Planning controls and sustainability

PlanFirst's potential seen through a case study of Pittwater 21

Do local plans written using the principles contained in Plan First contribute to improving ecologically sustainable development? An Australian perspective on the sustainability impacts of the interaction between planning and building design.

By Richard James Clarke

A thesis presented for the degree of Master of Sustainable Futures

Institute for Sustainable Futures,
University of Technology, Sydney

June 2006

Certificate of authorship and originality

I certify that the work in this thesis has not previously been submitted for a degree nor has it been submitted as part of requirements for a degree except as fully acknowledged within the text.

I also certify that the thesis has been written by me. Any help that I have received in my research work and the preparation of the thesis itself has been acknowledged. In addition, I certify that all information sources and literature used are indicated in the thesis.

Signature of Candidate:		
Richard James Clarke		
Dated this	day of	2006.

Table of contents

CERTIFICAT	E OF AUTHORSHIP AND ORIGINALITY	II
LIST OF FIG	URES	VII
LIST OF TAE	3LES	VII
ABSTRACT.		VIII
ACKNOWLE	DGEMENTS	IX
TERMINOLO	OGY	X
	DUCTION	
	E RESEARCH QUESTION	
1.1.1.	Finding the research question	
1.1.1.	g ,	
1.1.1.2		
1.1.2.	Why the research question needs answering	
1.1.3.	Who will benefit from the research	4
1.2. W⊦	HAT SUSTAINABILITY IS ALL ABOUT	
1.2.1.	Defining sustainability	
1.2.2.	The importance of sustainable development	
1.2.3.	Sustainability, planning controls, and the built environment	
1.3. Go	VERNMENT RESPONSES	
1.3.1.	Where PlanFirst came from	6
1.3.2.	Where Pittwater 21 came from	7
1.3.3.	This writer's involvement in the action research	7
1.4. W⊦	HERE THE RESEARCH GOES AND WHAT IT FINDS	7
1.4.1.	Nature and extent of study	7
1.4.2.	Chapter outlines	8
2 SUSTA	INABILITY AND PLANNING CONTROLS: LITERATURE REVIEW	11
2.1. INT	RODUCTION TO THE LITERATURE	11
	OLOGICALLY SUSTAINABLE DEVELOPMENT	
2.2.1.	Current practice examined	
2.2.2.	Current practice can be changed	
2.2.3.	Determining whether sustainability is being achieved	15
2.2.3.	1. Ecological indicators and planning controls	15
2.2.3.2		
2.2.3.3		
2.2.3.4	· · · · · · · · · · · · · · · · · · ·	
2.3. THI 23	E EXISTING PLANNING PARADIGM: PLANNING CONTROLS AND SUSTAINABLE DEVELOPM	1ENT
2.1.1	Role of state government	24
2.3.1.	Role of councils	
2.3.2.	Councils and planning controls in action - the Development Application proce	
2.0.2.	reviewed	
2.4. AN	ALTERNATIVE MODEL: THE PLANFIRST PROPOSAL	
2.4.1.	PlanFirst – the proposed reforms to the existing paradigm	
2.4.1.1.	Drafting and legislative context	
2.4.1.1		
2.4.1.3	•	
2.4.2.	PlanFirst's structure and content	
2.4.2.	1. Sustainability made explicit	42
2.4.2.2	2. Information presentation	43
2.4.2.3	· · · · · · · · · · · · · · · · · · ·	
2.4.2.4	4. Place based local plans	47

2.5. Community involvement	. 48
soven key elemente reviewed	50
seven key elements reviewed	50
3.2. PlanFirst's palette of suggested procedures for making consultation work	. DC
1.1 Evaluation of <i>Ideas for Community Consultation</i>	. 50
ESTING THE PLANFIRST ALTERNATIVE MODEL	
Case study	
Use of indicators	
ESEARCH QUESTION PROPOSED	59
ARCH DESIGN	61
HEORETICAL FRAMEWORK FOR THE RESEARCH	61
What ANT is all about	
Application of Actor-network Theory to this field of study	
Complexities inherent in the interaction between planning & the built form	
ANT's limitations in the case study	
VHY PITTWATER 21 WAS SELECTED	
Why case studies are useful	
How Pittwater 21 is relevant to sustainability	
How Pittwater 21 is relevant to the study of local planning policy in Australia	
ATA GATHERING - IMPACT CATEGORY SELECTION, METHODS AND METHODOLOGY	
Data collected to measure the impact categories	
Data collection methodology and method	70
2.1. DA process – documents & metrics used	. 70
2.2. Sample type - why new single residential DAs were selected	. 70
2.3. Sample period – PLEP 93 to P21	
2.4. Sample selection method	
ATA ANALYSIS METHOD	
Criteria for a measurement method	
1.1. A scientifically & politically justifiable measurement method	
1.2. A measurement method which is already adapted to local conditions	. 75
1.3. Use of measurable elements of a building and site	. 76
A review of the BASIX methods	76
2.1. 2003 benchmark dwellings	. 77
2.2. BASIX calculation methods and its shortcomings	. 77
BASIX assumptions on benchmark technologies	. 79
Other quantifications in the research – counting car spaces,	79
ALIDATION AND LIMITATIONS	
1.1 Quantified results: what the BASIX tool can measure	. 80
1.2 Qualitative results: validity, reliability, and practicality	
1.3 Limitations of the research	
NGS - PITTWATER 21 AND THE ACTOR-NETWORK	82
VELOPMENT OF THE CONTROLS THE ACTOR-NETWORK AND ITS INFLUENCE ON	
STAINABILITY CONTROLS	82
The actor-network – who's who	82
1.1. Geography & topography as non-human actors	
1.2. Human history – the emergence of some human actors	
1.3. Community activist groups	
1.4. Local media	
1.5. Government structures	
The precursory actor- network: secession of Pittwater Council, leading to the ne	
LEP	
2.1. Problematisation phase: perceptions of poor governance and bad planning control.	
2.2. Interessment phases: secession put forward as the alternative	
2.3. Enrolment phase: grass roots action	
2.3. Enforment phase, grass roots action	
_	

	4.1.3.	The next actor-network: the new Council's objectives for a new LEP	99
	4.1.3.1.		. 100
	4.1.3.2.		
	4.1.3.3.		
	4.1.3.4.		
	4.1.3.5.		
	4.1.3.6.		. 108
	4.1.4.	Community action in local government	
	4.1.4.1.		. 109
	4.1.4.2.		. 112
	4.1.5.	The actor-network and the planning controls	
	4.1.5.1.		116
	4.1.5.2.		
	4.1.5.3.		120
	4.1.5.4.		121
	4.1.5.5.		. 123
	4.1.6.	The controls and their potential for sustainability outcomes	
	4.1.6.1.		125
	4.1.6.2.		. 120 nd
	7.1.0.2.	content	130
	4.1.7.	Research proposition proved: that Pittwater 21 has the potential to provide	100
	7.1.7.		110
	4.0 THE	improved sustainability outcomes	140
		SUSTAINABILITY IMPACTS OF THE CONTROLS IN PRACTICE	
	4.2.1.	Implementation of the sustainability provisions	141
	4.2.1.1.	and the state of t	
	4.2.1.2.		
	4.2.2.	Effectiveness of the controls in practice	
	4.2.2.1.	- 1	
	4.2.2.2.		
	4.2.2.3.	· · · · · · · · · · · · · · · · · · ·	
	4.2.3.	Validity of results	158
	4.1.1.1	i. Validity of the quantified measurements	. 159
	4.1.1.2	5 5 7 5 5 5 1 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5	
	4.3. CON	NCLUSION TO THE FINDINGS	161
_	THE IMP	LICATIONS OF THE FINDINGS	400
5	THE IMP	LICATIONS OF THE FINDINGS	163
	5.1. PITT	WATER 21'S POTENTIAL TO IMPROVE SUSTAINABLE DEVELOPMENT	163
	5.1.1.	Potential of the process of producing Pittwater 21	
	5.1.2.	Potential of the content of Pittwater 21	
	5.1.2.1.		
	5.1.2.1.		
	5.1.2.3	·	170
	•··· - ·•·	WATER 21'S IMPLEMENTED OUTCOMES	171
	5.2.1.	Adaptive management of local planning	
	5.2.2.	Operational energy – heating & cooling loads	
	5.2.3.	Water use – landscape controls and rainwater harvesting	
	<i>5.2.4.</i>	Transport & amenity – car spaces	174
	5.3. OVE	RCOMING BARRIERS TO THE IMPLEMENTATION OF SUSTAINABLE PLANNING POLICY	175
	5.3.1.	Identifying the barriers to implementation	175
	5.3.1.1.		
	5.3.1.2.		
	5.3.2.	Using ANT to avoid the problem of unequal power relations between actors	
	5.3.3.	What it takes to create change in local government	
		5	
6	CONCLU	ISION	182
	6.1. WHA	AT THE RESEARCH SHOWS	122
	6.1.1.	Benefits of the research to plan makers	
	6.1.2.	Changes suggested – improving the current paradigm	
	6.2. OPP	ORTUNITIES FOR FUTURE RESEARCH	185

7	BIB	LIOGRAPHY	188
8	APF	PENDICES	211
;	8.1	APPENDIX TO 4.1.2.3	211
	8.2	APPENDIX TO 5.1.2.2	213

List of Figures

FIGURE 2-1 HIERARCHICAL MODEL OF SUSTAINABLE HUMAN DEVELOPMENT	13
FIGURE 2-2 - GLOBAL ATMOSPHERIC CO2 CONCENTRATION OVER TIME (IPCC AND DAVID SUZUKI	
FOUNDATION)	18
FIGURE 4-1 - MAP OF PITTWATER COUNCIL LOCAL GOVERNMENT AREA (MODIFIED FROM PITTWATER	
Council 2005)	
FIGURE 4-2 - COMMUNITY ASSOCIATIONS RECOGNISED BY PITTWATER COUNCIL, 2004	
FIGURE 4-3 - STRUCTURE OF PITTWATER 21 LEP	101
FIGURE 4-4 - LAND USE BY % AREA, AND OPEN SPACE IN HA (PITTWATER COUNCIL 2002A)	111
FIGURE 4-5 - PITTWATER POPULATION BY AGE, (PITTWATER COUNCIL 2002A)	121
FIGURE 4-6 - STRUCTURE OF IDEAS IN PITTWATER 21 LOCAL ENVIRONMENT PLAN	127
FIGURE 4-7 - PITTWATER 21 BUILDING PLANNING ENVELOPE DIAGRAM, WITH ONE POSSIBLE SHADING	j
ANGLE SUPERIMPOSED (FROM PITTWATER 21 DCP, AND CLARKE (2003))	136
FIGURE 4-8 - SEASONAL SOLAR ELEVATION ANGLES AS USED IN PASSIVE SOLAR DESIGN (FROM HIA	
GREENSMART ET AL)	
FIGURE 4-9 - PLEP 93 (OLD DCP) COOLING LOAD SCORES RELATIVE TO BASIX BENCHMARK 2003	148
FIGURE 4-10 - P21 (NEW DCP & MASTERPLAN) COOLING LOAD SCORES RELATIVE TO BASIX	
Benchmark 2003	
FIGURE 4-11 - PLEP 93 (OLD DCP) HEATING LOAD SCORES RELATIVE TO BASIX BENCHMARK 2003	3149
FIGURE 4-12 - P21 (NEW DCP & MASTERPLAN) HEATING LOAD SCORES RELATIVE TO BASIX	
Benchmark 2003	149
FIGURE 8-1 - PLAN VIEW OF REQUIRED CAR SPACE WITH LARGE AND SMALL CAR, AND THE HATCHED	
CLEARANCE OUTLINE BEYOND EACH (0.5M ON EACH SIDE, AND 0.3M AT EACH END)	216
List of Tables	
Table 4-1 PLEP 93 and P21 BASIX water scores, as $\%$ above or below the 2003 benchma	ιRK
DWELLING	
Table 4-2 - PLEP 93 and P21 rainwater tank capacities, in litres	
TABLE 4-4 - PLEP 93 AND P21 - NUMBER OF CAR SPACES PROPOSED	157

Abstract

Sustainability will only be achieved if it is universally accepted and embraced by the community, rather than remaining the domain of the innovative few, or a plaything of the rich and able. Local planning instruments have a significant effect on the sustainability of the built environment, and the process by which they are made has a big effect on their content and its outcomes. In the Australian local government context, PlanFirst offered an opportunity for the process of making local plans to focus on community consultation and sustainability, using a collection of principles proven in local or international experience, and supported in the literature. While PlanFirst was never implemented as policy by government, a few councils created their local plans in response to it, providing some limited opportunity for study.

Pittwater Council, on Sydney's northern beaches, prepared a new Draft Local Environment Plan using PlanFirst as a template, which is studied in this research to test the potential of the PlanFirst principles, and to measure their predicted outcomes in the built environment. The process of writing the LEP is analysed using actor-network theory, which assists an understanding of it for future similar processes.

Three ecological impact categories – greenhouse, water demand, and car dependency – are measured in residential developments approved under the old and new planning controls. Measurement tools are used to predict greenhouse emissions, mains supplied potable water demand, and motor vehicle traffic impacts on greenhouse and human amenity.

The research finds that PlanFirst's principles offer potential for improved sustainability, which is supported indicatively in the case study. Effective community consultation is found to be a vital component of the process, with a targeted education component. An effective means of delivering the relevant planning controls to the designers is also important, and a web based interrogative system is found to be an effective vehicle for this. Policy stability, and bureaucratic stability at the highest levels is also found to be critical to enabling councils and communities to make and execute long term plans.

Acknowledgements

Since starting this research journey in 1999, with 2001: an Urban Odyssey, I have been surrounded by people who lent their support and encouragement. Working as a building designer means that in one sense, I was immersed in the research all day every day, and yet without significant time to step outside it, for reflection and writing, it would never have happened. Forest and trees spring to mind.

My gorgeous wife Bronwyn has been unwavering in her support and encouragement, working longer hours to make up financial shortfalls, washing up, and generally covering so many of my tasks. Thankyou! It's back to the washing up now I fear.

My three boys James, Pete and Tim, have also supported me, in every way except financial. Don't worry boys, your turn for that will come too. In the meantime I promise you will have your dad back in the evenings and on weekends.

Thankyou especially to my supervisors and support staff at ISF: firstly Stuart White, then Cynthia Mitchell, assisted by Ann Hobson, Juliet Willetts and Tony Stapledon. They deserve medals for their perseverance in dragging a hands-on-the-tools positivist, kicking and screaming through the epistemological portal into the world of academia.

Thanks also to my fellow post-grad students at ISF, who may not realise how important their occasional sage words have been: Kumi Abeysuriya, Michelle Zeibots, Suzanne Grob, Tanzi Smith, Ian McGregor, Simon Fane, and Chris Reidy.

Special thanks to my old mate Chris Reardon, whose work in the field of sustainability is legend, and whose help both materially and quasi-spiritually has been invaluable. It's wonderful how two people with such radically different world-views can share so much common ground, and enjoy such a bond of friendship.

To my other old mate John Hatch, co-founder of *2001: an Urban Odyssey*, who has unknowingly inspired me in so many ways, a fellow traveller towards a more sustainable future, thanks.

Finally, thanks to Caroline Kades at Pittwater Council, who encouraged me, and provided me with invaluable research material, and useful critiques along the way.

Terminology

The research uses terminology common to the building design and urban planning fields. Some terms which may not be familiar to the reader, or which are peculiar to this local context, are explained here.

BASIX	Building Sustainability Index produced by DIPNR	NatHERS	Nationwide House Energy Rating Software
BCA	Building Code of Australia	NLA	National Library of Australia
	Building Thermal Performance	P21	Pittwater 21 Local Environmental
CC	Construction Certificate – obtained after gaining a DA, allows construction to commence	passive cooling	cooling design principles which require little or no artificial energy
planning control	a clause or other written device that steers or limits specific physical elements of a proposed	passive design	techniques for providing thermal comfort which require little or no artificial energy
DA	Development Application – lodged with local councils to gain planning		ngheating design principles which require little or no artificial energy
DCB	approval. Approximate equivalent to Building Application in some other states of Australia. Development Control Plan –	place based planni	ngplanning strategies which define places people belong to or go to, rather than permissible land uses
DOF	contains planning controls, a subset of an LEP	PLEP 93	Pittwater Local Environmental Plan 1993
developmentI	numan activity which results in	PMC	Pittwater Municipal Committee
DIDNID	something being built NSW Dept of Infrastructure Planning	SEPP	State Environmental Planning Policy
DIFINK	and Natural Resources	SoE	State of the Environment Report
DUAP	NSW Dept of Urban Affairs and Planning	solar access	design techniques that allow the sun to penetrate a building, may be good or bad
ESD	Ecologically Sustainable Development	sustainable	that which can be carried on over unlimited time
EP&A Act	NSW Environmental Planning & Assessment Act (1979)	sustainability	the study of, or movement towards, being sustainable
	Inter-governmental Panel on Climate Change	thermal mass	materials which can absorb, store, and distribute heat, as in passive
iPlan	a web based interrogative planning instrument	urhan density	design a measure of dwellings per unit of
LA21	Local Agenda 21	urbarr derisity	arrea
LEP	Local Environment Plan — established in NSW legislation, written by local councils to steer all land use and development within the whole or part of the local government area		
MasterPlan	Pittwater Council's web based interrogative DCP, modelled in iPlan		
masterplan	also masterplanning – a detailed planning strategy setting out physical form and limits to development over a number of lots		
medium densitya	relative measure of dwelling units per hectare, usually intended to mean villas, and townhouses, or single residential on very small lots		
NABERS	National Australian Built Environment Rating System		