan needs to include rules that provide a framework within which the municipal government drafts a supplement to the 'mother plan'. These instruments provide an opportunity to accommodate foreseeable developments. In all other circumstances the municipality may either grant exemption for an application or has to adopt an amended plan.

There is an inherent tension between the desire of planners to keep plans open and flexible and the need for legal certainty. In practice, land use plans are often perceived as inflexible and limiting development due to environmental regulations, in particular in inner-city locations where development is most desirable from a compact city perspective (van Stigt et al., 2013). The legislator has reacted to this with additional flexibility instruments enabling the deviation from certain environmental norms under certain condition. The need to relax planning legislation became even stronger during the global financial crisis

The increasingly flexible and open-ended nature of urban development, which made it increasingly difficult to draft all-encompassing land use plans for large areas that meet the requirements of the law, has resulted in a series of alternative practices. The municipality of Amsterdam has experimented with rules-of-the-game maps for areas undergoing transformation outlining its ambitions, while only drafting new land use plans on request. In effect, land use planning has become development-led again.

There is a basic assumption in both the old and the new planning act that the land-use plan has a steering function, i.e. the system is plan-led. While this is theoretically true, in practice many the system is to a certain degree development-led. Needham that "the way in which land is used is *managed*, rather than *planned*, by the public authorities" (2012: 13). More fundamentally, this touches the question if plans are made before or after important decisions have been made.

Since land-use plans are static and require a lengthy administrative procedure to change, there have always been ways of enabling development that was not in line with the prevailing land use plan. The increasing frequency with which municipalities provided exemptions from the land use plan was one of the main reasons for the 2008 reform of the Spatial Planning Act. Under the old act, the alternative route of an exemption, the article 19 procedure, had even outnumbered the land-use plan, questioning the plan-led nature of the planning system. While the reformers of the act wanted to reinstate the land use plan as the exclusive instrument, pressure by the municipalities to maintain an instrument with quick procedures resulted in the introduction of the project decision

(*projectbesluit*), enabling municipalities to enable development in anticipation of a new land use plan. There is some evidence that the land-use plan has become the dominant regulatory mode for land-use planning again (Buitelaar et al., 2011: 936). The instrument of the project decision was short-lived, but the idea of providing municipal governments with an instrument to exempt development from a prevailing land use plan continues to exists, now as part of the Wabo.

The second dimension of a plan-led system concerns the question how plans are made. Again, Dutch planning practice is rather pragmatic. While the municipal council certainly has the last word, as it needs to formally approve the plan, this does not imply that the plan is drafted by the municipality. It is common practice that a municipality will enter informal talks with developers that hold development rights prior to any formal consultations. Certainly in large-scale projects, the land-use plan can be regarded rather as a contract between investors and the municipality. This makes sense taking into account the implementation oriented nature of the Dutch planning system. Both sides are interested in the realisation of the plan. It might even be the case that the developer presents a draft plan to the municipality.

The appearance of Dutch cities is not only due to local planning regulations, but also the result of a strict architectural guidance, which is outlined in an Architectural Policy Memorandum (*Welstandsnota*). Almost all Dutch municipalities have a policy document that provides guidance for the design quality of buildings and the public realm. The restrictiveness usually varies according to the existing architectural qualities of a neighbourhood. It is a strong instrument to protect cluttering of public space by prescribing for instance the type of fencing or the colour of buildings. Municipalities cannot grant a development permission, if the plans are not in line with the architectural policy. An independent committee advises the local municipality on development applications.
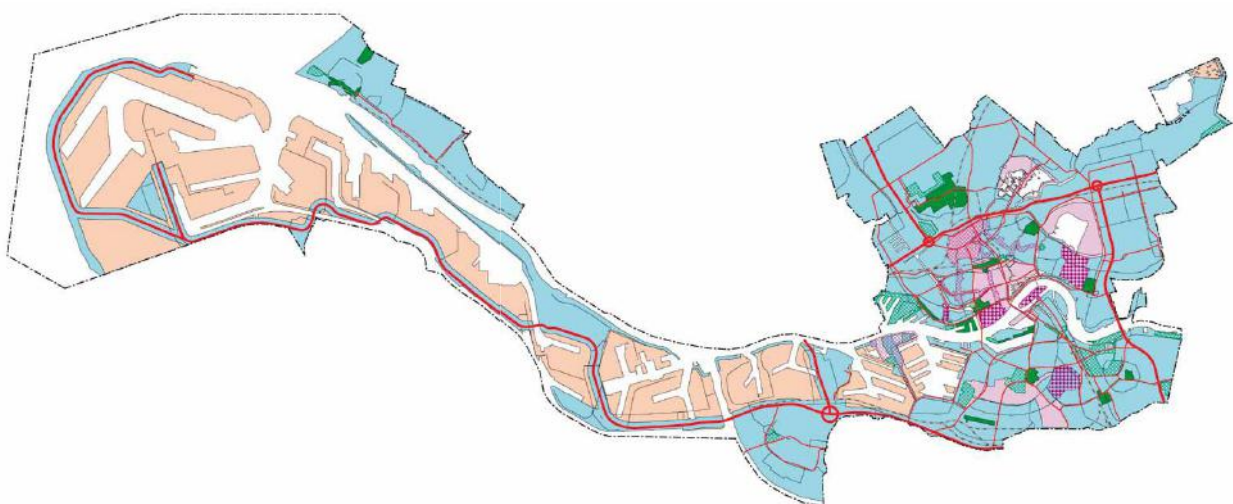

Figure 7. Neighbourhood typology for Rotterdam, indicating the corresponding policy regime (Rotterdam, 2012)

Vertical and horizontal integration of plans

The Dutch system is characterised by a high degree of vertical and horizontal integration (Davies, 1988; Needham, 2014). This is partly due to prescribed procedures, but even more so due to a

culture of deliberation and consensus. This is widely known as the polder model. While in the post-war years, coordination was limited to the state, public support for plans has gained importance since the 1980s. This network approach to planning causes hierarchical decisions to be the exception rather than the rule (Needham, 2014).

The interrelation between the three levels is not specified as far as the policy strategies are concerned; rather the three levels develop their strategies autonomously (Van Buuren et al., 2010: 9). With the latest planning reform approval of plans by the next higher tier of government had been dropped in favour of strong intervention instruments to overrule local decision making. If provincial or national interests, as outlined in their respective Structure Visions, are violated by local authorities, they may draft an *inpassingsplan*, after consultation with the municipal council and the provincial parliament (the latter only in the case of a national intervention plan), which is a land use plan the overrides an existing land-use plan by the municipality. The procedures are the same as with the *bestemmingsplan*, except that it is the province or the minister responsible for planning who leads the process. An intervention plan may replace a local land use plan in full or overrule only parts of it. This instrument is also sometimes used based on a mutual agreement between the local municipality and the province to avoid delays in planning processes. The national and provincial governments may also define general rules (a*lgemene maatregel van bestuur* or *provinciale verordening*) to safeguard their interest or direct municipalities to draft a land use planning fulfilling specified criteria (*aanwijziging*). There is considerable debate amongst scholars if this heavy-handed intervention mechanism actually result in a more centralised system than the previous hierarchical system of plans (Van Buuren et al., 2010: 7).

In order to secure vertical and horizontal coordination, the legal procedures need to be followed. The draft land-use plans are out for consultation during 6 weeks. During this period each individual or party that is affected by the plan has the chance to submit a viewpoint to the municipal council. The municipality approves the final plan, which includes any amendments that have been made. Those who have submitted a viewpoint can lodge an appeal; otherwise the plan is definitive.

It can be assumed that no planning agency will start the communication process as late as the formal consultation process. Many land use plans are an integral part of an urban development or regeneration project. The land use plan is usually only the end – legal codification – of a planning project. The municipality (and other planning agency in charge) will try to avoid potential (legal) conflicts at the outset. Other public sector organisations will usually be consulted on a draft of the draft plan. The public will be invited via leaflets to attend information evenings.

Since the 1990s there also have been several articulated attempts to better integrate spatial planning and environmental policy (De Roo and Miller, 1997). Like many other countries, sector experienced problems in the horizontal connection between different policy sectors. Priemus (1999) concluded that in the mid-1990s four government department had produced four different spatial strategies. This partly relates to the fact that planning often lacked the necessary financial means to realise its goals. Planning worked at its best when it managed to align its interest with powerful sectors such as housing and economic policy. This has led to the successful implementation of the national urbanisation policy and the economic mainports strategy for Rotterdam seaport and Amsterdam airport. A good example of integration was the Spatial Planning and Environment (ROM)

policy, an area based policy to better integrate spatial planning and environmental policy by bringing together actors across policy sectors and from various levels of scale (De Roo and Miller, 1997).

2.2.4   Regulating Development

The Netherlands is one of the most planned countries and development control is at the heart of the system (Davies, 1985). Each administrative level outlines its spatial strategy and can overrule plans at the local level. Furthermore, the Dutch system is characterised by intense deliberation between various levels of scale and across sectors, which results in a mutual understanding. Ultimately, development control is exercised through the granting of permits.

There is considerable debate as to whether the Dutch planning system is effective or not (Mastop, 1997; Bontje, 2003; Van Assche et al., 2012; Hajer and Zonneveld, 2000). In particular in the heydays of the welfare state, planning was able to deliver. The second memorandum on Spatial Planning introduced the idea of 'concentrated deconcentration' to ensure that suburbanisation is an orderly process. It marked the beginning of a successful urbanisation policy, once the government realised that preventing urban sprawl required active investment in new towns (Faludi and Van der Valk, 1990). Open space preservation, not only in the Green Heart, has been relatively effective as a result of development control (Koomen et al., 2008; Zonneveld, 2007). This becomes even more evident in comparison with neighbouring countries such as Germany and particularly Belgium. In the Netherlands urban morphology is characterised by a high degree of compactness and relatively sharp boundaries between town and countryside, which is the clear result of the set of formal institutions governing planning, including cultural factors (Tennekes et al., 2015; de Vries, 2015).

Development control is exercised through the comprehensive system of plans, but ultimately boils down to the granting of building or development permission. All major building activities or changes to land uses, except for require an All-in-one Permit for Physical Aspects (*omgevingsvergunning*), issued by the municipality. Usual maintenance not resulting in material changes to the building and a list of clearly specified building projects (Environment and Planning Decree – Bor), such as the installation of a dormer on the rear of a building or a roof light, are exempted. Building activities without planning permission or land uses deviating from the regulations set out in the land-use plan are illegal. With the introduction of the Area Exploitation Permits Act (*Wabo*) in 2010, a series of permits, including the building permit, have been brought together so simplify planning applications. Activities requiring a permit include erection, alteration and demolition of buildings. For industries with an environmental impact an Activities Decree (*Activiteitenbesluit*) notification is required to inform the competent authority about planned changes at least four weeks in advance. Planning applications are tested against the land-use plan and a series of other regulations. If in accordance with the law, the permit must be granted. This provides certainty for the applicant and discourages corruption.

The control of development is primarily the responsibility of the municipalities. Legal scholars are generally very critical about enforcement of planning regulations (Van Buuren, 2010: 313-316). There is a lack of systematic control in many municipalities. Most of the municipalities only become active after complaints and otherwise often knowingly tolerate violations of planning regulations.

There is substantial discretion for municipalities, albeit that there is a gap between jurisprudence, which generally assumes an obligation to maintain the law, and administrative practice (Van Buuren, 2010: 328-330).

However, compared with other planning systems this criticism on development control needs to be seen in perspective. On a general note, illegal building activities, i.e. building or destruction of buildings without planning permissions, rarely happen and municipalities usually act upon these cases. The Land Registry (*kadaster*) is responsible for the registry of all real estate and the associated property rights. Because all data is digitised it can be accessed by everyone, illegal building activities are relatively easy to uncover. The main issue concerns misrecognition of land use regulations, such as residential uses in buildings where permanent living is not allowed. In many case unlawful activities are tolerated as long as these do not lead to complaints.

When deciding to act, municipalities can use administrative law, private law and criminal law to enforce planning and building regulations. The first option is an administrative enforcement order (*bestuursdwang*) to reinstate the law. The municipality can force the offender to undo the damage or may act upon illegal building activities directly and recover the costs from the offender. Alternatively, the municipality may impose a penalty payment (*dwangsom*) to ensure that the offence is rectified and to prevent repetition or any further violations of regulations. The decision of the municipality can be brought to court. In some case the municipality may use private law to indirectly enforce land use plans, in particular if it concerns privately owned land by the state or existing private contracts between the municipality and private persons. Finally, violations may qualify as an economic delict under criminal law, which is usually used only as *ultima ratio*, either if the administrative route fails to enforce the law or if the nature and consequences of the violation are substantial (e.g. economic advantage, irreversibility of intervention).

2.2.5   Implementation

Planning in the Netherlands combines development control with proactive implementation. Planning agencies 'making things happen', rather than passively wait for the implementation of their land-use plans (Needham, 2014). Planning was and still is predominantly a public sector activity. However, since the 1990s the influence of the private sector is increasing substantially. While the preparation of plans is still under the leadership of the public sector, the actual implementation of plans has become the domain of the private sector. Despite an increasing reliance on private investment, the public sector is still the key actor in the planning process.

Traditionally, the public sector has played an important role in the implementation of spatial planning, particular through an active municipal land policy (Needham, 1997; Buitelaar, 2010). In much of the post-war era, central government, local governments and housing associations worked closely together to deliver housing, mainly in the social-rental sector. Municipalities actively acquired the land and service it, which subsequently was sold to developers, which were in many cases state-subsidised housing associations. Not only did this development model deliver affordable housing, it was also very successful in steering development, i.e. containing urban sprawl (Buitelaar,

2010). The model bears substantial similarity with development corporations, which enable cost recovery of public infrastructure and capturing the planning gain and thus provided local authorities with much needed additional income.

In the 1990s, the private sector powerfully entered the game, but the fundamental principle of the development model remained unchanged. The crisis of the welfare state resulted in fundamental changes in the housing sector in the late 1980s shifting responsibility for housing to the private sector (Salet, 1999). It resulted in the demise of the 'golden triangle' of national government providing heavy subsidies, the municipality providing the land and the housing association providing affordable housing. Housing associations were no longer exclusively social entrepreneurs, but also became commercial property developers. Furthermore, the contours of the national urbanisation policy of the 1990s were made public before the municipalities had time to act, which substantially reduced the risk of land speculations (Needham, 2012: 156). Municipalities lost their monopoly on the land market, the land prices increased and the planning gain had to be shared with the private sector. However, in many instances the municipality still assembled and serviced the land with the voluntary cooperation of the private sector. Both needed each other: the private sector owned the land, but also needed the municipality to reassemble and service the land (Needham, 2012: Ch. 5.5).

This development model with municipalities being actively involved in urban development came under pressure in the aftermath of the 2008 global financial crisis. Access to investment capital dried up and many developers were forced to put projects on halt, postpone or even cancel them. At the same time the devaluation of real estate value put a heavy strain on some municipal budgets. Furthermore, it became clear that municipalities seeking financial gain from urban development had resulted in a real estate bubble on the office market, with vacancy rates close to 20 per cent in cities like Amsterdam (Janssen-Jansen and Salet, 2009). Income from real estate, although a small share of the overall budget, formed an important additional income that municipalities could use freely. This period clearly demonstrated the financial risks of an active land policy.

The crisis showed how dependent the Netherlands were from a handful of big players. The Dutch market is dominated by large real estate companies, particular in comparison with other European countries (Tennekes et al., 2015). Around the mid-2000s, only 10 per cent of new homes were individually commissioned, while 65 per cent were built by commercial developers and 25 per cent were in the social sector (Tennekes et al., 2015). In response to this market failure increased attention has been paid to individuals and collectives (Rauws, 2016) as well as the gradual or organic transformation of inner city industrial areas into mixed use neighbourhoods (Dembski, 2013). This was due changes in demand, but also a considerable degree of opportunism as access to capital was limited.

The problem of municipalities proactively planning, has been highlighted by several authors (Needham, 2012: 148; Dembski, 2013). We have already highlighted the financial risk of an active land policy. Furthermore, Needham (2012) warns of the danger of corporatism, referring to the (too) close relationship between municipalities and developers. While there is generally a "perceived lack of corruption" (Van Assche et al., 2012), the corruption scandals related to the Zuidas project and in the province of North-Holland gave deep insights in the world of real estate development, resulting in the change of director of Amsterdam's leading development project and the conviction of a

provincial politician and deputy for Spatial Planning. The resulting question is to what extent municipalities can be impartial to achieve good spatial planning, if financial gains from development dominate, resulting in maximising development rather than achieving the best possible spatial outcome (Needham, 2012: 148; Dembski, 2013). On the other hand, development is often used to generate income for investments in weak functions, such as green infrastructure and social housing, either within the plan via coast recovery mechanisms or by using revenues from profitable projects.

So far we have highlighted the central role of the public sector in the initiation of plans. But who is actually making the plans? Certainly at the national and to a lesser extent at the provincial level, plans are prepared 'in house' by civil servants, while at the local level increasingly planning consultancies carry out the main work. Only few municipalities, such as Amsterdam, have the capacity and in terms of personnel, skills and training, but even those rely on specialist legal advisors. Besides the actual preparation of land-use plans, which requires a high degree of legal expertise, consultants are increasingly hired for project management, urban design,

While private sector and civic initiatives have gained importance, the public sector is still taking a leading role in the implementation of plans, in particular large projects. Municipalities still make substantial investments in public space and public and act as prime mover for the private sector.

2.2.6   The Capacity to Deliver the Objectives of the System

So far we have mainly looked at the formal structure of the planning system.

Planning professionals include people working in the field of planning. Most planners working in planning have a higher education degree in planning, urban design, human geography, engineering, or related disciplines. This applies equally to the public sector as to those working in planning consultancies. Many professionals working for commercial developers and housing associations have a background in a planning related discipline. Those working on statutory planning, in particular land use planning, might be expected to have specialised in environmental and planning law, holding a degree in planning or law.

Planning, or in Dutch *planologie*, is an established discipline that is taught in 5 of the 13 Dutch research universities (University of Amsterdam, University of Groningen, Radboud University Nijmegen, Utrecht University and Wageningen University). While it is often part of a combined programme with Human Geography, with clear disciplinary pathways, it has retained its identity in consecutive Masters programmes. Planning is also offered in a number of Universities of applied sciences, focussing on professional education. Urban Design is offered as a specialism at Delft and Eindhoven universities of technology within Architecture. There is a very active and internationally highly regarded research community that despite its high levels of academic scholarship has retained strong links with professional practice – the double valorisation of planning (Salet, 2014).

Planning professionals are organised in the Professional Association of Dutch Urban Designers and Planners (BNSP), but it is not a protected profession with a chartered status. Membership is not a requirement for certain position and is therefore up to individuals. BNSP members are bound by a

code of practice. According to their website (bnsp.nl) the association has about 600 individual members, 50 consultancies and 30 institutional members. It offers and organises professional courses, excursion and exchange of best practices.

The size and the level of expertise of municipal planning departments varies considerably, depending on population size, definition of responsibilities and political priorities. The Physical Planning Department of Amsterdam, the capital and largest city in the Netherlands (840,000 inhabitants), is most likely the largest of its kind with approximately 270 employees, including planners, designer, landscape architects, project managers, lawyers and ecologists (*Hochparterre*, 2014). The majority of planners and designers will work as policy advisor rather than as enforcement officers. The Department for Urban Development of The Hague (515,000 inhabitants), in contrast, employs about 800 people, but the organisational structure differs and includes a range of other sectors such as Real Estate, Housing, Transport and City Marketing. The best attempt, albeit somewhat dated, is a comparative study by Buitelaar (2007), counting all employees working in strategic planning, statutory planning, project development, development control and inspectorate (see Table 2). While numbers have certainly reduced since then, Dutch planning departments were well-staffed in comparison to local authorities in the US and the UK (Buitelaar, 2007).

Table 2. Size of planning departments in the Netherlands for select cities, c. 2005 (Buitelaar, 2007: 186)

Cities	City population	Employees Planning department	Inhabitants per planning official
Amsterdam	742,783	1910	389
Rotterdam	596,407	1413	422
Den Haag	472,096	915	516
Utrecht	275,258	780	353
Eindhoven	208,455	280	744
Breda	168,054	230	731
Nijmegen	158,215	400	396

Statutory planning is a public sector activity and primarily paid for by the municipalities, yet planning also generates income via fees, cost recovery and development gains. Municipalities are allowed to ask fees or *leges* for planning permissions and other services offered by the municipality. For instance, the municipality of Rotterdam charges in 2016 for a €800,000 building project a fee of €23,544.20. The fees for the same building in Amsterdam are €28,510. Each municipality establishes its own tariffs and therefore these differ from place to place and according to market conditions. Planning related fees, however, have to be cost-effective and therefore may not exceed the actual costs of the service offered for the municipality. Municipalities are also able to recover the cost associated with a land use plan either via a private contract between the property rights owner and the municipality or via a statutory land exploitation plan (*exploitatieplan*). In practice most developers will make individual agreements or, if the land is owned by the municipality, will be included in the land price. If the municipality fails to recover the costs with a property owner under private law, it is obliged to an exploitation plan, which specifies which planning costs will be transferred onto the property rights owner relative to the development rights of the plan area. This involves all the costs involved in preparing the land for development, such as technical studies, soil rehabilitation, and statutory plan making costs, as well as coast outside the plan area that can be linked to the plan area (e.g. a new park, school or bridge). The contribution is only due when an environmental permit is issued, i.e. the property rights owner decides to develop. Finally, we have

discussed above the traditional option of an active land policy, which over decades proved successful in capturing the planning gain, but also involves high financial risks.

The overall price tag on the Dutch planning system is by and large unknown. That is due to the complex system of investment costs, staffing and benefits of good spatial planning that are difficult to monetarise. Planning has substantially contributed to the supply of affordable housing, urban regeneration and the creative economy. It has concentrated urban development and by and large protected the openness of the countryside. The public sector invests substantial amounts of public funding, despite a recent shift towards neo-liberalisation (Waterhout et al., 2013). Spatial quality is to a certain extent a soft factor.

2.2.7   Conclusion

When looking at planning systems, the story is always one of stability and change. The Dutch planning system has undergone substantial change over the past decade or so to cope with the societal and spatial changes that demand higher degrees of flexibility while not losing the strength of legal certainty. The Netherlands is in the process of radically changing planning law by harmonising a whole set of sector legislations into a uniform system controlling the physical environment. Yet at the same time, we can observe great stability of some of the key institutions of Dutch planning. The pragmatic plan-led planning system will have a different name, but the proactive attitude of the Dutch state to influencing physical development will not change.

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2.3   Planning in The Republic of Korea

2.3.1   SCOPE OF PLANNING

According to Ryser and Franchini (2008, 93) "The guiding principles and institutional framework of the planning system are formulated in the Land Use and Territory Act 2002" which "sets out the procedures for the planning and use of the national territory, and establishes a hierarchy of national, regional and local land use plans".   As in many systems Korea has different kinds of planning regime focusing on regional development and economic goals and on spatial and land use matters. Specifically there is a tradition of adopting Five Year Plans which aim at achieving balanced national development and fostering and addressing social and economic development. There are also Comprehensive National Territorial Plans. These are effectively spatial plans which identify "long-range goals for the planning, use, development and protection of land" (Ryser and Franchini, 2008, 93). There is also a system of spatial plans which are prepared at other levels of government, notably the provincial and metropolitan levels and at the local level by municipalities.

As is the case in certain other contexts the Five Year Plan is produced by one ministry – the Ministry of Trade, Industry and Energy and the Comprehensive National Territorial Plan (CNTP) is prepared under the auspices of another ministry – the aforementioned Ministry of Land Infrastructure and Transport (MOLIT). The Ministry of Land Infrastructure and Transport (MOLIT) oversees policy in the following areas:

- Territorial and Urban/Architecture

- Housing and Land

- Construction and Water Resources

- Transport and Logistics

- Aviation policy

- Road and Railway

Source: MOLIT (2016a) http://english.molit.go.kr/USR/sectoral/m_29477/lst.jsp?STATE=T

The scope of the spatial planning which occurs under the remit of MOLIT concerns "land use, housing, transportation, urban development, the environment, and the construction industry" (Ryser and Franchini, 2008, 93).   A Comprehensive National Territorial Plan (CNTP) is adopted on a five yearly cycle with the most recent plan being the 4th. Comprehensive National Territorial Plan which runs for the period 2001-2020 (Korea Research Institute for Human Settlements [KRIHS], 2001). The CNTP has to address a number of key issues in the Korean context:
- Spatial disparities resulting from over-concentration of the Capital region
- Limited national competitiveness due to high costs and low efficiencies
- Degradation of environment and quality of life
- Social conflicts surrounding territorial policies

(Korea Research Institute for Human Settlements [KRIHS], n.d.)

The KRISHS, (n.d.) notes that in the period of the current 4th. CNTP territorial policies have gained in importance because of the role they might play in addressing key agendas around achieving balanced national development and competitiveness. Reflecting this key themes addressed in the plan are:

- Balance and Competitiveness - Emphasizing territorial balance and regional competitiveness
- Humanism and Sustainability - Emphasizing quality of life and environment
- Participation and Cooperation - Emphasizing participation and consensus building

(KRIHS, n.d.)

Summarising the goals of the current CNTP Future Saudi Cities Programme (2015, 33) note that it "seeks to further develop the concepts of decentralization, balanced regional development and inter-Korea cooperation, adapting them to evolving conditions such as global liberalization and the need for harmony between development and environment".   A revision of the 'Framework Act on National Territory' has introduced a mandatory five yearly revision of the CNTP. As a result it is the 2011 2nd. revision of the 2000-2020 CNTP which is currently in force (KRIHS, 2011). According to MLIT (2016) the Revised CNTP (2011-2020) has a number of key features in that it has:

- shifted over from mathematical sense of balance to regional development strategy that focuses on regional competitiveness,
- adopted a green growth strategy, and
- set out objectives to strengthen co-development within regions and dignity and openness of national land.

The Revised CNTP sets "Global Green National Territory" as its overarching vision for the nation and sets out four objectives:

Box 1 – Objectives of the Revised (2011) CNTP

Competitive and integrated national territory
The creation of a new framework of national territory on the basis of economic regions, specialized development and shared growth in each region must be encourages. Build an inter-Korea relationship based on mutual trust and respect to promote economic cooperation and territorial unification.
Sustainable and eco-friendly national territory
An eco-friendly national land will be created to save energy and resources and harmonize economic growth and the environment. Safe national land will be built free and safe from natural disasters such as floods and drought resulting from climate change.
Elegant and attractive national territory

Korea will enhance its dignity by taking advantage of historical and cultural resources while it builds an attractive national land where every person enjoys a decent quality of life by improving the domestic environment.

Open national territory

Korea seeks to gain a global foothold for openness to make a leap forward as an important basis for logistic, finance and exchanges in the Eurasia-Pacific region while also serving as the gateway to the Eurasia Pacific region by establishing infrastructure that connects Eurasia to the Pacific region (see Figure 1).

Source: KRIHS (2011) cited in Future Saudi Cities Programme (2015, 34)

Summarising the overall policy direction of the plan Future Saudi Cities Programme (2015, 32) notes that it:

> "…seeks to optimise Korea's location in the centre of Northeast Asia and support low-carbon green growth. It organizes the country into large specialized regions that aim to achieve economies of scale, and promotes cooperation amongst transnational boundaries, urban regions, metropolitan cities and provinces. This is complemented by measures in favour of improving living standards in medium-size cities, and the construction of new cities to mitigate population concentration and real estate speculation"

Figure 1 – The Korean Peninsula as a Gateway to the Eurasia & Pacific Region

Geoeconomic potential of Korean peninsula

Source: KRIHS (n.d.) http://eng.krihs.re.kr/publication/resreportsList.do?cate=1

According to MLIT (2016) the Revised CNTP promotes a number of strategies to "Strengthen regional specialization and wide-area partnership to enhance competitiveness of national land", "Create a nature-friendly and safe national space", "Create comfortable and cultural urban/housing environment", "Formulate an integrated network of green transportation and national land information", "Formulate land foundation of newly growing maritime nation open to the world" and "Formulate national land management which goes beyond national boundaries".

The Revised CNTP (2011-2020) seeks to address the issue of balanced urban and regional development and also unlock the development potential of different territories. In order to further this goal it introduces seven 'mega-regional economic zones' with identified industrial specialisms which are connected with and "complemented by supra-economic regions (belts) and 161 basic residential zones" (OECD 2014, 256). Echoing similar thinking in other parts of the world, for example in the European Union, such zones have been designated as a means of enhancing regional competitiveness by fostering connectivity and collaborative approaches between their constituent cities and provinces and also inter-regional cooperation (Future Saudi Cities Programme, 2015, 34). They also mirror wider attention in a number of countries to the issue of how to address the fact that inherited administrative geographies and boundaries do not always capture contemporary functional economic and spatial relationships.

Other than the Capital region with its 25 million inhabitants and Gangwon and Jeju, the regional zones introduced by the 2011 Revised CNTP vary in population size from 5 to 8 million people. They typically also include one to three large cities. Their development is to be promoted through an Economic Regional Development Plan (ERDP) which is overseen by an Economic Regional Development Committee. The ERDPs address issues relating to "industry, science and technology, cultural, infrastructure and institutional issues" which are important to city development (OECD 2012: 101 cited in Future Saudi Cities Programme 2015, 35).

The Mega-economic regional zones are connected by four Supra-Economic Regions (belts) which have a transnational dimension too, being intended to foster economies of scale to enhance international economic competitiveness. The belts are specialised around distinctive sectors. In the East Coast region, for example, energy, tourism and renewable energy are the focus; in the West Coast region the emphasis is on information technology, the automobile industry, logistics and creating an international business centre; the South Coast for its part is called to play a role in infrastructure, logistics, and developing coastal tourism hubs; finally, a central-zone is identified with a role in intra-Korean trade and a function of environmental resource preservation for the North-South Border region (OECD 2012: 102 cited in Future Saudi Cities Programme, 2015, 35)

As well as a focus on growth and development, the Revised CNTP (2011-2020) also seeks to improve both the national territory and domestic environmental conditions. To further this, the plan also gives development orientations for smaller and medium-sized cities in the provinces. This is in response to the fact that these are considered to have been overlooked in the previous more metropolitan focused development emphasis and policies.

The majority of the so-called 161 Basic Residential Zones, or 'Basic Living Spheres' mentioned above make their own development plans. These include strategies to pursue a form of endogenously inspired territorial development that capitalizes on "local industries using local endowments, leveraging cultural and historical assets and establishing a collaborative system by networking local communities and organisations" (Future Saudi Cities Programme, 2015, 35).

The Revised CNTP (2011-2020) also continues the Korean territorial development strategy of constructing news settlements in the form of New Towns. These have been built since the 1960s with varying foci for their development e.g. industry, administration, or innovation. The 'version' of new settlement promoted in the Revised CNTP (2011-2020) is the innovative city. It is proposed that ten such cities be developed in regions outside the Capital Region through a bringing together of "public agencies, enterprises and universities" (Moon, 2012 cited in Future Saudi Cities Programme, 2015). Also as OECD (2014, 256) notes:

> "Following several attempts to delocalise capital city functions, a "special self-governing city" called Sejong opened officially in July 2012, about 120 kilometres south of Seoul. By 2015, it is expected to host 36 government agencies and 500 000 inhabitants".

However, the policy of constructing new settlements has also been criticised in some quarters. Reflecting this OECD (2014, 256) notes that in 2013 a new administration "announced stronger support for prioritising development in existing built-up areas over new towns to better connect

land use and urban plans with environmental programmes" and "Recent initiatives attempt to redefine the direction of land policy through urban regeneration rather than by the expansion of suburbs and to support organised land planning through spatial analysis techniques".

As noted earlier, Korea also has a tradition which dates back to the 1960s of adopting Five Year national development plans which aim at goals such as balanced national development, enhanced regional competitiveness, better living standards and development that "suits regional character" (MLIT, 2016). The Five Year plan is also tasked with "promoting interregional cooperation and partnership" (MLIT, 2016.) and under the administration of Lee Myung-Bak (2009-2013) also identified "three specific zones (basic living zone, wide-area economic zone and super-wide living zone)" (MLIT, 2016.).   The latest Five Year Plan for Regional Development has two main goals of improving the quality of life for the residents of regions and employment generation. The new process is also marked by a less centrally dominated approach with local governments and residents being encouraged to "take the initiative of regional development by themselves" (MLIT, 2016.). This is underpinned by the notion described by MLIT (2016.) as "region-customized", which perhaps reflects an approach akin to the endogenous territorial development models which have also risen to prominence in Europe over recent decades (O'Brien et Al., 2015). In contrast to previous Five Year plan preparation processes there is now cooperation between central and local government. In terms of substantive themes, MLIT (2016) sees the plan as being broadly based around the following areas:

(1) Vitalization of regional living areas

(2) Creation of regional employment

(3) Improvement of educational environment

(4) Flourishing of regional culture

(5) Welfare and medical services without blind spots

(MLIT, 2016)

The plan also has a spatial component and designated 56 regions as "living areas of happiness" promotes measures for the *"enhancement of infrastructure such as enhancement of water and sewerage system in agricultural and fishery villages and increase of neighborhood parks"* and *"also funds for economic development"* are *"going to be injected for projects such as development of town enterprises, promotion of regional employment by creative industry, etc."* (MLIT, 2016)*.*

In summary the scope of territorial development policy in Korea is wide and incorporates goals of achieving regional development and balance and spatial/land use goals. In terms of categories often employed in European debates on spatial development and planning the system (CEC, 1997) the system can be seen to incorporate elements of the Comprehensive Integrated, Regional Economic Planning, and Land Use Management traditions. Silva and Acheampong (2015, 19) note the dynamic evolution of the planning model and how:

> *Korea's new planning system adopted the comprehensive planning approach concerned with broad visions, co-ordinated by a hierarchy of plans from the national to the local levels of planning (OECD, 2012). There is also a strong emphasis on regional economic planning at the provincial, metropolitan and 'capital region' levels as well as on 'special development regions'*

As in many planning systems the interplay between forms of economic development and regeneration based planning/programming and spatial/land use planning is important, notably in terms of how objectives and outcomes of each of these policy areas are reconciled in practice 'on the ground'.

2.3.2   Agencies of Planning

A number of different national actors and agencies are responsible for the policy systems described in section 1.

Table 1 - Governmental Organisations in charge of Territorial Development Policy in Korea

Program name or administrative field	Organizations	Webpage
Comprehensive National Territorial Plan, Capital Area Development Plan	Ministry of Land Infrastructure and Transport (MOLIT)	http://www.molit.go.kr/portal.do
Promotion of enterprise city policy	Ministry of Land Infrastructure and Transport	http://www.molit.go.kr/portal.do
Five-year plan for Regional Development	Ministry of Trade, Industry and Energy	http://www.motie.go.kr/

Source: MLIT (2016)

http://www.mlit.go.jp/kokudokeikaku/international/spw/general/korea/index_e.html

The overarching goals of MOLIT in 2016 are set according to an overall work plan:

Figure 2 – Work plan of the Korean Ministry of Land Infrastructure and Transport, 2016

Source: MOLIT (2016a) http://english.molit.go.kr/USR/WPGE0201/m_33147/DTL.jsp

In the field of 'Territorial Policy and Urban Architecture' the goals are to:

Box 2- Goals in the Fields of Territorial Policy and Urban Architecture

Promote regional balanced development, beneficial to all citizens   - Revitalize local economy by 'building a hub city in each region'   - Strengthen self-sufficiency of Sejong city・Innovative cities, implement regional growth hub development projects such as Jeju Free International City and Saemangeum, etc.   - Develop Seomjin river side to 'integrate east and west parts of the country'   - Develop a 'leisure and tourism belt' in coastal and inland areas
Develop industrial complexes into an incubator for creative companies   - Improve companies' production environment by re-creating outworn industrial complexes   - Support industrial complexes that attract future creative companies   - Enhance residential environment to invite more talented human resources to industrial complexes
Prevent excessive・unplanned development of territory   - Consider environment plans in territorial and urban planning   - Integrate or abolish overlapping regional development institutions of MOLIT   - Introduce the real-name system of the highest-level development project decision-making official

Source: MOLIT (2016b) http://english.molit.go.kr/USR/sectoral/m_29477/dtl.jsp

Meanwhile in the field of Housing and Land policy a number of goals are pursued to 'Establish an advanced and rational land use system'. These are to:

Box 3 – Goals in the fields of Housing and Land Policy

Introduce an advanced land policy that promotes rational land use and development

- Support for normalizing the land market by adjusting land transaction permitted areas
- Improve the irrational land compensation system and expand compensation for any inconvenience in daily life
- Promote systematic land use by temporarily reducing development impact fees on designated areas for development

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Promote new town development that stabilizes residential land supply and responds to growing demand

- Secure stable supply of public housing and build houses fit for local conditions
- Respond to changes in recent demand for housing and market conditions through institutional improvement

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Upgrade real estate services and the industry

- Support "house poor" through REITs of rental housing
- Revitalize real estate development by introducing a reliable evaluation system
- Improve the efficiency of real estate price announcement and the appraisal industry

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Source: MOLIT (2016c) http://english.molit.go.kr/USR/sectoral/m_29486/dtl.jsp

Silva and Acheampong (2015, 12) class Korea as a decentralised unitary state. At levels below the national state, there are provincial-level municipalities, city-level municipalities, and lower administrative units (Figure 1).

Figure 3 – Structure of Territorial Administration and Governance in Korea
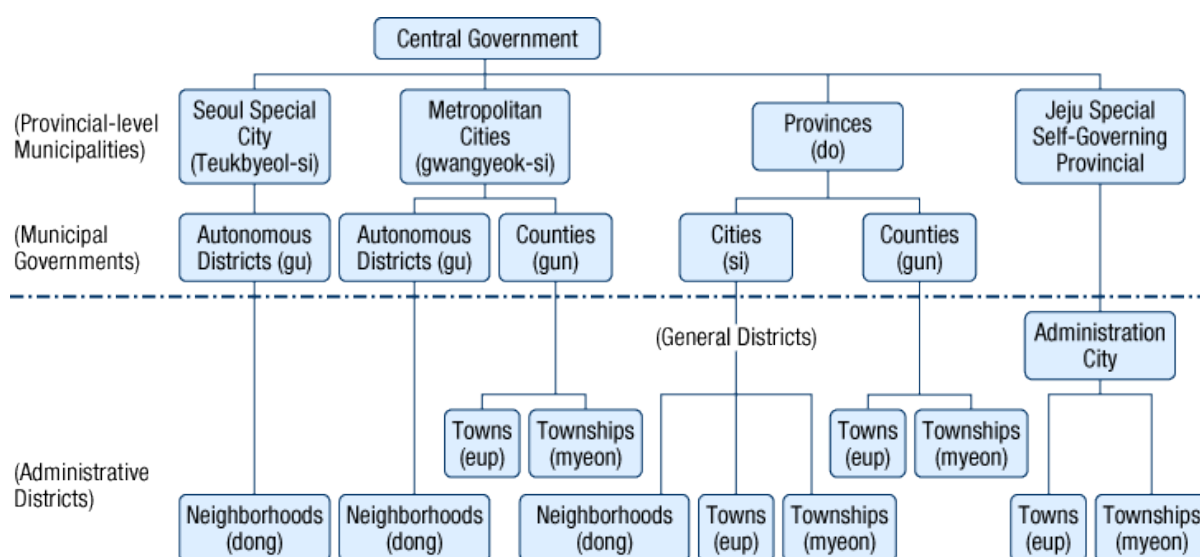
Source: MLIT (2016)
http://www.mlit.go.jp/kokudokeikaku/international/spw/general/korea/index_e.html Based on: MOLIT (2008)

According to OECD (2014, 256) central government has also being encouraging municipalities to merge "in the hopes of achieving economies of scale" with the first example of this being in 2010 with the merger of three cities Masan, Jinhae, and Changwon into a new area Machangjin (마창진[JSK1]) (MLIT, 2016.). In terms of the hierarchy of plans, the planning system (Figure 2) reflects the administrative and governance system outlined above and the approach to planning mentioned in Section 1 above with three key levels of plan:

- National level Comprehensive national territorial Plan (CNTP)
- Regional level Do (Province) comprehensive plan
- Local level Shi / Gun (City / County) comprehensive plan

(KRIHS, n.d.)

Silva and Acheampong (2015, 13 citing OECD, 2012) note how a *"new three-tier territorial framework adopted by Korea grants multi-level plan formulation competences to local governments and aims to achieve co-ordination among national and sub-national authorities in plan formulation and implementation"*.

Figure 4 – Structure of Territorial Planning Scales and Instruments

Framework Act on National Territory

- Comprehensive National Territorial Plans
- Comprehensive province plans

Regional plans
- Metropolitan city development plans
- Capital area development plans
- Special region development plans
- Other regional development plans required by law

Sector plans
- National harbor plans
- National airport plans
- National road network plans
- Long-term comprehensive water resource plans
- Major state traffic route plans

Comprehensive National Territorial Plan

Comprehensive city-level plans (Urban plans)
- Metropolitan city plans
- Basic urban plans
- Urban management plans (Applicable nationwide)

Plans by administrative unit

Urban areas | Managed areas | Farms and forests | Nature preserves

Source: MLIT (2016)
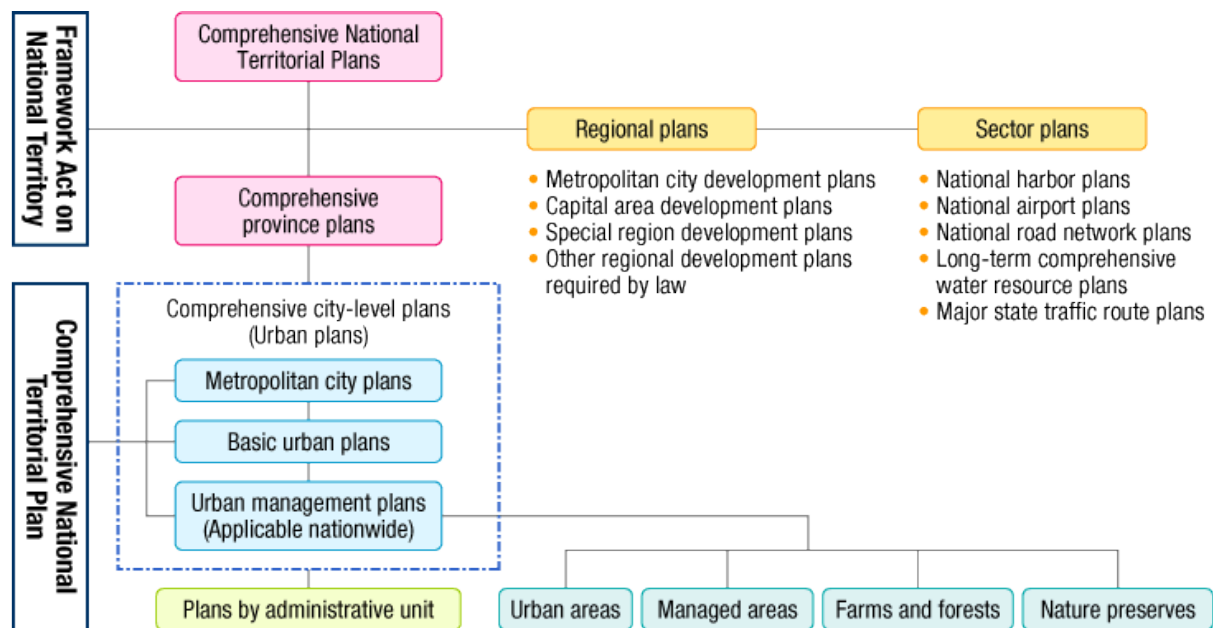**http://www.mlit.go.jp/kokudokeikaku/international/spw/general/korea/index_e.html** Based on: MOLIT (2008)

As can be seen, there are additional Regional Plans for some regions and Sector Plans for certain sectors (MLIT, 2016). These include the National Transport Network Plan and Housing Plan. There is also a structure of regional plans related to the CNTP these are termed variously as 'Wide-area Development Plans', 'Wide-area Urban Plans' and 'Urban Plans', in which lower ties of plan have to be in accordance with the higher tiers. There is also a Capital Area Development Plan for the Seoul region. These plans seek to provide more guidance across wider areas and to address issues that cross administrative boundaries. 'Wide-area Urban Plans' outline planning goals for more than two adjacent cities at an inter-municipal level. According to MLIT (2016) in 2014 there were 12 areas in which such plans were under preparation, including the Capital Region, Busan and the newly created Machangjin area mentioned above. The Capital Area Development Plan (2006-2020) establishes key principles regarding the overall pattern of development in the capital and construction of

infrastructure and facilities in the area. The current plan is the third of its kind (2006-2020) and overrides other land use plans, development plans and regulations in the area it covers (MLIT, 2016). This plan is prepared other laws and regulations in place in the area involving land use plans and various development plans. In fact, it forms the basis of those laws and regulations. Ministry of Land, Infrastructure and Transport (MOLIT) prepares the plan which is then passed to a Capital Area Development Plan Committee which the Prime Minister chairs which then finalizes it (MLIT, 2016).

2.3.3   Plan and Policy Making

The production of the successive CNTPs (1972, 1982, 1992 and 2002) has been undertaken collaboratively between national and local governments. A key feature of the process of preparing the CNTPs has been the role of the KRIHS. This has been in existence since 1978 and plays a key role in the generation of evidence to support the CNTPs, the plan-making process and the subsequent monitoring of implementation. It has been recognised that the investment of establishing the national expert-support system such as KRIHS has strengthened the policy decision-making process and procedural democracy in determining the strategic directions. For example the National Territorial Planning and Research Division of KRIHS focuses on "national territorial and regional planning and policies, the future of the national territory, the Korean Peninsula and Northeast Asia, policies regarding the Seoul Capital Region, regional economies, regional development and industrial location, and policies on water resources and river basin management" (KRIHS, n.d.). As well as undertaking this work it is also dedicated clearly to "The establishment of a comprehensive national territorial plan for the balanced and sustainable development of national territory" (KRIHS, n.d.). The CNTPs have made continuous efforts to develop plans to accommodate the change of social values. For example, in the 1980s, environmental conservation issues had been emphasised, and this was translated to the concept of sustainable national territorial development in 1990s, and green growth in the 2000s (KRIHS, 2013). Recently there has been an attempt to introduce a more inclusive and bottom-up approach with more input from citizens and local governments and different scales. The elaboration of the CNTPs follows a typically plan-making approach in which policy and project proposals are put forward by various partners (e.g. central government agencies, or metropolitan councils) to the Ministry (MOLIT) and a draft plan is produced which is examined in public and revised in light of comments received. The central government has played a leading role in the development of the CNTPs in Korea. This might have improved the efficiency and consistency of the administrative enforcement system between the central and local governments. However, it is arguable whether the legislation system of plan and policy making allows extensive involvements from wider stakeholders in the process (Figure 5).

Figure 5 – Process of Plan Making (CNTPs)
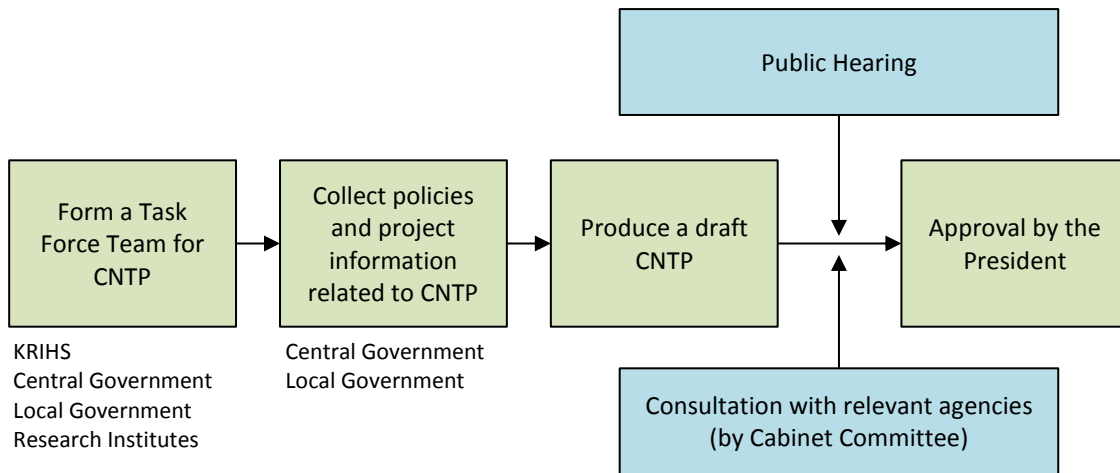
Source: Moon (2015)

A comprehensive involvement of local governments is essential for the national and local plan making, as both plans must deal with local issues and interests. Although the local plan making is delegated to local governments in the process of planning policy legislation, the central government has the final approbation of territorial plans. While the local government council, which involves a membership of locally elected representatives, have a right to submit their opinions in the planning process, it is not clear how the planning system can assure those collected local opinions are reflected into the final decision of the plan (Lee, 2005). In this context, there is a longstanding debate on the public participation practice in the plan making process. Although it is a mandatory requirement to organise a series of public hearing to involve local communities and expert groups in the policy-making process, there is a fundamental argument on the limitation of public hearing as a tool for public participation. The National Land Planning and Utilization Act (2016: Article 28) states that local communities must be consulted in the plan making process, and their opinions shall be taken into account when it provides adequate grounds. It is difficult to conclude that the CNTPs allow a wider channel for the involvement of the local interest groups. The CNTP must be debated politically too by the "Cabinet Committee before being approved by the President and released to the public" (Future Saudi Cities Programme, 2015 citing Moon, 2012).

3 REGULATING DEVELOPMENT

The process of development control is managed through the urban development plans that are produced by municipalities. These regulate land use and "plot ratio zoning to regulate the development and use of land" (Ryser and Franchini, 2008. 93). There are some key examples of strong planning in some areas such as the well-known Green Belt policy around Seoul (Silva and Acheampong, 2015) which, in-keeping with such policies elsewhere has had mixed economic and distributional effects (Bae, 1998), but without which according to Bengston and Youn, (2006) "Seoul would have lost much of its rich natural heritage and essential ecosystem services".

3.1.1 Implementation

Implementation is the responsibility of various agencies and office holders from the national to the local level. As already indicated above, nationally the CNTP falls under the remit of MOLIT and the relevant minister with political sign-off depending on the President. At province level the implementation of the Province Comprehensive Plan is under the purview of the Provincial Governor with approval for plans being needed from the Minister responsible for MOLIT. At the scale of Metropolitan area comprehensive plans city mayors and the relevant Provincial Governors are responsible sharing oversight with the Minister for MOLIT who also needs provide the final sign-off for the plans. At Urban Master Plan level the leads for implementation are the City Mayor, County Governor and where relevant Metropolitan City Mayor. Plans at this scale are signed-off by the Provincial Governor and the relevant Metropolitan city mayor. Finally, at the scale of Urban Management Plans the City Mayor and County Governor are responsible for implementation with approval for plans being needed from the Provincial Governor. Although the national and local plans must to be approved by central and local governments, many plans have been prepared by research institutes, universities, or private planning firms. As can be seen the implementation process depends on a system of multi-level competence sharing and approvals. Yet some commentators (Future Saudi Cities Programme, 2015, 32) note how "Despite decentralization efforts, implementation remains significantly more centralized than in many other countries, reflective of The Republic of Korea's culture of strong leadership". The financial autonomy of local government still remains limited with a continuing dependence on central government funding. But as noted above, there are also moves to try and stimulate greater involvement in the planning process from local government and citizens. Silva and Acheampong (2015, 15) place Korea in the category of OECD member states where competences for spatial planning are shared between national and subnational levels.

The delivery of the CNTPs is closely associated with the organisational relationship between public and private sectors. At national level, the form of public corporation has been employed to implement the goal of the CNTPs, such as: land development and housing construction (Korea Land and Housing Corporation, LH); road infrastructure (Korea Highway Corporation); water resource management (Korea Water Resources Corporation); and rural development (Korea Agricultural and Rural Infrastructure Corporation). Those public corporations are public-led initiatives established by the central government to bring market-led approach to the development investment and management. The public corporations have played a significant role in delivering the policy goals of the CNTPs by implementing large-scale projects associated with the strategic direction of the CNTPs. The development of smart cities is one of examples in this context.

Many cities around the world have employed ICT (information and communication technology) in urban development and management in their own practical ways. The practice of smart cities in South Korea has developed in a particular form as a series of 'U-City' projects. The term U-City (Ubiquitous City) has been widely used in place of smart cities in South Korea. In order to support and facilitate U-City projects, the central government approved legislation on U-City construction and development in 2008 (Ministry of Land, Infrastructure and Transport, 2013). This national legislation allows local governments to establish their U-City development strategies publicly and apply for the national funds accordingly. According to Kim (2015), U-City projects in South Korea have been implemented by public corporations, focused on public sector services, and applied to large-scale new urban development projects. Public corporations have led the implementation of U-City projects, and played the role of developers in the development process. As the project is

publicly funded, local governments have been responsible for the approvals throughout the development process. However, as public corporations are profit-seeking institutions, there have been difficulties in balancing between public goals such as social inclusion and a developer's profit-related interests. Due to the cost apportionment, the construction costs of ICT infrastructure in U-City projects needs to be covered by the profits from large-scale real estate development projects. Because of this, U-City projects have been implemented in a particular geographical area, such as newly-built urban fabric, rather than in existing urban areas where require more attentions.

3.1.2 THE CAPACITY TO DELIVER THE OBJECTIVES OF THE SYSTEM

In general terms there is some international recognition and praise of what has been achieved in Korea around the model of national territorial planning outlined above. For example, Future Saudi Cities Programme (2015) observe that "The combination of strong, state leadership coupled with high technical and professional level in the planning sector is seen as a key success factor of The Republic of Korea's territorial development strategies". The same report emphasises the culturally rooted nature of the model that has been used, noting that "This Confucian tradition is viewed as favouring an authoritarian culture of leadership, well-established rules and a highly organized and motivated government" (Future Saudi Cities Programme, 2015, 38). This reminds us of the importance of planning cultures and directs us to consider the degree to which a model which has proven to be successful in tackling a range of ostensibly 'universal' planning issues in one context (e.g. balanced regional economic development, environmental protection, infrastructure, sprawl, climate change, housing etc.) might be applicable in another context. As UN HABITAT (2009, 47) reminds us;

> *An important lesson from the experience of modern planning is that planning approaches which have been shaped by a particular context, should not be considered as models and imposed uncritically on very different contexts. While planning has common purposes, tasks and types of tools throughout the world, the form these take will always be shaped by the social and cultural norms of particular places.*

Furthermore, in Korea itself there are also some indications of a dynamic of change in the planning system(s). According to Ryser and Franchini (2008, 93) there has been "Growing concern at the complex inflexible nature of the planning system". The planning system has also been expected to cope with very rapid development which has at times and in places overwhelmed it. Some more recent processes designed to reform the way that the system such as decentralization have proven problematic according to some commentators, how point to issues such as the reliance of local culture on "nepotism" (Ryser and Franchini, 2008, 93). In terms of the capacity of the system to deliver against its substantive objectives, according to MLIT (2016):

> *During the period of economic growth, despite the implementation of Comprehensive National Plan and policies to prevent overconcentration in the capital, concentration to the capital area continued which led to traffic problems, rapid increase of housing prices and congestion problem in the capital area such as environmental problems. Also, disparities between the regions and between the levels of urban hierarchy remained, thus regional*

deviation in major development indicators had been an issue to be solved. In the 2000s, climate change worsened internationally, and domestically, comprehensive strategy for national land and urban area taking in account environmental and economic aspects is required due to the declining birth rate and the aging of society and change in economic structure.

Meanwhile echoing this analysis, the Korea Research Institute for Human Settlements (n.d.) sees the challenges which the 4th. CNTP seeks to address as being:

- Spatial disparities resulting from over-concentration of the Capital region
- Limited national competitiveness due to high costs and low efficiencies
- Degradation of environment and quality of life conflicts surrounding territorial policies

Similarly, Wu (2017), in discussing the experience of the 'shrinking' formed mining area, Gangwon Province notes how:

the overall pattern of regional development over the last two decades in Korea continues to be one where Seoul, the Capital Region and a few others dominate the national economy and there is no sign this is diminishing. The focus of national economic development is on innovation and high-tech industries which rely on excellent communication and transportation, proximity of higher education, training and research and quality of life. These conditions are not available in the former coal mining areas.

In tackling such issues Future Saudi Cities Programme (2015, 38) emphasises that:

In order to achieve more harmonious development, The Republic of Korea will need to address the economic disparities between regions and sociodemographic groups by redressing the disconnect between centrally derived planning objectives and the actual development outcomes of regional and urban areas.

Themes of centralism versus decentralization and deconcentration seem to be prominent in debates about the future evolution of the system with a desire to see "development system led by the central government" to a "development system driven by the local governments and private sector" (KRIHS 2011:66 – cited in Future Saudi Cities Programme, 2015, 36). In the meantime some have categorised Korea as having weak vertical and horizontal co-ordination in spatial planning with Silva and Acheampong (2015, 31-32 citing OECD 2012) observing that:

multi-level co-ordination in Korea is a major challenge given the many plans (spatial and sectoral) that are formulated at different spatial scales, and a history of weak co-operative relationships among local governments who may see each other as competitors rather than as potential partners in development (OECD, 2012).

They go on to note that:

Even though a Presidential Committee for Regional Development (PCRD) was established in 2008 as the main national body for resolving inter-ministerial issues, setting strategic direction and prioritising investment in nationally significant regional development projects,

it lacks the statutory power to make and enforce policies as well as determine priorities among matters administered by different ministries (OECD, 2012).

Clearly making the suite of planning instruments represented in Figure 4 above work in a coordinated fashion across different scales and sectors is quite challenging in practice.

More positively it is clear that the kind of planning which has been pursued in Korea also has some strengths. The 'Open National Territory' idea reflects an ambition and strategy to act as a link or gateway between Eurasia and South-East Asia. Internally too the policy goals being pursued through the latest revision of the CNTP seek to address the development issues which the nation has faced through the policy of identifying and fostering specialised regions "supported by a network of large to small cities, and zoning regions in an effort to create economic clusters" (Future Saudi Cities Programme, 2015, 3). There is a clear concern to address issue of regional disparities through this strategy "of creating networks of cities is intended to drive polycentric urban development and widely distribute economic and employment opportunities "(Future Saudi Cities Programme, 2015, 3). Silva and Acheampong (2015, 34) also note that with a formal system of spatial planning being in place at the national level, there is an articulation between national level spatial planning policy and perspectives and environmental protection and biodiversity conservation "priorities which are grounded in the principles of sustainable development". They also note that there is a growing attention to Green Infrastructure Planning (2015, 35). Finally, it is also clear the Korean system remains dynamic in confronting ongoing challenges and seeking to respond to previous shortcomings. As in a number of states globally Korea is seeking to promote processes of decentralisation and greater policy involvement and ownership amongst the public, civil society and sub-national levels of government with an enhanced capacity to govern.

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3.2 LESSONS AND REFLECTIONS

The international case studies illustrate several key points in terms of how planning as an activity has and is constantly changing, we are not in this reporting one system is better than another, but rather use the systems to reflect of broader principles, ideas and themes that may be of relevance to the reform process within the Kingdom of Saudi Arabia. Furthermore in the Baseline Report and These ideas are listed below and can be elaborated if necessary:-

- Most planning systems in the world are constantly in a process of being reviewed and refined in terms of their priorities. As the pace of change in global economic systems then planning at a local level needs to respond to these challenges and opportunities in more flexible dynamic ways;
- Planning does not seek to control development. Instead it seeks to steer or guide or manage development. It is seen to work best when it works in partnership with key delivery agencies/sectors, whether housing or economy but also respecting infrastructural and environmental limitations;
- As well as aligning with other interests and partnerships many of the systems in the West are based on principles of openness and transparency in decision making, increasingly facilitated by e-governance, which in turn , it is claimed helps to promote trust in the system and perhaps counter-act perceptions of corruption;
- Successful planning systems both in England and the Netherlands seem too based upon a significant number of individuals working in this area, often within the public sector though not exclusively. That said many of the public sector planners are coming under increased pressure to deliver and their value is being questioned;
- Nevertheless many public sector bodies are increasingly able to charge for planning services, through fees, on a cost recovery basis;
- In most countries the planning Acts define the procedures and objectives of planning instruments and these are often complement by various guidelines which describe in more detail the processes, content and priorities for planning. Whilst principles for planning can be binding the courts play an important role in clarify how these rules should be interpreted and applied in practice;
- Planning's power, responsibilities and influence is often shaped by other legislation with which it has to interact;
- Lots of planning powers and responsibilities are given to the local administrative level. In some cases, such as the Netherlands it is devolved, in others e.g. England it is decentralized, but often higher levels of government retain oversight by either scrutinsing the plans before approval and or maintaining a veto by ensuring that local plans do not interfere with national priorities;
- Furthermore whilst the goals of national policy might still be based around social principles of more balanced territorial development the method of implementation seems to be increasingly devolving responsibility to the local level and promoting regional/sub-regional competitiveness, smart specialization, driven by locally identified growth opportunities facilitated by the centre;
- There has been a rapid move away from legally binding blueprint, or masterplans, towards a system where by plans which may still have legal effect are more flexible, adaptive and

responsive to changing circumstances. Hence there is a growing expectation that plans once prepared will be reviewed and revised on a much more regular and frequent basis;

- The challenge of managing functional areas (most notably city regions) rather than administrative areas is a challenge most systems are facing, either through reforming the administrative boundaries of local government (either through voluntary merger, creating new higher tier authorities with planning responsibilities) and/or requiring neighbouring authorities to collaborate are all being experimented with I different countries.

Learning from International Best practice

GROWTH MANAGEMENT CASE STUDIES

STURZAKER JOHN AND BRODIE KEN

1 INTERNATIONAL CASE STUDIES: MANAGING URBAN GROWTH

With the local international case studies our approach is to focus on thematic issue and think about the role that planning (broadly defined) plays in helping to deliver desirable outcomes and/or try to address undesirable consequences resulting from planning activities. In this case the thematic cases can be divided in two.

First there appears to be serious concerns regarding the extent of sprawl in Saudi cities caused in part as a result of the way urban growth boundaries have been defined and subsequently extended. This has resulted in vast tracks of white land lying vacant within the built up areas and equally dispersed fragmented and irregular development serviced land beyond the urban fabric itself. Consequently municipalities are facing the twin challenges of phasing development and regulating sprawl. So two of the local case studies focus on dealing with this issue. Drawing on North American experiences, we will focus on redrawing of urban boundaries (Portland) and Smart Growth (Toronto).

Each case study is slightly different but focuses on common themes:

- Identification of the problem or new desired outcome
- The planned interventions
- Critical actors involved in delivery
- The outcomes
- Reflections and Lessons learnt

A concluding section will identify common themes, differences and the most important messages for the Kingdom of Saudi Arabia. It is important to remember that no planning system can be described as perfect, either "internally", i.e. in terms of delivering all the objectives of the system to the satisfaction of those involved; or "externally", i.e. in terms of an external assessment against themes such as those contained in the UN-Habitat principles of good urban and territorial planning (UN-Habitat 2015). Similarly, the planning and governance context in any case study will not be identical to the Saudi context – every place and its planning system is different, some perhaps ostensibly dramatically different from KSA.

This issues, lack of perfection and contextual difference, do not however mean that lessons cannot be learned from examples of planning tools used elsewhere – in this paper we have tried to focus not on the specific details of implementation, though these are referred to where appropriate, but the broader "structural" aspects of the cases which might suggest changes which could profitably be made to how planning operates in Saudi Arabia.

1.1 PORTLAND, OREGON, USA

1.1.1 Identification of the problem

1.1.1.1 The problem of urban sprawl

Uncontrolled urban growth has been identified as a problematic issue in many contexts over the last 100 years or more – in England/the UK, arguably the first country to industrialise and hence urbanise, concerns were raised as far back as the Fourteenth Century (Sturzaker & Mell 2016). But it was in the mid Twentieth Century that the perceived problem reached a scale where action was taken at the national (and in the context of the USA, the state) level in many countries. The post-war economic boom had led to unexpected population growth, at the same time as car ownership came within the reach of the average family as real per capita incomes increased. These factors, amongst others, led to the demand for housing outside the traditional urban cores of cities across the world. Where controls on development were not in place, this led in turn to urban sprawl, with urban areas growing rapidly, through low density development.

In the UK, this led to the introduction of green belts, instituted in 1955 with the aim of preventing 'the further unrestricted sprawl of the great cities' (Ministry of Housing and Local Government 1956, p. 55). In other countries similar policies were adopted throughout the latter half of the Twentieth Century – including in Melbourne, Australia in 1954 (Buxton & Goodman 2003) and South Korea in 1971 (Bengston & Youn 2006). In the USA too, attempts to control urban sprawl were introduced, though because urban planning decisions are delegated to the state level, and indeed often to the municipal level, such attempts were, and continue to be, fragmented and poorly coordinated (Schmidt & Buehler 2007). One early example was in Boulder, Colorado where a green belt was put in place in 1967 via the purchase by the city, financed through a sales tax, of large areas of undeveloped land around the perimeter of the urban area (Correll, Lillydahl & Singell 1978).

1.1.1.2 Urban sprawl in Oregon

Oregon, particularly Portland, its largest city and a desirable place to live, was also seeing rapid population growth and urban sprawl at this time. 'During the 1950s and 1960s, unprecedented population growth in western Oregon raised concern for the loss of forests and farmlands to development' (Kline & Alig 1999, p. 4). The population of Washington County, Portland (the western half of the Portland metropolitan area) was growing rapidly, from 92,000 in 1960 to 246,000 by 1980 (Nelson 1988), with concerns over the environmental impacts of this.

The introduction of Oregon's policy of Urban Growth Boundaries (UGBs) was down in large part to one individual, Governor Tom McCall (1967-75). 'With a coalition of farmers and environmentalists, McCall persuaded the Legislature that the state's natural beauty and easy access to nature would be lost in a rising tide of urban sprawl' (Metro 2015b). In 1973 Oregon Senate Bill 100 was signed into law, creating the Land Conservation and Development Commission (LCDC), and an accompanying State Department. The Bill required each urban area to adopt an UGB, manage its urban land carefully, and protect natural resources.

In response, the Portland UGB was proposed in 1977 and approved in 1980 (Jun 2004). Figure 1 (overleaf) shows the UGB in September 2015, with its coverage mainly on three counties (boundaries shown as black lines on the map) – Multhomah (to the north east); Clackamas (south east) and Washington (west).

Figure 1 – Portland UGB in 2015 (source: Metro (2015b))
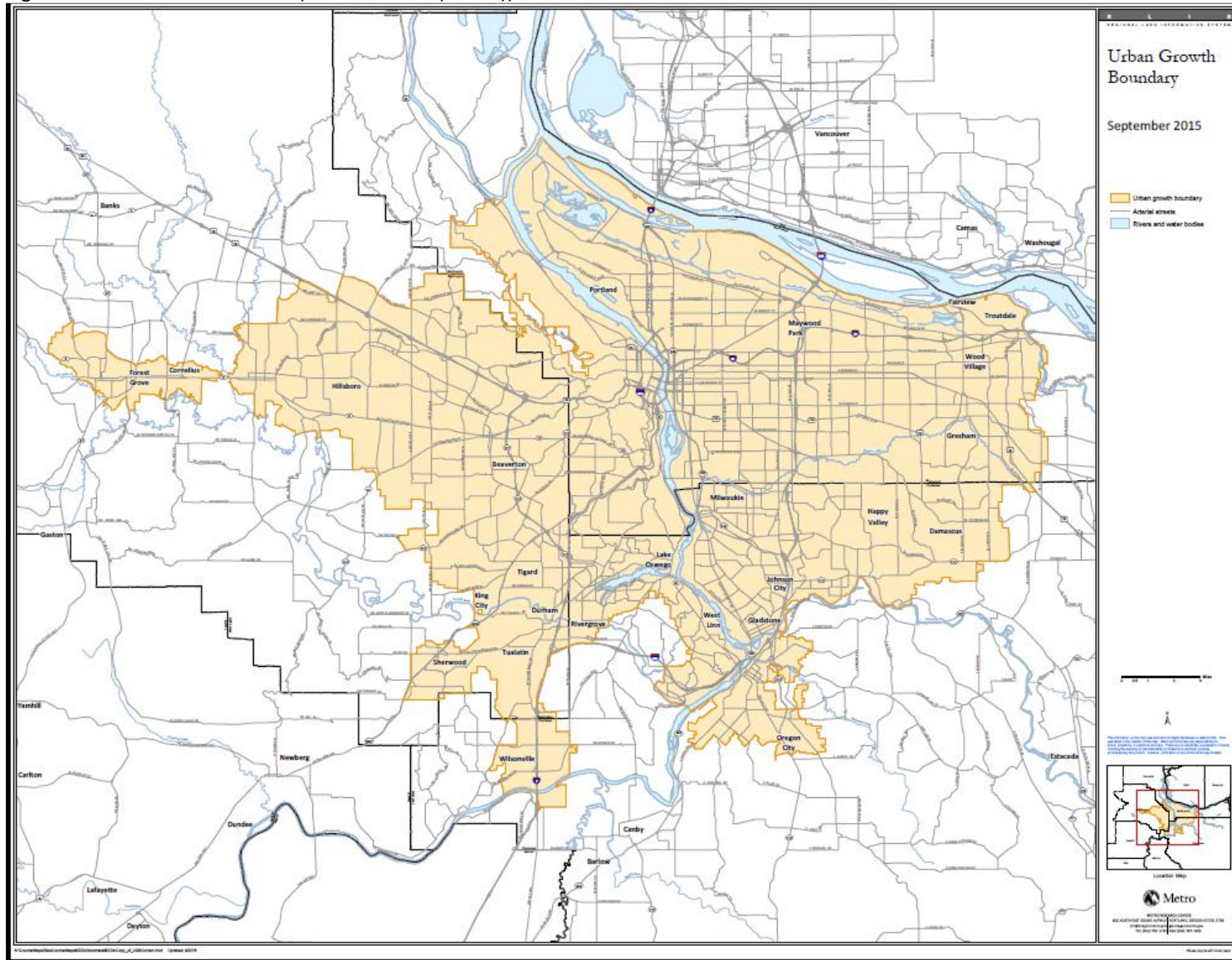
1.1.2 The planned (and implemented) interventions

1.1.2.1 Key policy interventions

A number of aspects of the Portland UGB are worthy of note.

Firstly, the Portland UGB is a policy designed at the level of the functional urban area, which for Portland covers many local authorities (see below for more discussion of how these areas work together). The Portland functional area, now managed by the *Metro* regional authority, includes all such local authorities within the State of Oregon. As discussed below, some of the urban area is part of the adjoining State of Washington so is not included, but an important aspect of the policy's success is that it works across municipal boundaries. This is unusual because, as noted above, urban planning in most States of the USA is delegated to the municipal level, whilst 'the role of higher levels of government in the planning process is still challenged' (Schmidt & Buehler 2007, p. 59).

A second important aspect of the UGB as a policy is that it focuses not on *where* and *how* development can take place, but *when*: 'only land inside a UGB can be converted to urban use before a specified date; land outside a UGB is preserved for nonurban use until after the same specified date' (Knaap 1985, p. 26).

Thirdly, the policy is not about *preventing* development, rather *controlling* it (Nelson & Moore 1993) – to that end, the UGB can be expanded to meet the needs of the city. This is in accordance with the policy of the state – 'Due to the political consequences of enacting a statewide policy of restricting growth, policymakers were particularly keen to incorporate additional policy levers to ensure that urban containment does not constrain the supply of land for housing and economic growth' (Dawkins & Nelson 2002, p. 7).

There are three coordinated measures used to manage the UGB. The first is phasing development within the UGB 'to encourage contiguous development inside the boundary by building only on open land that is adjacent to existing development' (Jun 2004, p. 1334). This is done through zoning land. The second is strictly limiting development outside the UGB, again by zoning. The third is expanding the UGB as necessary (see below for how this is done). An example of how zoning works in relation to the UGB is the approach used in Washington County. There, land beyond the UGB, forming a green belt, is preserved via a zoning system, with land designated as "exclusive farm use" or "exclusive forest and conservation" use, within which use for residential land is not allowed. Beyond this, development was limited through the use of minimum lot sizes of 5, 10 and 20 acres (2, 4 and 8 hectares respectively) (Nelson 1988).

1.1.2.2 Key implementation interventions

Permission to develop land is implemented through the issuance of permits by local governments. The Metro monitors this, and every six years produces an *Urban Growth Report,* including forecasts of population and employment growth over the next 20 years. If there is sufficient capacity within the UGB to accommodate growth for the next 20 years, no changes are made. If not, then the first priority is to

work with local authorities to 'enhance the efficiency of land inside the existing boundary to accommodate more growth' (Metro 2015b), through increased densification, redevelopment of previously developed land, or investment in public transport. If these mechanisms are not successful, the boundary of the UGB can be expanded, by including land in the following order of priority (ibid.):

1. Urban reserve land. Urban reserves are areas of land designated as long-term expansion areas (over a 50 year time horizon). The Council also designates rural reserves, within which development cannot occur over a similar time period. These designations were introduced in 2007, to add clarity over the long term plans of the Metro.
2. Exception land. This includes land adjacent to the UGB that is not agricultural or forestry use and not otherwise designated.
3. Marginal land, specific to Washington County. This is land which has been allocated for low density housing land (see above).
4. Farm or forest land. Here, priority is given to land of lower quality/productivity.

It is possible to expand the UGB within the six year cycle, but 'this rarely happens'. Examples for possible justifications include 'immediate regional economic needs' (ibid.).

1.1.3   Critical actors involved in delivery

1.1.3.1   Who were the critical actors?

From the public sector perspective, the critical actors in the Portland UGB, and indeed the Oregon planning system, operate at local, regional and central (State) level. The State's planning authority (the LCDC) enforces goals and guidelines. 'The plans themselves, however, are drafted, reviewed, redrafted and enforced at the local level' (Knaap 1985, p. 26), and indeed monitored, with financial penalties levied if local authorities do not adhere to their plans (Nelson 1999). The LCDC can even 'impose building permit moratoria on local governments until acceptable plans are prepared' (ibid., p. 122).

The Portland UGB, as noted above, is managed at the (city-) regional scale. The initial scale of the UGB was proposed by the *Columbia Region Association of Governments*, and in 1978 the residents of the area voted to create the Metro Council, which was given responsibility by the State for managing the UGB (Metro 2015b). There are 25 cities and three counties within the Portland Metro area, all of which have their own plans and growth aspirations.

As with any activity related to land development, the role played by landowners and developers is important. These stakeholders are largely in the private sector in Oregon.

1.1.3.2   How did they respond as the strategy was being developed and in its delivery?

The power distribution between local governments and the State led to conflict with regard to UGBs across Oregon. Local governments generally sought larger UGBs and fewer restrictions on rural land beyond them, the LCDC the opposite. 'In most cases, LCDC forced local governments to reduce the amount of land contained within UGBs' (Nelson & Moore 1993, p. 295). This was the case in Portland – there is clearly a lot of work to be done by the directly elected Metro Council to balance the aspirations of the local authorities encompassed by the Portland area. The UGB as originally proposed included 25% more land than was expected to be developed by the year 2000, but the LCDC insisted that this be reduced to only include 15.8% excess land (Nelson & Moore 1993) before it was approved in 1980.

Regarding private sector stakeholders, in the years following the adoption of the Portland UGB, and indeed across Oregon, there was 'considerable controversy concerning what should be done with land immediately outside UGBs that was previously subdivided or under pressure for low-density urban development' (Nelson & Moore 1993, p. 295). There is an opposition group to Oregon's UGB approach, *Oregonians in Action*. This group, 'representing Oregon home and property owners', describes the planning system in Oregon as 'broken' (Oregonians in Action 2016) and has lobbied, for example, to see the UGB described as "The Notorious UGB" in all state documents (Marchi-Young 2016).

Little research has been undertaken into how commercial developers have changed their behaviour in relation to the UGB – one thing that is clear is that they have not been deterred from operating in the area, as its popularity means there is continuing demand for new housing. Nelson (2000) speculated that UGBs might, through the reduction in land availability, lead to a fall in the number of active developers, with barriers to entry higher; and that they may result in developers 'land-banking', and waiting for land values to rise further before they sell. There is certainly evidence that this has happened in other places with policies similar to Portland's UGB (Monk, Pearce & Whitehead 1996).

1.1.4   The outcomes

1.1.4.1   *Impacts on urban growth, density and land use*

Because Oregon adopted State-wide urban growth boundaries a number of years ago, and remains one of only a few States to do so, various studies have examined the outcomes of the policies.

Nelson (1988) explored the effect of the green belt in Washington County (the western portion of the Portland metropolitan area), looking specifically at what he called *exurban* land – 'very low density residential development beyond built-up urban and suburban areas but within commuting range of urban employment opportunities' (p. 178), by comparing land prices in such areas with nearby green belt land (reserved for farming/forestry). He found that exurban land was selling at a higher value than green belt land, as would be expected if the policy was working correctly – demand for exurban sites should shift away from green belt land in an effective urban growth policy.

In the earlier years of the UGB some development occurred outside the UGB (what we might call "leapfrogging"), resulting 'in a low-density residential ring around much of the UGB in metropolitan Portland' (Nelson & Moore 1993, p. 300). The State has attempted to limit such development. A study comparing Oregon and its neighbouring State Washington found that Oregon's policies *had* tended to concentrate development within UGBs (Kline & Alig 1999).

Nelson (1999) compared Oregon with Florida and Georgia, the latter an example of a state without a growth management programme. He found that against the criteria of urban density, farmland preservation and accessibility by automobile, Oregon outperformed Georgia, in some cases by quite some distance. For example, between 1980 and 1990, Oregon's urban density fell by 0.5 per cent, compared to 15 per cent in Georgia; and Oregon lost 0.33 acres (0.13 hectares) of farmland for each new resident added, compared to 2.10 acres (0.92 hectares) for Georgia.

The Portland UGB was adopted in 1980 with a coverage of 227, 410 acres (91,874 hectares), and, to illustrate the point that policy-makers are keen to avoid constraining growth has expanded virtually every year (Metro 2015b), resulting in a 14 per cent increase in its area (Metro 2015a) to, in 2014, 258,796 acres (104,554 hectares). The evidence suggests that it has been effective in managing urban growth – the urbanised population has increased by 54 per cent whilst the area of the UGB has only increased by 14 per cent in this time. Further, the density of the built form has increased, with the proportion of land within the UGB that is developed increasing by 36 per cent between 1980 and 2000, and the population density going up by 13.6 per cent (Jun 2004).

1.1.4.2   *Spillover effects*

As noted above, the Portland UGB is managed by a directly elected regional government (the only such government in the USA), so cutting across municipal boundaries and having an effect on the regional land market. There remain, however, cross-border issues, with part of the metropolitan area of Portland being in Clark County, in the adjacent State of Washington. Although Oregon and Washington are the only pair of adjacent states to adopt state-wide growth management policies, Washington introduced growth controls some time after Oregon. Bae (2004) investigated whether there was overspill into Clark County, concluding that 'it is not an accident' (Bae 2004, p. 110) that Clark County is the fastest growing county in the state of Washington, and of the four counties that comprise Portland – a view shared by

Jun (2004). So to some extent the growth of Portland has not been entirely limited, with some of it being displaced across State lines.

1.1.4.3   Other impacts

Knaap (1985) found that the UGB, implemented in 1980, had had a significant effect on land, and consequently housing, values at that time. Later studies (Dawkins & Nelson 2002; Jun 2006) conversely found that over the longer term the Portland UGB, and others in Oregon, had *not* increased house prices because at the regional level 'policymakers were particularly keen to incorporate additional policy levers to ensure than urban containment does not constrain the supply of land for housing and economic growth' (Dawkins & Nelson 2002, p. 7).

Some have argued that the UGB has stifled economic growth in comparison to places without an UGB (Cox 2001), though this is a contested opinion, Nelson (2000) amongst those disagreeing.

1.1.5   Looking back and drawing conclusions

1.1.5.1   Reflections and lessons learnt

Overall, despite some concerns about growth being directed beyond the administrative boundaries of Portland Metro, to parts of the functional area outside Oregon (see above), it seems that the Portland UGB has been successful in limited urban sprawl, raising the density of built form and protecting environmental assets.

The process was undoubtedly not entirely a smooth one, however. Nelson and Moore (1993) observe that Portland's UGB has been harder to implement in practice than was anticipated, largely due to the inherent uncertainty in predicting the pace of development, which means that it is hard to know how much land to include within the UGB: 'Too little urban land could cause land price inflation; too much would not prevent urban sprawl' (pp. 294-295). As the Metro Council has developed its monitoring and measuring over time, this issue has eased – they are now more adept at understanding how the regional land market works.

1.1.5.2   Which factors led to success?

In this section the factors which have led to the success of the Portland UGB are explored. A useful frame for this is the UN-Habitat principles of good urban and territorial planning (UN-Habitat 2015). They include that urban and territorial planning is 'integrative' (UN-Habitat 2015, p. 8), provides an 'enabling framework for new economic opportunities' (ibid., p. 17), provides a 'spatial framework to protect and manage the natural and built environment' (ibid., p. 20), is 'iterative' and 'enforceable' (ibid., p. 23), supports 'the development of integrated cities and territories' (ibid.) and requires 'continuous monitoring, periodic adjustments' (ibid., p. 27). The Portland UGB meets these principles in the following ways.

Multi-faceted (integrative, spatial framework to protect & manage)

The Portland UGB is not simply a line around the city beyond which development cannot take place – the policy incorporates active land management *within* as well as *beyond* the UGB, through zoning of land to ensure that (a) development only takes place on land contiguous with the existing built form; and (b) important assets are protected (Jun 2004). Further, the Portland Metro Council works with local authorities to explore options for densifying development before it will countenance expansion of the UGB. So the policy integrates various facets and is both proactive and reactive to development pressures.

Robust yet Adaptable (iterative, enforceable, adjustable through monitoring)

Building in flexibility/adaptability to any planning policy, and particularly those seeking to control urban growth, without losing the ability to robustly manage development, is not easy. The Portland UGB seems to strike an appropriate balance between robustness and adaptability – researchers have found that it has increased protection of important environmental assets and limited urban sprawl (Kline & Alig 1999; Nelson 1999), but the policy was deliberately designed in such a way that economic growth was not stifled, with the UGB being enlarged a number of times in the 35 years since it was put in place.

At the appropriate scale

It is now reasonably well established that urban growth management policies which operate at a regional scale are more effective than those which are very local in focus. The UGB covers most of the Portland functional area – not all, as Clark County in Washington State is beyond the scope of the Metro County – but enough of it so that the issues of displacement of development pressures that have been identified in relation to, for example, the UK green belt (Hall et al. 1973) are relatively insignificant in the Portland context. So the policy supports the development of an integrated city-region.

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1.2 IMPLEMENTATION OF SMART GROWTH IN THE GREATER TORONTO AREA

1.2.1 Problem Identification

In support to urban planning reforms in the Kingdom of Saudi Arabia, this case study examines the implementation of Smart Growth in the Greater Toronto Area at the local level. Following this introduction, the Canadian planning and principles of Smart Growth there are outlined. The planning system in the province of Ontario and Greater Toronto Area is then described. The implementation of Smart Growth follows and the case study concludes by examining outcomes and lessons learnt.

The relevance of Smart Growth to the Kingdom of Saudi Arabia is twofold. Firstly, the zoning based planning system is similar to that of North America and secondly, the dispersed and fragmented pattern of development is also similar to many North American cities and suburbs. Issues of phasing and regulating sprawl are key concerns of planners in both North America and Saudi Arabia.

Post-war growth in North America has been dominated by low-density car orientated development and rigid land use zoning. Criticism ranges from environmental concerns over the loss of rural and natural land and air pollution, to the lack of alternatives to the car and the impact of this on health and quality of life. Economic arguments concern the high cost of building and maintaining sprawling infrastructure and that of commuting. There is also criticism of the homogeneous nature of suburbia and the absence of street life. "But as appealing the case for an urban transition and as promising signs of change can seem, the dominant North American tendency is still very much towards car-oriented, low-density and functionally specialized development" (Filion et al., 2015, p.204).

1.2.1.1 Canada and the Emergence of 'Smart Growth'

Canada has a federal system of government comprising of ten provinces and three territories. Under the constitution, legislative powers are divided between the federal and provincial governments. Provinces have exclusive authority over property and the creation of municipalities (Ling 1988). Consequently there is no national planning system or act and although some provinces have regional planning, most planning powers have been devolved to the municipal level where the emphasis is on land regulation. Despite this, federal and provincial roles in transport for example requires planning and coordination, often on an ad-hoc basis, between the three levels of government (Ling 1988).

In terms of population, Canada is a relatively small country (33 million in 2011 and growing approximately 1% a year), but the second largest in terms of land mass. It therefore has a very low overall population density, but is highly urbanised, with 81% of the population living urban areas. In the province of Ontario, the proportion is higher at 86% (Statistics Canada 2011).

Urban settlements in Canada were most often started by deliberate design and few existed before the 19th century. Most only experienced rapid growth in the past century and in that sense, many could be considered new towns. As land was opened up during the 18th and 19th centuries, surveyors set out

rectangular or grid iron patterns, with little regard to topography or potential use that would later become the basis of many future communities. These original surveys continue to influence the pattern of development today (Golany 1978).

Despite similar origins, Canadian and United States cities have become increasingly differentiated in the post-war period and by the 1980s, Canadian cities were consistently denser with fewer inner city problems. These contrasts are attributed primarily to differences in governance, a more robust approach to regional planning, more interventionist governments, and more generous public services. Canada also differs significantly from the United States where respect must be given to constitutionally derived powers of home rule in most states (where municipalities and/or counties have the ability to govern themselves as they see fit). An absence of home rule and the power of provincial governments to guide urban policy and strategy has allowed sprawl to be more effectively contained in Canada (Golany 1978). It could be argued that Canadian cities have simply delayed the process of dispersal and that fragmented urban form (sprawl) will eventually dominate, but particularly on the urban fringe, this does not appear to be the case (Hess & Sorensen 2015a).

A consensus has recently emerged to reinforce this divergence from United States patterns of urban form in Canada. Smart Growth is now regarded as good practice nationally and has replaced previous garden city planning principles (Langlois, 2010). This has been in response to significant environmental issues, government deficits and social inequity. It is widely recognised in Canadian planning that "in order to be sustainable, cities should alter their development patterns so as to be more compact, diverse in their land uses, with more defined urban boundaries and internal structures" (Tomalty & Alexander 2005, p.3). This is commonly referred to as 'Smart Growth'.

Although Smart Growth is a relatively new term that emerged from the United States in the 1990s, the concepts behind it are not. The principles of Smart Growth in Canada are generally accepted as:

- denser, mixed-use development in greenfield areas;
- intensify the existing fabric rather than expand into greenfield areas;
- take advantage of specific intensification opportunities
- increase transportation choice and reduce car usage;
- increase supply of new affordable housing;
- improve range of housing types;
- preserve agricultural lands;
- preserve lands essential to maintaining regional ecosystem functions;
- direct employment to strengthen the core and designated sub-centres, and;
- provide infrastructure to reduce ecological impacts of development.
  (Tomalty & Alexander 2005, p. 4)

Of the above principles, density and mixed-use are among the most important. These reduce consumption of land, lower costs of infrastructure, potentially reduce trips and make transit more viable, increase walkability and helps preserve natural assets. In terms of success, there is evidence that the density of greenfield development was increasing in some areas at the turn of the century, but this may have reflected a tendency of smaller plots driven by land value rather than policy. There is also little mixed use in greenfield areas as developers fear retail will not be commercially successful and home buyers avoid being adjacent to non-residential uses. However, outside the downtown, it appears only in

Vancouver, and to a lesser extent in Toronto, is intensification activity contributing to the strengthening of a system of urban nodes (Tomalty & Alexander 2005).

1.2.2   Planning in Ontario and the Greater Toronto Area

Land-use planning in Canada is typically guided by policies adopted at the provincial, regional and municipal/city level. Located in east-central Canada, Ontario is the most populous and the second largest province. The nation's capital Ottawa is located in east and Toronto, Canada's financial centre and capital of Ontario, located in the south on Lake Ontario. The provincial government guides settlement patterns through its control over the municipal planning framework. This framework is made up of the Planning Act, which specifies municipal authority over land use and how planning decisions must be made, and the Provincial Policy Statement, which sets out priorities for growth whilst protecting the environment. The policies are implemented through local Official Plans, which integrate all applicable provincial policies and apply appropriate land use designations (Tomalty & Alexander 2005). The Ontario government also prepares regional demographic projections, designates land as environmentally sensitive and establishes regional conservation areas on a watershed basis where flood plains are mapped and typically excluded from development. A regional plan designates growth nodes, regional infrastructure networks and open-space systems in most urban areas. In addition, the Ontario Municipal Board is an independent quasi-judicial body that polices land use decisions made by municipal councils.

There are two levels of municipalities in Ontario. Upper-tier municipalities were created in the 1970s to promote efficient planning and administration of regional services. They have governing councils made up of elected representatives from the lower-tier municipalities within (note upper tier municipalities are only found in the most urbanised areas of the province). This upper-tier is responsible for determining settlement patterns and identifying region-wide infrastructure such as arterial roads and trunk sewers. Lower-tier governments have land use powers to control development, although they are subject, through plan approval requirements, to regional and provincial land use policies (Tomalty & Alexander 2005).

At the lower or single tier level, a land-use plan for the municipality is produced and this Official Plan is updated every 5–10 years with local zoning bylaws conforming to it. Most municipalities also adopt secondary plans for large tracts (typically 400ha defined by a survey from the 1790s) prior to their conversion from rural to urban use. These secondary plans are subject to approval by municipal staff and council, but are often drafted by multi-disciplinary consult teams retained by landowners.

From the 1960s to 1980s, secondary plans were simple land-use studies containing statistical charts and infrastructure maps. The plans were often prepared by engineering firms with little or no urban design content. Recent secondary plans are most often different as they are prepared by multidisciplinary teams, although are still implemented by land-use regulations. They often contain explicit urban design policies for streets and spaces, built form and environmental design. Since small builders often implement the plans, some landowners go further and prepare design guidelines for buildings and materials. The owners privately enforce these during the 5–10 years it typically takes to build out a secondary plan using land sub-division agreements (Gordon 2002).

It is important to note Official and Secondary Plans, rather than zoning by-laws, most often prescribe urban form, which is then implemented through subdivision control. This plan-led approach allows a relatively flexible approach to house types and density, as zoning by-laws are usually created *after* the land-use pattern is decided by negotiation between developers and municipality. Zoning is normally applied after plans of subdivision are approved. Sequencing is key and opposite of the United States, where zoning and plans are often not consistent and zoning is the more important statutory tool. In Ontario, the plan has precedence, with zoning secondary and not a key component of the process. Rather than landowners being able to develop as-of right under pre-established zoning as is often the case in the United States, detailed designs are negotiated with land developers on an almost site-by-site basis through subdivision control (Hess & Sorensen 2015b).

1.2.3   The Planned Interventions

In the early 2000s, Ontario responded to concerns about urban growth and especially the threat it presented to Oak Ridges Moraine, a highly valued natural formation to the north of Toronto, and those of the business community regarding congestion. The result was the creation of a greenbelt of 720,000ha of protected land where urbanisation will not be permitted; the 2006 Places to Grow plan to which municipalities must conform, mandating the creation of 'complete communities' with a minimum density of 50 people plus jobs per ha in new suburbs and a minimum of 40% housing in each regional municipality to be from intensification within existing built-up areas; and the creation of Metrolinx, a new provincial agency for building and operating transit (Hess & Sorensen 2015a).

The 2006 Growth Plan covers an extensive area called the Greater Golden Horseshoe (GGH), consisting of the Greater Toronto Area (GTA) and adjacent areas such as Peterborough to the east, Barrie and Orillia to the north, Guelph and Hamilton to the west and Niagara to the south. Whilst the population of the GTA is 5.6 million, the GGH is 7.8 million. The Growth Plan is a comprehensive region-wide (Smart Growth) strategy with policies to support green belt and urban growth boundaries, a network of multifunctional centres, minimum employment–population densities and transit proposals. These measures are meant to halt car-oriented sprawling development. (Filion et al., 2015). Further information on regional planning in the Greater Golden Horseshoe can be found in the Review of Regional Planning in Saudi Arabia (February 2016, p.60-70).

1.2.4   Critical Actors involved in delivery

Metropolitan Toronto (Metro) was established in 1954 as an 'upper-tier' level of government above existing 'lower-tier' municipalities, including the old City of Toronto and its 12 surrounding suburbs, to promote planned growth and fund infrastructure. By the 1970s, growth began to extend beyond Metro and instead of expanding its territory, the province created a number of upper-tier regional municipalities surrounding it to create the Greater Toronto Area (GTA). The GTA is comprised of the amalgamated City of Toronto and four surrounding upper tier municipalities including Durham, York, Peel and Halton, but the GTA does not have a single regional agency and planning is guided by provincial planning policy only (Hess & Sorensen 2015a).

Densities in the GTA gradually decrease from the centre in concentric zones.

- At the core of the area is the old City of Toronto (with the highest population density of any Canadian city) and its pre-war suburbs with a population of 700,000.

- Second is an inner suburb zone with mid-range densities consisting of East York, Scarborough, York, and Etobicoke, most of which were built in the 1950s, 60s and 70s. This zone with a population of 1.8 million, is characterised by single-family homes, high-rise apartments around transit and highway interchanges, retail strips, shopping malls and older industrial areas. The urban form of this zone is structured by a grid of main avenues.

- Third is the group of municipalities outside the City of Toronto that straddle Yonge Street to the north and those lining Lake Ontario, including Mississauga and Oakville to the west and Ajax and Pickering to the east. Mostly built since the 1970s with a population of 2.4 million, this zone has a mix of compact historic centres surrounded by low-density suburban areas, industrial parks and shopping malls. Growth management is the responsibility of upper-tier municipalities and their plans reflect provincial interests and provide a framework for lower-tier municipalities to carry out detailed land use planning and zoning. Upper-tier official plans set urban boundaries for local official plans, identify major infrastructure requirements, designate areas to be protected and propose policies for the location and form of development. They set the broad policy and spatial framework, suggesting the future development patterns and urban structure for the regional municipality.

A review of Regional Official Plans show that a strong transit-supportive growth management framework was present before the 2006 Growth Plan. All four plans designated a hierarchy of higher-density mixed-use nodes to encourage transit, identified urban growth boundaries, supported intensification and infill, mix of uses, higher density greenfield development, a mix of housing types, a jobs/housing balance and a grid for major roads (Tomalty & Alexander 2005).

Although it could be argued that the GTA has sprawled over the years in terms of land take, this has not been uncontrolled or unplanned. A polycentric model was established early on and by the late 1970s, eight new planned communities were under construction with a population of over 900,000. Most of these were set out along a transportation corridor (Highway 401) that would allow for orderly growth (mostly eastwards). Many of these new communities were separated by a parkway system that incorporated transport and utilities (Golany 1978).

1.2.5   The Outcomes of Smart Growth in the Greater Toronto Area

"In the late 1990s, Smart Growth concepts were embraced in Canadian urban policy communities, particularly in Ontario with the both the Conservative provincial government and the municipality of Toronto stressing urban growth management as an issue of major public concern" (Bunce, 2004, p. 178). The Ontario government used several strategies to promote values associated with Smart Growth at this time whilst it was involved in projects like Cornell (in Markham). It disseminated guidance, appointed panels and ultimately adopted Places to Grow (Grant 2009).

The objectives pursued by Smart Growth include increased walking, cycling and transit at the expense of the car; reduced infrastructure expenses; less rural and natural land take; and the creation of functionally and socially mixed communities. These objectives are now reflected in planning policy

across the GTA. Whilst land use and transport patterns of the GTA have been typically North American, the area is recognised for its higher centralisation, residential density and transit use (Filion 2007). There is a history therefore of planned growth in the GTA and not sprawl (although historically much was low-density and car dependent by European standards), it was planned and controlled and avoided leapfrogging seen in most United States development.

For the purposes of this case study, the implementation of Smart Growth in the GTA focuses on four areas: containment, nodes (density), intensification (Toronto) and new urbanism (Markham).

Containment
The GTA has grown rapidly from a relatively compact city of about a million prior to 1950 to a metropolitan region of more than 6 million in 2011. Originally under the 1946 Ontario Planning Act, this growth has been carefully managed, with development linked to infrastructure investment, little leapfrogging and a mix of housing types. Many of these characteristics have strengthened over time, with steadily higher densities and smaller individual residential plots.

Overall development patterns have historically conformed to several key principles of Smart Growth, including creating a range of housing and choice, walking access to schools and parks, making development decisions predictable and fair, ensuring connections to main water and sewer systems, ensuring concurrency and contiguity of development and preventing leapfrogging (figure 1), preserving open space and farmland, directing development toward and adjacent to existing communities and encouraging compact design with higher densities (Hess & Sorensen 2015a).

This is not to suggest that suburban development in the GTA is ideal, as one of the key elements of Smart Growth is creating walkable, transit-oriented development and the suburbs are clearly highly car dependent, with cars accounting for roughly 85% of commute trips in the regional municipalities where more than half the population lives mostly as a result of underinvestment in transit. Still, the GTA is qualitatively different from growth patterns in the United States, and residential development in particular has reflected many Smart Growth characteristics outlined above. "On balance, the evidence suggests that the GTA's pattern of residential development should not be characterized as sprawl. Development at the edge is contiguous, without significant scattered development or leapfrogging. Metropolitan density is high for a North American urban region and comparable to some northern European cities" (Hess & Sorensen 2015a, p.147).

Community block planning emerged at the municipal level over the years as a key planning strategy. Community blocks largely conform to the 'concession blocks' created by the original historic cadastral land surveys. These surveys imprinted a grid of square or rectangular blocks or 'concessions' on the province's landscape. In most areas, municipalities have used these concession blocks to create fairly homogeneous residential development based on neighbourhood units, with relatively well-connected

Figure 1. Built-up area of GTA with little leapfrogging and clear edges. Settlement outside the core along Lake Ontario is mostly focussed on existing communities (Hess & Sorensen 2015a).

streets, schools and parks. By refusing to permit individual septic system-based development, defining areas within which main services were provided and subdivision permitted and gradually expanding

these over time, Metro and later the regions ensured that development was serviced with infrastructure at the same time that land supply was adequate to permit rapid growth.

By controlling water and sewer infrastructure in particular, municipalities can compel developers within a concession block to cooperate in the creation of secondary plans and can delay any particular concession block until adjacent blocks have been developed, thus preventing leapfrogging. Developers also often swap land to share the burden of providing required school and park sites. They also provide local and distributor streets and water and sewer links to the regional systems being financed and built by the province and municipalities (via development charges). Only with these details agreed does a municipality approve a subdivision plan and issue a development permit. This system of suburban development, with municipalities coordinating plans within concession blocks well before development proceeds, continues to operate today (Hess & Sorensen 2015a).

Although the definition of often very large urban growth boundaries (with a 25 or 30 year timespan) risks leapfrogging, the negotiated development permit system described above rather than blanket zoning (which would infer development rights within the development boundary) avoids this. "Even though there is still a legal presumption in favour of development, negotiated permits allow considerable control over the quantity and quality of development, and can disallow urban style land uses entirely where there are overriding environmental or public-policy concerns." (Millward, 2006 p.481) In addition, development permits "enable planners to require new development to be added incrementally to existing serviced areas, thus maintaining a 'sharp edge' to the urban area (i.e., piecemeal development using on-site services will be disallowed)" (Millward, 2006 p.482).

Nodes

A nodal urban structure has been at the heart of Smart Growth in the GTA since the 1990s. (Tomalty & Alexander 2005) However, even before the 1990s Metro had a long standing nodal strategy in place which was embraced by the outer-suburban local and regional governments when they were created in the 1970s. Nodes were presented as a pragmatic way of promoting metropolitan-wide intensification and increasing transit use, for they minimised the impact of higher density by focussing it in a limited number of locations. There are currently many nodes at different stages of planning and development, but few are truly multifunctional. "Only one node, North York Centre, has achieved an urban, rather than suburban, layout, with limited surface parking and important building coverage. No other node, with the exception of Scarborough Town Centre, comes close to North York Centre's public transit modal share, which exceeds 20 per cent." (Filion 2007 p.511)

Much of the GTA's existing nodal structure was incorporated into the 2006 Growth Plan with intensification focussed on 26 Urban Growth Centres with specific densities. "Urban Growth Centres are to be planned a) as focal areas for investment in institutional and region-wide public services, as well as commercial, recreational, cultural and entertainment uses; b) to accommodate and support major transit infrastructure; c) to serve as high density major employment centres which will attract provincially, nationally or internationally significant employment uses; d) to accommodate a significant share of population and employment growth" (Filion 2012 p.2242).

Nodes can support increased densities around transit stations and, if appropriately designed, pedestrian activity. The synergy generated by different activities can also attract further activity and promote clustering. These are advantages nodes have over less spatially focused intensification. From a transport perspective, density corridors could be more advantageous to transit than nodes, but by virtue of their compactness, nodes require less planning coordination and are less susceptible to opposition from local

residents. Another institutional factor in favour of nodes is their compatibility with the governance of many regions. "Nodes can indeed be allocated in a fashion that allows numerous jurisdictions to develop their own 'suburban downtown'" (Filion 2012 p.2251).

However, when the actual urban form of many nodes previously designated in regional plans is examined, they do not necessarily represent denser concentrations of employment in particular. Many suburban downtowns are still focussed on shopping malls or other low-density uses with large amounts of surface car parking. Many have not yet achieved the critical mass needed to be major destinations and those that have achieved that density (e.g. Mississauga Centre) have not yet been connected with the transit services they need to shift trips away from the car. "Many of the centres are far from pedestrian-oriented, denser community centres envisaged in the metropolitan planning documents" (Tomalty & Alexander 2005, p.125).

Intensification (Toronto)
Planners have consistently called for higher residential density in the many nodes designated in provincial and regional policy. However, it would appear that in the suburban regions outside the City of Toronto, the vast majority of residential development is still happening outside nodes on greenfield sites. In contrast, within the City of Toronto, much development is focussed on nodes and corridors, such as Yonge Street, North York City Centre, and Scarborough City Centre. Most of the increased density in the GTA to date is due to intensification in Toronto and Mississauga (in Peel), both of which are entirely urbanized and have no greenfield land left. Outside these urban areas, population densities have increased recently, but only slightly. The main reasons for this increase has been primarily due to falling individual plot sizes (Tomalty & Alexander 2005).

Even before the 2006 Growth Plan, the City of Toronto itself chose urban intensification as the focus of its 30 year Official Plan adopted in 2002. This was not to solve regional sprawl per se (that was happening beyond its boundary), but to create compact districts to enhance the economic and physical environment and to create more livable and vibrant areas of the city.

This focus on intensifying existing urban areas, particularly downtown, was also prevalent in Toronto's planning policies over the previous decades. The policy of intensification was put forward early on despite the fact that Toronto consistently had one of the highest urban density levels in North America. However, "in southern Ontario, where urban growth has been repeatedly emphasized as a major concern for the natural environment, human quality of life and the economy of the GTA, a sense of urgency to intensify existing urban areas" developed (Bunce, 2004, p.179).

It is forecast that between 1996 and 2031 there will be a population increase of 2.6 million in the GTA and the City of Toronto itself is expected to absorb 20% of this or 537,000 new residents and 544,000 new jobs. Criticism that while intensification was justified as tackling growth on a regional scale (although City of Toronto was only absorbing 20% of population increase), economic arguments for intensification lacked a regional context (presumably to retain Toronto as both the administrative capital and financial centre of Ontario). Some argue that 'smart growth' was therefore 'used' to justify intensification and the only alternative was sprawl on a regional scale and consequential environmental degradation (Bunce, 2004).

The King/Spadina and King/Parliament districts are considered to be successful examples of intensification in Toronto. "As former industrial and manufacturing areas of the downtown, these areas have recently been re-zoned to allow for mixed residential, commercial and light industry spaces, and

increased height limits and densities" (Bunce, 2004, p.184). In addition to the focus on the downtown core for intensification (particularly in former manufacturing districts and conversion of older office buildings), there are plans for intensified residential in the Port Lands district. This intensification is to provide high-quality housing for workers in new economy industries.

It should be noted that although urban intensification as part of a Smart Growth strategy can support low-energy transport and reduce overall car use with benefits to the global environment, evidence suggests the effect will be less than proportional. Hence, in locations where intensification occurs, greater concentrations of traffic tend to occur, and this worsens local environmental conditions. This phenomenon is defined as the 'paradox of intensification' by Melia, et al. (2011). They suggest urban intensification should be accompanied by more radical measures to constrain traffic generation within intensified areas to reduce the environmental impact.

In addition, although intensification represents an opportunity to develop transit and this has been supported through policy over the years, the density of Toronto housing, in particular in suburban areas where the subway was extended in the 1960s, is generally insufficient to justify its presence. Plans for subsequent intensification around existing stations stalled because it is local residents who play a prominent role in the formulation of plans for their neighbourhood and most often they emphasise preservation of character over redevelopment. Therefore, high density residential redevelopment in the old City of Toronto has been largely confined to sites that did not interfere with established neighbourhoods: the waterfront, former industrial land and the downtown area. As high density residential development was being curtailed in neighbourhoods, the City of Toronto launched its efforts to expand housing in the downtown area as described above (Filion 2007).

New Urbanism (Markham)
Markham is a fast-growing, wealthy, ethnically diverse suburban municipality on the north-east edge of the GTA in the region of York. The municipality pursued conventional suburban development policies during the 1970s and 1980s with low density detached homes, but planning policy began to change in the 1990s under the leadership of a new planning commissioner and a few enlightened elected councillors. In the mid 1990s, architect/planner Andrés Duany helped to design Cornell, a community that one local councillor called "the poster child for new urbanism" (Grant 2009, p.16).

As a result of leadership from the municipality and the province, Markham is now home to many secondary plans inspired by New Urbanism principles. The province turned to this after dissatisfaction emerged within Markham to conventional plans proposed for the 'Cornell lands' left over after the 1970s expropriation of the site for a future airport. The provincial group managing the lands retained Duany Plater-Zyberk (DPZ) with the support of municipal planners and the firm led a five-day charette in 1992. Fortunately the municipality had two well-preserved 19th-century villages embedded into its 1980s suburban fabric which were well known and appreciated by local residents and provided good local precedents for the design team. The charrette was a successful public participation exercise and citizens and politicians (from lower-density sub-divisions) began to accept higher-density, mixed-use neighbourhoods as an objective.

Other large private landowners were also persuaded to consider a New Urbanist approach in exchange for higher densities. Eleven secondary plans with varying adherence to New Urbanist principles were approved between 1994 and 1997 in Markham. Interdisciplinary teams led by urban designers prepared most of these plans, rather than engineering firms as was common previously. The Markham projects were North America's largest concentration of Traditional Neighbourhood plans at the time. These new

suburbs were planned for gross residential densities of almost 20 units per hectare, over 80% higher than adjacent conventional suburban development (Gordon 2002).

The province funded many of the technical studies to amend Markham's zoning, planning and development regulations, including an innovative long-range environmental planning study when this approach was rare in Canada. Conventional suburban development standards were not scrapped, but new parallel ones adopted to permit New Urbanist development. Both conventional and New Urbanist projects are required to conform to Markham's Official Plan requirements for open space, school sites and a range of house types. However, the new standards provide for a greater mix of uses and range of highways, including wider boulevards, narrower streets and rear lanes. Developers can still build cul-de-sacs in Markham, but they also have the option of using the new standards. No special bonuses or incentives are offered for New Urbanist projects, but developers can achieve higher development densities using the new standards (Gordon 2005).

Recent interviews with planners by Grant (2009, p.23) affirm "that Markham council supported new urbanism. The town structured its staff into development teams that included planners, development personnel, and engineering and traffic people. Planners argued that the team structure ensured that the municipality presented a coherent message to developers". However, "It was a hard sell with the development industry in the beginning because the next step, once you set the highest level growth strategy, the next level down is to amend the Official Plan. So we put a lot of . . . strategic stuff in that about the direction, and what the town was looking for, and density targets. And then the next level is the secondary plan for each of the new communities. That's where we really started to butt up against the development industry. Gradually they came around . . . Then after the secondary plan level you get into the draft plans of subdivision and zoning. We came out in '96, we did a zoning bylaw for what we call the urban expansion area - a very, very prescriptive bylaw. We've since gone in and we've been able to pull some of that very prescriptive stuff out of the bylaw because now the industry gets it. They're doing it" (Grant 2009, p.24).

Even in a municipality like Markham however, where political commitment to new ideas was strong, planners and councillors made compromises and adjustments to address market demands and consumer preferences. Some goals proved elusive despite concerted policy and plan making efforts.

1.2.6   Outcomes and Lessons Learnt

In their 2005 review of Smart Growth in Canada, Tomalty and Alexander identified a number of positive and negative outcomes for the GTA in terms of Smart Growth:

Positive

- The City of Toronto is achieving its population growth objectives as set down in the 1990s and is surpassing the objectives in terms of the share of metropolitan growth it captures.
- The City of Toronto has taken advantage of myriad intensification opportunities while leaving established neighbourhoods relatively untouched.
- Development densities appear to be rising slightly across the region, including in greenfield areas, probably due to the generally small lot sizes used for single and semi-detached housing. This is somewhat dampened by the increasing share of the land base dedicated to public purposes (stormwater reservoirs, roads, etc.).

- Regional municipalities are attempting to protect and enhance the regional green network through planning policies.
- Infrastructure is being provided and planned in order to mitigate the impacts of urban development in most locations.

Negative

- Little growth in suburban municipalities outside the City of Toronto is occurring through intensification of the existing fabric.
- There is no evidence that the fine grain mix of land uses is increasingly prevalent in the region, aside from a few exceptional developments.
- The rate of agricultural land loss in the latter part of the 1990s is similar to that of the late 1980s. This suggests that the growth management framework that was put in place in the late 1980s and early 1990s has not been that effective in preventing loss of farmland.
- Natural features are still being encroached upon by urban development.
- Car dependency is deepening in the region.
- Housing is increasingly unaffordable and the range of housing choice deteriorating.
- Few growth centres have achieved the critical mass needed to become major destinations and those that have achieved that threshold have not been serviced with the high-quality transit they need to shift away from car dependency (Tomalty & Alexander 2005, p.125).

Tomalty and Alexander also found that developers continue to resist alternative standards and in some municipalities, are supported by out of date practices and municipal engineers stuck in their ways. Parking is one of the key impediments to achieving 'smart' development, especially at key locations, where a compact, walkable and transit-supportive urban form is desired.

In addition, upper tier municipalities do not have direct control over local development decisions. Development proposals are submitted to, reviewed and approved by lower-tier municipalities. An often-cited reason why regional plans are not fully implemented in local planning decisions is the absence of formal mechanisms to encourage lower-tier municipalities to enforce regional planning policies (Tomalty & Alexander 2005). This situation has not improved with the introduction of the 2006 Growth Plan where there is a lack of clear guidance on what constitutes conformity and consequently there have been numerous appeals to the Ontario Municipal Board.

However, a key lesson is the capability of lower tier municipalities in the GTA to define and control urban form effectively at the local level. Even with conventional suburban development, leapfrogging has been avoided through the development permit system before the introduction of urban growth boundaries and continues to be within those defined in the 2006 Growth Plan. This is in contrast to the sprawl that characterises similar development in the United States.

This capability to make significant planning decisions at the local level (albeit within regional and provincial frameworks) allowed Toronto to pursue intensification and gave Markham the freedom to chart a different course in the 1990s with its New Urbanist planning on the edge. The outcome in Markham was that "a conservative and wealthy suburb previously known for conventional suburban planning policies has found a way to accept higher gross densities, smaller lot frontages, more diverse building types, and lower-cost housing. Indeed, the Council *and* staff now celebrate their new planning principles, and public opposition to the New Urbanist projects appeared to be less than for other large-

scale projects, such as the adjacent Seaton new town. New Urbanist planning principles have proven to be an effective strategy to raise gross densities and reduce land consumption in Markham. This strategy has won support from an unusual coalition of developers, local politicians, planners, and communities who continue to defend the plans prepared in the charettes. New Urbanist design should not be prohibited by older zoning codes or rejected out of hand as a new type of sprawl. The Markham experience demonstrates that New Urbanist design is an effective method to encourage compact development on greenfield sites" (Gordon 2005 p.51).

Smart Growth ideas have been diligently applied first in Metropolitan Toronto and then the wider GTA over half a century. "It is ironic that the Ontario government has breathed new life into regional planning for the Toronto region over the last 10 years precisely by embracing the United States Smart Growth agenda. That Toronto suburban development has consistently achieved many Smart Growth targets for over 50 years, yet is still widely described as automobile dependent suburban sprawl, suggests that much more ambitious approaches will be necessary to create the 'complete communities' envisaged in the Places to Grow plan. It seems clear that to achieve this will require strategies to influence both employment and retail location, issues that were hardly mentioned in Places to Grow (Hess & Sorensen 2015a, p.148).

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1.3 LESSONS AND REFLECTIONS ACROSS THE TWO CASES

These two cases are in some ways very different, with different combinations of policies adopted to try to limit urban sprawl. In Portland, for instance, the urban growth boundary is very tightly drawn around the morphological urban area, and is only extended if the regular monitoring of housing supply reveals a shortfall. In contrast, the urban growth boundary in Toronto is much more widely drawn, perhaps akin to the practice in KSA, but land within that boundary is not automatically granted permission for development – instead, a careful sequencing of planning takes place, with development only permitted through subdivision control where the municipality is confident the development aligns with policy and infrastructure constraints.

But there are a series of thematic lessons which emerge from one or both of Portland or Toronto:

1. Devolution of planning powers to the appropriate level is important. In Toronto, and Canada as a whole, the province is a powerful actor in the planning system, which in the Ontario case has allowed strong controls to be put in place over development. The picture in the USA is different, with some states (for example Georgia) exercising very little influence over planning. In Oregon, state legislation dating from 1973 mandates municipalities to control urban sprawl, making it very unusual within the USA, but meaning that a combination of strong State-level legislation with empowered/mandated municipalities is able to intervene in the development process. Lower tiers must comply with strategic policies set by the tiers above, ensuring broad compliance with strategic aims but ensuring relatively rapid and locally-specific policy making at the municipality level. The power and accompanying resources for lower level authorities to produce their own plans is embedded into the US constitution, but KSA could make the choice to empower provinces, amanahs and baladiahs in a similar way.

2. Conversely, some coordinated action at the level of the functional urban area is essential. In both Portland and Toronto, metropolitan authorities (known simply as *Metro* in both cases) coordinates urban growth at the city-region level. The importance of this can be illustrated by looking at the north-east edge of the Portland metropolitan area, which is outside the control of the Portland Metro as it is within the adjoining State of Washington. Research has identified "overspill" of urban growth to this area, which has historically had much less stringent planning controls. The Portland Metro was assembled from the "bottom up" by the municipalities involved, endorsed by a referendum and now directly elected. The Toronto Metro, whilst promoted by Toronto city, was imposed from above by the Ontario State government. Whether done from the bottom-up or top-down, KSA could consider creating metropolitan-level authorities to manage city-regional growth.

3. A wide range of stakeholders are actively involved in plan-making and ongoing implementation monitoring, including the development industry. This occurs in both locations – in Toronto, developers play an important role in undertaking design planning at the project level, whilst in Metro, housebuilders are involved in monitoring housing supply to assess the need for urban growth boundary expansion on a regular basis. Such collaboration could be done formally or informally in KSA, through some form of partnership.

4. Linked to the above point, there are regular reviews of the success or otherwise of the policies adopted. The Portland UGB is formally reviewed every six years, with twenty-year projections of population and employment use informing these reviews. The Toronto system operates in a more

ad hoc way, with issuing of development permits by municipalities allowing them to prioritise growth in areas considered more appropriate. The fluidity of planning is the key learning point here – rather than treating a plan as a static document, the planners in these cases constantly review what is and is not working.

5. A package of tools is used to control urban growth – in the Portland case this includes the urban growth boundary and various types of land zoning, and in Toronto multiple tiers of plans along with subdivision are used. It is important to recognize that in any context, including those here but also, for example, the UK, an urban growth boundary is a fairly blunt tool that requires positive and negative planning measures to run alongside it – these could be zoning, land subdivision, building permits, etc. It is essential that the system in KSA integrates such policies in a coherent way.

VOLUME3

Reform Strategies - Scenarios

This Volume introduces a set of reform scenarios that are proposed following to the baseline review of the Saudi Arabian planning system: Consolidation, Collaboration and Equilibrium, and Devolution and Decentralisation. Each of the scenarios reflects upon the role of MOMRA, other government ministries, and sub-national planning stakeholders, as well as the instruments and systems that would need to be put in place to effective transition from the current planning framework any reforms. Each of the scenarios proposed in this report should be viewed as a part of a continuum of reforms available to MOMRA and the Saudi Arabian government.

Urban Planning System Review in Kingdom of Saudi Arabia - Future Scenarios

Future Saudi Cities Programme

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Contents

Executive Summary

The changing economic climate of the Kingdom of Saudi Arabia, as well as its position as a growing global power, has required its government, and specific the Ministry of Municipalities and Rural Affairs (hereafter MOMRA), to examine whether, and if so, how reform to the Kingdom's planning system could (a) reinforce its position regionally and internationally and (b) offer solutions to its evolving socio-environmental landscape.

Through the production of the Vision 2030, the reforms of the National Spatial Strategy (henceforth NSS), and in collaboration with the UN Habitat Future Saudi Cities Programme, the Kingdom of Saudi Arabia is engaged in a wider ranging exploration of how changes to the planning system could promote a more inclusive, sustainable and diverse society. The transitional period the Kingdom is currently moving through offers MOMRA and the wider government an opportunity to reflect internally and internationally on examples of best practice to reform the ways in which the funding and implementation occurs across the Kingdom.

Working with the UN Habitat principles the report proposes that any reforms of the Saudi Arabian planning system should comply with the following:

- A system that is dynamic not static both in terms of the system itself and the way policy frameworks (often in the form of plans and strategies) are revised;
- A system that is outcome-orientated, and consequently monitoring (to help delivery political/societal goals in terms of the built and natural environment) becomes an important aspect of planning;
- A system of plan-making and decision-making that is open, transparent, accountable and responsive to the needs and aspirations of key stakeholders;
- A system that attempt to shape market conditions (both in relation housing and the economy more generally) to deliver politically desired outcomes, which requires strong partnership working between public private and voluntary sectors);
- A system that seeks to co-ordinate activity between different levels (vertical integration) and between different sectors (horizontal integration);
- A system that seeks to be responsive to local needs and opportunities;
- A system that has a strong focus on implementation;
- A system that may be co-ordinated by the public sector in terms of determining the goals and aspirations but is not necessarily delivered exclusively by the public sector both in the making of policy and the delivery of outcomes on the ground;

Following the baseline review of the Saudi Arabian planning system a set of reform scenarios are proposed: Consolidation, Collaboration and Equilibrium, and Devolution and Decentralisation. Each of the scenarios reflects upon the role of MOMRA, other government ministries, and sub-national planning stakeholders, as well as the instruments and systems that would need to be put in place to effective transition from the current planning framework any reforms. The Consolidation scenario

retains MOMRA as the central agency responsible for developing planning policy and evaluation/monitoring, the Collaboration and Equilibrium scenario would see MOMRA retain their authority but they would act as a government champion for a coalition of ministries working together to shape planning policy. This scenario would see a proportion of responsibility devolved to other ministries but would not require a single overarching government planning policy to be developed. The final scenario is the most radial and calls for significant devolution and decentralisation of the responsibilities for plan-making, financing, delivery and monitoring to a sub-national scale.

Each of the scenarios proposed in this report should be viewed as a part of a continuum of reforms available to MOMRA and the Saudi Arabian government. The final sections of the report discuss the timeframe and feasibility of each scenario and the interlinkages between the focus, key stakeholders and actions needed to deliver reforms. In the long-term a combination of all three scenarios would form a transitional pathway from the current situation to a more efficient and sustainable form of planning in the Kingdom. Moreover, if political, financial and legal capacity building is allocated to the reform process there are significant opportunities for MOMRA, other government ministries and sub-national planning stakeholders to shape the future of development in the Kingdom.

The report thus recommends the following:

1. That the three scenarios: Consolidation, Collaboration and Equilibrium, and Devolution and Decentralisation, be used as a basis for the ongoing reforms of the planning system in Saudi Arabia.
2. That a more integrative (vertically and horizontally), effective and inclusive process of planning is developed that takes into account national and sub-national development needs, aspirations and limitations.
3. That MOMRA works more effectively with ministerial, sub-national and non-governmental planning agencies to effectively shape the strategic visions for development in the Kingdom.
4. That the breadth of approaches currently visible in the Kingdom's development, i.e. Royal Commissions or partial autonomy, be investigated further to evaluate the potential for greater variation in the ways in which planning occurs in the Kingdom.
5. The development of a more reflective form of planning that uses the Vision 2030 and revised NSS as baseline documents to shape strategic and local development objectives across the Kingdom.
6. That reforms will take time to effectively implement and that MOMRA and the Saudi government should ensure that the transition between each scenario and/or future reforms are afforded the time to deliver their mandates.

1. Introduction

One of the key outputs of the Future Saudi Cities programme is to advise the Kingdom of Saudi Arabia on possible options for its future approaches to strategic planning and development management. The current system in the Kingdom is considered limited in its ability to align national, sub-national and increasingly local development needs with the growth agenda presented at the national level. It has also become apparent that to ensure continuity between the actions of a divergent set of actors who hold different levels of responsibility for the delivery of the strategic development goals of the Kingdom is fraught with complexity.

Through the development and release of '*Vision 2030*' the Kingdom, supported by MOMRA and UN Habitat, are reflecting on the structures, instruments, processes and outcomes of the existing planning system in Saudi Arabia examining where reforms could be instigated. Aligned with Vision 2030 a clear momentum is evident within the Kingdom supporting calls for a systematic review of *where* and *what* development is needed and *how* planning praxis manages and facilitates this process.

This report is following to the baseline report which presented a review of the existing structures which support planning in Saudi Arabia illustrating a baseline situation that is both is *complex* and *evolving*. This review is grounded in an assessment of the key material provided by Un-Habitat as part of the Future Saudi Cities Programme combined with reflections generated from engagement with a broad range of ministerial and sectoral experts in the Kingdom including MOMRA, local municipalities, academics, other Ministries with spatial planning implications (Ministry of Economy and Planning, Ministry of Housing etc.), special planning agencies (e.g. ADA and Royal Commission) and stakeholder groups (e.g. women and youth representatives).

Fig. 1.1. Method and scenario development

To facilitate the production of an evidence-based investigation into the existing processes and potential opportunities for reform of the Kingdom's planning system a systematic approach has been taken to the following report. Fig 1.1. outlines the structure by which the following report will discuss and synthesise these changes drawing on evidence generated from local experts in Saudi Arabia, from MOMRA and from in-situ observations and discussion with MOMRA over the course of

2016. Moreover, and with specific reference to the proposed scenarios outlined in this report, the following uses a triumvirate thematic approach to analysis that locates governance and planning, the systems of urban management, and local planning activities at the centre of these debates. These three areas will be used throughout to frame the ways in which the proposed reforms are debated, and will be used in practice to move from the conceptualisation phase to implementation and monitoring. To examine the rationale for possible change though requires a baseline set of data to be developed which outlines the current situation regarding the structures, processes and actions of planning in the Kingdom of Saudi Arabia.

The production of such a baseline understanding supports the presentation of a series of scenarios based on documentary and in-situ evidence collected in the Kingdom, which propose alternatives that MOMRA and other stakeholders could adopt to restructure the country's planning system. Each of the options proposed makes best-use of existing expertise within (and across) governmental departments at a national and sub-national level (regional, municipal/metropolitan and local). They also suggest that structural changes may be an increasingly beneficial approach to adapt as they allow divergent stakeholders greater fluidity to meet sub-national needs more effectively. However, although reform of the existing structures is proposed MOMRA will retain its position as a structurally critical partner pivotal to the translation, cascading and delivery/monitoring of any change. Thus the scenarios proposed should not necessarily be seen as mutually exclusive, and indeed the adoption of any new approach could engage with and reflect elements of each scenario; especially at the local scale. Such variation does, to a certain extent, already reflect existing and/or emerging practice, and the reforms presented are proposed as a mechanism to formalise and/or provide added institutional, financial and legal support to sub-national planning actors.

The scenarios presented in this report are followed by a review of existing local planning system structures, and outlines proposals for reform at the sub-national scale. The discussion of such reforms are embryonic but the detailed analysis of three local plans provided in Section 4 provides evidence to support these reforms.

The final section of this report reflects the need for a cultural change and greater capacity building within the structures of planning policy-making, delivery and regulation, as they are currently broadly defined in the Kingdom, if the proposed changes to the overarching systems, as well as the actual planning instruments, for example the National Spatial Strategy (NSS), are to meet their full potential. When reading this document, it is also important to acknowledge that practice is already changing to reflect both a growing realisation of the need for reform combined with the bold transformational opportunities offered by Vision 2030, and the associated strategic development objectives outlined in the NSS.

2. Key Principles for planning reform

Whilst both push and pull factors can be identified which support planning reform in the Kingdom in an era where there is an opportunity and appetite for reform, a number of key principles need to be acknowledged that will shape this process.

The role, scope and purpose of planning is, and will remain, very much tied to specific *local*, *historical*, *political*, *administrative* and *social* contexts of Saudi Arabia. In the Compendium of Spatial Planning Systems and Policies (CEC 2000) spatial planning was used as a neutral term 'which describes the arrangements used by governments to influence the future distribution of activities in space. It is undertaken with the aim of producing a more rational organization of activities and their linkages, and to balance competing demands on the environment. Spatial planning also incorporates those activities undertaken to achieve a more balanced distribution of economic activities than would arise from market forces alone' (p19). Taken as a starting point, and through extensive consultation with Saudi planning experts, it is possible to generate a more reflective set of principles which could be used to shape the reforms of the Kingdom's planning system. These can be considered as follows:

- A system that is dynamic not static both in terms of the system itself and the way policy frameworks (often in the form of plans and strategies) are revised;
- A system that is outcome-orientated, and consequently monitoring (to help delivery political/societal goals in terms of the built and natural environment) becomes an important aspect of planning;
- A system of plan-making and decision-making that is open, transparent, accountable and responsive to the needs and aspirations of key stakeholders;
- A system that attempt to shape market conditions (both in relation housing and the economy more generally) to deliver politically desired outcomes, which requires strong partnership working between public private and voluntary sectors);
- A system that seeks to co-ordinate activity between different levels (vertical integration) and between different sectors (horizontal integration);
- A system that seeks to be responsive to local needs and opportunities;
- A system that has a strong focus on implementation;
- A system that may be co-ordinated by the public sector in terms of determining the goals and aspirations but is not necessarily delivered exclusively by the public sector both in the making of policy and the delivery of outcomes on the ground;

In addition, the planning system, however it is defined, requires a willingness from professional actors to help create and deliver the strategies and frameworks, identify suitable implementation mechanism and monitoring whether the desired outcomes are being delivered. Moreover, a further set of characteristics have been identified within the Kingdom's planning profession as being key factors in the development of a more transparent and strategic development system. These characteristics are:

- Addressing the variability in capacity of the planning system, the management of development, and the co-ordination between stakeholders to ensure all scales of planning, and all agencies engaged in planning, have sufficient people, knowledge, financial stability and legal authority to deliver coordinated and sustainable development
- Increased flexibility in how information, processes and outcomes are integrated within the frameworks of planning policy-practice, and greater transparency and shared experience in how information is gathered/shared

- More effective engagement and acknowledgement of the spatial variation witnessed in the setting of strategic objectives within policy at the national, regional, municipal and at lower levels
- Acknowledgement of the variation in pace of change of policy and practice in the Kingdom and the growing temporal dynamics which have direct effects on planning
- Ongoing discussion of the position of the Kingdom globally and regionally as an economically prosperous and vibrant nation

Whilst these characteristics might appear to be an idealistic set of aspirations, and arguably no country in the world has a planning system that delivers across all the points made above, there is value is aspiring to develop a system that could help to deliver the territorial or spatial development necessary to achieve the outcomes of Vision 2030. Whilst the instruments of planning can be changed, i.e. in policy terms the way that national, regional and local plans are prepared, it will be necessary for governance arrangements at all scales to have the capacity to effectively deliver policy mandates. They must also recognise the role that the public and private sectors, as well as civil society have in determining place-based aspirations, and more sustainable and strategic delivery. This will require greater co-operation, collaboration and inevitably a form of devolution and decentralisation of decision-making.

The starting point of any reform process is, however, determining the scope of the system.

Currently the planning system, as discussed in previous sections, fails to function to its maximum capacity due to a lack of continuity between approaches to delivery, as well as a lack of compliance with national policy mandates. The planning system could, therefore, be considered to be relatively malleable leading to a lack of awareness and functionality between stakeholders. As a consequence, it is important not to be too prescriptive about the role and scope of the planning system in Saudi Arabia to avoid reinforcing existing institutional issues. To address potential silos is therefore an internal discussion as the Kingdom needs to establish an acceptable set of goals and aspirations regarding the processes, procedures and decision-making instruments through which it believes land can be used, developed or redeveloped.

To assist the following draws heavily on experience and best-practice from other countries to highlight what characteristics, practices and processes could be adopted to support the proposed planning reforms (see Table 3.1). Thus, this is not an attempt to avoid the provision of an overarching definition for planning in the Kingdom, which is provided in section 3.1, but an opportunity for Saudi stakeholders to take ownership and shape the structures, instruments and outcomes of any reforms proposed. Such reforms will, as a consequence, be bespoke to meet the particular needs, current and future development scenarios, sensitivity analysis, and CBA skills of Saudi Arabia in the short, medium and long-term.

Table 3.1 below illustrates the use of the UN Habitat principles in three locations: the UK, The Netherlands and South Korea to highlights the variance, as well as the relative degrees of compliance with a broad (and accepted) set of criteria supporting planning activities in different countries. The table also highlights how this evaluation could be applied to the Kingdom of Saudi Arabia, and potentially where barriers exist to their use.

Table 3.1 International Best Practice comparisons with UN Habitat principles[4]

Principles	UK	NE	SK	Relevance to current Saudi Arabian context
Integrated – Horizontal	Green	Green	Amber	Limited but changing and could use UK/Dutch examples to streamline and improve efficiency
Integrated – Vertical	Amber	Green	Amber	In theory but links between levels/scales need greater support (see Dutch example)
Participatory	Green	Green	Amber	UK and Dutch examples highlight role of stakeholders and citizen engagement
Needs orientated - Human	Green	Green	Amber	Too prescriptive and inflexible to respond to rapid societal needs (infrastructure, services and economic development)
Needs orientated – resilience (including CC)	Amber	Green	Amber	Lack of focus on environmental concerns and long-term sustainable development (Dutch example to support)
Iterative	Green	Green	Green	Currently static and could use all examples to highlight possible changes to rigid instruments
Effective	Green	Green	Green	Regulates development effectively but does not manage change to same extent
Adaptive	Amber	Green	Green	Currently static and could use all examples to highlight possible changes to rigid instruments
Ongoing evolution	Green	Green	Green	Continues to evolve but hasn't changed as quickly or effectively as international best practice

Moreover, a process of reflection and evaluation of planning activities is already underway in the Kingdom and is highlighted in the Vision 2030 documentation, and in the discussions outlined in the International Systems Case studies section of the Future Saudi Cities Programme (FSCP - Draft Review of the National Spatial Strategy, 2016:25).

Through an ongoing engagement with UN Habitat, MOMRA and experts within the Kingdom this report, though, six key issues are identified which along with the proposed scenarios presented in section 4 could form the basic framework for the planning system in the Kingdom. The six issues are:

1. **Reflecting Supra-National Perspectives** – Extending the scope of spatial planning frameworks to incorporate international considerations and cooperation, to maximize development opportunities.

The Future Saudi Cities Programme examined a series of international best-practice case studies identifying examples of policy-making, logistical and administrative innovation in management, and stakeholder arrangements that support more integrated and adaptive forms of planning. Each of these examples, some of which discussed and/or cross-referenced in this report, highlight the range of options available to the government of Saudi Arabia in terms of what approaches could be taken to shape the reforms of the Kingdom's planning system.

2. **Addressing Environmental Challenges** – Integrating land use and environmental policies to create a sustainable environment, with an emphasis on protecting the natural environment, biodiversity and mitigating climate change risks.

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[4] A RAG (Red-Amber-Green) evaluation system is used throughout this report to highlight compliance with themes, actions and practices. Characteristics noted in red are deemed to have little or no compliance, amber shows some use of the characteristic and/or process, whilst green shows a good use and/or compliance. Thus the greater the number of green boxes the more aligned with the characteristics being evaluated.

Alternative approaches and understanding of landscape and environmental capacity have been embedded within the Future Saudi Cities Programmes. These reflect upon the need to sustainably manage the environmental resource base of the Kingdom when climate change and environmental hazards are becoming more prominent. Comparable discussions are presented in Vision 2030.

3. **Leveraging Economic Opportunities** – Using spatial development policies to diversify the economic opportunities available and create interlinked economic clusters which support job development and economic growth.

Due to the changing nature of Saudi and global finances (and financial systems) there is a need to diversify the nature of the Kingdom's economy. This means looking beyond petrochemical revenue and identifying with new options for economic development within the Kingdom, with both regional and global markets, as outlined in Vision 2030. The proposed planning reforms will aid this process by supporting a more strategic review of what and where new investment can be delivered, and aligning sub-national development with national objectives through the NSS.

4. **Delivering Equitable Access to Basic Services** – Addressing the disparities in service provision across all segments of society to provide equal opportunities.

The Future Saudi Cities Programme, Vision 2030 and the NSS all aim to establish greater equity between the location of services and their availability to all members of society. Through strategic planning service provision will be linked directly to new development to ensure delivery is located in areas of need.

5. **Fostering Participation and Collaborative Implementation** – Maximising the potential of the NSS through shared responsibility and accountability and by encouraging active investment at a nationwide level.

A key directive of Vision 2030 and the reformed planning system is the promotion of a more inclusive, participatory and collaborative process for investment to engage stakeholders in meaningful dialogue regarding development, and to identify where and who the accountable bodies for investment are at a national and sub-national scale.

6. **Measuring Success for Effective Implementation** – A sound and well informed evaluation of spatial development outcomes which is suitably robust to address the comprehensive nature of the NSF.

To ensure that development occurs in a strategic and programmed manner a more efficient, transparent and inclusive framework for implementation and monitoring is proposed for the Kingdom. This will work with the reformed policy mandates and stakeholders to support more effective investment and the subsequent management of new resources.

2.1. Role and scope of the reformed planning system for the Kingdom of Saudi Arabia

The criteria and objectives outlined above can, and should, all be used to shape the proposed reforms of the Saudi Arabian planning system. However, to ensure that any changes promote continuity between government and non-government actors there is a need to establish what the planning system in the Kingdom should be, and should do. The revisions to the NSS, the objectives of Vision 2030, and the proposals for a revised Saudi Arabian Planning Act will go some way to establishing these parameters, however, within this document, and for supporting the scenarios discussed in section 4 the planning system of the Kingdom is proposed to do the following:

- The Saudi planning system aims to deliver an equitable, inclusive and sustainable form of development in line with strategic objectives of Vision 2030.

- The Saudi planning system aims to ensure that investment supports the diversification of the economy, sustainable environmental resource management, and that long-term development of socio-cultural capital across the Kingdom.

- The Saudi planning system strives to promote integration between stakeholders at all levels across the Kingdom and focusses on the effective delivery, management and monitoring of strategic objectives in practice.

- The Saudi planning systems aims to facilitate development that is human-centred and delivers services, amenities and infrastructure at all levels of government.

Whilst the previous sections outlined a set of grounded characteristics that the reforms to the Saudi planning system should follow it is also necessary to effectively embed these principles, and those proposed by UN-Habitat and Saudi experts, into the following discussion of the proposed scenarios and/or changes to the Kingdom's planning system. Thus, three additional factors have been identified that offer a thematic underpinning to this process. Each of these areas, noted below, are deemed as being crucial to the understanding of the current Saudi planning system.

- **Governance** – the capacity to develop, deliver and monitor strategic planning and investment lacks continuity between different parts of the Kingdom and their various planning stakeholders
- **Systems / Urban Management** – there is significant variability in the structures of plan-making, delivery and monitoring across the Kingdom of Saudi Arabia which is illustrated by limited integration between planning levels (national, regional and metropolitan/local)
- **Local Planning** - preoccupation with regulating developing rather than effectively managing or co-ordinating growth

Throughout the following sections these three thematic areas will be discussed as underpinning the proposed reforms to the structures, instruments and practices of planning in the Kingdom, as they are considered to illustrate the most commonly occurring barriers to effective development and/or management in the Kingdom.

2.2. Summary

The following discussions will draw on the principles noted above to illustrate how international debates, experience from other locations and informed discussion with planning experts within the city can support the development of a series of planning scenarios that could form the basis of the planning system in Saudi Arabia up until 2030.

The proposed scenarios will utilise the characteristics noted above, as well the following, which were developed through an extensive review and engagement with the planning, governance and development literature focussed on the Kingdom, and from discussions with UN Habitat and Saudi Arabia experts. The proposed reforms of the Saudi Arabian planning system will therefore aim to be:

- Integrative – horizontal and vertical
- Focus on balancing implementation with regulation

- Inclusive for all members of the Kingdom and agencies involved with planning and greater transparency in decision-making processes
- Focussed on facilitating greater decentralisation to ensure local ownership of plans, processes and development/monitoring
- Increasing the emphasis placed on delivery and outcomes
- Needs for greater and cyclical sharing of information, management and monitoring of planning activities, development, policy formation and decision-making
- The planning system should be flexible and adaptive to variation in location and governance structures within the Kingdom
- Facilitating improved capacity building and responsibility at all levels in the technical, political and implementation of planning activities
- Identification of lines and levels of accountability in decision-making
- Reviewing and sharing best practice at all scales

The following sections will use these characteristics along with evidence from interactions with MOMRA, other ministries and Saudi experts to propose a series of scenarios which could be adapted to support the reforms of the Kingdom's planning system. Each of the scenarios should be read in conjunction with the thinking underpinning the revisions to the NSS and other national and sub-national policy in Saudi Arabia and proposes a roadmap to effective and sustainable change.

3. Scenarios

From the discussions outlined above it can be argued that the factors influencing planning policy-making and implementation in the Kingdom are complex. However, although this could be considered as a contributing factor explaining the difficulty in developing compliance of all actors with existing Saudi Arabian planning processes it also provides scope to rethink what is possible. Drawing on the international systems best-practice examples discussed briefly in Section 3 and more widely in the International Best Practice Case Study report, engagement with Saudi experts, and following additional reflections from the local Saudi examples the following proposes a set of scenarios based on grounded evidence that address the political systems, support, instruments and practices needed to deliver the future-orientated Vision 2030, whilst also offering insights into how day-to-day planning can be supported.

The following discussion will use the triumvirate of planning governance (who, what and how), local planning (where and what), and systems and urban management (policies, frameworks and structures) proposed in Section 1 and 2 as key tenets supporting the proposed the scenarios. These three factors are deemed critical to the successful adaptation of planning reforms in the Kingdom, as they represent the stakeholders, the instruments and the practicalities of delivering planning at a national, regional and local-scale in Saudi Arabia. Moreover, the scenarios reflect upon the principles for effective planning proposed by UN Habitat[5] and by Saudi Arabian experts outlined in Section 3.

These principles will be used to direct the discussion of responsibility, focus and outcomes of each proposed scenario. Each of the proposed options for reform will thus assess whether, and if so, how planning praxis in the Kingdom can be adapted.

From a review of the factors discussed in Section 3 a series of development scenarios have been identified, which could be utilised singularly or as part of a hybrid/adaptive planning system to direct investment alongside the NSS and Vision 2030. Each of the proposed scenarios attempts to maximise the expertise (technical and administrative), capacity (logistical and administrative), documentation and guidance (instruments), and existing frameworks of planning in the Kingdom of Saudi Arabia. All three scenarios integrate reflections on local governance structures, the instruments used to frame planning policy, and the complexities of applying national mandates at sub-national (i.e. regional, metropolitan and local) levels. Each scenario takes into account the variation in policy formation and implementation witnessed across the Kingdom, and where there is the potential to improve both the *continuity* and *consistently* between what, where and how planning occurs at the national, regional and sub-regional (municipality, city/metropolitan and local) level.

The following scenarios are not proposed as a single solution to the concerns raised by stakeholders in the Kingdom but as a suite of options for decision-makers working on national and sub-national planning issues providing MOMRA with a clear set of vertical (within national government) and horizontal (between all stakeholders) approaches to improve integration. Moreover, whilst there remain concerns over the existence of the institutional, personnel and logistical capability to successfully adopt these structures in order to achieve effective and sustainable development, it is prudent to promote the added-value they provide to the wider processes of planning in the Kingdom.

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[5] Integrative – horizontal and vertical; balancing implementation with regulation; inclusivity (includes capacity building and responsibility at all levels, technical and political); decentralisation to ensure local ownership; emphasis on delivery and outcomes; cyclical information sharing, management and monitoring; flexibility and adaptive; transparency in decision-making processes; identification of lines and levels of accountability in decision-making; rreviewing and sharing best practice at all scales

The scenarios should also be read as a nested or tiered set of governance proposals that support the reforms proposed within Vision 2030. Each scenario identifies either a single or set of key stakeholders who could be charged with the responsibility to move planning in the Kingdom from a nominally static and structure-plan making based approach towards more responsive and proactive development management.

To highlight how such a shift can be achieved the scenarios are accompanied by an examination of the existing policy/guidance, and where potential can be illustrated to align national, regional and metropolitan/municipal policy into an integrated, coherent and multi-directionally form of planning policy and management. The scenarios are also supported by the international best practice examples (and report). These have been used to identify governance structures, policy instruments and key stakeholders at all scales which need to be integrated to facilitate a more effective process of planning reforms.

The scenarios are therefore evidence-based and reflective of global best practice, yet remain located within specific Saudi contexts[6].

Each of the proposed scenarios also maximises the value of existing planning structures in Saudi Arabia to make best use of the current capacity of planners and associated planning and economic development expertise. This will provide each scenario with a greater depth with which to promote a more effective, reflective and multi-dimensional integration of *institutions/people-policy-practice*, to encourage greater collaboration and/or engagement by all members of society (as outlined in Vision 2030), and to provide more a dynamic form of autonomy for different stakeholders to effectively deliver the strategic development goals of the Kingdom of Saudi Arabia. To achieve these changes will, however, require the existing frameworks of government, governance and the policy/strategic development instruments in the Kingdom to reframe 'planning' as an activity, a discipline and as a technical exercise that a more reflective and proactive process moving away from its perceived static nature.

Finally, to contextualise the following scenarios MOMRA will remain central to the suitability and adaptability of any future planning reforms in Saudi Arabia, although additional support is proposed from other government ministries, sub-national stakeholders, and members of the economic/development sectors, as well as the public/Kingdom's citizens.

To ensure clarity is established for each scenario there is a need to briefly outline the existing governance levels and responsible bodies which develop, implement and regulate planning policy and delivery in Saudi Arabia. This will provide a governance, systems and delivery/application framing for the following scenarios.

Table 4.1. Policies, responsible authorities and application of planning policy in Saudi Arabia

Scale/level	Responsible agency	Policy instrument	Comments
National	MOMRA	National Spatial Strategy (NSS), National Planning Strategy (NPS), Vision 2030	Policy is strategic in nature but lacks context of sub-national agendas and indicates low levels of application and/or monitoring

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[6] The scenarios do not propose that evidence from global examples are all viable in Saudi Arabia. The international best practice examples have been used to illustrate how comparable yet nationally specific forms of spatial planning can provide exemplars of policy, practice and management which could be applied and support planning in the Kingdom.

Regional	Ministry of the Interior	Regional Plans	Planning policy is not set by MOMRA so lacks an alignment with national mandates. Local agendas are central to development at this scale and there is a lack of reflection of national/local needs.
City, Metro, Municipal	MOMRA Offices, Development Corporations, Local government	Local Plans, Sub-regional structure plans, Local Development Atlas	Plans are isolated from the regional and national policy instead focussing on local delivery issues. There is a lack of integration between service providers, MOMRA and other ministries leading to variable investment.
Local	Local government, MOMRA offices	Local Plans, Local Development Atlas. Land sub-division plans	See above City, Metro., Municipal
Royal Commissions	Royal Commissions	City-scale master plans, development plans,	Autonomy from the government to deliver specific thematic, i.e. petrochemical investment, with the view to promote economic development internally and internationally, i.e. RC for Jubali & Yanbu
Special Development / Industrial cities	Special Development / Industrial cities	City-scale master plans, development plans,	Autonomy is granted to a specific stakeholder who develop and deliver the planning strategy for a given location, i.e. King Abdullah Economic City.
Development Corporations	Development companies and corporations	City-scale master plans, development plans,	Greater formal/informal autonomy for development corporations, i.e. Arriyadh Development Company (ADC)

Table 4.1 highlights the variation, and by extension the inherent complexities facing planners in Saudi Arabia based on institutional differences, non-alignment of development objectives, and a lack of effective monitoring or reflection on the nature of development within a broader development debate. To ensure that any planning reforms are effective the following scenarios aim to facilitate:

- Greater collaboration to promote compliance and continuity between stakeholders at different planning levels across the Kingdom;
- Ensure stakeholder engagement and buy-in for Vision 2030 and the revisions to the NSS;
- The promotion of a more joined-up and integrated structure for planning that is reflective and vertically/horizontally coherent;
- Better integration of ministerial mandates to improve the overarching approach to planning

The following scenarios focus planning on the identification and alignment of strategic investment objectives – not just regulatory issues, and propose a set of integrated and transparent scenarios which provide the scope and frameworks for more effective and sustainable delivery. Furthermore, it is important to realise that the planning system in Saudi Arabia is dynamic, and it is possible to suggest that ongoing reforms are already starting to move the approach to planning incrementally towards achieving elements of some, if not all, of these scenarios over different timescales.

4a. Consolidation

The 'Consolidation' scenario proposes to retain MOMRA as the central and co-ordinating agency of strategic spatial planning in the Kingdom. Under this scenario MOMRA with guidance from the Council for Economic and Development Affairs (CEDA) will establish an overarching and coordinated framework for strategic and local development for the Kingdom using Vision 2030, the NSS, the

revised National Spatial Plan, and sub-national plans to align the medium to long-term development trajectory of Saudi Arabia.

MOMRA will work with other Ministries at a national level, and key development and delivery stakeholders at all scales to develop revised spatial planning guidelines and deliverables, and will act as the executive decision-makers of planning in the Kingdom. Within this scenario MOMRA will continue to collaborate with other ministerial bodies and non-governmental stakeholders who will provide evidence-based guidance. MOMRA will review and where appropriate use evidence submitted from other ministries and sub-national bodies.

MOMRA will continue to develop the National Spatial Plan and provide delivery mandates to MOMRA officers at the sub-national scale. Moreover, MOMRA representatives at a regional scale will be engaged more effectively with this process to ensure continuity between national-level development objectives and sub-national delivery. Development of a more co-ordinated and integrative horizontal and vertical structure for centralised MOMRA officials and regional officers with stakeholders will directly address the perception that existing policy-making and delivery structures are ineffectual.

Figure 4.1 – Consolidation
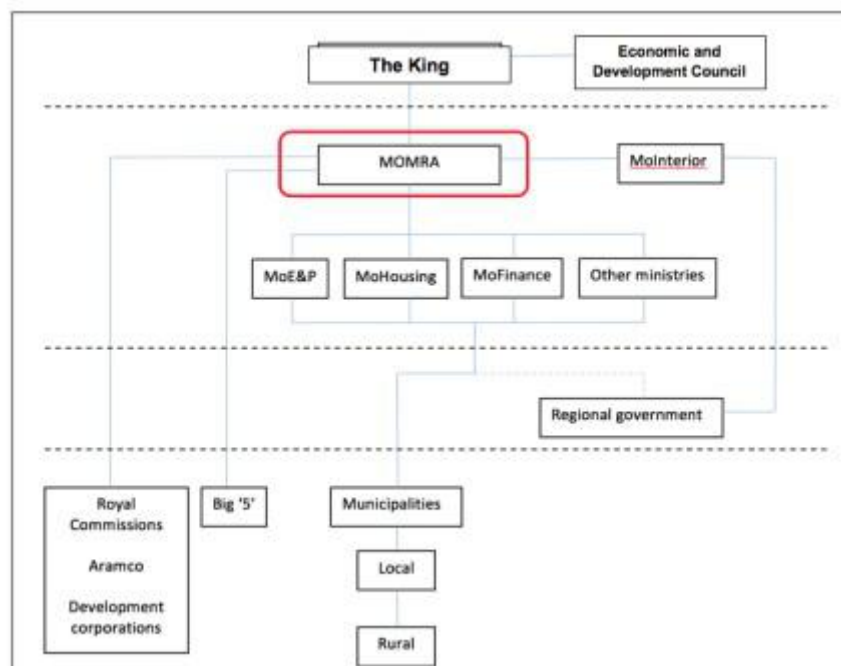
Key responsible stakeholder: MOMRA
Key policy/guidance instrument: National Spatial Strategy (NSS)
Key partners: Ministry of the Interior, Ministry of the Economy & Planning, Ministry of Finance, Ministry of Housing, other government ministries, sub-national planning stakeholders
Timeframe: 0-5 years

To ensure continuity of approach is achieved at all scale the NSS and National Spatial Plan will be identified as the key policy instruments for strategic plan making in the Kingdom. MOMRA will work with partners to facilitate a more robust and transparent compliance with the NSS at a national, and all sub-national scales. This will focus on balancing strategic investment goals, with appropriate implementation guidelines and a robust regulatory system. MOMRA will also work with other

Ministries at a national level, and key development and delivery stakeholders at all scales to develop revised spatial planning guidelines and deliverables, however, they [MOMRA] will continue to act as the executive decision-makers of planning in the Kingdom.

Although it is acknowledged that variation in delivery exists across the Kingdom under the consolidation scenario MOMRA will retain its existing authority but will, hold more significant control on the creation, regulation and/or monitoring of planning policy-making and delivery at a sub-national level. MOMRA will also be tasked with improving coordination of dialogue between the 'Big 5' cities of Riyadh, Mecca, Medina, Jeddah and Dammam, the following 17 cities, and all other municipalities and local development authorities. This will increase the level of inclusivity within the plan-making process and facilitate additional capacity building, as well as a greater awareness of the administrative, legal and regulatory responsibility at all levels of planning to promote improved technical and political knowledge of the planning system.

The 'Consolidation' scenario thus requires greater horizontal and vertical alignment between MOMRA and other national, regional and sub-regional stakeholders to ensure that MOMRA generated mandates are effectively embedded within sub-national praxis. Whilst MOMRA already holds this role the 'Consolidation' scenario calls for greater transparency and the establishment and/or enhancement of a two-way dialogue between stakeholders to ensure integration between national mandates and sub-national needs are met within strategic development policy. MOMRA will also develop more visible lines of communication between government ministries at a national level and through sub-national activity, which will include discussions of stakeholder (and MOMRA/government) accountability for financing, investment and monitoring of development.

Within the 'Consolidation' scenario MOMRA will act as the responsible agency coordinating the plan-making process across Saudi Arabia ensuring that plans are developed which promote a more coordinated and strategic development/investment thus shifting the emphasis away from the existing regulatory nature of current structure plans. MOMRA will also undertake monitoring and act as the evaluative body overseeing the development and management of plans at the regional, metropolitan/municipal scale to ensure compliance with objectives outlined in the NSS. However, MOMRA will be specifically tasked with facilitating a more effective and inclusive form of cyclical information sharing, management and monitoring between government and all planning stakeholders in the Kingdom. It is envisaged that a new digital and/or officer-led information platform will be needed to ensure this is delivered. Moreover, this will include the alignment of regional and local plans with Vision 2030, and the wider development vision promoted by the Kingdom to ensure evidence-based and sustainable delivery.

Finally, MOMRA will liaise with stakeholders at each tier of planning to ensure that all agencies comply with the revised structural parameters of planning in Saudi Arabia. MOMRA will though investigate how the system can be more reflective of localised (i.e. sub-national) socio-economic and environmental development needs through the creation of an adaptive alignment with the NSS, local plan-making and delivery. MOMRA will also work with other ministries at a national level, and sub-national agencies to align their planning instruments: namely strategic master-plans and the NSS, development objectives and implementation programmes, to ensure continuity between agencies at all scales across the Kingdom. Within the 'Consolidation' scenario MOMRA will be expected to engage more directly with different stakeholders as a regulator of delivery. This will require MOMRA to develop more transparent regulatory guidelines to ensure parity and continuity between national and sub-national planning objectives.

Scenario two promotes a process of greater 'Collaboration and equilibrium' between ministries at a national level, and different areas of government at a national and sub-national scale. This option proposes that MOMRA and all other Ministries explicitly dealing with development and/or planning issues are included in a more collaborative form of decision-making. This will require cross-sector collaboration to promote a unified vision for the Kingdom aligned with or supplementary to the NSS.

Any reform of ministerial authority/responsibility for planning will require a more reflective, inclusive and transparent process of collaboration and dialogue between MOMRA and other areas of government. The Ministry of Economy & Planning, the Ministry of Housing and the Ministry to Finance, as well as the Ministry of Interior (dealing with regional plans) will all be engaged within this scenario. This is not, however, an exhaustive list and is subject to change as government reforms and/or Ministry changes occur.

The Council of Economic and Development Affairs (CEDA) will hold an oversight role in this scenario but MOMRA retains the coordinating role and will act as the 'planning champion' with responsibility for developing planning policy and overseeing compliance within practice.

Figure2. Collaboration and equilibrium
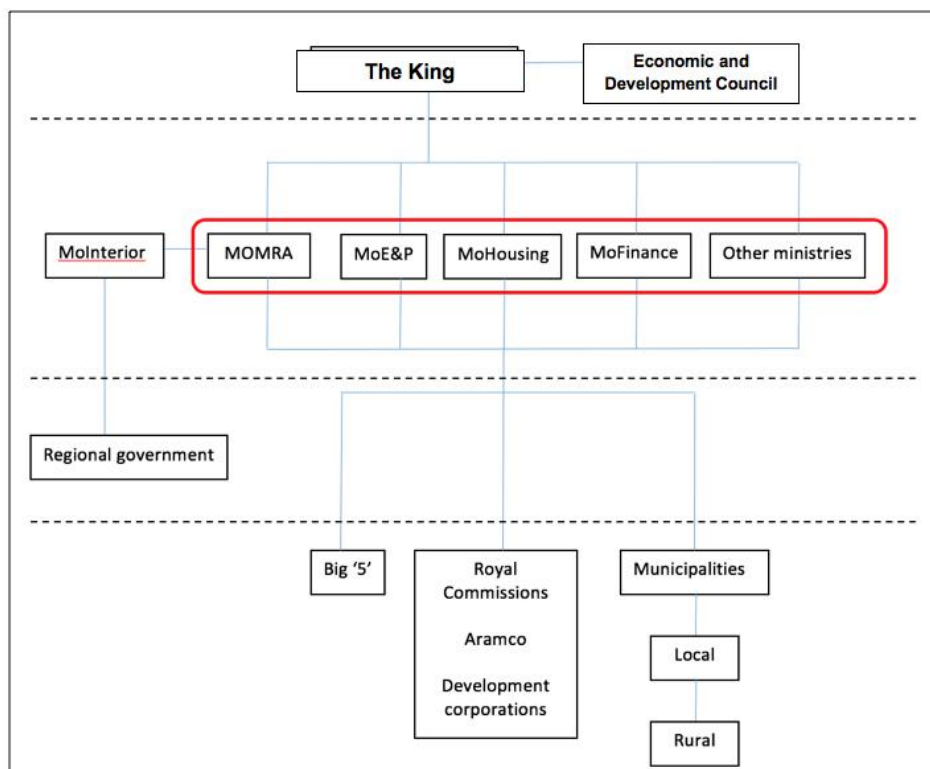
Key responsible stakeholder: MOMRA, MoE&P, MoU, MoF and other ministries
Key policy/guidance instrument: National Spatial Strategy (NSS), NPS
Key partners: all ministries at a national level
Timeframe: 0-10 years

The 'Collaboration and equilibrium' scenario proposes that although MOMRA understands the mechanistic structures of planning, that other Ministries have expertise of equal importance which

could benefit the strategic direction that planning/development may take in the Kingdom. For examples the Ministry of Economy and Planning has real-time data on development issues, i.e. transport and/or waste, which could be used as evidence to support more adaptive forms of investment. Furthermore, there are concerns that the static and regularity nature of planning policy is limiting the ability of MOMRA and other stakeholders to effectively manage development. The 'Collaboration and equilibrium' scenario thus proposes a more adaptive form of planning governance, which draws on the expertise the all ministries and their structural and delivery mandates at a national and sub-national scale. It also calls for a co-ordinating tool to be developed in line with or complementary to the NSS that can act as a reference/guidance for all stakeholders in the scenario. Moreover, there will be a requirement for new internal regulation and guidance for all collaborative ministries to ensure continuity of approach, and understanding of the Kingdom's development rhetoric.

The 'Collaboration and equilibrium' scenario calls for a reform of the structures of planning in the Kingdom of Saudi Arabia, installing collaborative responsibility for planning with MOMRA and ministries with equal authority to shape development priorities. MOMRA will, however, act as the ministerial champion of the scenario and will hold an executive authority to liaise with the Economic & Development Council and other stakeholders on behalf of the ministerial group.

This scenario requires MOMRA and other ministries to work in parallel to produce mutually acceptable development policy which support the strategic objectives of the majority of government departments. Whilst the NSS will be main policy instrument tasked with delivering a consolidated framework for planning there are concerns that it was developed outside of a collaborative arenas, and may lack consensus between stakeholders. The 'Collaboration and equilibrium' scenario does not propose to undermine or limit the use the NSS, alternatively it will be used as a platform to direct further policy reform. Potentially, there is also scope for a suite of nested policies (as described in the international best practice) to be developed to support the NSS and NPS, which could be developed by other ministries but with specific reference to these policies/strategies.

Through the 'Collaboration and equilibrium' scenario a new fully-integrated set of national planning policies would be proposed that utilise the expertise and experience of a significant, if not all, government ministries to shape the future direction of Saudi Arabian planning. This will provide explicit horizontal integration for planning mandates across government and ensure that policy is based on stakeholder inclusivity and coherence of approach. It is envisaged that this will lead to increased opportunities for capacity building and information sharing within MOMRA and between ministries, and raise awareness of the responsibilities allocated at all levels of technical and political levels to each ministry and/or planning and development stakeholder.

This does, however, not call for or imply that a singular or unilaterally agreed policy framework for planning is required in the Kingdom. Alternatively, it requires a consortium of ministerial stakeholders to work collectively under the strategic leadership of MOMRA to develop a portfolio of development objectives and/or policies that are acceptable, integrated (horizontally and potentially vertically then cascaded throughout the Kingdom) and reflective of the majority of government mandates. Moreover, although the final authority will lie, and/or be retained by MOMRA as the administrative (and legislative) champion of the scenario, all ministries will have a direct involvement in shaping development policy at the national level.

Working through a collaborative structure should enable the strategic development objectives of all areas of government to be embedded within national and sub-national policy, cascading through a process of policy dissemination from the centre to the local (and overtime from the local to the centre). Thus, it is expected that all policy mandates established by the government (overseen by

the MOMRA 'champion') will be translated and utilised at a sub-national (regional, metropolitan and local) scale. Furthermore, the expertise gained from such a collaborative process should enable MOMRA to move away from the predominate production of 'structure plans' and more traditional/established and directed investment towards a more flexible, yet still strategically focussed set of policies that hold greater relevance to sub-national stakeholders and their needs.

Policy which is more adaptive and responsive to localised needs (at whichever scale) are imperative if the Kingdom is to respond appropriately to varying socio-economic and environmental influences. This proposes a significant shift in how policy is developed, its focus, and its alignment with existing and new government policy (i.e. NSS and other new government policy). The economic, administrative and social costs of such an approach would need to be factored into any revised policy developments to ensure positive cost-benefit outcomes. Moreover, this would require all stakeholders in government at a national and sub-national to reform their objectives for spatial and development 'planning' to move from a process of structural land use regulation to a more strategically orientated form of planning.

All national, regional and municipal/local plans would also be required to comply with the overarching development agenda set at the national level, although localised variations would be permitted to ensure appropriate development occurred.

This scenario therefore proposes a more dynamic form of strategic policy-making and investment whereby sub-national policy, i.e. the instruments, are provided with sufficient scope to work within a broader set of defined development principles set at the national level by the consortium of government ministries (led by MOMRA) to ensure locally appropriate delivery. The scenario also argues for greater devolution of authority to manage development, as plans would be required to be compliant with the NSS, and in line with MOMRAs strategic aims for the Kingdom. Such a process will facilitate a more transparent form of development management, as the decision-making of MOMRA will require ratification and/or endorsements from other ministries, as well as the Council of Economic and Development Affairs (CEDA), and the King. Through such a process the strategic thinking and implementation of 'planning' in the Kingdom could be considered as placing greater focus on balancing implementation with regulation through a more transparent framework of decision-making.

The main advantage of the 'Collaboration and equilibrium' scenario is that is brings together the expertise, data and praxis networks of stakeholders within government and its ministries in Saudi Arabia to share best practice within and between elements of planning policy/delivery. Moreover, an extensive understanding of the variability of development in Saudi Arabia exists within government and planning stakeholders, which could be utilised to avoid the well-known consequences of poor decision-making. The proposed scenario would therefore establish a framework where ministerial checks could be developed to promote a more effective, directed and evidence-based form of strategic planning and development management in the Kingdom.

4c. Devolution and Decentralisation

The third scenario is perhaps the most drastic, but could also be considered the most proactive to address the perceived needs of the Kingdom. Due to the divergent views of government success in directing development, especially outside of the 'Big 5' cities, there are possibilities to promote a process of 'Devolution and decentralisation' for decision-making to enable greater autonomy at a sub-national level. Movement towards a more devolved and decentralised framework of planning in the Kingdom would lead to greater flexibility and adaptability of approach as sub-national stakeholders take greater ownership in shaping local development agendas. However, to achieve such a shift in governance and planning policy-making/delivery structures would require extensive,

long-term and thoughtful buy-in from MOMRA, other government ministries and planning stakeholders at a sub-national scale.

The 'Devolution and Decentralisation' scenario proposes an extensive shift of authority for decision-making away from MOMRA and other national level government bodies to sub-national stakeholders at the regional, metropolitan and local scale. It therefore proposes that agencies other than MOMRA be tasked with managing development within a reformed and decentralised framework for planning. This would facilitate a more reactive and dynamic form of growth as it would draw more directly on 'local' knowledge and expertise, rather than relying solely on strategic mandates approved by MOMRA. Moreover, this implies that sub-national planning stakeholders would be more effective arbitrators of local need than government. Thus the scenario offers greater opportunities to promote horizontal participation in planning for a greater number of stakeholders who will subsequently develop ownership over the framing of strategic investment, delivery and monitoring. Such stakeholders would include, but are not constrained to, special planning agencies such as the Arriyadh Development Authority (ADA), Aramco, Royal Commissions or other planning authorities within the 'Big 5' cities or the subsequent 17 cities.

Figure 4.3. Devolution and Decentralisation
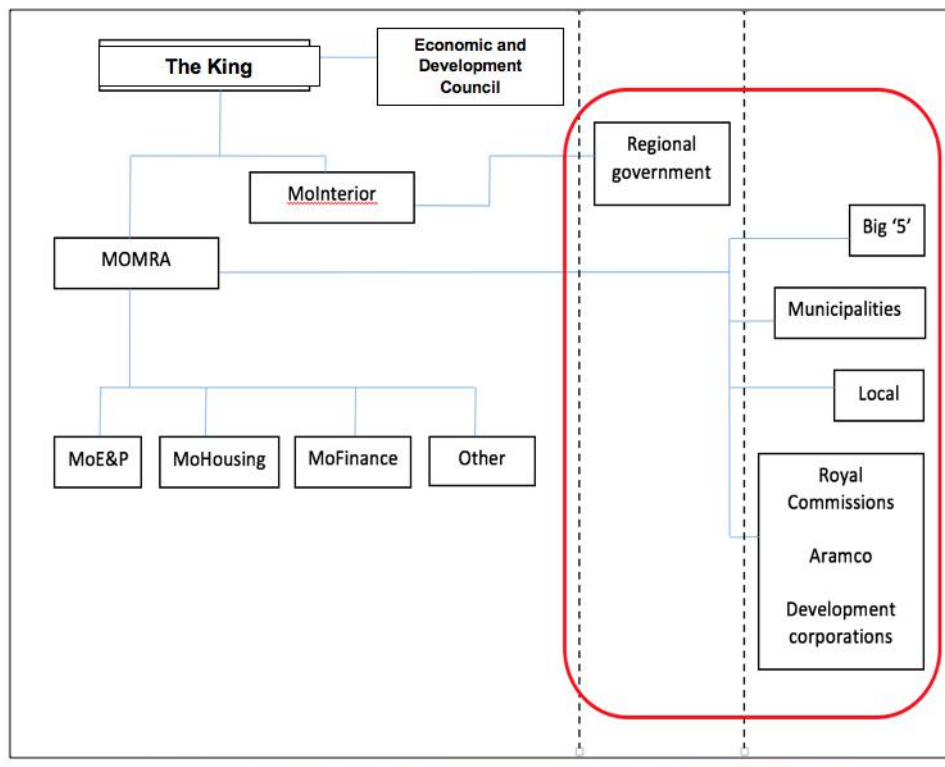
Key responsible stakeholder: Regional and local/municipal government
Key policy/guidance instrument: Local plans, development strategies, development atlas'
Key partners: national, regional and local development/management/monitoring partners, MOMRA and other government ministries
Timeframe: 10-20 years

Such a process of devolution exists within Medina, the Royal Commissions (for example in Jubail and Yanbu) and the Special Development Cities (for example King Abdullah Economic City), however, this scenario advocates for a Kingdom-wide devolution of planning responsibilities to facilitate locally specific growth. The management of such a process would have significant implications as to how

planning occurs in Saudi Arabia, which would require additional reforms to ensure the promotion of a continuity of approach between stakeholders. Devolution would thus need to be managed or overseen/monitored to ensure a rational approach to development could be facilitated across the Kingdom.

The scope of the 'Devolution and Decentralisation' scenario would include the development of strategic planning objectives, master planning activities, monitoring, and evaluation of development by sub-national stakeholders at a sub-national level. Although a structure would need to be put in place to ensure compliance at all scales with the NSS and other national-level development policies. The scenario also calls for sub-national stakeholders to move away from the development of regulatory structure plans and develop more strategic development plans. This would require a significant change in approach and additional support financially and technically to promote an effective transition. By entrusting the process of planning to sub-national and expert stakeholders the 'Devolution and Decentralisation' scenario aims to make maximum use of the experience, understanding of local social issues and market-orientated approaches to development at a sub-national level. It also promotes greater engagement with sub-national development issues that can be addressed more reflectively by stakeholders working in the area, rather than centralised national stakeholders.

To facilitate this shift would require the Kingdom's government to allocate sufficient funding and other resources (i.e. personnel, legal powers) to support the development of more effective development structures at a sub-national scale. Currently, there are concerns that sub-national planning authorities would not have the capacity to manage development in isolation from MOMRA or other stakeholders, thus transitional funding and support would be required to maximise the effectiveness of the existing structures/capacity and to improve the structures, instruments and delivery/monitoring of planning across the Kingdom.

The 'Devolution and Decentralisation' scenario would thus place the control of planning outside of MOMRA at a national level except where compliance with the NSS is required, and where MOMRA would retain their role in directing regional plan-making besides its other overall monitoring and guidance roles. As a consequence, a revised framework for dialogue/communication would be required to ensure that a process of continuity was maintained between planning in different locations.

One of the principal benefits of the proposed scenario would be the increased level of autonomy granted to sub-national stakeholders. However, if the scenario is to be effective institutional guarantees of independence from MOMRA would be required. If this is achieved then a system of monitoring by, and between, delivery stakeholders and planning authorities could be developed to provide a platform for effective evaluation and reporting of development. Moreover, for such a change to be effectively undertaken a transitional period would be required to increase the capacity and strategic nature of planning at a sub-national scale under the auspices of MOMRA. Such a programme of transitional power-sharing/devolution would require buy-in from all stakeholders and would take a number of years to achieve (potentially up to 2030). It is therefore not proposed that stakeholders be provided with decision-making powers immediately, although this would be welcomed by some, rather there would be a gradually transfer as the structures, expertise and financial systems needed to manage development effectively are put in place.

The delivery of such a devolved system would also require the identification of a clear framework of accountability for decision-making with, and between sub-national planning stakeholders. Whilst greater authority would provide scope for regional, metropolitan and local planning agencies to address localised issues more directly, as they would not be controlled as extensively by MOMRA,

this would require a dialogue to be developed in order to ensure planning was not being delivered in isolation. Therefore, a commitment or 'duty to cooperate' and share best practice/development information across administrations would be an essential element of the successful devolution of authority to sub-national stakeholders. This may have an additional benefit of increasing the transparency of decision-making if other authorities were able to discuss development priorities in an open forum such as a regional/sub-regional development commission/assembly.

A further option embedded within this scenario is the opportunity to cluster administrations around one of the 'Big 5', the 17 major cities or through regional administrations. This would have the added value of providing a financial stability to a sub-region whereby the growth predicted for the Kingdom's major cities, i.e. Mecca, could be used to support more localised/sub-regional planning activities. This could include the provision, sharing or guidance of expertise, personnel or financial assistance in development/growth issues. Such a city-region/sub-regional process of government has been effective in other countries, for example South Korea, and could act as a mechanism to devolve authority for planning from MOMRA whilst ensuring smaller administrations are supported by knowledgeable planning professionals.

Agreeing to, as well as delivering this scenario will be complex. Therefore, there may be scope to approach the scenario from a phased approach that would allow the government and key partners to work collaboratively to achieve its principles over a longer timeframe, i.e. up to 2030.

If a phased approach were adopted it could follow the following stages:

Phase 1 (indicatively 0-5 years):
Establishing and promoting the scenario and ensure that the capacity of each stakeholder is sufficient to meet the strategic, delivery and monitoring needs of planning. There would also be a transitionary phase where the rise in institutional autonomy from MOMRA to sub-national stakeholders was established and rationalised.

Phase 2 (indicatively 5-10 years):
This intermediate stage would be used to establish pilot areas where the process of devolution could be applied. The barriers to a successful transition, as well as best-practice would be identified and used to develop the structural framework to roll out devolution and decentralisation across the Kingdom to ensure continuity of approach (yet retaining localised adaptability).

Phase 3 (indicatively 10-20 years):
Following reflections from the pilot areas and the 'Big 5', special development zones, and Royal Commissions the parameters of devolution would be rolled out across the Kingdom.

4.d. Scenario comparisons.

Each of the scenarios presented above promotes alternative approaches to the development and management of planning policy which can be achieved in the Kingdom of Saudi Arabia. However, to examine the validity of these options, going forward, it is essential to compare the technical, administrative, logistical, and administrative changes that would be required to move them from these theoretical discussions into practice. It is also relevant to assess the relationships of each of the scenarios against/to existing formworks to ensure a successful transition from the existing frameworks supporting planning in the Kingdom to any reforms.

The social, economic and ecological benefits of the proposed changes in the Kingdom's planning system are evident, as discussed above and as outlined in Vision 2030, however, there remain concerns regarding if, and how, each scenario can achieve its short, medium and long-term goals.

From this point onwards it is critical that MOMRA and partners across the various scales of government in the Kingdom work collaboratively to ensure that the right approaches are taken to secure the long-term sustainability of Saudi cities, the Kingdom's society and its natural environment.

The three scenarios presented all propose to (a) make best use of existing policy structures and (b) ensure that internal and external expertise on the Kingdom's development trajectory is maximised but to (c) extend these frameworks, instruments and collaborations across the Kingdom. However, each scenario acknowledges, as does the Future Saudi Cities Programme, that reform must be considered as an evolving continuum which to reform the perceived static nature of the current planning system.

Having been developed in conjunction with reflections on international best practice case studies and supplemented by localised planning/development discussions the scenarios are evidence-based illustrating where comparable options have been successfully implemented in other international locations. As a consequence, the range of collaborative and policy reforms proposed in the three scenarios are presented as a suite of options open to MOMRA specifically, and the Saudi Arabian government more widely. These scenarios should not, however, be viewed in isolation but as a series of interconnected options which could be adapted sequentially over an extended timeframe. Therefore, there may be scope in the longer-term to incorporate elements of each scenario into a more adaptive or hybrid framework.

To compare the utility of each scenario Table 4.2 below highlights some of the key factors which can be used to evaluate the validity of each and should be read in conjunction with Table 4.1 which outlines the current structures of planning in the Kingdom.

Within each of the scenarios there are, however, existing concerns over the ability and/or capacity of stakeholders to manage their ongoing or revised responsibilities. It is therefore essential that any reforms that sufficient institutional, technical and political (and financial) support is afforded to all stakeholders to ensure efficient, effective and strategic delivery is possible. Managing the reforms will require an extensive process of negotiation to be undertaken by MOMRA, other government ministries and all sub-national stakeholders to provide them with a grounded understanding of what the reforms mean, their changing responsibilities, and their role within the reforms.

Through such a process of engagement and multi-stakeholder dialogue it is envisaged that the reforms of the Saudi planning system will mature, as will the understanding of the stakeholders delivering it. Moreover, as the system becomes established there will be a corresponding roll out of the reforms and a greater engagement from all national and sub-national planning stakeholders. Moreover, where barriers to a successful transition are identified there is sufficient scope within the scenarios to address these through collaboration, cooperation and the sharing of information and/or best practice.

There are also more long-term options to align all three scenarios as a continuum whereby MOMRA and the government in the Kingdom can work progressively through each towards a more devolved framework for planning. The delivery of the 'Devolution and Decentralisation' scenario could be achieved if the 'Consolidation' and 'Equalisation and Equilibrium' are undertaken as pre-conditions of an ongoing and longer-term devolution process. This would explicitly install a maturity into the planning reforms and provide a more wide-ranging awareness of the responsibilities and practices needed to maximise the capacity (technical, administrative, legal and financial) of all stakeholders in the Kingdom. Furthermore, elements of each scenario could be considered in-situ as they are being utilised and would meet the objective of the Future Saudi Cities Programme which requires MOMRA

and other stakeholder to re-evaluate their relationship with the planning systems, instruments and practices that are currently used in the Kingdom. Employing the scenarios proposed may be a more refined extension of these requirements, which take into account the costs and benefits more explicitly that current practice.

Table 4.2. Scenario comparisons

	Scale	Responsible authority	Policy instrument	Barriers to success
Consolidation	National	MOMRA	NSS, NSP	- There may be unwillingness of other national and sub-national stakeholders to agree to MOMRA policy (NSS and others). - There is a view that planning needs to utilise the experience and expertise of non-MOMRA stakeholders to effectively create an equitable, transparent and inclusive form of planning policy, practice and monitoring.
Collaboration and equilibrium	National	Government ministries including MOMRA, MoE&P, MoF, MoI	NSS as a basis and new overarching policy instrument developed by all ministry partners.	- Although greater collaboration is proposed there may be reluctance from some stakeholders to engage. - It may be problematic to ensure continuity, compliance and coherence between partners if a singular narrative for planning policy and practice is to be developed. - There are issues with ensuring that all stakeholders (a) engage, (b) aim to deliver a positive and not partial mandate, and (c) ensures that the proposals are for the betterment of the Kingdom, its people and its economy.
Devolution and Decentralisation	Sub-national, regional and local	Local government, development corporates, special development agencies,	Local plans, atlas' and development strategies/ land subdivision plans	- Devolving power from MOMRA and the central government potentially weakens their ability to coordinate development across the Kingdom. - It may limit the ability of national or sub-national partners to ensure continuity between plans, policies and development, which could lead to greater variation. - There are also issues regarding the costs and payments for development projects and policy formation and where the costs for such activities will be delivered from.

To ensure that the scenarios are fit for purpose they have also been evaluated against the UN Habitat principles and have been subject to an extensive period of considerations from Saudi experts. Tables 3.3 and 3.4 illustrate the compliance of each scenario with both sets of principles. The tables use a RAG traffic light system where green highlights a positive compliance and/or engagement with a principle, amber is a medium or mixed engagement, and red is a lack of engagement or a poor use of a principal. From a reading of Tables 4.3 and 4.4 there is considerable variation in how each scenario complies with the principles, however, what can be identified is the generally positive alignment between the overarching objectives of UN Habitat and MOMRA and the scenarios.

It is significant that the 'Devolution and Decentralisation' scenario offers the greatest compliance with both the UN Habitat and Saudi derived principles. This scenario is viewed as meeting the integrative, adaptive and flexible needs of the planning reforms in the Kingdom, as well as promoting the sharing of best-practice, information and knowledge. It also promotes a greater alignment of strategic and localized delivery more favourably when compared to the 'Consolidation' and 'Equalisation and Equilibrium' scenarios. Both of these scenarios ('Consolidation' and 'Equalisation and Equilibrium') are more limited in their proposals to decentralise and share information, and lack the same level of fluidity between policy development, stakeholder engagement with the planning system and delivery. Both the 'Consolidation' and 'Equalisation and Equilibrium' scenarios could, however, be considered to offer greater structure to the proposed reforms in planning policy, as they extend the use of existing structures, instruments and practices.

Table 4.3 Proposed scenarios/UN Habitat principles

	Integrated - Horizontal	Integrated – vertical	Participatory	Needs orientated - Human	Needs orientated – Resilience (Inc. CC)	Iterative	Effective	Adaptive	Ongoing evolution
Consolidation	Green	Orange	Orange	Orange	Green	Orange	Orange	Orange	Orange
Equalisation and Equilibrium	Green	Orange	Green	Orange	Green	Orange	Light green	Light green	Light green
Devolution and Decentralisation	Orange	Green	Green	Green	Light green	Green	Green	Green	Green

To support the discussion of the three proposed scenarios a number of additional factors also need to be taken into consideration, as they reflect will impact on the utilisation of each their wider fit against the ongoing reforms of Kingdom's planning system.

First, each scenario and the longer-term changes proposed within Vision 2030 and the Future Saudi Cities Programme need to acknowledge a temporal framing on reform. Each of the scenarios noted above will require different timeframes to deliver. In part this is due to the need to add capacity to the range of stakeholders engaged in planning but will also be a response to the development of new or revised policy frameworks and instruments. Moreover, if the 'Devolution and Decentralisation' scenario is followed there will potentially be a significant delay between the commencement of this process and the rollout of responsibility to local level stakeholders. The temporal dimension of reform therefore needs to be considered within each of the scenarios to assist the planning of change.

Second, and linked to the need to reflect temporal changes, is the spatial dimension of planning. This is a critical element of the framing and delivery of both strategic and locally focused needs. In each scenario the spatial element has been discussed in terms of the scale at which planning will be developed, the key stakeholders delivering planning activities, and the instruments that will be needed to support these practices. Given the existing regulatory nature of planning in the Kingdom a move towards a more spatially attuned form of planning would be a benefit to Saudi Arabia as it

would allow planners to think strategically about what development is needed rather than simply controlling investment through structure plans and zoning regulations. Furthermore, depending on which scenario is followed there will be a need to work collaboratively across spatial and administrative/legal boundaries, especially if a duty to cooperate is embedded within the reforms. All planning policy in the Kingdom should therefore reflect the spatial variation in the county and use local experience of development management to shape praxis, which is appropriate to a significant number of stakeholders.

Table 4.4 Proposed scenarios/Saudi expert principles

	Integrative – horizontal and vertical	Focus on balancing implementation with regulation	Needs to be more inclusive for all	Needs greater decentralisation to ensure local ownership	Needs for greater and cyclical information sharing, management and	Should be flexible and adaptive	Inclusivity also includes capacity building and responsibility at all levels, technical and political	Greater transparency in decision-making processes	Identification of lines and levels of accountability in decision-	Reviewing and sharing best practice at all scales
Consolidation	light green	green	orange	orange	green	orange	green	green	green	orange
Equalisation and Equilibrium	green	light green	orange	orange	green	orange	green	green	orange	light green
Devolution and Decentralisation	green	green	green	green	green	green	green	green	light green	green

The third aspect that needs to be addressed in each of these scenarios is the way in which the process of reform and adoption occurs and how new ideas, visions and practices are engaged. As this report has made clear planning is, and should be, considered as an evolutionary process. However, concerns remain within Saudi Arabia that the planning system is less responsive to change and local needs that would be expected. Therefore, each of the scenarios and specifically the 'Equalisation and Equilibrium' and 'Devolution and Decentralisation' options engage this issue directly. Both promote a refined framework for planning in the Kingdom, which explicitly calls for alternative approaches to planning to be embedded in planning policy and practice across Saudi Arabia. It seems likely that this process will continue if the stakeholders tasked with authority and responsibility for strategic and local planning diversify further.

There are also a series of additional options which could be developed within Saudi Arabia to support the proposed reforms. These include but are not restricted to:

- The creation and funding of a Planning Inspectorate (PIN) or Planning Advisory Service (PAS) that will offer planning guidance and aid the monitor of investment by stakeholders. Any

PAS or PIN should be independent of MOMRA but retain a strong collaborative relationship with them and other ministerial stakeholders.
- The establishment of Regional Assemblies of elected officials and planning stakeholders who work collaboratively to develop more integrative and cross-administrative boundary policy that meets the needs of a number of stakeholders in a range of locations.
- Full financial autonomy for the 'Big 5' outside of the structures of planning proposed by the scenarios or MOMRA, similar to Royal Commissions but remaining public institutions, allowing them to act fully independently, and without a need to support smaller locations and/or stakeholders.

The practicalities of these options may be limited but they do highlight that alternatives to the status quo are available in Saudi Arabia (as highlighted in the International Best Practice case studies report). Each of the options noted above have also been delivered in other nations, i.e. the UK or The Netherlands, so there are precedents supporting their use. However, if MOMRA and other stakeholders in the Kingdom are to explore these options they should be integrated within the overarching discussion of the proposed scenarios to assess their relevance and best fit.

One final point needs to be made concerning the costs of each scenario and more generally the wider costs of planning reforms in the Kingdom. For each of the scenarios there are administrative, personnel/capacity, economic, political and environmental issues which will need to be rationalised if effective reform is to take place. Table 4.5 and 4.6 illustrates how each scenario addresses these issues and highlights the current viability assessment of each.

Table 4.5. Feasibility of each scenario

Scenario	Scale	Responsible authority	Policy instrument	Feasibility
Consolidation	National	MOMRA	NSS	- Highly feasible in the short-term as MOMRA demonstrates commitment to the delivery of VISION 2030. - MOMRA would need to assess their relationships with planning stakeholders at all scales across the Kingdom in the medium to long-term to examine the potential of reforms at the local level.
Collaboration and equilibrium	National	Government ministries including MOMRA, MoE&P, MoF, MoI	NSS as a basis and new overarching policy instrument developed by all ministry partners, Regional Plans	- Feasible with buy-in from all ministerial partners in the short to medium-term - Would require capacity building within and across ministries to ensure continuity and transparency in policy-making and the setting of strategic development/investment objectives.
Devolution and Decentralisation	Sub-national, regional and local	Local government, development corporates, special development agencies,	Regional plans, local plans, atlas' and development strategies	- Most radical but has the potential to deliver the most significant reform Could be delivered asymmetrically by devolving authority to those with capacity earlier whilst capacity it built in other locations - Would require an effective monitoring and accountability frameworks to ensure continuity between levels to ensure national and local objectives are being realised - Would require significant financial input - Achievable over a longer timescale (10-20 years)

In terms of implementation the scenarios will not need the same level of support to be adopted, however, they each will require MOMRA and other stakeholders to review their existing structures, capacity, instruments and delivery mandates to identify where gaps in capacity exist and where

improvements need to be made. Furthermore, as each scenario will involve a variable level of reform evaluating the costs of each scenario is a critical activity which needs to be undertaken prior to any significant changes.

4.3. Summary

Governance systems are nominally inflexible and always try to resist change. Where change occurs there is a tendency to return to a balanced state and restore equilibrium. The Kingdom of Saudi Arabia is now in a position where it's government needs to reconsider what its current planning system offers the nation, where barriers to effective delivery exists, and thus what practices, frameworks and instruments can be changed to meet the future needs of the nation.

A number of options are available to the Kingdom of Saudi Arabia to undertake alternative planning activities now, and in the future. However, from the discussion presented above, and from the associated international best practice examples, it can be argued that the current system in Saudi Arabia lacks a nuance that would allow planners at a national and sub-national level to meet the variety of development agendas visible in the Kingdom successfully.

Whether it is viable to devolve, decentralise or integrate, horizontally and vertically, the numerous stakeholders involved in planning is also open to interpretation but it is clear that alternative approaches are available to the Kingdom. The Kingdom, and MOMRA as its central planning agency, therefore need to plan strategically to address the capacity, focus, delivery/monitoring and financial issues discussed previously to facilitate effective planning reforms.

Many commentators would also welcome greater decentralisation, flexibility in approach and integration, however, the mechanisms to achieve such changes require a thoughtful road mapping, which takes into account existing structures/processes and aligns them with the national and local aspirations of the Kingdom. MOMRA currently occupies the key authoritative role in planning in the Kingdom, and it is realistic to assume this will continue. However, there is scope to rethink how the technical process of plan-making could be diversified to better engage the wealth of expertise available at all scales across the Kingdom.

Through such a process it may be possible to:

a) plan in a more integrative way,
b) plan more rationally for sub-national differences, and
c) to maximise the expertise located within public and private planning, and planning related occupations.

Whilst the previous sections have articulated these as three separate and mutually exclusive scenarios, it is possible that a combination of all three could be for considered. They currently reflect, to an extent, the reality of the existing asymmetrical situation identified across the Kingdom in terms of capacity to deliver and the time-scale for implementation. This in part is a function of the ability or inability of national, regional and local stakeholders to understand, implement and monitor the varied planning objectives currently discussed in the Kingdom. It is also important that an inclusive and adaptable direction of travel is identified, which recognises that a series of short-term steps may be needed to enable wider reform to be realised. This will mean that ongoing monitoring and evaluation, sustained capacity building, and responsive and reflexive change will be required if the aspirations of Vision 2030 are to be fully realised. To achieve this the roles of *governance*, *systems/urban management* and *local planning* will be key.

Governance reforms and expansions will help to improve the capacity to develop, deliver and monitor strategic planning and investment, which currently lacks continuity between different parts of the Kingdom and their various planning stakeholders. Whilst there is significant variability in the structures of plan-making, delivery and monitoring across the Kingdom of Saudi Arabia illustrated by the ways in systems/urban management currently used, which limits integration between planning levels (national, regional and metropolitan/local). Finally, local planning is currently preoccupied with regulating developing rather than effectively managing or co-ordinating growth, which needs to be refined to align itself with reforms to planning structures, capacity/personnel and instruments.

In terms of taking the scenarios forward, potentially the most innovative approach would resemble an amalgam of the *(2) Collaboration and equilibrium* and *(3) Devolution and Decentralisation* scenarios, which would facilitate a most transparent and inclusive form of long-term and sustainable planning for Saudi Arabia. However, to move towards such a state will require dialogue, negotiation and compromise on all sides. It would though address a number of the key principles of effective planning set out by UN-Habitat and the Saudi experts engaged with this process (see Fig. 4.3 and 4.4). The international case studies and best practice examples also provide supporting evidence to suggest that these scenarios individually or as a continuum could prove viable options for reform.

In the shorter term MOMRA will continue to hold, and to play a significant role in co-ordinating national and regional spatial planning, which includes policy-making, dissemination and compliance, as well as acting as the responsible body scrutinising lower-tier plans. If this is achievable then a more dynamic, responsive, integrated and flexible process of strategic and local planning could be developed within the Kingdom.

Each of these outcomes are orientated towards meeting national priorities but are appreciative of regional and local contexts, and wider development/infrastructure needs. This discussion, and the scenario presented above, are therefore not intended to provide the single solution for the planning reforms of the Kingdom, but to provide the evidence (drawn from international and Saudi examples) to facilitate a discussion of the future options/scenarios open to MOMRA, government and ministerial stakeholders for the future of planning in Saudi Arabia.

Ultimately any reform must be designed by the Saudi government in collaboration within its people, professionals and experts to meet its development aspirations. It must maximise the wellbeing of its citizens through socio-economic means and protect the landscape to facilitate sustainable development. The scenarios presented in this report are proposed as options that significantly contribute to such a discussion and provide an initial road map for form of the planning system.

Table 4.6. Scenario feasibility

	Lead authority-responsibility	Key partners	Key document	Objectives	Benefits	Barriers to successful implementation and/or uptake of the scenario	Costs (financial, administrative, legal, personnel, social and environmental)	Feasibility	Timeframe for delivery (Yrs)
Consolidation	MOMRA	MoE&P, MoH, MiF, MoI, other ministries	NSS, National Planning Act,	- Overarching policy framework fro strategic and local planning that can/will be cascaded to all planning stakeholders at a sub-national scale. - The instrument will outline thematic and sectoral approaches to investment and help structure/focus local master-planning and application	- Single authority to oversee and control planning across the Kingdom. - Strategic vision for the Kingdom that can be cascaded to all scales of planning and responsible authorities.	- There may be unwillingness of other national and sub-national stakeholders to agree to MOMRA policy (NSS and others). - There is a view that planning needs to utilise the experience and expertise of non-MOMRA stakeholders to effectively create an equitable, transparent and inclusive form of planning policy, practice and monitoring.	- Need for increased capacity within MOMRA to deliver mandate at all scales - Potential legal challenges to consolidation of authority within MOMRA by other stakeholders - Potential for increased resentment from non-MOMRA stakeholders regarding lack of administrative/financial authority	(green)	0-5
Collaboration and equilibrium	MOMRA, MoE&P, MoF, MoI, MoH		NSS, National Planning Act, NPS		- MOMRA will act as the 'champion' and/or scrutiny body for the scenario to ensure continuity and compliance between all ministries.	- Although greater collaboration is proposed there may be reluctance from some stakeholders to engage. - It may be problematic to ensure continuity, compliance and coherence between partners if a singular narrative for planning policy and practice is to be developed. - There are issues with ensuring that all stakeholders (a) engage, (b) aim to deliver a positive and not partial mandate, and (c) ensures that the proposals are for the betterment of the Kingdom, its people and its economy.	- Inability of ministries to achieve consensus - Increased costs of legal and administrative exercises to facilitate greater collaboration - Potential increased timeframe to develop acceptable policy - Increased costs in terms of delays to developing policy	(amber/yellow)	0-10 or 5-10

Devolution and decentralisation	Local Gov, Special Dev Corps (i.e. ADA), Regional Gov, Royal Comms, Municipal and Metro Gov		Local plan, Special Development Zone master plan, Atlas'			- Devolving power from MOMRA and the central government potentially weakens their ability to coordinate development across the Kingdom. - It may limit the ability of national or sub-national partners to ensure continuity between plans, policies and development, which could lead to greater variation. - There are also issues regarding the costs and payments for development projects and policy formation and where the costs for such activities will be delivered from. - A lack of capacity and guidance could lead to inappropriate development that does promote sustainable development.	- Need for increased capacity, expertise and financial support for responsible stakeholders and decision-making agencies. - Increased autonomy without scrutiny from MOMRA or central government. - Better guidelines and guidance on delivering planning policy-making and delivery. - Greater clarity in administrative authority and job descriptions - Need for a monitoring body to oversee scrutiny.		10-20

As well as looking at the system as a whole a large proportion of the Future Saudi Cities programme focuses on the way the local plans are developed, scrutinised and implemented across the Kingdom. Many of the key principles outlined in the Baseline Report, as well as the International Best Practice and Local Case Studies report regarding the need for greater flexibility, being responsive, dynamic and adaptable in plan-making, which are increasingly open and inclusive to stakeholder, and for which there is openness and transparency about how and why plans are adopted, and subsequently reviewed, have all involved critiquing how the existing making process is operating, as well as shaping ideas as to what new local plans could do and where should responsibility lie for plan preparation and approval.

In consultation with UN-Habitat, MoMRA and a panel of Saudi experts' identified and reviewed three local plans. These cases were selected as being representative of local practice outside of the' Big 5' cities as we are aware that considerable work has already focused on these areas and that they have the capacity, resources, power and authority to adapt. It is therefore in the cities beyond these five that perhaps some of the more significant challenges arise. The three local plan areas are presented in Table 1. The local plan review considered in more detail in the Local Plan Review Report, but the following discussion reflects current thinking on the existing situation, experiences from international best practice and the review work undertaken to date.

Table 1 Local Case Study Selection

Leading Process	Case Study	Location	Size
MoMRA	Albaha	South west (Albaha Governorate)	109.000
Amanah	Alehsaa	Alehsah Governorate	397.000 (Alhofouf City)
Baladyia	Alkharg	Alkharg Governorate	23.500

There are a number of critical questions to discuss in relation to local plan making.

1. Location of decision-making powers and scope for devolution/decentralisation of decision-making

Initial assumptions suggested that MoMRA led the plan making process at the local level, although the case study selection suggests that in practice different government bodies have initiated the process, although MoMRA may still have an important role in funding and guiding the plan-making process through the appointment of consultants. Nevertheless in many areas of the country there is a call for greater devolution of plan-making authority. It is important to emphasise that devolution and decentralisation are not necessarily the same thing, and responsibility for plan making can be given to the both of the Amanah or Baladyia, to reflect local conditions. However, the process of decision-making and scrutiny of plans can remain centralised, as in the case of the UK. Alternatively, in the Netherlands there is more power decentralised to the local authorities although the nature of the planning instruments available remains centrally regulated. With either model, it might be possible to delegate or decentralise plan-making without necessarily devolving power. An alternative approach might be to accept the asymmetrical nature of the current planning system and depending on capacity devolve plan making so that local plans are prepared locally

2. The structure of local plans

Within Saudi Arabia local plans are prepared as technically orientated and detailed zoning plans that seek to be comprehensive in terms of allocating land for different development uses within urban areas, defined by the outermost extent of the urban growth boundaries. Much of the land that is currently underdeveloped in Saudi Arabia is simply zoned for housing. These detailed regulatory zoning plans are often technically derived, inflexible in character and provide a limited role in guiding development decisions in an increasing complex and rapidly changing world. Moreover, as the authority of the state to control and regulate is potentially decreased planning needs to be more flexible, responsive and adaptable. This needs to be reflected in policy instruments and their role in decision-making. Many places now have a more flexible policy-making framework, which may consist of a broad strategic framework for the whole of the administrative area. This could be a municipality, Amanah or Balaydia or a combination which creates a functional region and go beyond the urban growth boundaries in broad terms, looking territorially (spatially) at local needs and opportunities, before more detailed plans could be created for particular areas where change was envisaged. There is variation in who prepares these plans, i.e. local government or the private sector, and if the latter, who approves the plans and using what criteria. For the areas not covered in detail through a local plan development proposals could be determined in accordance with either nationally or regional determined regulations, which could be varied to meet local circumstances. It is worth noting that within the Kingdom there is the broad approach to the use of plan-making instruments used by the Royal Commission with the creation of the new strategic cities. Whilst this body is able to exercise particular planning powers, including land management and the co-ordination of other public sector investments their idealised planning approach, comprises a broad strategy, which is periodically updated, detailed Area Action Plans or Masterplans for parts of the city that are being developed and generic zoning ordinances for managing developments elsewhere. This therefore creates a framework within which development opportunities can be managed co-ordinated and controlled.

3. Establishing a baseline for plan-making, plan review and urban management

Currently concerns are visible that too much time and the cost of plan-making are excessive and spent on information gathering. The first part of the survey-analysis and plan idealised process takes up a disproportionate large component of the current plan-making process. Through the Transformation Plan and the development within MoMRA of integrated information systems for particular cities. i.e. in Medina, the basis for developing a nationally information system where local information can be added, for both strategic planning and more day to day urban management activities is being developed. We have also heard that a lack of information regarding land ownership has been considered a historical problem. Such information systems should or could however provide decision-makers with better baseline information and through the updating of such systems monitoring and the triggering of full/partial plan reviews could be enabled as planning becomes perceived and acknowledged as an ongoing process rather that a periodic theoretical activity. Clearly development of this approach will require technology and skills resources throughout the Kingdom, and a recently published report on capacity building reports how GIS skills are lacking in many municipalities. If these systems can be rolled out then the process of plan making could be adjusted to one which is more of a focus onto analysis and future scenario building.

4. Integrating data gathering and data analysis as a key part of plan-making

As baseline information becomes increasingly available the focus of planning could switch to analysis and forecasting of future trends rather than simple zoning, as a means of scoping both what is required from the plan, as well as developing scenarios as to how the plan could best achieve its

objectives. Again there is a significant need for training and capacity building if the nature or the plan and the plan-making processes are changed. These observations are at best tentative and the more detailed review of local plans may shed some further light on the plan making process.

5. Improving transparency and inclusivity within plan-making

Questions have been raised as to the openness and transparency of the planning process at all stages including from what or whom triggers new or revised plan-making, to how consultants are appointed, and the level of engagement with critical stakeholders, and finally how the plan is approved. Each of these issues facilitates ongoing discussions of who owns the plan and who takes responsibility for implementation and delivery. IN many cases local plans were not initiated by MoMRA, but may well be supported by MoMRA. In such circumstances this may be further evidence that the planning system is already evolving and that there are opportunities to consolidate and accelerate this process by redefining the purpose, scope and instruments of planning.

6. Establishing clearer links between plan-making, implementation and delivery

Concern remains as to the extent to which plans are actually implemented in practice raising questions about the value and purpose of plans in the first place. Evidence from the Kingdom suggests that most development is regulated in some way. In Jeddah and Mecca elements of development have been described as informal, illegal, or primarily unregulated. The real time information being collected in Medina appears to illustrate how many projects are regulated or licensed, but not in accordance with the detailed land use regulations contained in the approved plan. Furthermore in Riyadh the ADA have spent a considerable period of time attempting to gain approval for projects that do not fall within existing land use regulations stating that regulations need to be adjusted to allow the development to occur. Where informal land use is occurring it could therefore be proposed that the detailed land use regulations currently being used are probably too prescriptive and inflexible to change with rapidly changing market conditions. This supports the development of a more flexible approach to plan-making. This would, however, have implications for the regulation of development which we have not explored. Further questions regarding the cost and value of plans that are currently being produced would also be a factor of such conversations.

A final and critical component to consider in any reform process is the capacity of the system to deliver. Many commentators within Saudi Arabia reveal that there is currently a shortage of suitable people, with the necessary skills within the planning service in both central and local government. The recent Technical Needs Assessment (TNA) Report for UN-Habitat suggests this is in part a structural issue in terms of how civil servants are recruited into local government and assigned suitable positions, which is in part a function of a lack of suitably qualified engineers (planners) and relatively poor remuneration and career progression opportunities within local government. By contrast it would seem that the various special urban development authorities and Royal Commissions do not seem to suffer from the same shortages in terms of capacity (skills, finances or personnel). Furthermore, it has been reported that in the local authorities that significant time is spent by planning staff managing local land disputes and relatively minor operational details rather than developing more strategic plans. Consequently, many plans in the Kingdom are currently being prepared by foreign consultants. Whilst this in and of itself is not necessarily a key issue there is an opportunity to provide more opportunities for Saudi citizens to full these shortages**.**

To overcome these structural problems is not a quick or easy fix, and there is an understanding that there are currently fairly limited opportunities within the Kingdom to study planning. Those Universities that offer planning programmes have also been facing student recruitment challenges. This in turn could be considered as a symptom of the perceived lack of opportunities or prestige associated with planning as a discipline and/or as a career. The TNA report suggested a series of fundamental reforms in terms as to how planners should be recruited to local government and what levels of rewards might be. These changes would fit within the aspirations of creating new opportunities for Saudi citizens and in particular youth groups.

Furthermore, the TNA survey revealed particular skills shortages in what might be, in summary, described as spatial analytical skills that should be so important for plan making including GIS and statistical analysis and forecasting. These shortages reflect perceived shortages based on the existing rather than any reformed system, although we would argue that to create a futures-orientated and flexible planning policy framework that these are the sorts of skills that will be required. We also note that the TNA recommends that the training topics, processes or themes should be geared towards 'exactly critical functions' for planning rather than being generic.

There is also a question regarding who should provide the training. Although it appears clear that resources will be needed on an ongoing basis in order to provide the key actors with the necessary skills and that there will be a need to continually reinforce the messages and practices that the envisioned culture change will require. It has already been noted that culture change is easy to advocate but much harder to deliver as embedded customs and practices have to be reformed.

In addition to the institutional capacity, primarily based around human capital, personnel numbers and skills, there is also scope to ensure that the hardware is also available for delivery. Whilst a lot or emphasis is placed on spatially referenced information (GIS) which increasingly can be held in real time, there are questions as to whether people need training in the management, maintenance and use of the system rather than more detailed knowledge of the technical aspects of GIS. Furthermore, more emphasis needs to be placed on analytical and interpretative skills of the information, as well as the information itself. Furthermore use of ICT could make processes and information much more readily accessible to citizens. For example within the UK all local authorities now provide all their services and information in an accessible format online through the growing e-governance agenda. Hence all plans are publically available, as is the evidence base that sits behind the plan and the process and outcomes of external scrutiny that is required before a plan is adopted. All planning

applications can be submitted online and many local authorities now have interactive maps which enable citizens to see what planning applications have been submitted on a particular piece of land and what the planning decision has been. Hence from a planning perspective plans and decisions are publically available and open to public scrutiny. Future developments in the Kingdom may use such examples as templates to assess whether ICT could offer an opportunity for more open and accessible planning information.

The previous offer a synopsis of some issues related to governance and planning in the Kingdom of Saudi Arabia. There is however further information and analysis to be undertaken, as described in the Local Planning and International Best Practice Reports, but the precise focus of governance and capacity building will depend on the nature of the planning reforms enacting in Saudi Arabia. There is also a recognition that such discussions and evidence will be a critical component of any reform agenda, and that the reform process will take time, and that best practice and learning from experience is often the best way to engineer change.

Summary

This paper has sought provide an overview of the current state of planning within the Kingdom of Saudi Arabia and suggest reform scenarios, recognising that there are proposals to modify the system as a whole, but at the same time elements within the system, notably the NSS are currently being updated and closer integration and partnership working between MoMRA and MEOP is already beginning to emerge. It is important to remember that the planning systems are dynamic and changing, and the reform process provides an opportunity reflect on how all the current elements and levels of existing planning practice may interact to create a system. This report suggests that this cannot be achieved overnight and will be need to be phased and indeed there is no requirement why some places which have the capacity to deliver cannot be provided with greater autonomy sooner rather than later, whereas other places may require more support in developing their capacity.

The suggestions are informed by our understanding of international best practice examples of both systems and processes and these are detailed more fully in other interim reports. Finally as reported in section 4 further more detailed work evaluating local planning practices is also ongoing and will feed into this report, which should be seen and read at this moment in time as work in progress and a discussion document.

VOLUME4

Workshops Outcomes

This Volume represents the main outcomes of a set of workshops established as part of the review process of the Urban planning system in Saudi Arabia. The main aim of these workshops is to collect feedback from partner stakeholders, and validate the conclusions of the baseline study and the proposed reform strategies. The set of workshops were planned on the national and local levels.

VOLUME**5**

Place Holder

This Volume presents a review of the existing structures which support planning in Saudi Arabia illustrating a baseline situation that is both is complex and evolving. This review is grounded in an assessment of the key material provided by Un-Habitat as part of the Future Saudi Cities Programme combined with reflections generated from engagement with a broad range of ministerial and sectoral experts in the Kingdom including MOMRA, local municipalities, academics, other Ministries with spatial planning implications (Ministry of Economy and Planning, Ministry of Housing etc.), special planning agencies (e.g. ADA and Royal Commission) and stakeholder groups (e.g. women and youth representatives)

VOLUME**6**

Consolidated Powerpoint Presentations

This Volume presents a consolidated package of the powerpoint presentations used in different occasions during the process of reveiwing the urban planning system (Governance) in Kingdom of Saudi Arabia.

Presentation 1

May 2016

May 2016

Future Saudi Cities Programme

UN Habitat/University of Liverpool/Cairo University

Presentation to FSCP

18th May 2016

Dave Shaw

Ian Mell

John Sturzaker

UNIVERSITY OF LIVERPOOL

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- Project team
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- Timeframe and delivery (1)
- The Saudi planning system – context, principles, challenges and issues
- Time for reform
- Case studies
- Scenarios
- Summary

Project team

- Prof. David Shaw (UoL)
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- Dr Ian Mell (UoL)
- Dr John Sturzaker (UoL)
- Dr Abdelkhalek Ibrahim (CU)
- Dr Olivier Sykes (UoL)
- Mr Ken Brodie (UoL)

- 3 Saudi experts
- Prof Adel Shaheen Aldosary
- Dr Mohamed Aljoufie
- Dr Abdullah Ahmed Althabit

Programme details/objectives

Output/activity
1. Baseline validation of KSA context and change in planning
2. Baseline review of international and local case studies (systems and outcomes)
3. Framework for review of local KSA plans
4. Development of parameters for scenarios, local workshops, and reporting
5. Preparing a draft action plan to facilitate the development of culture change in Saudi planning practice
6. Testing and adapting the ideas and suggestions through implementation workshops to be held with key stakeholders
7. Final Report Presentation.

Timeframe and delivery (1)

	Activity	Proposed output
Stage 1	Understanding the existing context and reform agenda International Case studies Draft options for system review	Baseline Report International case studies and potential lessons (draft) Options for system review (mid end June)
Stage 2	Local planning Case study review Agree structure of local case study review Prepare draft guidelines	Technical report Workshop review and report Based on above
Stage 3	Consoldation and prepare final reports following workshop to validate findigs	Final report

Kingdom of Saudi Arabia planning reform: context

- Vision 2030

- New Urban Planning Act

- Reform of National Spatial Strategy (2000)

- Future Saudi Cities Programme different results

- Discussions of complementarity and complexity of policy/practice

- Variation in *horizontal* and *vertical* integration of policy/practice

- Repositioning of Ministries and development agencies with MOMRA

Key Principles For the Future of Saudi Arabian planning

- VISION 2030 – key objectives, programmes, and focus and LT aspirations planning and development
  - Saudi Aramco Strategic Transformation Programmes
  - Public Investment Fund Restructuring Programme
  - Human Capital Programme
  - Fiscal balance programme
  - Project Management Project
  - Regulation Review Programme
  - Proforma Measurement programme
- Efficiency, sustainability and partnership
- Inclusive – shared vison for the transformative and future-orientated (or smart) cities
- World class governance and services

Challenges Facing the Saudi Planning System

- Plan making too slow and unresponsive to changing circumstances
- Lack of horizontal and vertical integration throughout the system as a whole
- Focus of local plans on regulating development not outcomes
- Little monitoring of outcomes
- Plans static rather than dynamic
- Comprehensive coverage rather than phased and structured
- Often technical and largely divorced from the place
- Increasing urbanisations, demographic change, and changing access to services/infrastructure

Key issues for the planning system

- Capacity of the planning system, the management of development, and the co-ordination between stakeholders
- Integration of information, process and outcomes
- Information gathering and sharing
- Spatial variation at the national, regional, municipal and lower levels
- Temporal change and pace of change (policy and practice)
- Positioning of KSA globally and regionally as an economically prosperous and vibrant nation
- Clarity of development: urban development, urban planning and urban management)

Baseline Review- Draft mid June

- Synthesis Report of our current understanding of the current planning system in KSA (SWOT)
- Based on existing and emerging documents
- Readings
- Basis of critical meetings
- Two scales
  - System
  - Local planning –urban managment

International System Case Studies : Systems- Draft mid June

Case Study Selection

- South Korea: seen with KSA as an exemplar of transformation as evidenced by other case studies
- UK (England): highly centralised, local planning locally determined, but framed by national
- Netherlands: highly decentralised, three tiers, plans at neighbourhood scale regulatory, but system changing

Approach/selection

- To look at principles, not create a blueprint
- Explore how the system is integrating from national through to local
- Explore the top down bottom up patterns of plan making
- Explore how planning delivers change or simple regulate development
- Explore the capacity of the systems to deliver in terms of human capacity and infrastructure

International Case Studies: Outcomes Draft mid June

Managing urban growth

- Urban growth boundaries
  - (Portland)
- Smart Growth
  - (Toronto)
- Focus on the planning processes to deal with
- sprawl

Urban Liveabilty

- Urban renewal regeneration/renewals
  - Leeds Transport orientated development – winner or a national place making award
  - Abu Dhabi
  - Identification of challenge
  - Process of change, including actors, agencies ad processes
  - Outcomes

Local Case Selection

- Three different cases according to the leading planning process are selected:

Leading Process	Case Study	Location	Size
MoMRA	**Albaha**	South west (Albaha Governorate)	109.000
Amanah	**Alehsaa**	Alehsah Governorate	397.000 (Alhofouf City)
Baladyia	**Alkharg**	Alkharg Governorate	23.500

- **Cases are also different in:**
  - City location
  - City size
  - Project scope (e.g. Alehsaa is a local plan project for a number of cities within the governorate but the other two cases are concerned with the main urban settlement)

  **These reflections are based upon 2 workshops meetings with local planning department (MoMRA)& Faculty of Architecture and planning- King Saud University

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School of Environmental Sciences

Case Study Evaluation Criteria

PROCESS

IMPACTS AND CONSEQUENCES

INPUTS:
No participation engagement
No information about land ownership
OUTPUTS
Defining specification for some lands without good studying (rigid static plan)

Difficulty to implement the plan

Back to MoMRA to review the plan

Reject the plan and back to structure plan

Local Case Study Evaluation ToR

- Linkage with regional plan and national strategies
- **City vision** based on previous region plans and local development issues
- Critical assessment for the previous structure plan
- **Stakeholders** engagement in policy development
- Data collection: linkage between inputs and the planning outcomes
- Data analysis: reflecting city identity (location, social, economic….etc) on planning studies
- Phasing plan
- Zoning land use regulations
- Using UN-Habitat principles or sustainability goals

Local Case Study Evaluation- Outputs

- **Integration**: vertical and horizontal integration
- **Capacity challenges and opportunities**
- **Extent to which there are overlapping and repeating**
- **What (if any) are the implementation instruments including scope for phasing development**
- **How is the plan monitored and evaluated in terms of outcomes**

Potential Approaches to Scenario Building- the next mission

- Need to be built in partnership with team, Un-Habitat MoMRA and other key partners

- Definition- urban management, spatial planning, land use planning- so scope becomes important

- Is the urban planning act narrow- focused on the local, or system based

- Shapes what happens going forward

- the arrangements used by governments to influence the future distribution of activities in space. It is undertaken with the aim of producing a more rational organization of activities and their linkages, and to balance competing demands on the environment. ..it also seeks a more balanced distribution of economic activities than would arise from market forces alone

Scenario building drawn from principles

- Three key inputs
  - UN Habitat III urban planning principles
  - Baseline Review SWOT
  - Vision 2030 spatial planning aspirations

- Mapping creates areas of commonality

- Systemic reform -scenarios
  - Urban planning act-
  - Definition of planning as the basis of reform of system as a whole
  - Or simply focus on elements

Principles for Reform

- Integrative – horizontal and vertical
- Focus on balancing implementation with regulation
- Needs to be more inclusive for all
- Needs greater decentralisation to ensure local ownership
- Emphasis on delivery and outcomes
- Needs information sharing, management and monitoring
- Should be flexible and adaptive
- Inclusivity also includes capacity building and responsibility at all levels, technical and political

Next Steps- which comes first the chicken or the egg

- Agree or at least having a better understanding of the planning reform agenda through next mission drives future outputs
  - Local plan review framework being finalised and work ongoing. Final report due end of August
  - Guidelines for preparing new local plans in part depends on what style of local plans are to be prepared- an outcome of the next mission
  - We can suggest change, but needs to reflect evolving thinking

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Presentation 2

June 2016
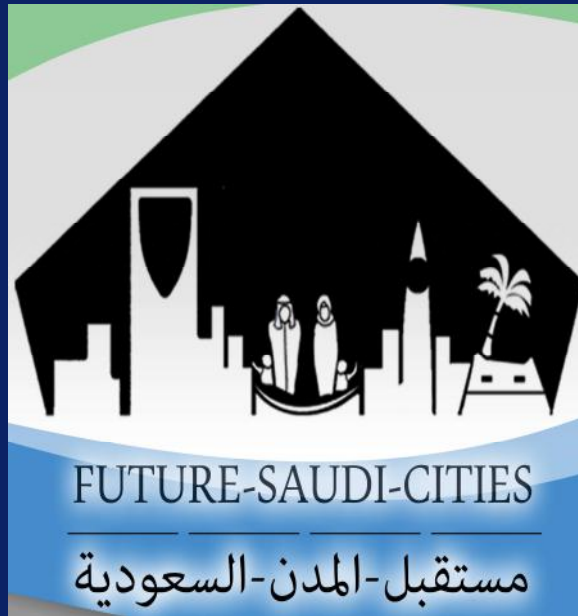
June 2016

Future Saudi Cities Programme

UN Habitat/University of Liverpool/Cairo University

Update on Progress

Presentation

22nd June2016

Dave Shaw

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- Project team
- Programme details/objectives
- Timeframe and delivery (1)
- The Saudi planning system – context, principles, challenges and issues
- Time for reform
- Case studies
- Scenarios
- Ways forward

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Project team

- Prof. David Shaw (UoL)
- Prof. Sahar Attia (CU)
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3 Saudi experts

- Prof Adel Shaheen Aldosary
- Dr Mohamed Aljoufie
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Programme details/objectives

Output/activity	Date/delivery
1. Baseline validation of KSA context and change in planning	Jun2 2016
2. Baseline review of international and local case studies (systems and outcomes)	July 2016
3. Framework for review of local KSA plans	June 2016
4. Development of parameters for scenarios, local workshops, and reporting	July/August 2016
5. Preparing a draft action plan to facilitate the development of culture change in Saudi planning practice	September 2016
6. Testing and adapting the ideas and suggestions through implementation workshops to be held with key stakeholders	October 2016
7. Final Report Presentation.	October/November

Timeframe and delivery (1)

	Activity	Proposed output
Stage 1	Understanding the existing context and reform agenda International Case studies Draft options for system review	Baseline Report International case studies and potential lessons (draft) Options for system review (end June)
Stage 2	Local planning Case study review Agree structure of local case study review Prepare draft guidelines	Technical report Workshop review and report Based on above (end September)
Stage 3	Consolidation and prepare final reports following workshop to validate findings	Final report (end of October)

Kingdom of Saudi Arabia planning reform: context

- KSA new Vision 2030

- New Strategy issued by MOMRA Urban Planning Act, Revision of National Spatial Strategy, movement towards smart cities, etc.

- Promotion of Future Saudi Cities Programme

- Discussions of complementarity and complexity of policy/practice

- Variation in *horizontal* and *vertical* integration of policy/practice

- Repositioning of Ministries and development agencies with MOMRA

Key Principles For the Future of Saudi Arabian planning

- VISION 2030 – key objectives, programmes, and focus and LT aspirations planning and development
  - Saudi Aramco Strategic Transformation Programmes
  - Public Investment Fund Restructuring Programme
  - Human Capital Programme
  - Fiscal balance programme
  - Project Management Project
  - Regulation Review Programme
  - Proforma Measurement programme
- Efficiency, sustainability and partnership
- Inclusive – shared vison for the transformative and future-orientated (or smart) cities
- World class governance and services

Challenges Facing the Saudi Planning System

- Plan making too slow and unresponsive to changing circumstances
- Lack of horizontal and vertical integration throughout the system as a whole
- Focus of local plans on regulating development not outcomes
- Little monitoring of outcomes
- Plans static rather than dynamic
- Comprehensive coverage rather than phased and structured
- Often technical and largely divorced from the place
- Increasing urbanisations, demographic change, and changing access to services/infrastructure

Key issues for the planning system

- Capacity of the planning system, the management of development, and the co-ordination between stakeholders
- Integration of information, process and outcomes
- Information gathering and sharing
- Spatial variation at the national, regional, municipal and lower levels
- Temporal change and pace of change (policy and practice)
- Positioning of KSA globally and regionally as an economically prosperous and vibrant nation
- Clarity of development: urban development, urban planning and urban management)

Baseline Review- End June

- Synthesis Report of our current understanding of the current planning system in KSA (SWOT)

- Based on existing and emerging documents

- Readings

- Basis of critical meetings

- Two scales

  - System

  - Local planning –urban management

International System Case Studies : Systems- End June

Case Study Selection

- South Korea: seen with KSA as an exemplar of transformation as evidenced by other case studies

- UK (England): highly centralised, local planning locally determined, but framed by national

- Netherlands: highly decentralised, three tiers, plans at neighbourhood scale regulatory, but system changing

Approach/selection

- To look at principles, not create a blueprint

- Explore how the system is integrating from national through to local

- Explore the top down bottom up patterns of plan making

- Explore how planning delivers change or simple regulate development

- Explore the capacity of the systems to deliver in terms of human capacity and infrastructure

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International Case Studies: Outcomes End June

Managing urban growth

- Urban growth boundaries
  - (Portland)
- Smart Growth
  - (Toronto)
- Focus on the planning processes to deal with sprawl

Urban Liveability

- Urban renewal regeneration/renewals
  - Leeds Transport orientated development – winner or a national place making award
  - Abu Dhabi
  - Focus on process of change, including actors, agencies and processes
  - Outcomes

Local Case Selection

Three different cases according to the leading planning process are selected:

Leading Process	Case Study	Location	Size
MoMRA	**Albaha**	South west (Albaha Governorate)	109.000
Amanah	**Alehsaa**	Alehsah Governorate	397.000 (Alhofouf City)
Baladyia	**Alkharg**	Alkharg Governorate	23.500

- **Cases are also different in:**
  - City location
  - City size
  - Project scope (e.g. Alehsaa is a local plan project for a number of cities within the governorate but the other two cases are concerned with the main big city)

 **These reflections are based upon workshop meetings with local planning department (MoMRA)& Faculty of Architecture and planning- King Saud University

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Case Study Evaluation Criteria

Local Case Study Evaluation ToR

- Linkage with regional plan and national strategies
- **City vision** based on previous region plans and local development issues
- Critical assessment for the previous structure plan
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Building the Scenarios

- External factors- Habitat III and the new urban agenda
  - Transformative Commitments for Sustainable Urban Development (objectives)
    - Sustainable and inclusive urban prosperity and opportunities for all
    - Social Inclusion and poverty eradication
    - Environmentally sound and resilient urban development
  - Effective implementation (mechanisms)
    - Establishing a supportive framework through building urban governance structures
    - Planning and managing urban spatial development
    - Means of implementation
  - Follow-up and review (monitor and review)

A theoretical approach to reform

Status quo
- Gentle adaption of existing systems
- Some reforms already occurring
- Diversity of practice- a system or systems

Collaborative
- Gradual change as part of a culture change agenda
- Already happening and sees the reform as a process rather than a product
- Momra as a proactive vehicle for change, but might be uncomfotable

Spatial Planning
- Radical and comprehensive
- Idealised and probably doesn't exist anywhere
- Long term aspirational- fully aligned to Habitat III

Building Scenarios Internal Factors

Push- Understanding the limitations of the existing system

- Plans static and lacking dynamism to respond quickly to changing local circumstances
- Too focused on regulation and not impact and outcomes
- Technical prepared and often lacking engagement with stakeholders
- Limited on going monitoring and evaluation

Pull factors- opportunities for reform

- Momentum for change facilitated by Vision 2030 and Future Saudi Cities Programme
- Need think more creatively about using scare resources
- Need for greater co-ordination
- Growing information systems to manage change
- Confidence that Saudi can meet the needs of its own citizens

Three Scenarios

Consolidation	Collaboration and equilibrium	Devolution and Decentralisation
Momra retains power and authority over plan making processes at national and local levels But with greater focus on deliverables in line with Vision 2030 objectives Decision making/plan making needs to become more flexible and responsive to changing circumstances More emphasis on deliverables (in terms of plans and outcomes)	Momra retains central power but works more collaboratively with other ministries at national and local levels to deliver agreed strategies at national and local scales. Greater emphasis on deliverables (in terms of plans and outcomes)	Momra continues to co-ordinate the national spatial plan and creates the frameworks for sub-national and local plans, which might be resourced centrally but developed locally making full use of local experience understanding and ned. Momra's role could be to scrutinise plans as they come forward and there is a two way flow of information and feedback loops both up and down the policy hierarchy

Local Plan Reform

- Local plans should
  - Focus on strategy (a structure plan)
  - Be sufficiently flexible to create masterplans for those parts of the local authority requiring change
  - Should have a focus on deliverability and implementation
  - Should be monitored to whether desired outcomes are being delivered.
  - May be national guidelines could be issued for those areas not covered comprehensively by the structure/master plans
  - Royal Commission Planning process could provide internal inspiration

Does Momra have any views regarding the direction of travel?

- Before going further is there something fundamentally wrong with our thinking?

- Do you foresee a conservative reform (consolidation) or a more radical reform (devolution and decentralisation)?

- With local planning does a more flexible and adaptive process make sense?

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Next Steps

- Continue to work on baseline review and international case studies

- Guidance needed in terms of Momra's thinking about reform of system and local plans

- Local planning review going

- Guidelines dependant on feedback on scenarios and initial local plan suggestions

- Next mission's?

Presentation 3

August 2016

University of Liverpool

School of Environmental Sciences

August 2016
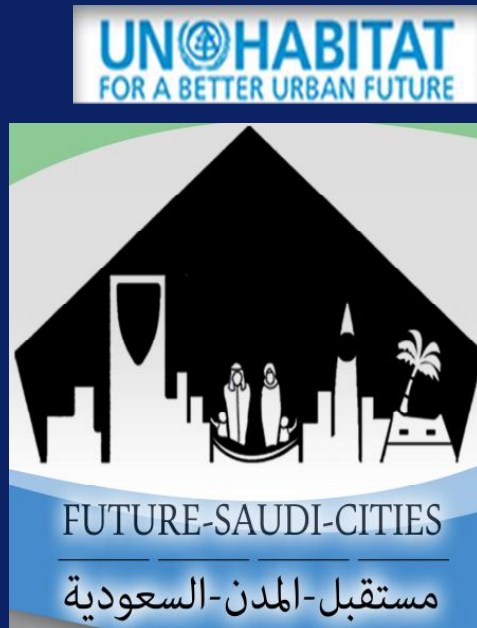
Future Saudi Cities Programme

UN Habitat, University of Liverpool and Cairo University

Mission 3: Presentation to MOMRA

Prof. Dave Shaw and Dr Ian Mell

Contents

- Project team

- Programme aims/objectives

- The Saudi planning system – context, principles, challenges (SWOT) and development management issues

- Baseline review:

        a) Systems, Governance and Local Planning

        b) International Best Practice

- Evaluation: UN Habitat Guidelines and International Best Practice

- Reform scenarios

- Next steps

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Project team

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3 Saudi experts
- Prof Adel Shaheen Aldosary
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- Dr Abdullah Ahmed Althabit

Project aims and objectives

- Provide advice and guidance on the system of planning in the Kingdom of Saudi Arabia

- Provide guidance on the reforms of the planning system at the local level in Kingdom of Saudi Arabia

- Define the scope of urban management in the Saudi Arabian context

Programme deliverables

Output/activity	Date/delivery
1. Baseline validation of KSA context and change in planning	**June 2016**
2. Baseline review of international and local case studies (systems and outcomes)	**July 2016**
3. Framework for review of local KSA plans	**June 2016**
4. Development of parameters for scenarios	**July/August 2016**
5. Validation of scenarios through local workshops and reporting	October 2016
6. Preparing a draft action plan to facilitate the development of culture change in Saudi planning practice	October/November 2016
7. Testing and adapting the ideas and suggestions through implementation workshops to be held with key stakeholders	October 2016
8. Develop new guidelines for local planning and review of Terms of Reference	October/November 2016
9. Develop policy brief focussing on future urban management in Saudi cities	October/November 2016
10. Final Report Presentation.	November 2016

Timeframe and delivery

	Activity	Proposed output
Milestone 1	1. Baseline validation of KSA context and change in planning 2. Baseline review of international case studies (systems and outcomes) 3. Basline review of local case studies (systems and outcomes) 4. Framework for review of local KSA plans 5. Development of parameters for scenarios	**END AUGUST** - Baseline Report - International case studies report - Local case studies report - Options for system review
Milestone 2	6. Validation of scenarios through local workshops and reporting 7. Preparing a draft action plan to facilitate the development of culture change in Saudi planning practice 8. Testing and adapting the ideas and suggestions through implementation workshops to be held with key stakeholders	**END OCTOBER** - Technical report - Workshop review and report based on above
Milestone 3	9. Develop new guidelines for local planning and review of Terms of Reference 10. Develop policy brief focusing on future urban management in Saudi cities 11. Final Report Presentation.	**END NOVEMBER** - Final report

Methodology and agreement overview

Governance of planning

Systems & Urban management

Local planning

Future Saudi Cities programme

Project aims and objectives

Baseline literature review of Saudi planning/-practice

Contextual international best practice case studies

Local planning policy/practice review

Scenarios of governance, systems and outcomes

Reform of Saudi Arabian planning structures, instruments and local/strategic outcomes

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Kingdom of Saudi Arabia planning reform: context

Vision 2030

- New Strategy issued by MOMRA Urban Planning Act, Revision of National Spatial Strategy, movement towards smart cities, etc.

- Promotion of Future Saudi Cities Programme

- Discussions of complementarity and complexity of policy/practice

- Variation in *horizontal* and *vertical* integration of policy/practice

- Repositioning of Ministries and development agencies with MOMRA

FIGURE 1: National Spatial Strategy (2000)

Source: Ministry of Municipal and Rural Affairs (2001)

Key Principles For the future of Saudi Arabian planning

- VISION 2030 – key objectives, programmes, and LT aspirations for planning and development:

  - o Saudi Aramco Strategic Transformation Programmes
  - o Public Investment Fund Restructuring Programme
  - o Human Capital Programme
  - o Fiscal balance programme
  - o Project Management Project
  - o Regulation Review Programme
  - o Proforma Measurement programme

- Efficiency, sustainability and partnership
- Inclusive – shared vison for the transformative and future-orientated (or smart) cities
- World class governance and services

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Challenges Facing the Saudi Planning System

- Plan making too slow, static and unresponsive to changing circumstances

- Lack of horizontal and vertical integration throughout the system

- Local plans focus on regulating development not strategic outcomes

- Little monitoring of outcomes

- Comprehensive spatial coverage rather than phased and structured investment

- Often technical and largely divorced from the place

Key issues for the planning system

- Variability in capacity of the planning system, the management of development, and the co-ordination between stakeholders

- Flexibility in how information, process and outcomes are integrated and how information is gathered/shared

- Spatial variation in the setting of strategic objectives within policy at the national, regional, municipal and lower levels

- Variation in pace of change (policy and practice) and temporal dynamics of planning

- Positioning of KSA globally and regionally as an economically prosperous and vibrant nation

Issues derived from analysis of Saudi planning documents and with Saudi planning experts

STRENGTHS	WEAKNESSES
- Central government control needed for execution - Stability of political system and established security - Public support for government - Availability and steady flow of financial resources - Developed existing infrastructure (especially roads at all planning level) - Young population belongs to working age cohort (more than 55 % of the country are classified as youth age) - Highly-educated population - Vast natural resources including land, petroleum, minerals, etc. - Strategic location - Stable geo-political system - Long-term financial investment scheme - Developed national urban planning system over years from the technical view (especially at national and city level) - Established provincial councils, municipal councils and regional centers of control - Access to information technology SWOT derived from Local Case Study Report (2016)	- Poor public/private integration - Low level of public participation in decision-making - Municipal centers and local administration are not advanced compared to provincial and national levels - Lack of access of services to the villages - Lack of trained planners - Lack of specialized urban planning centers - Unbalanced urban planning training institutions to meet the growing demands - Lack of gender integration into the urban planning process - Poor Inter-organizational collaboration especially for mega projects - High rate of unfinished or delayed project completion across Saudi Arabia - Lack of proper financing schemes for mega projects - Old/obsolete government procurement procedures (Here this lead to the over dependence on local consultancy firm in doing urban planning work mainly due to their advantage of being cheap in delivering urban planning work) - Lack of ready-to-use digitized information for planning affairs - Lack of access to information across government agencies - Absence of a single government information depository - Lack of reference linkage to the importance of day-to-day planning in general education system - Lack of needed cooperation between different agencies in implementation of tasks emanating from nati0nal strategic urban plan and policies - Poor public awareness on planning laws and legislations - Insensitive practices by national and foreigners in public places - Improper taxation/fees on cost to services (Municipal services are highly dependent on the country rather than being depending on cost recovery) - Weak regional planning and integration - Absence of professional society for Saudi urban planners - No sponsorship programs by government agencies for urban planning graduates. - Gap between academia and practice (University staff members are not usually the big known planners in the country, also the system in universities doesn't incentives them to practice urban planning)

OPPORTUNITIES	THREATS
- A new trend of job-creation - A new generation of graduates coming from the Custodian of the Two Holy Mosques program from the US (More than 200, 000 in the last five years) - Proximity and integration with the GCCs - General education in higher education is expanding (This was seen as one of success of the NSS) - Creation of knowledge-based economy (More than five economic cities were established to boost this new economic way of thinking), however some of these think tank institutions are not linked to the economy of agglomeration within the big cities of the country - Integrating the new Vision 2030 of transformation - Providing an opportunity for more businesses and integration in terms of urban services - Implementation of data intensive informed - Trend in Saudi Arabia to move towards Smart city (new vision) - Balanced growth (Old vision, but still a viable one that MOEP and MOMRA have made it clearly supported by most of the national ministries) - Alignment of local, regional and national plans - New GCC rail system - Agro-cultural tourism - More liberal commercialization of airports in major metropolitan areas - Privatization of harbors and airports - Divert some endowment into developing infrastructure - Invite public/private partnership based infrastructure investment - Create border cities to re-route pilgrims - Creation of healthy and safer communities - Metro projects / inducement for TOD (Riyadh and Jeddah at least at this moment)	- Access by GCC professionals to the job market - Adherence to the planning regulations and implementation - Complacency of so-far accomplishments - Inability to distinguish between meeting the requirements and avoiding accountability - Resistance to social and cultural change within the urban settings - Transparency - Exemptions from the law - Conflict of interest - Inability to constantly benchmark with international standards and best practices - No visible KPI progress and update by government organizations - Not updating the urban observatories - Taking advantage of the 2030 transformation to update and revise obsolete regulations - High dependency on foreign planners and consultants SWOT derived from Local Case Study Report (2016)

Baseline review: Systems, Governance and Local Planning

- **Governance** – the capacity to develop, deliver and monitor strategic planning and investment lacks continuity between different parts of the Kingdom and their various planning stakeholders

- **Systems / Urban Management** – there is significant variability in the structures of plan-making, delivery and monitoring across the Kingdom of Saudi Arabia which is illustrated by limited integration between planning levels (national, regional and metropolitan/local)

- **Local Planning** - preoccupation with regulating developing rather than effectively managing or co-ordinating growth

International case studies: rationale for Saudi Arabia

1. **Reflecting Supra-National Perspectives** – Extending the scope of spatial planning frameworks to incorporate international considerations and cooperation, to maximize development opportunities.

2. **Addressing Environmental Challenges** – Integrating land use and environmental policies to create a sustainable environment, with an emphasis on protecting the natural environment, biodiversity and mitigating climate change risks.

3. **Leveraging Economic Opportunities** – Using spatial development policies to diversify the economic opportunities available and create interlinked economic clusters which support job development and economic growth.

4. **Delivering Equitable Access to Basic Services** – Addressing the disparities in service provision across all segments of society to provide equal opportunities.

5. **Fostering Participation and Collaborative Implementation** – Maximising the potential of the NSF through shared responsibility and accountability and by encouraging active investment at a nationwide level.

6. **Measuring Success for Effective Implementation** – A sound and well informed evaluation of spatial development outcomes which is suitably robust to address the comprehensive nature of the NSF.

FSCP - Draft Review of the National Spatial Strategy (2016:25)

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Evaluation: UN Habitat Guidelines for urban and territorial planning and International Best Practice

Principles	UK	The Netherlands	South Korea	Saudi Arabia
Integrated - Horizontal	🟩	🟩	🟧	Limited but changing and could use UK/Dutch examples to streamline and improve efficiency
Integrated - Vertical	🟧	🟩	🟧	In theory but links between levels/scales need greater support (see Dutch example)
Participatory	🟩	🟩	🟧	UK and Dutch examples highlight role of stakeholders and citizen engagement
Needs Orientated: Human	🟩	🟩	🟧	Too prescriptive and inflexible to respond to rapid societal needs (infrastructure, services and economic development)
Needs Orientated - Resilience (including CC)	🟧	🟩	🟧	Lack of focus on environmental concerns and long-term sustainable development (Dutch example to support)
Iterative	🟩	🟩	🟩	Currently static and could use all examples to highlight possible changes to rigid instruments
Effective	🟩	🟩	🟩	Regulates development effectively but does not manage change to same extent
Adaptive	🟧	🟩	🟩	Currently static and could use all examples to highlight possible changes to rigid instruments
Ongoing Evolution	🟩	🟩	🟩	Continues to evolve but hasn't changed as quickly or effectively as international best practice

Principles upon which reform scenarios are based

Principles:

- Integrative – horizontal and vertical
- Focus on balancing implementation with regulation
- Needs to be more inclusive for all
- Needs greater decentralisation to ensure local ownership
- Emphasis on delivery and outcomes
- Needs for greater and cyclical information sharing, management and monitoring
- Should be flexible and adaptive
- Inclusivity also includes capacity building and responsibility at all levels, technical and political
- Greater transparency in decision-making processes
- Identification of lines and levels of accountability in decision-making
- Reviewing and sharing best practice at all scales

	Scale	Responsible authority	Policy instrument	Barriers to success
Consolidation	National	MOMRA	NSS, NPS	- There may be unwillingness of other national and sub-national stakeholders to agree to MOMRA policy (NSS and others). - There is a view that planning needs to utilise the experience and expertise of non-MOMRA stakeholders to effectively create an equitable, transparent and inclusive form of planning policy, practice and monitoring.
Collaboration and equilibrium	National	Government ministries including MOMRA, MoE&P, MoF, MoI	NSS as a basis and new overarching policy instrument developed by all ministry partners.	- Although greater collaboration is proposed there may be reluctance from some stakeholders to engage. - It may be problematic to ensure continuity, compliance and coherence between partners if a singular narrative for planning policy and practice is to be developed. - There are issues with ensuring that all stakeholders (a) engage, (b) aim to deliver a positive and not partial mandate, and (c) ensures that the proposals are for the betterment of the Kingdom, its people and its economy.
Devolution and Decentralisation	Sub-national, regional and local	Local government, development corporates, special development agencies,	Local plans, atlas' and development strategies	- Devolving power from MOMRA and the central government potentially weakens their ability to coordinate development across the Kingdom. - It may limit the ability of national or sub-national partners to ensure continuity between plans, policies and development, which could lead to greater variation. - There are also issues regarding the costs and payments for development projects and policy formation and where the costs for such activities will be delivered from.

Reform scenarios: Consolidation

- MOMRA retains strategic and administrative control over the production of national planning policy (NSS) which is cascaded to sub-national planning agencies.
- MOMRA will work with other Ministries to ensure that the strategic objectives of the NSS are embedded in other policies and deliverables
- MOMRA will be tasked with improving coordination between central government and all planning partners/stakeholders at a sub-national scale.
- MOMRA will retain overall authority to approve, mandate and monitor planning in the Kingdom.

Key responsible stakeholder: MOMRA
Key policy/guidance instrument: National Spatial Strategy (NSS)
Key partners: Ministry of the Interior, Ministry of the Economy & Planning, Ministry of Finance, Ministry of Housing, other government ministries

Reform scenarios: Collaboration and equilibrium

- MOMRA will work with ministries collaboratively to set a jointly appropriate policy/s.

- The scenario proposes a more adaptive form of planning governance, which draws on the expertise the all ministries and their structural and delivery mandates at a national and sub-national scale.

- A single policy instrument is not proposed but greater alignment between a complementary and adaptive suite would be a significant outcome of the scenario.

Key responsible stakeholder: MOMRA, MoE&P, MoU, MoF and other ministries

Key policy/guidance instrument: National Spatial Strategy (NSS), NPS

Key partners: all ministries at a national level
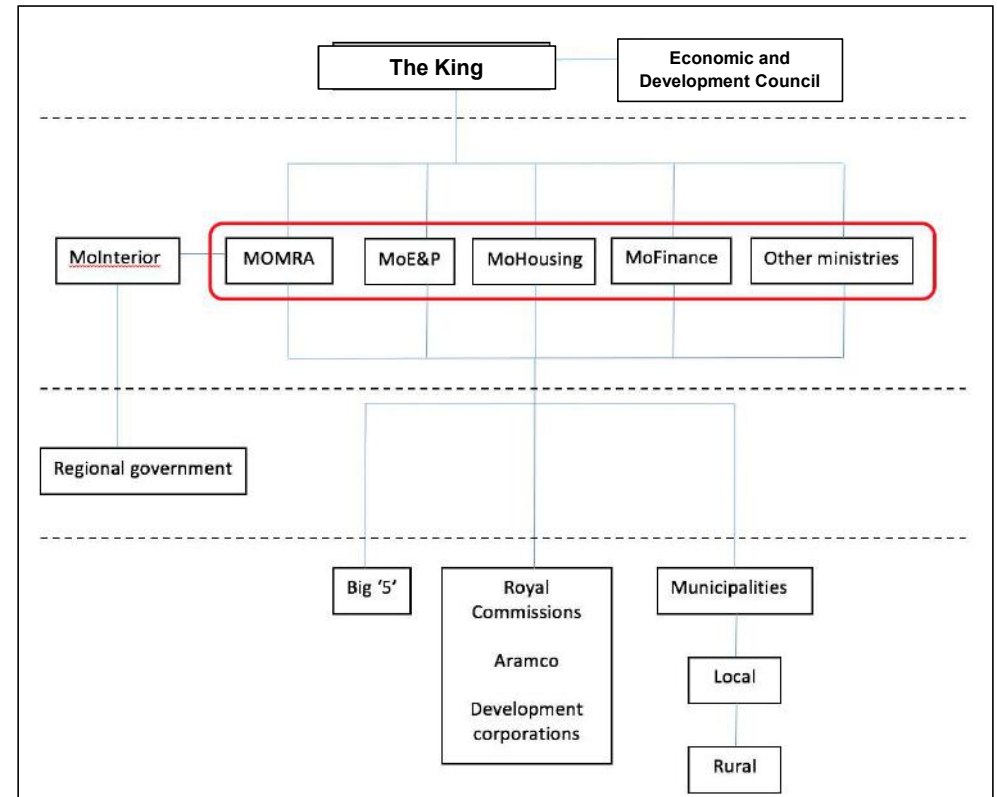
Reform scenarios: Devolution and decentralisation

- The scenario places greater and more authoritative emphasis on sub-national stakeholders to develop, implement and monitor planning in the Kingdom.
- MOMRA will retain an overarching monitoring role to assess continuity and compliance with the NSS.
- Greater understanding and complementarity is needed to align localised development agendas between different planning bodies (and policies/practices)

Key responsible stakeholder: Regional and local/municipal government

Key policy/guidance instrument: Local plans, development strategies, development atlas'

Key partners: national, regional and local development/management/monitoring partners, MOMRA and other government ministries

UN Habitat principles/Scenario mapping

	Integrated - Horizontal	Integrated – vertical	Participatory	Needs orientated - Human	Needs orientated – Resilience (Inc. CC)	Iterative	Effective	Adaptive	Ongoing evolution
Consolidation									
Equalisation and Equilibrium									
Devolution and Decentralisation									

Saudi Arabian principles/Scenario mapping

	Integrative – horizontal and vertical	Focus on balancing implementation with regulation	Needs to be more inclusive for all	Needs greater decentralisation to ensure local ownership	Needs for greater and cyclical information sharing, management and monitoring	Should be flexible and adaptive	Inclusivity also includes capacity building and responsibility at all levels, technical and political	Greater transparency in decision-making processes	Identification of lines and levels of accountability in decision-making	Reviewing and sharing best practice at all scales
Consolidation	🟩	🟢	🟧	🟧	🟢	⬜	🟢	🟢	🟢	🟧
Equalisation and Equilibrium	🟢	🟩	🟧	🟧	🟢	🟧	🟢	🟢	🟧	🟩
Devolution and Decentralisation	🟢	🟢	🟢	🟢	🟢	🟢	🟢	🟢	🟩	🟢

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School of Environmental Sciences

Scenario	Scale	Responsible authority	Policy instrument	Feasibility
Consolidation	National	MOMRA	NSS, NPS	- Highly feasible in the short-term as MOMRA demonstrates commitment to the delivery of VISION 2030. - MOMRA would need to assess their relationships with planning stakeholders at all scales across the Kingdom in the medium to long-term to examine the potential of reforms at the local level.
Collaboration and equilibrium	National	Government ministries including MOMRA, MoE&P, MoF, MoI	NSS as a basis and new overarching policy instrument developed by all ministry partners.	- Feasible with buy-in from all ministerial partners in the short to medium-term - Would require capacity building within and across ministries to ensure continuity and transparency in policy-making and the setting of strategic development/investment objectives.
Devolution and Decentralisation	Sub-national, regional and local	Local government, development corporates, special development agencies,	Local plans, atlas' and development strategies	- Most radical but has the potential to deliver the most significant reform - Could be delivered asymmetrically by devolving authority to those with capacity earlier whilst capacity it built in other locations - Would require an effective monitoring and accountability frameworks to ensure continuity between levels to ensure national and local objectives are being realised - Would require significant financial input - Achievable over a longer timescale (10-20 years)

Next steps

- Governance
- Capacity building and delivery
- Training
- Workshops with Saudi partners

- Policy alignment and transparency in actions

- Continuity between scales and effective structure to ensure compliance at a national, regional and local/metropolitan scale.

Presentation 4

October 2016

Future Saudi Cities Programme

UN Habitat, University of Liverpool and Cairo University

Mission 4: Initial Recommendations for the reform of the existing planning system

Prof. Dave Shaw, Dr Ian Mell, and Dr John Sturzaker

The need for liveable and sustainable cities

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FUTURE SAUDI CITIES

Part 1- Introduction to the project and working practices

- Team
- Programme aims/objectives
- Working Approach

Part 2 Governance of planning.

- Existing baseline situation, including SWOT analysis
- Future trajectory based on Vision 2030 and MOMRAs response to the 2020 National Transformational Program
- Benchmarking the Saudi planning system against international best practice
- Scenarios for improvements, governance and instruments

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FUTURE SAUDI CITIES

Part 3 Local Planning

- Review of local planning experiences
- Learning from international best practice
- Local Plan making and implementation
- Managing urban growth/smart growth
- Recommendations for change

Part 4 Next Steps

- Regional Workshops
- Urban Management
- Action Plans

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Project team

- Prof. David Shaw (UoL)
- Prof. Sahar Attia (CU)
- Dr Ian Mell (UoL)
- Dr John Sturzaker (UoL)
- Dr Abdelkhalek Ibrahim (CU)
- Dr Olivier Sykes (UoL)
- Mr Ken Brodie (UoL)

3 Saudi experts
- Prof Adel Shaheen Aldosary
- Dr Mohamed Aljoufie
- Dr Abdullah Ahmed Althabit

Project aims and objectives

- Provide advice and guidance on the potential reforms of the **planning system** in the Kingdom of Saudi Arabia.

- Provide guidance on the reforms of the planning **system** at all scales across the Kingdom including national, regional and the **local** level in Saudi Arabia

- Define the **scope** of urban management in the Saudi Arabian context

Timeframe and delivery

	Activity	Proposed output
Milestone 1	1. Baseline validation of KSA context and change in planning 2. Baseline review of international case studies (systems and outcomes) 3. Basline review of local case studies (systems and outcomes) 4. Framework for review of local KSA plans 5. Development of parameters for scenarios	**MID OCTOBER** - Baseline Report - International case studies report - Local case studies report - Options for system review
Milestone 2	6. Validation of scenarios through local workshops and reporting 7. Preparing a draft action plan to facilitate the development of culture change in Saudi planning practice 8. Testing and adapting the ideas and suggestions through implementation workshops to be held with key stakeholders	**TBC- but after Quito** - Technical report - Workshop review and report based on above
Milestone 3	9. Develop new guidelines for local planning and review of Terms of Reference 10. Develop policy brief focusing on future urban management in Saudi cities 11. Final Report Presentation.	**END NOVEMBER** - Final report

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Research Process and Philosophy

- Iterative

- Co-production working with key local stakeholders

- Engaging directly with MOMRA (and other government stakeholders)

- Engaging directly with Saudi experts

- Co-production of reforms and recommendations with UN-Habitat
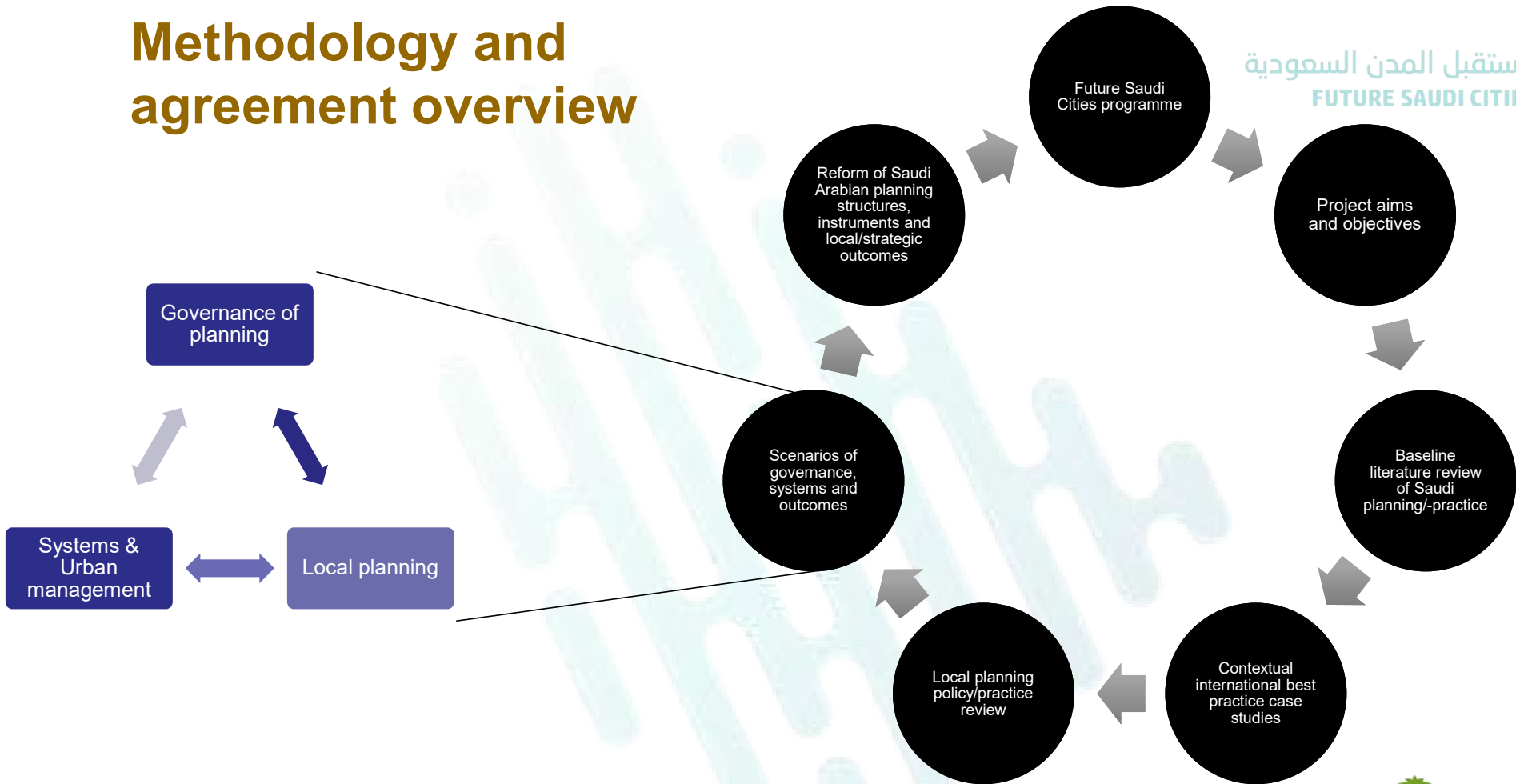
Main Review Steps (Governance and planning)

1 Understanding the planning context and system — UF EX

2 Baseline review of Saudi planning practice — MO EX LM

3 Review of international best practice (3 case studies)

4 Scenario building — MO EX

5 The way forward- reforming Saudi planning system — MO EX LM

6 Developing an implementation plan — MO EX LM

UF	Future Saudi Urban Forum
MO	MOMRA steering committee group
EX	Expert (professionals) consultations
LM	Local Municipalities focus group

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Benchmarking Principles- UN-Habitat III Guidelines for Urban and Territorial Planning

- Urban and territorial planning is an **integrative** and **participatory** decision-making process;

- Urban and territorial planning aims to realize adequate **standards of living** and **working conditions** for all (reflecting equity goals and cultural heritage and diversity);

- Urban and territorial planning is an **enabling framework for new economic growth** and involves better **connectivity to all territorial levels**;

- Urban and territorial planning seeks to provide a framework to **protect and manage** the natural and built environment (including increasing **human security** and **resilience mitigation** and **adaptation to climate change**);

- Urban and territorial planning is an iterative process grounded in **enforceable regulations** that aims to promote **compact/sustainable cities** and synergies between territories;

- Effective implementation and evaluation requires continuous **monitoring**, periodic **adjustments** and sufficient **capacities**;

International case studies: rationale for Saudi Arabia

1. Reflecting Supra-National Perspectives

2. Addressing Environmental Challenges

3. Leveraging Economic Opportunities

4. Delivering Equitable Access to Basic Services

5. Fostering Participation and Collaborative Implementation

6. Measuring Success for Effective Implementation

FSCP - Draft Review of the National Spatial Strategy (2016:25)

Baseline review of Saudi planning policy/practice

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Kingdom of Saudi Arabia planning reform: Context

Vision 2030 and the National Transformation Programme

- New Strategy issued by MOMRA Urban Planning Act, Revision of National Spatial Strategy, movement towards smart cities, etc.

- Promotion of Future Saudi Cities Programme

- Discussions of complementarity and complexity of policy/practice

- Variation in *horizontal* and *vertical* integration of policy/practice

- Repositioning of Ministries and development agencies with MOMRA

FIGURE 1: National Spatial Strategy (2000)

Source: Ministry of Municipal and Rural Affairs (2001)
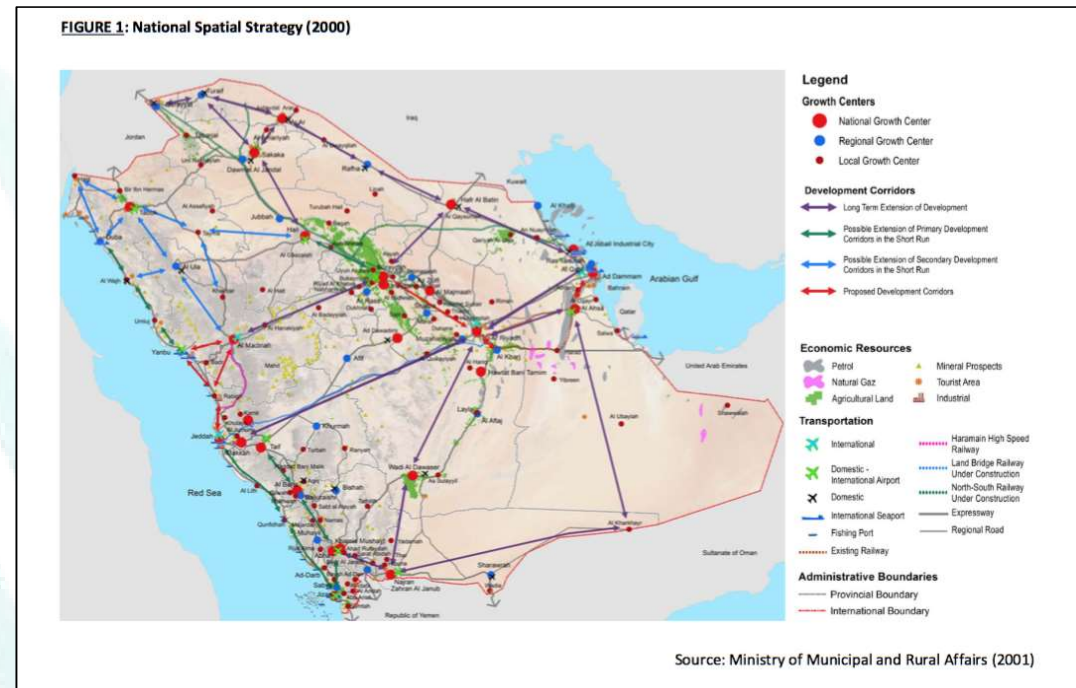
Context and aspirations for the future of Saudi Arabian planning

VISION 2030 – key objectives, programmes, and LT aspirations for planning and development:

- Saudi Aramco Strategic Transformation Programmes
- Public Investment Fund Restructuring Programme
- Human Capital Programme
- Fiscal balance programme
- Project Management Project
- Regulation Review Programme
- Proforma Measurement programme

MOMRA Transformative Plan:

- Efficiency, sustainability and partnership
- Inclusive – shared vison for the transformative and future-orientated (or smart) cities
- Effective- speed of decision making and plans and implementation strategies focused on outcomes
- World class governance and services

Challenges Facing the Saudi Planning System

- Plan making too slow, static and unresponsive to changing circumstances

- Lack of horizontal and vertical integration between instruments and layers of the system

- Local plans focus on regulating development not strategic outcomes

- Little monitoring of outcomes

- Comprehensive spatial coverage rather than phased and structured investment

- Often technical and largely divorced from the place

Issues derived from analysis of Saudi planning documents and with Saudi planning experts

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Key issues for the planning system

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- **Variability in capacity** of the planning system, the management of development, and the **co-ordination** between stakeholders

- **Flexibility** in how information, process and outcomes are integrated and how information is gathered/shared

- **Spatial variation** in the setting of strategic objectives within policy at the national, regional, municipal and lower levels

- Variation in pace of change (policy and practice) and **temporal dynamics of planning**

- **Positioning of KSA globally and regionally** as an economically prosperous and vibrant nation

Issues derived from analysis of Saudi planning documents and with Saudi planning experts

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STRENGTHS	WEAKNESSES
- Central government control needed for execution - Stability of political system and established security - Public support for government - Availability and steady flow of financial resources - Developed existing infrastructure (especially roads at all planning level) - Young population belongs to working age cohort (more than 55 % of the country are classified as youth age) - Highly-educated population - Vast natural resources including land, petroleum, minerals, etc. - Strategic location - Stable geo-political system - Long-term financial investment scheme - Developed national urban planning system over years from the technical view (especially at national and city level) - Established provincial councils, municipal councils and regional centers of control - Access to information technology SWOT derived from Local Case Study Report (2016)	- Poor public/private integration - Low level of public participation in decision-making - Municipal centers and local administration are not advanced compared to provincial and national levels - Lack of access of services to the villages - Lack of trained planners - Lack of specialized urban planning centers - Unbalanced urban planning training institutions to meet the growing demands - Lack of gender integration into the urban planning process - Poor Inter-organizational collaboration especially for mega projects - High rate of unfinished or delayed project completion across Saudi Arabia - Lack of proper financing schemes for mega projects - Old/obsolete government procurement procedures (Here this lead to the over dependence on local consultancy firm in doing urban planning work mainly due to their advantage of being cheap in delivering urban planning work) - Lack of ready-to-use digitized information for planning affairs - Lack of access to information across government agencies - Absence of a single government information depository - Lack of reference linkage to the importance of day-to-day planning in general education system - Lack of needed cooperation between different agencies in implementation of tasks emanating from nati0nal strategic urban plan and policies - Poor public awareness on planning laws and legislations - Insensitive practices by national and foreigners in public places - Improper taxation/fees on cost to services (Municipal services are highly dependent on the country rather than being depending on cost recovery) - Weak regional planning and integration - Absence of professional society for Saudi urban planners - No sponsorship programs by government agencies for urban planning graduates. - Gap between academia and practice (University staff members are not usually the big known planners in the country, also the system in universities doesn't incentives them to practice urban planning)

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OPPORTUNITIES	THREATS
- A new trend of job-creation - A new generation of graduates coming from the Custodian of the Two Holy Mosques program from the US (More than 200, 000 in the last five years) - Proximity and integration with the GCCs - General education in higher education is expanding (This was seen as one of success of the NSS) - Creation of knowledge-based economy (More than five economic cities were established to boost this new economic way of thinking), however some of these think tank institutions are not linked to the economy of agglomeration within the big cities of the country - Integrating the new Vision 2030 of transformation - Providing an opportunity for more businesses and integration in terms of urban services - Implementation of data intensive informed - Trend in Saudi Arabia to move towards Smart city (new vision) - Balanced growth (Old vision, but still a viable one that MOEP and MOMRA have made it clearly supported by most of the national ministries) - Alignment of local, regional and national plans - New GCC rail system - Agro-cultural tourism - More liberal commercialization of airports in major metropolitan areas - Privatization of harbors and airports - Divert some endowment into developing infrastructure - Invite public/private partnership based infrastructure investment - Create border cities to re-route pilgrims - Creation of healthy and safer communities - Metro projects / inducement for TOD (Riyadh and Jeddah at least at this moment)	- Access by GCC professionals to the job market - Adherence to the planning regulations and implementation - Complacency of so-far accomplishments - Inability to distinguish between meeting the requirements and avoiding accountability - Resistance to social and cultural change within the urban settings - Transparency - Exemptions from the law - Conflict of interest - Inability to constantly benchmark with international standards and best practices - No visible KPI progress and update by government organizations - Not updating the urban observatories - Taking advantage of the 2030 transformation to update and revise obsolete regulations - High dependency on foreign planners and consultants SWOT derived from Local Case Study Report (2016)

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Suggested role and scope of the *new* Saudi planning system

- The Saudi planning system aims to deliver an **equitable, inclusive** and **sustainable** form of development in line with **strategic objectives** of Vision 2030.

- The Saudi planning system also aims to ensure that investment supports the **diversification of the economy, sustainable environmental resource management**, and that long-term **development of socio-cultural capital** across the Kingdom.

- The Saudi planning system also strives to promote **integration between stakeholders** at all levels across the Kingdom and focusses on the **effective delivery, management** and **monitoring of strategic objectives** in practice.

Baseline review for new Saudi Arabian planning system: Governance, Systems/Urban Management and Local Planning

- **Governance** – the capacity to develop, deliver and monitor strategic planning and investment lacks continuity between different parts of the Kingdom and their various planning stakeholders

- **Systems / Urban Management** – there is significant variability in the structures of plan-making, delivery and monitoring across the Kingdom of Saudi Arabia which is illustrated by limited integration between planning levels (national, regional and metropolitan/local)

- **Local Planning** - preoccupation with regulating developing rather than effectively managing or co-ordinating growth

International best practice case studies

Future Saudi Cities programme

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Reform of Saudi Arabian planning structures, instruments and local/strategic outcomes

Project aims and objectives

Baseline literature review of Saudi planning/-practice

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Evaluation: UN Habitat Guidelines for urban and territorial planning and International Best Practice

Principles	UK	The Netherlands	South Korea	Saudi Arabia
Integrated - Horizontal	🟩	🟩	🟩	Limited but changing and could use UK/Dutch examples to streamline and improve efficiency
Integrated - Vertical	🟧	🟩	🟧	In theory but links between levels/scales need greater support (see Dutch example)
Participatory	🟩	🟩	🟧	UK and Dutch examples highlight role of stakeholders and citizen engagement
Needs Orientated: Human	🟩	🟧	🟧	Too prescriptive and inflexible to respond to rapid societal needs (infrastructure, services and economic development)
Needs Orientated - Resilience (including CC)	🟧	🟩	🟧	Lack of focus on environmental concerns and long-term sustainable development (Dutch example to support)
Iterative	🟩	🟩	🟩	Currently static and could use all examples to highlight possible changes to rigid instruments
Effective	🟩	🟧	🟩	Regulates development effectively but does not manage change to same extent
Adaptive	🟧	🟧	🟩	Currently static and could use all examples to highlight possible changes to rigid instruments
Ongoing Evolution	🟩	🟩	🟩	Continues to evolve but hasn't changed as quickly or effectively as international best practice

Scenarios of governance, systems and outcomes

Future Saudi Cities programme

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Principles upon which reform scenarios are based

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FUTURE SAUDI CITIES

- **Integrative** – horizontal and vertical
- Focus on balancing **implementation** with regulation
- Needs to be more **inclusive** for all
- Needs greater **decentralisation** to ensure local ownership
- Emphasis on **delivery** and **outcomes**
- Needs for greater and cyclical **information sharing**, **management** and **monitoring**
- Should be **flexible** and **adaptive**
- Inclusivity also includes **capacity building** and responsibility at all levels, technical and political
- Greater **transparency** in decision-making processes
- Identification of lines and levels of **accountability** in decision-making
- Reviewing and **sharing best practice** at all scales

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Reform scenarios: Consolidation

- MOMRA retains strategic and administrative control over the production of national planning policy (NSS) which is more effectively cascaded to sub-national planning agencies, influencing local planning.

- MOMRA will work with other Ministries to ensure that the strategic objectives of the NSS are fully embedded in other policies and deliverables

- MOMRA will improve coordination between central government and all planning partners/stakeholders at a sub-national scale.

- MOMRA will retain overall authority to approve, mandate and monitor planning in the Kingdom.

Key responsible stakeholder: MOMRA

Key policy/guidance instrument: National Spatial Strategy (NSS)

Key partners: Ministry of the Interior, Ministry of the Economy & Planning, Ministry of Finance, Ministry of Housing, other government ministries

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Reform scenarios: Collaboration and Equilibrium

- MOMRA will work with ministries collaboratively to set jointly appropriate policy/s but will retain an overarching 'championing' role within government to coordinate planning.

- The scenario proposes a more adaptive form of planning governance, which draws on the expertise of all ministries and their structural/delivery mandates at a national and sub-national scale.

- Policy produced at a national-scale by all ministries will be aligned with the NSS, resulting in a complementary and adaptive suite of policies.

- Sub-national policy will replicate this process by retaining sectoral focus but developing a greater alignment with the NSS.

Key responsible stakeholder: MOMRA, MoE&P, MoU, MoF and other ministries

Key policy/guidance instrument: National Spatial Strategy (NSS), Regional Plans, Local Plans

Key partners: all ministries at a national level
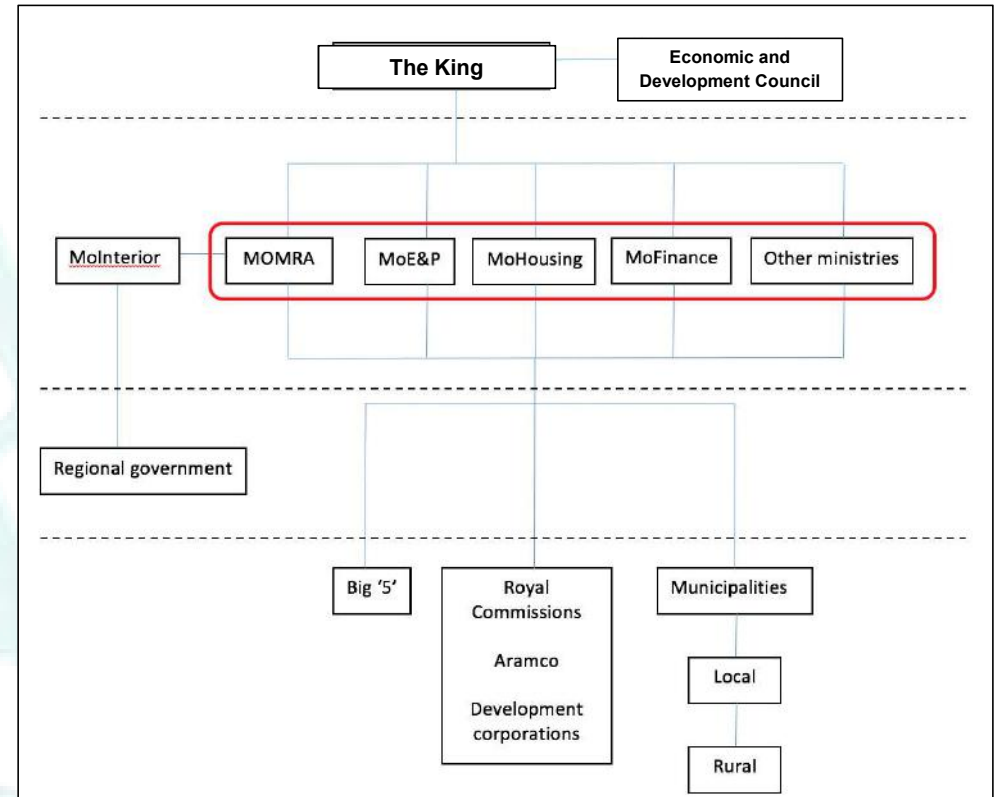
Reform scenarios: Devolution and Decentralisation

- The scenario places greater and more authoritative emphasis on sub-national stakeholders to develop, implement and monitor planning in the Kingdom.

- The NSS remains the key strategic framework for planning but Regional and Local Plans will be mandated with greater authority to deliver sub-national needs *in line* with national priorities

- MOMRA will retain an overarching monitoring role to assess continuity and compliance with the NSS.

- Greater understanding and complementarity is needed to align localised development agendas between different planning bodies (and policies/practices)

Key responsible stakeholder: Regional and local/municipal government

Key policy/guidance instrument: Local plans, Development Strategies, Development atlas', Regional Plans, New Industrial City Plans, Royal Commissions

Key partners: national, regional and local development-management-monitoring partners, MOMRA and other government ministries

	Scale	Responsible authority	Policy instrument	Barriers to success
Consolidation	National	MOMRA	NSS	- There may be unwillingness of other national and sub-national stakeholders to agree to MOMRA policy (NSS and others). - There is a view that planning needs to utilise the experience and expertise of non-MOMRA stakeholders to effectively create an equitable, transparent and inclusive form of planning policy, practice and monitoring.
Collaboration and equilibrium	National	Government ministries including MOMRA, MoE&P, MoF, MoI	NSS as a basis and new overarching policy instrument developed by all ministry partners, Regional Plans, Local Plans	- Although greater collaboration is proposed there may be reluctance from some stakeholders to engage. - It may be problematic to ensure continuity, compliance and coherence between partners if a singular narrative for planning policy and practice is to be developed. - There are issues with ensuring that all stakeholders (a) engage, (b) aim to deliver a positive and not partial mandate, and (c) ensures that the proposals are for the betterment of the Kingdom, its people and its economy.
Devolution and Decentralisation	Sub-national, regional and local	Local government, development corporates, special development agencies,	Regional plans, local plans, atlas' and development strategies	- Devolving power from MOMRA and the central government potentially weakens their ability to coordinate development across the Kingdom. - It may limit the ability of national or sub-national partners to ensure continuity between plans, policies and development, which could lead to greater variation. - There are also issues regarding the costs and payments for development projects and policy formation and where the costs for such activities will be delivered from.

UN Habitat principles/Scenario mapping

	Integrated - Horizontal	Integrated – vertical	Participatory	Needs orientated - Human	Needs orientated – Resilience (Inc. CC)	Iterative	Effective	Adaptive	Ongoing evolution
Consolidation	🟩	🟧	🟧	🟧	🟩	🟧	🟧	🟧	🟧
Equalisation and Equilibrium	🟩	🟧	🟩	🟧	🟩	🟧	🟢	🟢	🟢
Devolution and Decentralisation	🟧	🟩	🟩	🟩	🟢	🟩	🟩	🟩	🟩

Saudi Arabian principles/Scenario mapping

مستقبل المدن السعودية
FUTURE SAUDI CITIES

	Integrative – horizontal and vertical	Focus on balancing implementation with regulation	Needs to be more inclusive for all	Needs greater decentralisation to ensure local ownership	Needs for greater and cyclical information sharing, management and monitoring	Should be flexible and adaptive	Inclusivity also includes capacity building and responsibility at all levels, technical and political	Greater transparency in decision-making processes	Identification of lines and levels of accountability in decision-making	Reviewing and sharing best practice at all scales
Consolidation	🟩	🟢	🟧	🟧	🟢	🟧	🟢	🟢	🟢	🟧
Equalisation and Equilibrium	🟢	🟩	🟧	🟧	🟢	🟧	🟢	🟢	🟧	🟩
Devolution and Decentralisation	🟢	🟢	🟢	🟢	🟢	🟢	🟢	🟢	🟩	🟢

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Scenario	Scale	Responsible authority	Policy instrument	Feasibility
Consolidation	National	MOMRA	NSS	- Highly feasible in the short-term as MOMRA demonstrates commitment to the delivery of VISION 2030. - MOMRA would need to assess their relationships with planning stakeholders at all scales across the Kingdom in the medium to long-term to examine the potential of reforms at the local level.
Collaboration and equilibrium	National	Government ministries including MOMRA, MoE&P, MoF, MoI	NSS as a basis and new overarching policy instrument developed by all ministry partners, Regional Plans	- Feasible with buy-in from all ministerial partners in the short to medium-term - Would require capacity building within and across ministries to ensure continuity and transparency in policy-making and the setting of strategic development/investment objectives.
Devolution and Decentralisation	Sub-national, regional and local	Local government, development corporates, special development agencies,	Regional plans, local plans, atlas' and development strategies	- Most radical but has the potential to deliver the most significant reform - Could be delivered asymmetrically by devolving authority to those with capacity earlier whilst capacity it built in other locations - Would require an effective monitoring and accountability frameworks to ensure continuity between levels to ensure national and local objectives are being realised - Would require significant financial input - Achievable over a longer timescale (10-20 years)

	Lead authority-responsibility	Key partners	Key document	Objectives	Benefits	Barriers to successful implementation and/or uptake of the scenario	Costs: financial, administrative, legal, personnel, social and environmental	Feasibility	Timeframe for delivery (Yrs)
Consolidation	MOMRA	MoE&P, MoH, MiF, MoI, other ministries	NSS, National Planning Act,	- Overarching policy framework for strategic and local planning that can/will be cascaded to all planning stakeholders at a sub-national scale. - The instrument will outline thematic and sectoral approaches to investment and help structure/focus local master-planning and application	- Single authority to oversee and control planning across the Kingdom. - Strategic vision for the Kingdom that can be cascaded to all scales of planning and responsible authorities.	- There may be unwillingness of other national and sub-national stakeholders to agree to MOMRA policy (NSS and others). - There is a view that planning needs to utilise the experience and expertise of non-MOMRA stakeholders to effectively create an equitable, transparent and inclusive form of planning policy, practice and monitoring.	- Need for increased capacity within MOMRA to deliver mandate at all scales - Potential legal challenges to consolidation of authority within MOMRA by other stakeholders - Potential for increased resentment from non-MOMRA stakeholders regarding lack of administrative/financial authority	*(green)*	0-5
Collaboration and equilibrium	MOMRA (as champion)	MOMRA, MoE&P, MoF, MoI, MoH, other Gov ministries	NSS, National Planning Act, Regional Plans, Local Plans	- Facilitate a more reflective and coordinated approach to planning in KSA that allows ministries to plan sectorally in alignment with the NSS. - A range of policy instruments will be developed to ensure a comprehensive (and complementary) approach to development.	- MOMRA will act as the 'champion' and/or scrutiny body for the scenario to ensure continuity and compliance between all ministries.	- Although greater collaboration is proposed there may be reluctance from some stakeholders to engage. - It may be problematic to ensure continuity, compliance and coherence between partners if a singular narrative for planning policy and practice is to be developed. - There are issues with ensuring that all stakeholders (a) engage, (b) aim to deliver a positive and not partial mandate, and (c) ensures that the proposals are for the betterment of the Kingdom, its people and its economy.	- Inability of ministries to achieve consensus - Increased costs of legal and administrative exercises to facilitate greater collaboration - Potential increased timeframe to develop acceptable policy - Increased costs in terms of delays to developing policy	*(orange)*	0-10 or 5-10
Devolution and decentralisation	Local Gov, Special Dev Corps (e.g. ADA), Regional Gov, Royal Comms, Municipal/ Metro Gov	All planning stakeholders,	Regional Plans, Local plan, Special Development Zone master plan, Atlas'	- To promote greater authority of planning policy-making, investment and monitoring at a sub-national level. - To ensure that all stakeholders have a role in influencing the process of planning. - To facilitate an ongoing and reflective approach to planning that utilises MOMRA's experience to guide and monitor planning (in a non-authoratative.	- Increased ability of sub-national planning stakeholders to effectively shape development - Greater transparency as local stakeholders will be more visible to sub-national communities/populations - Greater flexibility in focus and approach to delivery, lad management and monitoring	- Devolving power from MOMRA and the central government potentially weakens their ability to coordinate development across the Kingdom. - It may limit the ability of national or sub-national partners to ensure continuity between plans, policies and development, which could lead to greater variation. - There are also issues regarding the costs and payments for development projects and policy formation and where the costs for such activities will be delivered from. - A lack of capacity and guidance could lead to inappropriate development that does promote sustainable development.	- Need for increased capacity, expertise and financial support for responsible stakeholders and decision-making agencies. - Increased autonomy without scrutiny from MOMRA or central government. - Better guidelines and guidance on delivering planning policy-making and delivery. - Greater clarity in administrative authority and job descriptions - Need for a monitoring body to oversee scrutiny.	*(orange)*	10-20

Local Saudi planning policy/practice review

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Future Saudi Cities programme

Reform of Saudi Arabian planning structures, instruments and local/strategic outcomes

Project aims and objectives

Baseline literature review of Saudi planning/-practice

Scenarios of governance, systems and outcomes

Local planning policy/practice review

Contextual international best practice case studies

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Main Review Steps

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International Local cases (e.g. Ab Dhabi)

International best practices
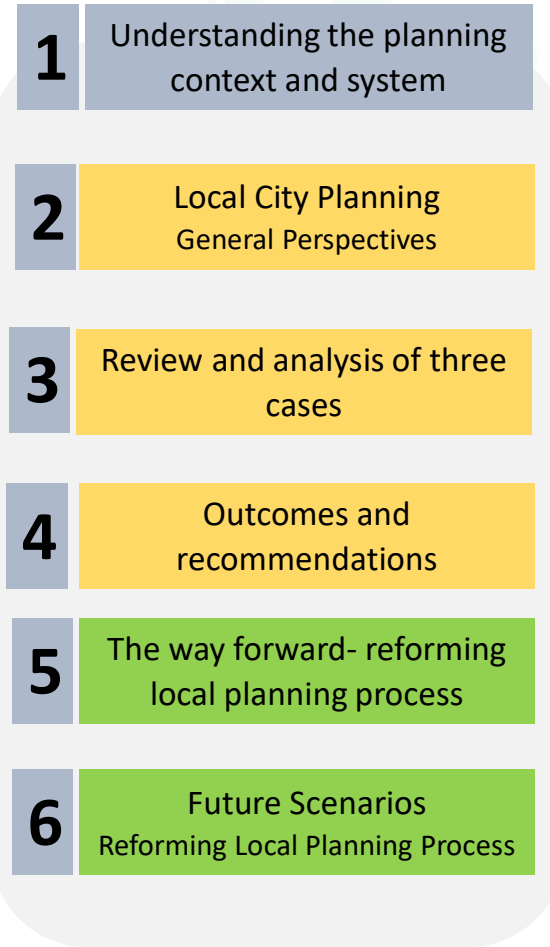
1 Understanding the planning context and system

2 Local City Planning General Perspectives

3 Review and analysis of three cases

4 Outcomes and recommendations

5 The way forward- reforming local planning process

6 Future Scenarios Reforming Local Planning Process

MO EX

MO EX

LM

MO

Leading process	Case Study	Location	Size
MoMRA	Albaha	South-west (Albaha Governorate)	109,000
Amanah	Alehsaa	Alehsah Governorate	397,000
Baladyia	Alkharg	Alkharg Governorate	23,500

MO	**MOMRA steering committee group**
EX	Expert (professionals) consultations
LM	Local Municipalities focus group

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Current Local City
Planning
Methodology

Setting the consultation team & Data Collection

Review of regional and strategic plans

Existing conditions (cross cutting studies)

Analysis: Development and planning issues

Local City Plan

Building codes and guidance

Approval of Local Plan

Identification of action areas

Detailed and land subdivision plans

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Review and analysis of three local cases

Assessment indicators based on the five principles

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Participatory plan

AI1	Public Participation in all project stages
AI2	Defining stakeholders and relevant interested groups and classifying them

Integrated plan

AI3	Public Participation in all project stages
AI4	Defining stakeholders and relevant interested groups and classifying them

Sustainable plan

AI5	Reduction procedures of Energy and water consumption
AI6	Sustainable public transport modes
AI7	Applicability of smart cities strategies

Effective plan

AI8	Defining the city development goals
AI9	Integrated vision based on local context and strategic recommendations
AI10	Sectorial strategies and local plans
AI11	Land subdivision policies

Supportive plan

AI12	Implementation Phasing
AI13	Urban regions investment chances, connectivity and feasibility

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Local Planning Review: General perspective (1)

- Weak vertical integration in some cases between MoMRA and Amanah/Baladia and missing the horizontal integrations with other different ministries (e.g. ministry of education has its own plan for schools (numbers and location) which in most cases does not match with the service provision suggested in LCP)
- Overlapping and duplicating projects

    Due to the multiplicity and diversity of authorities and institutions concerned in the field of urban planning, the current situation shows several cases of overlapping and interference of roles, tasks and functions and sometimes there is duplication in   a number of projects

- The process of consultant selection is only based upon the financial offer (usually the lowest price) regardless the quality and skills required to carry the consultancy works..
- Lack of access to information across government agencies and thus data collection stage usually takes in average 15-24 months

Capacity building for local municipalities due to the limited numbers of specialized urban planners graduating from Saudi Universities, planning graduates are obviously decreasing (Only 5 universities have urban planning schools with limited number of   graduates in urban planning, which ranges on average between 100-120 Engineers/year)

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Local Planning Review: General perspective (2)

- No implementation instrument is included in the local plan
- Amanah has no implementation plan for giving building permits, only by citizen requests that lead to unplanned plan.
- The mechanism of defining urban boundaries is not defined with planning phases
- Massive expansion areas (between city footprint and urban boundary) specific for housing that exceed city needs till 2030 and that encourage urban sprawl
- No participation engagement (e.g. putting specifications for lands without land owner acceptance) and thus affects public acceptability of this plan
- Sometimes a community engagement is conducted but without relevant identifications of stakeholders and their degree of involvement
- No information about land ownership despite providing regulations for each plot in the plan

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Case (1) : Albaha   Done by MOMRA

Participation: Albaha TOR has no evidence to employ participation and community involvement in the planning process.

Despite that, Albaha city local plan is done using a participatory approach through a variety of methods such as:

- Communicating of governmental agencies to define problems
- Questionnaire to clarify the existing situation problems and issues
- Organized workshops and meetings with the governmental agencies

The project classified the stakeholders into four categories; project steering committee, public institutions, private sectors and local community

Most of participation process done with no representative stakeholders since it was done as an extra task not required in the scope (as mentioned by the local planning department)

Integration: the plan includes an integrated vision based on the regional and local context (*an urban national center for tourism, commercial, service roles)* the planning objectives are based upon the national strategy 1422 and also the structure plan and guidelines plan of Albaha 1428

Sustainability: the scope of work doesn't include any reference for achieving sustainability in the planning process. Despite that, the project includes three sustainability strategies such as sustainable public transit , energy efficiency planning and design and planning actions for the urbanization growth

Supportive: the only instrument used to support the plan is to divide it into phases that related to a particular fund plan and implementation strategy

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Case (2) : Alehsah   Done by Amanah

Participation: Alehsah local plan doesn't include participation whether in defining the problems and/or local needs or in building the vision. Since the TOR has no reference for participation, the consultant just recommends a set of proposals to enhance participation such as;

- encourage the local community to participate in the planning process via media, workshops and lecture
- ensure using of participation via building capacity for local municipalities and NGOs
- make a questionnaire with citizen and local municipalities in the planning stage and make that part of the planning process

Integration: The plan includes an integrated vision based on the regional and local context based upon an update of the approved structure plan. The planning objectives are built upon the regional context (the structure and regional plan of Alehsah Oasis)

Sustainability: the scope of work doesn't include any reference for achieving sustainability but the project itself includes some sustainability recommendations such as suggesting a sustainable development strategy for the whole area through dividing the area into subzones and putting guidelines for each zone

Supportive: the plan suggested a list of recommendations for local urban development such as making regular questionnaire with citizens measuring their opinions upon the plan implementation

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Case (3) : Alkharg   Done by Baladiah

Participation: The TOR has no reference for participation and unsurprisingly no participation engagement is used in preparing Alkhrag Local Plan. For example, identification of planning issues is only based on survey and consultant meeting with the team assigned in Baladiah to review the plan.

Integration: TOR requires an identifications for the regional planning issues linked with the local context. The plan includes an integrated vision having a good reference with the regional context and local planning issues *(sub regional suburb for Riyadh – regional development hub)*

The planning objectives are built based on the ninth development strategy 1436 (rural development strategy 1436 and tourism development strategy 1437)

Sustainability: the scope of work doesn't include any reference for achieving sustainability and thus strategies such as public transit strategy, energy efficiency , green urban growth…etc. have not recommended in the plan

Supportive: the plan is supported with a chain of administration strategies to ensure the implementation of the plan such as land management plans, funding strategies and incentives to encourage the investment and public private partnership (PPP) in implementing the proposed projects. The plan also proposed a physical strategy to control the urban growth.

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Key lessons from international 'local' best practice

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Local plan making (Leeds and Abu Dhabi)

- Broad framework complemented by detailed area plans

- Sectoral policies/frameworks are used to address complex planning issues

- Substantially greater capacity in the number and expertise of planning professionals in education, public and private practice

Growth management (Portland and Toronto)

- Policies should cover **functional** urban areas, i.e. cross administrative boundaries

- Combinations of policies necessary – e.g. zoning, land subdivision

- Division of responsibility – centre sets policy/guidelines, local prepares plans

- Adaptability/flexibility is key

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Outcomes and recommendations

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What type of planning is required?

ASSESSMENT OUTCOMES OF THE THREE CASES (PROBLEMS/ POTENTIALS)	RECOMMENDATIONS Suggested by Cairo university team and approved by committee
Type of plan: is to produce a local city plan **Input**: much more information (usually takes between 15-24 months) that may be used for comprehensive planning not for local planning **Output**: mixed scheme between local plan and structure plan *Local Plan* is done for the existing urban agglomeration since it concerns with each land plot. *Structure plan* is done for the urban extensions between the existing urban areas and the urban boundary resulted in zoning land use plan.	It is necessary to define the type of planning required for small and medium size cities (strategic- master- structure- guideline plans) based on international experiences and on the local planning issues.
The objectives identified in the TOR are very generic	Planning objectives should be revisited supported by planning guidelines (e.g. guidelines for effective participatory planning- urban sustainability guidelines….etc.)

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Outcomes and recommendations

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One size fits all

ASSESSMENT OUTCOMES (PROBLEMS/ POTENTIALS)	RECOMMENDATIONS Suggested by Cairo university team and approved by committee
Fixed scope of work with detailed steps and a list of the same studies required for all KSA cities regardless the specialty of each city. TOR is almost the same between the three cases that are totally different in their context. Alehsah TOR may represent somehow different scope of work .	Each city has its own identity and this should be appeared in the TOR (e.g. coastal cities are different than cultural and historical cities and thus the types of data input and the outcomes). So, one significant issue for whom putting TORs is to prepare the essential studies and steps that should be mentioned for particular cases (e.g. guidelines for coastal city LCP, guidelines for agricultural cities LCP ……etc.)

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Outcomes and recommendations

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Plan by participation

ASSESSMENT OUTCOMES (PROBLEMS/ POTENTIALS)	RECOMMENDATIONS Suggested by Cairo university team and approved by committee
Participation engagement is missed in the TOR despite the planning projects of some cities (e.g. Albaha) includes participation in defining the problems and the proposed interventions. This project also includes an identification for the possible stakeholders but without a clear determination for the exact role of each group for planning stages.	Get all stakeholders on board and open a dialogue with them in a way to inspire their engagement for all planning stages; setting objectives understanding the context understand people needs and wants and frame a statement of challenges and opportunities map out a future for the city setting out the proposals and implementation strategy .

Partnership   Participation   Exploration   Exposure

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Outcomes and recommendations

Supportive plan: Implementation instrument

ASSESSMENT OUTCOMES (PROBLEMS/ POTENTIALS)	RECOMMENDATIONS Suggested by Cairo university team and approved by committee
The process has no obvious implementation instrument. **Land subdivision plan** is the only tool used for implementation but it has many problems. One among them is the absence of required detailed information to have an efficient applicable plan. None of these plans have been approved by MOMRA and so it has no obligation for municipalities.	Local plan requires some implementation instruments: • A market plan should be conducted to ensure the extent to which these plans can be implemented • Monitoring plan should be used by MOMRA using KPIs to monitor, assess and control the work of municipalities • Land subdivision plan should be implemented using up-to date information covering all the items needed for doing the plan particularly landownership

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Integrated plan: institutional and technical integrations

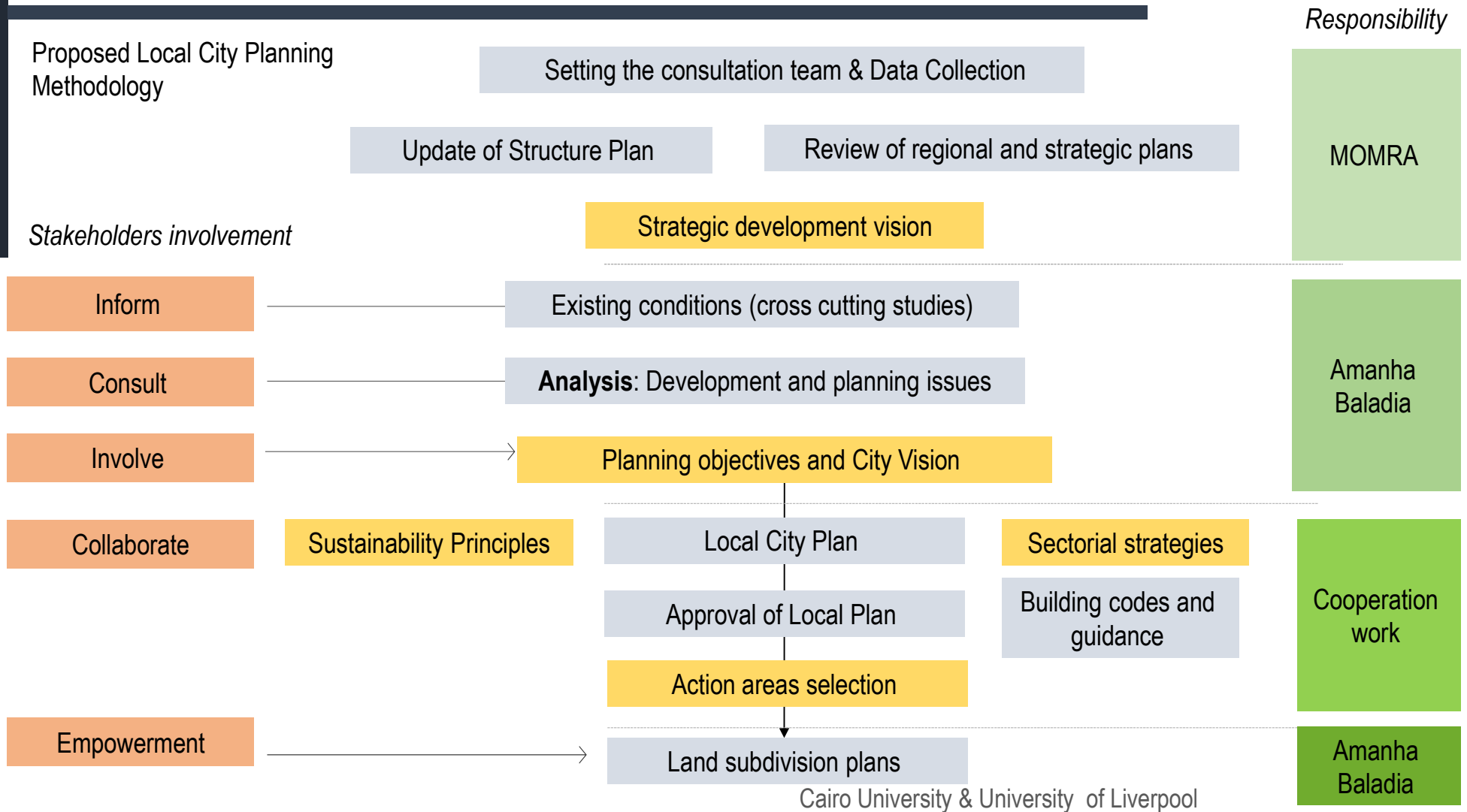| ASSESSMENT OUTCOMES (PROBLEMS/ POTENTIALS)	RECOMMENDATIONS Suggested by Cairo university team and approved by committee
Missing integration between MOMRA departments in making the plan (e.g. data sharing between departments is very weak, sometimes consultants takes years to collect data that is available at some departments) Good connections between the process of local plan for the three selected cities and their previous plans (i.e. regional and national strategies)	High demand for the integration between; MOMRA departments MOMRA and other ministries MOMRA and local municipalities in doing plans and approval.

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The way forward- reforming local planning process

Responsibility

Proposed Local City Planning Methodology

Setting the consultation team & Data Collection

Update of Structure Plan

Review of regional and strategic plans

MOMRA

Stakeholders involvement

Strategic development vision

Inform

Existing conditions (cross cutting studies)

Consult

Analysis: Development and planning issues

Amanha Baladia

Involve

Planning objectives and City Vision

Collaborate

Sustainability Principles

Local City Plan

Sectorial strategies

Approval of Local Plan

Building codes and guidance

Cooperation work

Action areas selection

Empowerment

Land subdivision plans

Amanha Baladia

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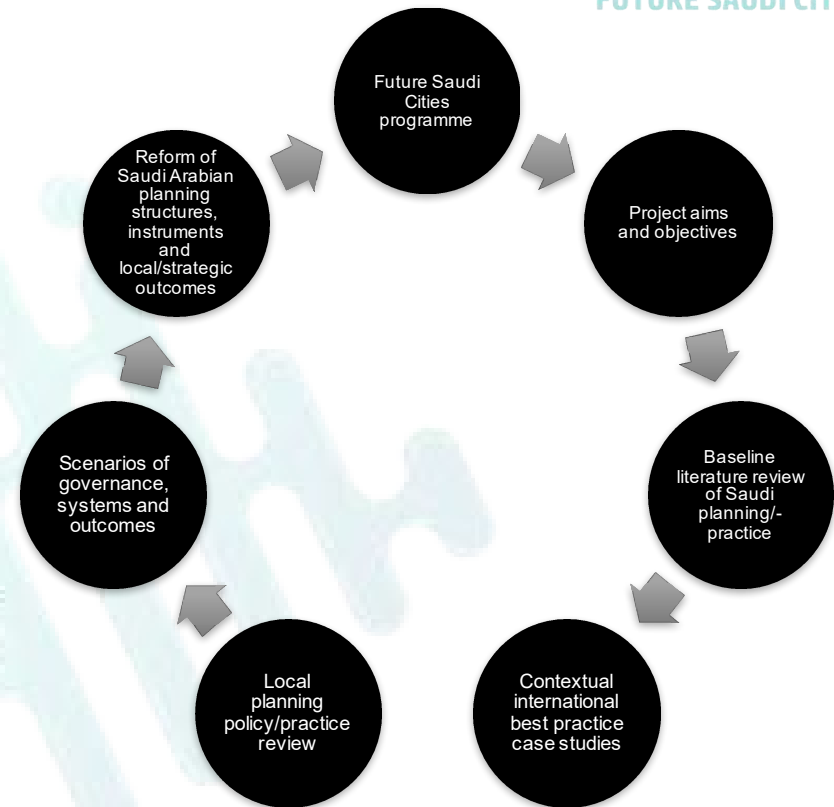**FUTURE SAUDI CITIES**

Process anticipated outcomes
Suggested by Cairo University team and approved by committee

- City vision

- Structure plan for the whole urban boundary (Zoning + general planning guidelines for each zone- land use policy- transportation plan)

- Local plan of the core city (e.g. urban regeneration of the city center)

- Detailed plan (land subdivision for the new extensions)

- Planning brief and guidelines

- Emphasis on phased development

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Next steps

- Workshops with local Saudi partners

- Governance - urban management

- Action Plans
  - Capacity building and delivery

VOLUME7

Place Holder

This Volume presents a review of the existing structures which support planning in Saudi Arabia illustrating a baseline situation that is both is complex and evolving. This review is grounded in an assessment of the key material provided by Un-Habitat as part of the Future Saudi Cities Programme combined with reflections generated from engagement with a broad range of ministerial and sectoral experts in the Kingdom including MOMRA, local municipalities, academics, other Ministries with spatial planning implications (Ministry of Economy and Planning, Ministry of Housing etc.), special planning agencies (e.g. ADA and Royal Commission) and stakeholder groups (e.g. women and youth representatives)

REPORT

URBAN PLANNING
REVIEWS

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