

06 IMPLEMENTATION AND DELIVERY

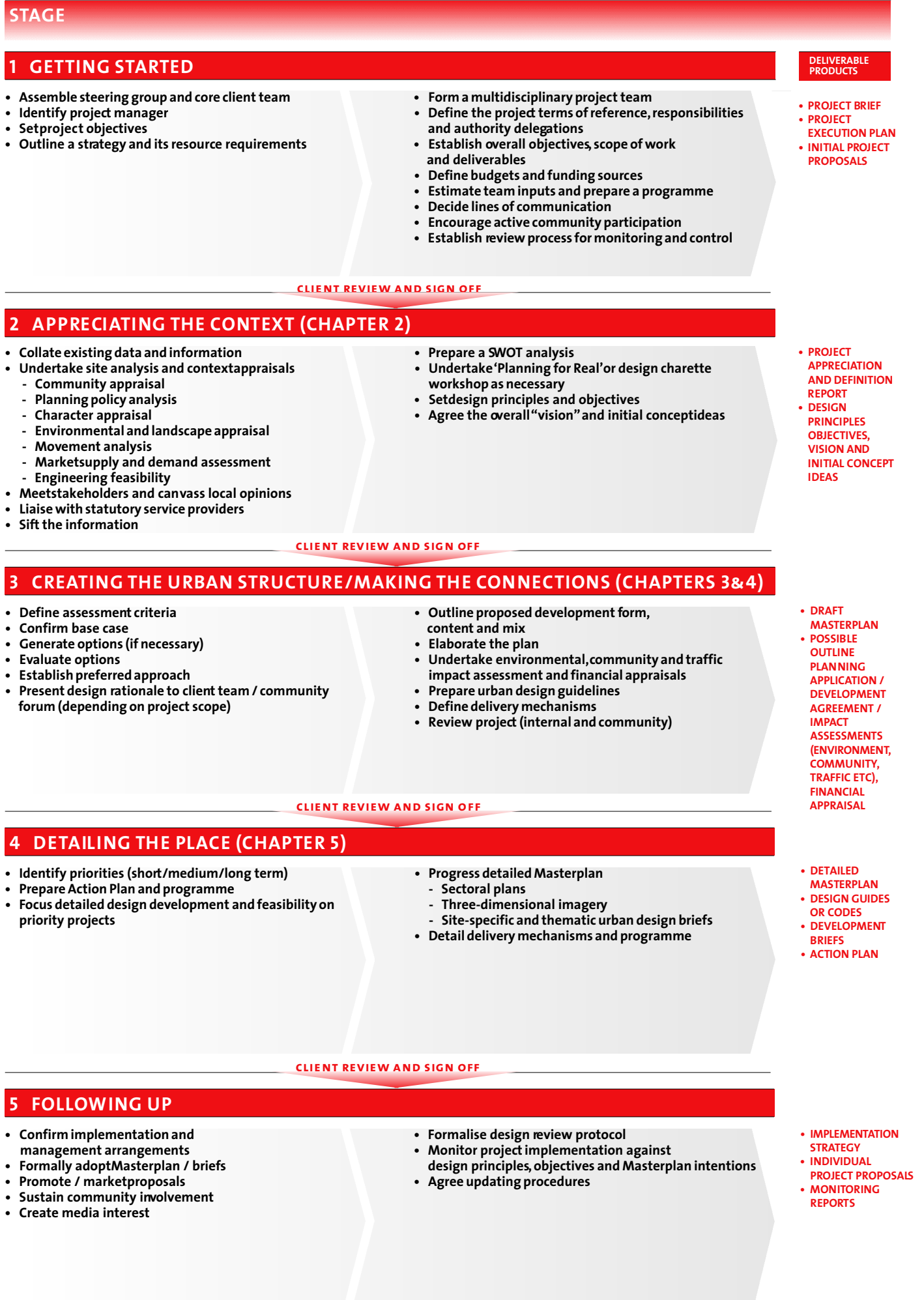
6.1 Managing the design process **6.2** Stage one: getting started **6.3** Stage two: appreciating the context **6.4** Stage three: creating the urban structure and making the connections **6.5** Stage four: detailing the place **6.6** Stage five: following up



A review of the case studies makes it clear that in general success emerges from:

- a widely based and consistent commitment; from the communities involved, the landowners, developers, public authorities, funding agencies, voluntary organisations and the professional planning and design team to a quality product;
- the establishment of an appropriate design management and review process working at each stage of the project; with a clear project management and reporting structure;
- the assembly from the outset of a high quality multi-professional team working as a cohesive unit toward a defined vision and agreed project objectives.

With this in mind, this chapter provides a framework for considering how to organise the design process. While it is not the primary purpose of the Compendium to provide detailed advice on design procurement, it is necessary to recognise the importance of managing the design process properly and in a structured manner. This means planning the various activities and the community participation process to enable the focus on quality to be sustained throughout a project's life-time - from inception through construction and ongoing management. To achieve success, it is crucial that the design procurement process is well defined and that each step contributes to the realisation of the long-term vision.



HM Treasury Procurement Guidance notes,

These relate to all areas of public sector procurement (and focus on construction work). Within this context, design management falls within the basic principles of good practice that is outlined in this series of 'booklets'. These recognise the importance of design in obtaining value for money, whilst balancing affordability with design excellence. They are intended to supplement and replace The Central Unit of Purchasing (CUP) guidance notes previously issued by the Treasury.

The series consists of nine documents, the titles of which are listed below. There are only six of these published at the present time (Nos 1–6). The remaining three are due in 2000.

- 1 Essential requirements for Construction Procurement (Dated 12/97)
- 2 Value for Money in Construction Procurement (Dated 12/97)
- 3 Appointment of Consultants and Contractors (Dated 12/97)
- 4 Teamworking Partnering and Incentives (Dated June 99)
- 5 Procurement Strategies (Dated June 99)
- 6 Financial Effects of Projects (Dated June 99)
- 7 Whole life Costs (not yet issued)
- 8 Project Evaluation and Feedback (not yet issued)
- 9 Benchmarking (not yet issued)

All obtainable from:
The Treasury's Public Enquiry Unit
Room 89/2
HM Treasury
Parliament Street
London SW1P 3AG
Tel: 0717 207 4558
www.treasury.gov.uk/gcpp

CUP Guidance notes are obtainable from the same address, but are being phased out as they are embodied in the above nine documents. Each of the above booklets makes reference to the CUP notes that it supersedes, but they are not sequential.

References*Project Management and Design Procurement*

- English Partnerships 'Project Management Manual'.
- European Community Services Directive (92/50/EEC) effective 1st July 1993 (Threshold 200,000 ECU). This relates to the procurement of a range of services, and is the main one that (subject to threshold limits) is likely to impact on the design process. It will also effect time scales, as there are minimum time scales set out for tendering.
- European Community Works Directive (71/305/EEC) of 1976 Amended by (89/440/EEC) in 1989 UK Law Public Works Contract regulations 1991 (SI 2680) (Threshold 5 Million ECU). This deals with the procurement of works, and as such we need to be aware of this during the design process as it may, subject to the threshold value affect time scales for inviting and awarding tenders.
- HM Treasury, Procurement Guidance notes (see opposite)
- HM Treasury 'Central Unit of Purchasing (CUP) Guidance' notes

Urban Design Principles and Procurement

- English Partnerships / Urban Villages Forum (1998) 'Making Places'.
- English Partnerships (1996) 'Time for Design'.
- English Partnerships (1996) 'Time for Design II'.
- The Urban Task Force (1999) 'Towards an Urban Renaissance'.
- The Urban Villages Forum (1992 and 1998) 'Urban Villages'.

Quality Standards

- The Department of Environment, Transport and the Regions in association with the Housing Corporation (1998) 'Housing Quality Indicators'.
- The Housing Corporation (1998) 'Scheme Development Standards'

Economic Feasibility

- Bentley et al (1987) 'Responsive Environments' summarises how to undertake an economic feasibility check (Chapter 2).
- HM Treasury (1997) 'Appraisal and Evaluation in Central Government' – 'The Green Book' 'The Green Book' - Government Treasury
- Urban Villages Forum (1998) 'Economics of Urban Villages'.

The flowchart on the opposite page provides a simplified framework for the management of the design process. It charts the journey along which the commissioning client and design team travel and highlights the major steps - passing from project inception to completion of detailed design and ongoing management. The remainder of this chapter briefly describes each phase and is cross-referenced to design guidance contained in the rest of the document, with further references provided for additional reading.

It should be noted that this flow chart is for the 'urban design process' not the development process as a whole. Thus, this is only a caricature of a process that is, in reality, more detailed than this sequence can portray - requiring numerous feedback loops and iterations, continuous re-evaluations and reviews. The key purpose is to emphasise that while the comprehensive coverage of this flowchart is particularly applicable to large sites, where the full range of inputs will be required, the need for a structured approach to design management is true of all scales of design development. While the urban design process needs to be tailored according to circumstance, but it is important that a sequential process is followed.

This should include:

- a single point of contact for managing the design process;
- clearly identified tasks and responsibilities;
- client review and 'sign-offs' for completion of each stage, related to delivery of 'outputs' or 'products' (such as a Development Framework or Design Guide);
- a defined budgetary control system, identification of funding sources and time scales;
- a procurement strategy, and delivery mechanisms for making the project happen.

Pointers on Tendering for Urban Design Consultants

- Use pre-qualification procedures to select short list (4–6 teams maximum)
- Give adequate time for bidding (4 weeks for pre-qualification; 4 for tendering).
- With pre-qualified teams, concentrate on the assessment of the team and approach for the assignment in hand.
- Consider assessment systems prior to calling for pre-qualification and bidding – and make them explicit.
- Consider how to get best value for money. The idea 'bestis cheapest' in this type of work is not appropriate. A two envelope system (Technical and Financial proposals), with the financial proposals only considered between once the best technical consideration has been agreed upon (covered by Treasury Procurement Guidance Notes).
- Subject to the European Services Directive 92/50/EEC

Identify the main driving force behind the project, whether this is community-led, private partnership, local or other public authority. This will inform the composition of a **steering group** or committee of local stakeholders, which may include residents, local government, businesses, institutions, community and special interest groups. Once formed, this group oversees the **core client team**, which has executive authority for taking the project forward. A **project manager**, (or team leader/project sponsor), is identified with the prime responsibility for co-ordinating and delivering the project.

An initial appraisal undertaken by the client to define the key issues in a comprehensive, if preliminary, way is essential. An early seminar/think session of a multi-professional team and the client bodies can help enormously in getting the basics in place. Project objectives are set, together with an outline strategy as to how these are to be achieved and the resource requirements, taking account of funding and resource constraints. Design development considerations must be properly in place from the outset. This information forms the basis of a **project brief**, which should be set out in a formal document as part of the **project execution plan**, stating clearly:

- the people involved in the project, names and contact addresses;
- team inputs, responsibilities and authority delegations;
- the overall terms of reference, objectives, scope of work and deliverables;
- defined budgets and funding sources;
- any procurement constraints, lines of communication and reporting mechanisms;
- estimates of the programme and review process for monitoring and control.

A **multidisciplinary project team** (or teams) is then required to submit detailed **project proposals**, following a competitive tendering process if appropriate. The appointment should be confirmed after negotiations and discussions with the selected team (see box on pointers for tendering). This helps 'tune' the joint approach and is the key first step in team building between the client body and the project team.

The process should encourage the **active participation of all sectors of the community** from the outset. Interaction with team members and local commitment to the process in the form of financial support, in-kind services, or volunteer time create a sense of ownership in the results thus helping to sustain the energy needed to implement proposals.



Contextual studies for Granton Waterfront

Collation of existing data and information avoids having to reinvent the wheel. As set out in Chapter 2, a **full appreciation of the context** will build upon this. Information to obtain should include:

- community appraisal / audit;
- analysis of planning policies (including Regional Development Plans);
- character appraisal;
- environmental and landscape appraisal (including surveys of the topography, geology, ground conditions and potential for contamination, as appropriate);
- movement analysis;
- market supply and demand assessment;
- engineering feasibility (including services availability).

All this requires meeting stakeholders, canvassing local opinions and analysing community needs, delving into archives and looking at local assets. Liaison with statutory service providers will help ensure proposals have a firm footing.

The contextual appreciation will begin to suggest development potential and workable ways to get things done. Information needs to be sifted and summarised via a **SWOT analysis** (see 2.6), or similar method. An important component of this is the identification of any physical constraints to the future land use that will impact on the development.

Such analysis may be carried out as part of a 'Planning for Real', or Design Charette / Workshop programme, for instance, which provide useful ways of brainstorming, consensus building and focussing community involvement. The **SWOT analysis** provides the underlying rationale for the preparation of **design principles and objectives** to aim towards. Before moving to the next stage, the overall "vision" should be agreed, mutual benefits reached between participants and **initial concept ideas** discussed, which will help to focus Masterplan development.



Proposals now come more sharply into focus as to how the existing place can be improved, new urban forms created and activities added. Advice contained in Chapters 3 and 4 is fused together as the scheme takes shape.

For the project and client teams to evaluate the best way forward, it is first necessary to agree on the **assessment criteria**. Typically this will combine the design principles with community need, economic viability and engineering feasibility. It is important that a land remediation strategy, if necessary, follows the design intentions and not vice versa. Where a site is heavily contaminated it will be necessary to revisit the design layout to achieve the highest quality and most economic solution. The way contamination is dealt with should be part of the creative design process. Design development is an iterative process and will involve constant and frequent reviews of all the issues as more information is obtained.

The base case then needs to be confirmed, which will include 'do nothing', and options generated for comparison. These, ideally, offer no more than three different strategic directions - even for a large site. Sometimes the preferred way forward will be so apparent to the team that structured options may be unnecessary. However, even in this scenario a management decision making process must be documented to give a clear audit trail, and facilitate a 'best practice review'.

Evaluation of the options establishes the preferred approach amongst the project team. Depending on the scale and scope of the project, the design rationale will then be presented to the client team and, if appropriate, to the wider community. Proposals should be worked up with community feedback and ongoing involvement - the most helpful inputs at this stage are often the result of people being able to weigh up the pros and cons of different scenarios, and understanding the underlying logic of the preferred route forward, but technical information must be made 'user-friendly' and robust.

As the scheme design becomes more definite, an '**accommodation schedule**' is defined - comprising a matrix of building types, uses and floor areas. This is used as the basis for the quantity surveyor to assess costs and chartered surveyor to ascertain values and feed into the economic appraisal.

The client weighs the social and economic considerations (existing and new markets, local and regional impact, costs, values, gap funding and funding availability) against the design specifications and project objectives. This forms the basis of an iterative dialogue between the client group and design team, which leads to refinement of the scheme.



Publicising the draft Masterplan

References

Community involvement

- English Partnerships (1998) 'Brick by Brick: How to develop a community building'.
- Groundwork Hackney (1999) 'Changing Estates' (community involvement in landscape projects on council estates: 020 8985 1755)
- Mayo, E. et al (1997) 'Taking power: an agenda for community economic renewal', New Economic Foundation, explains different community collaboration techniques.
- Parkes, M (1995) 'Guide to Community Planning and Development' (LPAC)
- Parkes, M. (1995) 'Guide to Community Planning and Development', LPAC
- Urban Design Group (1998) 'Involving Local Communities in Urban Design - Promoting Good Practice' (a special report provided in the Urban Design Quarterly, Issue 67, July) provides a good source-liston ways of organising design management.
- Wates, N. (2000) 'The Community Planning Handbook', Earthscan

Design competitions

- Nasar, J.L. (1999) 'Design by Competition: making design competition work', Cambridge University Press

Design rationales

- Hayward, R. (1993) Rationales and the Practice of Everyday Urban Design in 'Making Better Places - Urban Design Now' (Eds. Hayward, R. and McGlynn, S.) explains the use of urban design rationales.

Masterplan briefing

- English Partnerships (1999) 'Allerton Bywater Development Brief' (Stage One and Two) provide good references for comprehensive Masterplan briefing documents.
- Urban Task Force (1999) 'Towards an Urban Renaissance' provides a checklist of design issues to be covered in a Masterplan (see Figure 2.10 (p.74).

Development trusts

- Department of Environment (1988) 'Creating Development Trusts: Good Practice in Regeneration' provides an explanation of different development trust models and a series of case studies.

As designs are elaborated, ideas for development form, content and mix, require more rigorous research and testing. **Plan assessments** may take the form of environmental, community and/or traffic impact studies. A financial appraisal will certainly be necessary to ensure proposals are grounded in economic reality. Designs also need to be considered in relation to:

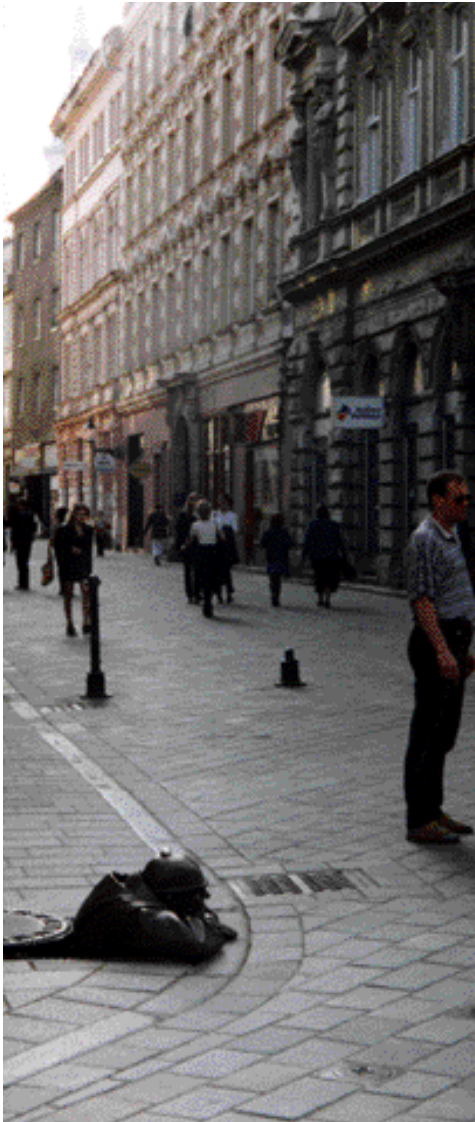
- economic and financial parameters - using Cost Benefit Analysis and cash flow projections;
- an appropriate delivery structure - whether a partnership, developer, joint venture company or trust;
- management and maintenance responsibilities, particularly of open spaces and shared access.

A **Development Framework or Masterplan** is the likely output of this stage - which is still in draft form until more detailed proposals are worked up - but this may be enriched with more detailed urban design guidelines and indicative ideas for individual schemes. This 'package' may form the basis for a discussion with the planning authority in relation to an outline planning application or development agreement.

A period of review will follow within the project team, client body and also, more widely, as community feedback is encouraged via the use of exhibitions, workshops and focussed meetings as necessary.



St. John's Village, Wolverhampton



City Centre, Bratislava

References

Design briefing

- DETRE and CABE (2000) *By Design: Urban Design in the Planning System*
- DETR (1998) *Planning and Development Briefs: A guide to better practice.*
- Duany Plater-Zyberk & Company (1997) *The Technique of Town Planning*
- Hulme Regeneration Ltd. (1994) 'Rebuilding the City: A Guide to Development in Hulme' provides an exemplary example of design guidance.
- Krieger, A. (Ed.) (1991) *Towns and Town Making Principles*, New York, Rizzoli
- Tibbalds Monro for Wimpey Homes (1995) *The Urban Village Design Codes: West Silver town Urban Village*
- *Urban Design Quarterly* (1994) 'Urban Design Briefing', special issue 51, July
- Western Australian Planning Commission (1997) *Liveable Neighbourhoods: Community design code*

As designs become more detailed, priorities are identified for short, medium and long term implementation. These may be formalised into an **Action Plan** or form part of the revised Project Execution Plan, with detailed design development and feasibility studies focussed on priority sections of the overall project - targeting realistic ideas for helping communities to achieve the vision of their future. Masterplan proposals are given further definition with the use of sectoral plans ('layering' transport routes, landscaping and building form, for instance) and three-dimensional imagery including perspectives, computer or physical modelling and axonometrics, as appropriate.

As design moves towards 'pre-architecture', attention is paid to how discrete elements (often developed by separate developers and their consultants) can work in unison, making sure there is a positive relationship between buildings and the public realm. Key outputs at this stage are the preparation of detailed design guidance for others to follow. These are likely to take the form of **design guides / codes** or **development briefs**, which may be consolidated within the **final Masterplan**. Design guides establish the core principles and set out detailed guidelines or performance criteria, whereas codes are a set of more prescriptive requirements for the dimensioning of blocks and plots, streets, squares, buildings and access. Development briefs are site-specific documents, combining relevant planning policies and urban design parameters, and are sometimes linked to a competitive bidding process.

Urban design briefing documents can be usefully arranged according to the following categories:

- specific guidelines for individual site design and development;
- specific guidelines for major public realm areas, such as routes, footpaths, parks, gardens and waterfronts;
- generic guidelines for the three-dimensional elements of the project, such as street and building cross-sections, corners and parking arrangements;
- generic guidelines on detailed public realm components, such as floorscape, street furniture, signage and lighting.

Detailed designs are also influenced by the delivery mechanisms and implementation programme. These have been considered from the outset, but at this stage are confirmed, particularly by clarifying:

- the management of public areas - through initiatives such as local community trusts, local partnerships and management companies. The management and supervision of public areas such as squares, community parks and children's play areas are a key part of ensuring the physical and social quality of the environment is maintained. This will be the subject of detailed discussion with the local authority and local residents' groups and associations;
- the adoption and maintenance of streets, squares and parkland;
- the management of quality through planning obligations, covenants and other legal and financial agreements.



Byker, Newcastle - upon - Type
(Designer: Ralph Erskine)

Once detailed designs have been agreed upon, confirmation of the **implementation and management arrangements** needs to target in particular:

- the programme of delivery - to ensure a diverse range of development opportunities, choice of sites and forms of accommodation. This will also facilitate affordable housing self-build and self-managed houses and development by a range of developers and their design teams, from the small scale local builders to regional or national companies;
- the management of site sales to ensure urban design consistency;
- the setting of a high quality management and maintenance regime, especially of the public realm, after project completion.

Formal adoption of the Masterplan or briefs as Supplementary Planning Guidance ensures that they 'bite' when it comes to development control. Effort put into **promotion and marketing** helps sustain community involvement and create media and developer interest.

Formalising **design review protocol** ensures that the client body keeps its 'eye on the ball' when it comes to safeguarding design quality as defined in the project objectives. It may be appropriate to retain the Masterplanner in an advisory capacity when the client is considering development of the individual plots or phasing of the overall project. Design Review Panels, initiated from the project outset and comprising multi-disciplinary professionals and community representatives, can help to make sure everyone is pulling in the same direction. Project implementation is monitored against Masterplan intentions, design principles, objectives, agreed outputs and targets. **Updating procedures** are then agreed upon so that designs remain up-to-date. As individual projects are implemented, periodic reviews are carried out, assessed against best practice, using perhaps for example the Compendium as a point of reference.