Creating successful masterplans

A guide for clients
Many people and organisations have contributed to this guide and we are grateful to them all. It has been written by Joanna Averley (CABE) and Joanna Eley (AMA Alexi Marmot Associates), with substantial inputs from Peter Stewart (CABE) and Lora Nicolaou (DEGW). Thanks also to Emma Appleton, Gwilym Jones, Paul Lavelle, Jon Rouse, Selina Mason (CABE), to CABE Commissioners, members of CABE's Enabling Panel and colleagues in CLG and English Partnerships who have contributed content, comments and illustrations. Designed by Draught Associates.

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The guide aims to help you, as a client, achieve the masterplan you need. It offers advice based on the experience of CABE's Enabling and Design Review teams and members of CABE's Enabling Panel – to whom we are grateful. It accompanies CABE's Creating excellent buildings: a guide for clients, which provides advice to clients who are commissioning buildings, Design review, which provides guidance on how CABE evaluates quality in architecture and urban design, and Design reviewed masterplans.
Foreword

Since CABE first published Creating successful masterplans in 2004, there has been major change across England.

We have seen the beginnings of restructuring in cities, towns and neighbourhoods in the north, and housing growth in the south. City centres have continued to enjoy an urban renaissance, with focused investment creating high-quality environments, providing the right conditions once again for business, living and recreation. The government has committed itself to a massive development programme of public buildings, schools, health facilities and nurseries that will have an impact on the quality of services and on the look of their neighbourhoods. Design processes such as masterplanning have been central to delivering high-quality developments through these programmes.

While the outcome of all this investment will affect the social, economic and environmental characteristics of places, change will be realised physically. For investment to be successful and for great places to be delivered, we need three things - people with vision, commitment and the right skills, a robust process which demands and embeds quality consistently, and a masterplan to guide physical change.

Creating successful masterplans provides a clear process to guide clients through the challenging and complex task of masterplanning, defining what a masterplan is and how to prepare, design and deliver high-quality places. The guide draws on CABE’s experience of supporting public sector clients on major projects across the country. It is written as a practical tool to be used on real projects on a day-to-day basis.

Since its publication, we’ve distributed over 5,000 copies, with many more downloaded from our website. Demand for the guide continues, not least in response to the increasing pressure for housing growth and regeneration across the country.

Creating successful masterplans will be fully updated in 2008/09, taking into account our experience since 2004. In the meantime, this reprinted edition contains the same advice on process, with minor updates on planning policy and useful contacts. The fundamentals of the guide still hold true. I hope it will help you, as a client, to create truly great places.

Richard Simmons
Chief executive, CABE
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1.1 Why masterplan?

We are in interesting times in the UK as, perhaps more than ever before, we attempt to improve our urban areas in a comprehensive way. Planning for change in the physical, social and economic fabric of places is now increasingly seen as a cohesive process, which can be achieved through the input and efforts of many professionals and local communities. People – residents, visitors and ultimate users of the spaces and buildings created – are at the heart of any masterplan. A successful masterplan will therefore set out how to create and sustain excellent places for living, work and play.

The issues that we are seeking to address in our town and city centres, on brownfield sites, in housing market renewal and growth areas, are complex and sophisticated, and the solutions need to match this sophistication. All those involved in regeneration and development benefit from adopting a clear strategy for the physical, economic and social transformation of places. Masterplanning offers the method for defining such a strategy.

Although the word ‘masterplan’ is not frequently used in government planning guidance, masterplanning has had a strong revival in recent years. The demand for strategic thinking about the process of urban and rural change is growing rapidly, as local authorities, regional development agencies, urban regeneration companies, housing market renewal pathfinders, private developers and communities alike need to think about physical change at a large scale.

A masterplan addresses the multifaceted aspects that make places successful:

- the quality of the buildings and spaces and their management
- the way these come together to create unique places
- built form in relation to history, culture and landscape
- the provision of services
- the engagement of local people and users in defining and being involved in the process of change
- the economic and financial realities
- the role of different agencies in delivering investment and change.

It is important to recognise at the outset that masterplans should not be seen as rigid blueprints for development and design. Rather they set the context, within which individual projects come forward. This document is therefore about this strategic stage of thinking; but success will ultimately depend on the delivery of great design at a more detailed level. Therefore the process described here will help you develop your strategy, but there will be much for clients to do beyond the masterplanning stage.
Masterplanning embraces a wide range of complex, sometimes conflicting, issues and is a positive, proactive process that can bring significant benefits by:

- helping shape the three-dimensional physical form that responds to local economic and social dynamics
- helping identify the potential of an area or site for development
- unlocking previously under-developed land
- engaging the local community in thinking about their role in a development or regeneration process
- helping build consensus about the future of an area and identify priorities for action
- increasing land values, and making more schemes viable

Masterplanning that addresses the legacy of industrial decline: Glasgow Harbour

The decline of shipbuilding and heavy industries in Glasgow brought social and economic problems and left behind many inactive ‘brownfield’ sites. Along the Clyde, Glasgow Harbour Ltd commissioned a masterplan that reconnects the riverside to Glasgow’s West End, creating an accessible destination for residents and visitors and bringing new mixed developments – residential, leisure and commercial – along a major new linear park. The client worked in partnership with the masterplanners to ensure that the framework encourages high design quality through competition.

Project: Glasgow Harbour
Client: Glasgow Harbour Ltd.
Masterplanners: Kohn Pederson Fox
Images: Kohn Pederson Fox
• attracting private sector investment and identifying public and private sector aspirations and roles

• giving clarity to the roles and responsibility of organisations involved in development or regeneration

• helping promote an area and market its development or regeneration

• helping to stitch new development seamlessly into an existing community and heritage

• showing political leadership

• defining proposals that will deliver high quality, sustainable buildings and public spaces

• helping coordinate the activities of different services in an area, eg education, health and leisure

• celebrating the natural assets of a place, for example the landscape, topography and ecology.

1.2 This guide

Guidance outlining what should be included in a spatial masterplan (the product) is already available in documents such as the Urban design compendium, (English Partnerships and the Housing Corporation 2000) but little has been written about the process of commissioning and preparing a masterplan. That is what this guide does: it is about process and technicalities, identifying key client roles and interactions, and should be used as a reference throughout masterplanning.

It aims to help clients commissioning masterplans, especially those with limited experience of the processes involved, working in an unfamiliar context, or using new team structures. It describes the different stages of thinking about physical change which culminate in a masterplan that sets out proposals for buildings, spaces, transport and land use in three dimensions. This then provides a framework within which designers and developers can bring forward more detailed proposals. The sister document to this guide, Creating excellent buildings: a guide for clients (CABE 2003), covers how to deliver these individual projects.

“The aim is to achieve a new equilibrium between cities, society and nature. We believe that such a goal is both realistic and achievable”
Towards an urban renaissance, Urban Task Force p47
The guide reflects the issues and frequently asked questions that have emerged from CABE’s work with masterplanning clients through the Enabling and Design Review programmes. It aims to record current best practice and provide comprehensive guidance of relevance to any client, whether private sector developer, local authority or regeneration agency. Readers may find some of the content obvious and some new. We hope it will help masterplanners, clients and their advisers adopt a common language and approach to creating successful places.

- The Introduction (section 1), defines a masterplan and sets out how it can contribute to achieving better designed places, buildings and public spaces, and includes the key factors that help clients achieve their objectives through masterplanning.

- Section 2 considers the key principles of masterplanning and the role of masterplans in the land use planning system in England; it sets the context within which masterplans can be used; and it outlines the role they play. This section also provides an overview of the methodology for preparing masterplans.

- The main body of the guide presents the key steps in the masterplanning process, from how clients prepare to commission a masterplan (section 3) and key considerations during the design phase (section 4), to how to address implementation throughout the process (section 5).

- The latter sections provide reference material (section 6), including a glossary, and additional guidance in the form of worksheets (section 7).

Images drawn from recent projects have been included to illustrate the wide range of tools and techniques available to formulate and communicate the varied aspects of masterplans. They are not comprehensive case studies, but highlight the types of outputs that clients could receive during the design phases of the masterplan and give examples of key issues. Some cases are illustrated in more depth in Design reviewed masterplans (CABE 2004) and on CABE’s digital library at www.cabe.org.uk/library.

**Box 1: Main urban design and masterplanning documents**

- CABE, DETR, *By Design, urban design in the planning system: towards better practice* (Thomas Telford 2000)
- CABE, DETR, *By design, better places to live* (Thomas Telford 2001)
1.3 The definition of a masterplan

1.3.1 A masterplan – the product

Many terms can be used to describe strategies for the physical regeneration of an area. Some of the most commonly used are masterplan, development framework, regeneration strategy, urban design framework, or vision. They are used interchangeably and can mean different things to different people.

What we mean by a masterplan includes both the process by which organisations undertake analysis and prepare strategies, and the proposals that are needed to plan for major change in a defined physical area. This document is concerned with ‘spatial masterplans’, which set out proposals for buildings, spaces, movement strategy and land use in three dimensions and match these proposals to a delivery strategy. This is the definition provided in *Towards an urban renaissance* (Urban Task Force, ODPM 1999). For a masterplan to be complete it must be supported by financial, economic and social policy documents and delivery mechanisms, without which the spatial plan has little meaning or likelihood of effective implementation.

Masterplans are only required where the scale of change is significant and the area subject to change is more than a few buildings. The spatial masterplan can be described as a sophisticated ‘model’ that:

- shows how the streets, squares and open spaces of a neighbourhood are to be connected
- defines the heights, massing and bulk of buildings
- sets out suggested relationships between buildings and public spaces
- determines the distribution of activities/uses that will be allowed
- identifies the network of movement patterns for people moving by foot, cycle, car or public transport, service and refuse vehicles
- sets out the basis for provision of other infrastructure elements such as utilities
- relates physical form to the socio-economic and cultural context and stakeholder interests
- allows an understanding of how well a new, urban neighbourhood is integrated with the surrounding urban context and natural environment.

Other strategies for physical regeneration at a different scale or to a different level of detail may also be prepared. Some of these will form part of the background or strategic context for a masterplan – for example sub-regional strategies such as those for housing market renewal areas – and some may follow on from a masterplanning exercise to assist in delivery, for example a design brief for a site or cluster of buildings.
Strategic thinking for urban areas: North Manchester

This is an example of how to look at a very large area of a city to record baseline data that sets out the social, physical and economic situation in order to inform regeneration and the targeting of investment, including housing market renewal. Ultimately the plan will be realised by a series of smaller individual interventions, some of which may require their own bespoke plans. The Framework is composed of themed and interrelated strategies, which will guide interventions and joined-up thinking in the delivery of services. This approach can generate market confidence in the viability of the overall area through an understanding that there will be comprehensive provision of infrastructure- and services-related physical, social and economic issues.

Project: North Manchester Strategic Regeneration Framework
Client: Manchester City Council
Masterplanner: EDAW
Images: EDAW
1.3.2 The masterplanning process
It is important to understand key characteristics of masterplanning:

- The social, economic and physical context within which a masterplan is commissioned is unique. Years, even decades, can elapse between the recognition that a masterplan is required and the moment when development happens on the ground. This guide focuses on the up-front strategic thinking that a client should undertake in order to set out an approach to development over the subsequent years.

Box 2: Situations where masterplanning is valuable

Masterplans are used to evaluate the current context and propose physical change in three main urban contexts:

1 Regeneration
- the closure of an industry that results in large areas of brownfield and redundant land being available for development, eg. steelworks, shipyards, docks, railway lands, river and canal sides
- the need for a city, urban or rural district to reinvigorate its economic performance and bring in new development
- the need to regenerate part of an urban area, often precipitated by the disposal of publicly-owned holdings, some of which may have been acquired through compulsory purchase
- a large housing estate failing due to the quality of the housing stock and stigmatisation of the community, leading to the need to redevelop large areas of housing.

2 Development (greenfield or brownfield)
- large extensions to urban areas and villages being developed to support housing needs or economic growth and change
- a land owner wanting to establish the amount and quality of development that is appropriate for their land
- the creation of new towns
- exploration of the impact of greenfield development on a particular planning context.

3 Opportunities
- the end of a regeneration agency’s life and the need to dispose of assets, often including the creation of a legacy for agencies that will continue to operate
- developments in city centres that may entail the amalgamation of sites and improvements in transport
- the disposal of publicly-owned land and buildings, for example old utilities or institutional sites
- the creation of a major new public investment, eg. Olympic sports facilities.
1.4 Masterplanning and design quality

The planning context is the platform on which the masterplan stands and the masterplan must therefore be designed with a clear understanding of the goals of, and interaction with, local plans and government policy. Whether it is prepared by the private or public sector will affect its relation to the planning context. It may take on formal status for elements which are to be fixed for the long term, or advisory status where it is open to interpretation or may change over time. It may be used to inform planning policy within the wider planning process, for example in an area action plan or a planning application, or to assist specific strategic policies such as housing renewal (eg. through pathfinder programmes), or employment regeneration (eg. through enterprise zones).

- The client’s circumstances have an impact. Masterplanning is a fluid process, with many people contributing over time to the initial proposals, as well as to their ultimate delivery. For example, many clients may not be in a position to prepare a masterplan as a single, unbroken exercise. Funding and politics may mean that they do so in phases, with considerable time passing between each phase. Clients may come from a wide range of groups – public, private, voluntary and the community – with correspondingly varied aims. Depending on their aims, the masterplans will have different emphasis. Particular clients may play a part throughout or for a short stage only, or their role may change during the process. A client may be involved at different stages or play several roles in the course of its development.

“We need to avoid making everywhere like everywhere else, rather than more like itself”

Les Sparks, CABE Commissioner
Putting design quality at the heart of the process: Southey and Owlerton, Sheffield

Southey and Owlerton Area Regeneration (SOAR) is an SRB Partnership set up to take forward the renewal of a series of neighbourhoods in Sheffield. The development of proposals for the area has benefited from significant inputs from local residents. Proposals for the physical renewal of the housing stock, infill developments, provision of facilities in each neighbourhood and improvement to local parks were defined through the community’s engagement in a neighbourhood masterplanning exercise.

As the project moved into delivery it was recognised that local residents and SOAR team would benefit from some additional assistance to ensure that their aspirations for design quality were delivered on the ground. A Design Panel of four professionals was appointed to provide independent, technical support and advice. The Design Panel has helped define the key design principles for the main projects with the community, assisted with the procurement of designers and consultants and helped set up study visits. Through this process, design quality has been imbedded as a key aspiration for all those involved and people’s capacity to engage with the design process has increased.

Project: Southey Owlerton Area Regeneration (SOAR), Sheffield
Client: SOAR / Sheffield City Council
Images: CABE
Box 3: **Good design principles for urban design and open space**

**A well designed place has the following qualities:**
- character – a place with its own identity
- continuity and enclosure – a place where public and private spaces are clearly distinguished
- quality of the public realm – a place with attractive and successful outdoor areas valued by people who use them
- ease of movement – a place that is easy to reach and move through
- legibility – a place that has a clear image and is easy to understand
- adaptability – a place that can change easily
- diversity – a place with variety and choice
- security – a place where the users feel and are as safe as possible
- services – an appropriate and high quality services infrastructure

CABE, *Design review* (London 2002)

Box 4: **The value of good urban design**

**Good design adds economic value by:**
- producing high returns on investments (good rental returns and enhanced capital values)
- making new places more attractive than the local competition at little cost
- responding to occupier demand
- reducing management, maintenance, energy and security costs
- contributing to more contented and productive workforces
- supporting the ‘life-giving’ mixed-use elements in developments
- creating an urban regeneration and place-making market dividend
- differentiating places and raising their prestige
- opening up investment opportunities, raising confidence in development opportunities and attracting grant monies
- providing opportunities for wealth generation by inhabitants
- reducing the cost to the public purse of rectifying urban design mistakes

**And good design adds social and environmental value by:**
- creating well connected, inclusive and accessible new places
- delivering mixed-use environments with a broad range of facilities and amenities available to all
- delivering development sensitive to context
- enhancing the sense of safety and security within and beyond developments
- returning inaccessible or run down areas and amenities to beneficial public use
- boosting civic pride and enhancing civic image
- creating more energy efficient and less polluting development
- revitalising urban heritage

Bartlett School of Planning, *Value of urban design* (CABE and DTLR, London 2002)
1.5 Being a successful client

1.5.1 Identify the client

Through CABE’s work with clients, it is clear that the client has to be at the heart of all building and masterplanning projects. However, the client often changes during the creation of the masterplan. A public body such as a local authority may initiate the process; a private developer or a regeneration agency may take it on as it moves towards implementation. Clients may be public, private or voluntary bodies, with private or voluntary sector clients being more likely to stimulate or channel investment than to facilitate it. Despite the number of parties involved and potential changes in role, the client is pivotal in creating a successful place.

“You must have a client, and it does not matter how expert that client is: that client has to be single-minded, must be a patron, and must not be a substitute or a committee – neither work. He or she has to be the individual in the organisation who has the authority, the vision and the financial muscle to make the project happen.”


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Box 5: Client categories

### Public (and quasi-public)
- local authorities responsible for setting planning policy for an area of change eg. urban extension, regeneration of a declining area, or reuse of a brownfield site
- regional development agencies
- regeneration agencies eg. English Partnerships, project teams for Single Regeneration Budget, New Deal for Communities, Housing Market Renewal Pathfinder projects
- national agencies with an interest in the physical change of an area eg. English Heritage, Environment Agency
- public and quasi-public land owners eg. transport authorities, utilities companies
- organisations managing a large estate of land and properties, such as hospital trusts or universities.

### Private
- large landowners on their own land
- a consortium planning to develop land purchased for the purpose eg. a housing area, business park or a mixed development.

### Community/voluntary
- local residents and tenants involved in housing renewal programmes, who are part of the client group.
1.5.2  **Success factors for masterplanning clients**

Each masterplanning project is unique, with special local conditions of site, use patterns, social context and the various organisations involved. However, the key factors outlined below are relevant in all cases and help clients create a context conducive to a successful outcome. These factors revolve around people, communication and timing and are reflected in the process presented in more detail in the later sections of this guide.

> “If you do not take trouble at the beginning, you will most certainly be given it before the end”


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**Box 6: Keys to being a successful masterplanning client**

1. **Provide strong client leadership and a commitment to quality**
2. **Be clear about your aims and the outputs you need**
3. **Learn from your own and other successful projects**
4. **Give enough time at the right time**
5. **Find the right teams and development partners**
6. **Respond to the context, physical, economic, cultural and social**
7. **Work with stakeholders**
8. **Understand that masterplanning is a fluid process**
9. **Work in a collaborative spirit**
10. **Put in place a strategy and structure for implementation**
Provide strong leadership and commitment to quality
Leadership is about vision, good decision-making and proper communication. A successful project needs a clear vision and a client able to give and receive the right information at the right moments – clear communication smooths the entire process. Projects generally require leadership to be provided by a few key individuals.

Be clear about your aims and the outputs you need
Success is measured against objectives that must be understood and shared by everyone involved. An important part of the process is to reconcile the many, possibly conflicting, aims and create a way forward that is accepted by and beneficial to the wider community. As a client you need to have a clear set of aims describing the kind of improvements and changes you are seeking. Your vision should be set down at the start to inspire participants, stakeholders, your team and the masterplanning experts. A masterplan involves multi-layered processes and outputs; it is therefore important to be clear about what you are trying to achieve at different stages and the outputs, advice and decisions you need to help you proceed to the next stage.

Delivering design quality on the ground: Brindleyplace
Today, with over one million square feet of offices in ten buildings set around three public squares, Brindleyplace is recognised as a successful mixed use, city centre development that combines architectural quality with commercial reality. The story of its development illustrates the need for a masterplan that sets out key priorities and quality levels, while providing sufficient flexibility to respond to changes in market requirements and levels of demand.

The earliest projects demonstrated the developer’s commitment to create an environment of the highest quality and set a benchmark for future phases. This helped create market confidence. The early creation of the central public space provided a context for future developments and the careful appointment of different architects for individual buildings gives Brindleyplace a distinct character. A strong emphasis is placed on the ongoing stewardship of the development to manage the mix of uses and ensure that Brindleyplace continues to be a safe, clean and interesting place to work and visit.
Learn from your own and other successful projects
The most effective decisions are based on thorough knowledge. Each project is unique but best practice examples can clarify your vision and act as benchmarks to check how well you are doing. If you have little experience of masterplanning, you can develop knowledge and understanding by carefully examining relevant examples. Visiting places and talking to people with your masterplanning team and key stakeholders or potential partners will help establish common values and aspirations and demonstrate how good design can add value.

Give enough time at the right time
The value of the client putting in time when it is needed during the project cannot be overstated. You need time to explore options, collect baseline data, identify and communicate with stakeholders and to decide what expert help to seek. Reaching a clear understanding of the potential in the project and familiarising yourself with the context all take time. Early decisions have a major effect on how the project develops. They need to be the right decisions, which means that taking the time to explore the background properly at an early stage is essential.

Find the right teams and partners
In the final analysis it is people with the right talents who deliver a great project. One of your most important tasks is to select the people for your own team and your consultant and partner organisations. You must define what you expect of each and then manage your relationships with them so that they work effectively together and with you. You need to put as much work into choosing the right people and creating and managing relationships as into discovering inspirational projects and best practice benchmarks. Your team needs to be skilled at working with a wide range of people and groups and be able to understand and respond appropriately. Often it is you, not they, who must manage the relationships between your organisation and all partners or stakeholders. Finding partners who are committed and able to deliver development on the ground is a critical part of the process, especially for public sector clients.
Work with the context: physical, economic and social

Your process must start with an assessment of the context, including its most important characteristics and opportunities, and refer back to this assessment throughout its development. The masterplan will affect areas beyond its boundaries and this wider context must also be considered. A diverse range of issues needs to be explored, for example the economic and social patterns in the area, existing transport and built form, archaeology, ecology, arboriculture, historic buildings and landscape.

When this baseline data is developed into a framework for the masterplan, realistic possibilities for implementation must be debated and this may lead to additional research and negotiation with potential partners.

Work with stakeholders

A masterplanning project has many stakeholders, whose concerns, sometimes conflicting, are primarily social and economic. Some may be unaware of design quality issues. Others, such as funders, local groups or businesses, the local authority, transport and utility companies, have a direct interest. The different priorities of all stakeholders need to be taken into account. For example, for commercial organisations you need to demonstrate through best practice examples that commercial needs and urban design principles can be reconciled in a positive way. Stakeholders may include national and regional bodies whose policies are relevant to your area. The needs of the existing local community and future users of the area must be considered and appropriate representatives must be included in the stakeholder groups. Setting up the framework for consultation will help guide the plan and gain consensus. Communication with stakeholders can involve considerable time, cost and skills, for which you should plan and budget.

“For places to be well-used and well-loved, they must be safe, comfortable, varied and attractive. They also need to be distinctive and offer variety, choice and fun.”

Urban design compendium, p14
Urban expansion and landscape: Cambridge

The masterplan illustrated is informing the expansion of Cambridge, which is in a housing growth area. In order to test the feasibility of the proposed expansion, the capacity of the area was investigated, including an examination of incorporating sustainable development principles. The infrastructure and landscape framework are key elements in understanding future capacity for the area. In this context, the success of the strategic plan relies on a parallel review of the design of built form and the character of the landscape.

Project: Cambridge City Expansion
Client: Cambridge City Council
Masterplanning study: DEGW, Cambridge Landscape Architects
Images: DEGW
Understand that masterplanning is a fluid process
The process of masterplanning goes through several stages, during which the client may change a number of times. How and why this happens depends on the specific situation. For example, a local authority may initiate the information gathering stage, create a brief and then seek a private developer to take over the development of the physical masterplan, prior to implementation. Or the plan may continue to evolve over time, with new players entering as client at a later stage. As the client, you need to be aware from the start of the overall shape of the process and who will have responsibility for each stage or input. Other factors could also impact on the delivery of the masterplan, for example the property market, available funding and planning policy. It is important for the client to understand the aspects of the masterplan that are essential to its success. Understanding where to be prescriptive and where to be flexible is an important part of the client role. The ultimate objective is to create a masterplan that can respond positively to changes that add value, while keeping the essence of design quality and regeneration at its heart.

Work in a collaborative spirit
A multitude of people are involved in delivering a masterplan. At the early stages, it is important that the process draws in the skills and commitment of a wide range of people. Collaboration will therefore be critical. A critical partner will be the local planning authority, as the plan should fit in with, or may inform, local planning policy and will have to take into account other developments in the area. A positive relationship between you, your team and the local authority, involving mutual trust, understanding and compromise, will help smooth implementation. The local authority may need to be flexible, as new concepts and changes for an area may not have been anticipated in earlier statutory plans. All involved must recognise that the right degree of control contributes positively to quality of place.

There may be considerable time lags between putting together and implementing a masterplan. The outcome is more likely to be a success when the active client and the local authority are jointly committed to carrying the vision through to completion. Many large-scale masterplans, with extended delivery periods, will see a change in key stakeholders (and clients), so commitment from a broad constituency is necessary to ensure that the vision is finally delivered.
Put in place a strategy and structure for implementation

The masterplanning process will be a waste of time and energy if it results in a document that sits on a shelf. It is therefore essential to prepare a realistic implementation strategy, which is accepted by key partners and acted upon. This involves decisions about possible delivery mechanisms, whether public or private, how to engage with development partners, likely sources of funds, cash flow and return on investment and time frame. At each stage, action to make implementation possible must be clearly articulated. Clients need a structure in their organisation that allows them to support or manage the implementation process, to review it as it progresses and realign it if there are significant changes in the base data.

Box 7: Components of a successful masterplan

A successful masterplan must be:
• visionary: it should raise aspirations and provide a vehicle for consensus building and implementation
• deliverable: it should take into account likely implementation and delivery routes
• fully integrated into the land use planning system, while allowing new uses and market opportunities to exploit the full development potential of a site
• flexible, providing the basis for negotiation and dispute resolution
• the result of a participatory process, providing all the stakeholders with the means of expressing their needs and priorities
• equally applicable to rethinking the role, function and form of existing neighbourhoods as to creating new neighbourhoods

Masterplanning principles

This section sets the context within which masterplans can be used, outlines the role they play and introduces the methodology for the masterplan process and product. It also describes different client approaches.

2.1 Masterplanning and the planning system

2.1.1 Masterplans and the development plan process

Delivering better quality urban design is a fundamental objective of the planning system. This has been reinforced by the changes that followed the Planning Green Paper 2002 and which have resulted in the strengthening of planning as a way of improving design standards. How a masterplan relates to the land use planning system is critical, as this is the primary means of control, though for publicly-owned land additional control can be exercised.

Masterplanning can promote proactive planning by providing an opportunity to involve the community in emerging design solutions based around a clear design rationale. It can also speed up the planning process by providing for greater certainty and acceptance amongst all stakeholders as to the type of development that is required. Increasingly masterplans are being used to inform the revision of local plans and may establish new policies by becoming one of the Local Development Documents within the new Local Development Frameworks. The Planning Framework within which masterplans will operate is set out in the Planning and Compulsory Purchase Act and accompanying guidance, as summarised in Box 8.

Since the original publication of this document in 2004, national planning policy has been updated to include clear references to the role of good design in planning and sustainable development.

‘Planning authorities should prepare robust policies on design and access… based on stated objectives for the future of the area and an understanding and evaluation of its present defining characteristics.’

Planning policy statement 1: delivering sustainable development (CLG, 2005), para 36

‘Good design is fundamental to the development of high quality new housing, which contributes to the creation of sustainable, mixed communities.’

Planning policy statement 3: housing (CLG, 2006), para 13
Rethinking a planned city: Central Milton Keynes

The original masterplan for Milton Keynes is coming to the end of the period envisaged originally. New thinking was wanted to take the city forward for the next 20-30 years without radical change. The framework has been put forward in a way that does not suggest specific architectural style but allows a sense of place with some flexibility to emerge so that a successful mix of uses will be able to become established in a more accessible and permeable walking environment.

This plan rethinks the character of a well-defined place through remodelling the mix of uses and renewing elements in the public realm, without destroying the underlying existing structure.

Project: Central Milton Keynes
Client: English Partnerships and Milton Keynes Council
Masterplanner: EDAW
Images: EDAW
Box 8: **Local Development Frameworks/Supplementary Planning Documents**

Local Development Frameworks (LDFs), which replace unitary and local development plans, comprise a folder of Local Development Documents (LDDs). These documents are of two types: Development Plan Documents (DPDs) and Supplementary Planning Documents (SPDs). LDFs must also include a Statement of Community Involvement, specifying how local planning authorities intend to involve communities and stakeholders in the preparation of LDDs.

1 **Development Plan Documents (DPDs)**

DPDs form part of the statutory Development Plan (along with the Regional Spatial Strategy), and are the starting point when considering planning applications for the development or use of land. The main components of DPDs are:

- A core strategy, setting out the vision and strategic objectives for the area, along with a spatial strategy, a number of core policies and a monitoring and implementation framework. These will apply across the whole of the local planning authority’s area or to certain locations, but generally not to individual sites – these are dealt with under site-specific proposals. The core strategy should help deliver the vision and reflect the unique circumstances of a particular area. The emphasis given to design will be what is appropriate locally.

- Area action plans (where needed) are used to provide a planning framework for areas of change and of conservation. These are likely to include areas of planned growth and where regeneration is to be stimulated. Drawing up masterplans clearly indicating the nature, type and design of expected development for these sites may speed up the planning process.

- Site specific allocations of land.

- A proposals map (with inset maps, where necessary).

2 **Supplementary Planning Documents (SPDs)**

DPDs are supported by SPDs, which are included in the LDF. They form part of the planning framework for the area and could include masterplans. They are not subject to independent examination and do not form part of the statutory Development Plan. However, they are subject to rigorous procedures of community engagement in accordance with the authority’s statement of community involvement and carry significant weight in the determination of planning applications.
2.1.2 Masterplans and development control

A masterplan carries more weight if it has been prepared in consultation with the public, formally adopted by the local planning authority and is consistent with national and regional planning guidance. It should also be consistent with local plans already adopted. Many masterplans are prepared by private sector interests, often in discussion with the planning authority, to test development proposals. Whilst design is a reserved matter under outline planning permission, masterplans are an effective way of ensuring that the local planning authority has sufficient information on which to make a decision on the key design principles of a scheme. They also go some way to meeting requirements for an Environmental Impact Assessment for large-scale developments where the full environmental effects must be identified.

2.1.3 Masterplans and creating sustainable communities

A masterplanning process is the only way to plan comprehensively for the scale and nature of change proposed in *Sustainable communities – building for the future* (ODPM 2003). This applies in particular to the development of major new neighbourhoods in housing growth areas, the restructuring and reinvigoration of housing market renewal areas, reinvestment in public sector housing estates through stock transfers and other mechanisms, and the regeneration of our town and city centres. As well as addressing the scale of change, masterplanning provides a means of delivering sustainable communities.

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**Box 9: What makes a sustainable community?**

Some of the key requirements are:

- a flourishing local economy to provide jobs and wealth
- strong leadership to respond positively to change
- effective engagement and participation by local people, groups and businesses, especially in the planning, design and long-term stewardship of their community, and an active voluntary sector
- a safe and healthy local environment with well-designed public and green space
- sufficient size, scale and density, and the right layout to support basic amenities in the neighbourhood and minimise use of resources (including land)
- good public transport and other transport infrastructure both within the community and linking it to urban, rural and regional centres
- buildings, both individually and collectively, that can meet different needs over time, and that minimise the use of resources
- an integrated mix of good homes of different types and tenures to support a range of household sizes, ages and incomes
- good quality local public services, including education and training opportunities, health care and community facilities, especially for leisure
- a diverse, vibrant and creative local culture, encouraging pride in the community and cohesion
- the right links with the wider regional, national and international community.

Source: *Sustainable communities: building for the future* (ODPM 2003)
The creation of an urban village on former industrial land: Llandarcy

A masterplan was commissioned by British Petroleum and the Welsh Development Agency (WDA) on this redundant refinery site. The WDA’s interest is in ensuring that the redevelopment will act as a catalyst for regeneration for this area of South Wales, providing new homes and employment. The new development adheres to urban design principles and is linked to the surrounding towns, landscape and topography.

Project: Llandarcy, Neath, Wales
Clients: BP, Welsh Development Agency
Masterplanner: Alan Baxter & Associates
Images: Alan Baxter & Associates and WDA
2.2 **Key aspects of a masterplan**

2.2.1 **Setting the framework and developing the masterplan**

A spatial masterplan goes through three interlocking stages and has three main outputs that inform each other.

The precise content of the three main outputs is determined by the client's objectives. The strategic framework and spatial masterplan can be commissioned together within the same project, or sequentially and separately. However, it is not possible to prepare a spatial masterplan without having a strategic framework appropriate to the scale of the project. As with any project, you cannot hope to get what you want at the end of the process if you have not defined what you wanted at the outset and prepared a good brief. The implementation plan should be integral to the preparation of the spatial masterplan; one must inform the other.

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**Box 10: The main elements of a masterplan**

<table>
<thead>
<tr>
<th>Key stage</th>
<th>Key output</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1 Strategic framework</strong></td>
<td>A statement of aims and objectives for the physical regeneration of large areas of land or parts of the urban area. It may consider a much wider area than the spatial masterplan. The strategic framework functions as the brief for the spatial masterplan. It is based on analysis of the baseline data and incorporates potential implementation processes. The term 'strategic framework' is not in common use but has been used in this guide to describe the early stage of the masterplanning process.</td>
</tr>
<tr>
<td><strong>2 Spatial masterplan</strong></td>
<td>A three-dimensional proposal for development or redevelopment affecting physical, economic and social factors. It includes plans and written documents describing the proposed design approach and development.</td>
</tr>
<tr>
<td><strong>3 Implementation plan</strong></td>
<td>A written strategy including, where appropriate, cost and programming or development and other proposals relating to the implementation of the masterplan. Even if actual work on site is not imminent this stage must be started early.</td>
</tr>
</tbody>
</table>

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Section 3.2

Sections 2.2.2 and 4.2

Section 5
In the case of large-scale development sites and regeneration initiatives covering a wide, complex geographical area, once a strategic framework has been created, spatial masterplans may be commissioned for different parts, each with its own brief and team. Examples are a major extension to an urban area, housing market renewal, or the preparation of spatial strategies proposed as a result of changes to the planning system.

2.2.2 The spatial masterplan
Principles of a spatial masterplan are that it:

- has an overall vision, captured in a combination of words and diagrams, plans and illustrations

- establishes the principles of development in three dimensions and sets down the different layers of proposed physical change – buildings, open spaces, streets, public transport and other infrastructure such as utilities, telecoms, drainage, (these may complement other forms of social infrastructure eg. employment programmes for local residents)

- seeks to show how an area can exploit its distinctive features to give it a character of its own

- explores, addresses and reconciles different requirements of key stakeholders and interested groups, which may have conflicting yet legitimate concerns

- is based on an understanding of the delivery mechanisms for implementing the masterplan in terms of programme, costs, funding and organisation.

2.2.3 Characteristics of masterplanning

Masterplanning is a positive process that seeks to establish principles of how a place will change physically, economically and socially, and who will manage and deliver the process of change. As such, it is both responsive and proactive.

Box 11: Masterplanning: a responsive and proactive process

Responsiveness relies on:
- reflecting and making the most out of the site’s existing assets
- recognising and capitalising on the potential of positive market trends
- recognising the importance of stakeholders’ aspirations which, even when contradictory, are a major force which cannot be ignored
- recognising the different uses and users that can or should be accommodated in the masterplan, for example residents, visitors, wildlife, ecology, etc.

Proactiveness relies on:
- a comprehensive vision which links to identifiable proposals and action
- establishing principles for development which clarify what is prescribed and what remains flexible
- identifying specific and feasible development opportunities
- the capability to act as a marketing tool strong enough to change current ‘trends’ and the baseline market or users’ perceptions
- being aspirational, yet realistic enough to secure some funding or investment immediately.
2.3 Different contexts for masterplanning

2.3.1 Stimulate, channel or facilitate investment

The reasons for preparing a masterplan are particular to the context and understanding this context is vital to ensure that the masterplan is realistic. Three triggers for masterplans are to stimulate, channel or facilitate investment. They differ in the focus of the process and the milestones at which decisions are taken. Their characteristics are described in Box 12:

The outputs a client may need from a masterplan depend on:

• the physical context and type of development being proposed
• the regeneration or development context
• the role that the public and private sectors are to play in implementing the development
• the degree of certainty about private or public finance for implementation.

An essential aspect of a masterplan is that it provides a framework for development that will be delivered over time, incrementally. The traditional view of masterplanning was of a ‘blueprint’ setting out rigidly how to develop an area. Given the potentially unpredictable, slow or piecemeal nature of development, some elements may only be delivered in part, or may end up very different from the original plan. The masterplan must therefore be based on a long-term vision that will work as a whole or in parts. Scenarios which can bring uncertainty include development occurring in phases that are not continuous, phases being developed and designed by different people, land ownership changing hands, a change in funding availability and requirements, and a change in economic conditions.

In many contexts, masterplans also have to be aspirational as they seek to alter or shape the nature of demand in a location by changing the perceptions of different stakeholders who can help bring about positive change: developers, investors, tenants, residents, and users.

Masterplans must therefore be capable of setting the appropriate level of prescription and standards while providing for a degree of flexibility in the face of an unpredictable future.
### Box 12: *Triggers for a masterplan*

<table>
<thead>
<tr>
<th>Scenario</th>
<th>Primary aim</th>
<th>Particular issues</th>
</tr>
</thead>
</table>
| **Stimulate investment** – in marginal or low demand areas | To initiate and stimulate change where there is a lack of market interest | • Usually dealing with multifaceted issues and therefore likely to be complex  
• Needs strong emphasis on economic modelling of business requirements and opportunities  
• Delivering development on the ground may take longer and be incremental, therefore there may be many milestones  
• Testing decisions at key stages will be particularly beneficial  
• A great deal of consultation is often required |
| **Channel investment** – in medium to high demand areas | To manage, channel and sometimes control change proactively in situations where there is pressure for development | • The primary emphasis needs to be on design quality  
• Early thinking to set out key principles may have to be hastened to cope with pressure of development  
• Lobbying is needed to stimulate developer interest in investing in design and implementation  
• Development control process has to be proactive rather than reactive  
• Potential for multiple landowners, each with their own agenda  
• Need to coordinate a number of proposals and ensure they deliver a coherent sense of place |
| **Facilitate investment** – in areas of emerging or established demand | To facilitate change by clarifying and communicating collective objectives and interests | • Often working collaboratively with development interests with shared objectives for regeneration and design quality  
• A process to capture opportunities and make things happen by achieving consensus  
• Usually fairly specific and site-based  
• Needs a balance of emphasis on design and economic modelling  
• Requires a combination of lobbying and consultation. |
Box 13: Sample masterplanning scenarios

**Scenario 1**
A site owner develops a masterplan in order to set the principles of development for a site. The main purpose is to establish the scale of development and therefore the value that can be achieved and to set a framework for development that can be agreed with the relevant authorities and stakeholders.

**Scenario 2**
If a site is publicly owned, a masterplan may be used to market the site to private developers, or to establish planning policies for development. If the site is privately owned, the masterplan may be used in negotiations with the planning authority.

**Scenario 3**
For large housing renewal projects some strategic masterplan work is often carried out to test the feasibility of different regeneration options. The costs and benefits of complete redevelopment versus refurbishment or ‘do nothing’ options are often assessed. The process often includes consultations with local residents about the change process and to discuss options.

**Scenario 4**
Masterplans are often prepared as part of competitive processes, during which a public agency markets a site and teams compete to become the preferred developer and perhaps the owner. The proposals of competing developers are presented as masterplans with, if applicable, financial offer for the purchase of the site. Prior to the competitive process the public agency will have established, as a minimum, urban design and planning principles for the site. Quality of design needs to form part of any selection process, with suitable weighting where appropriate, with a view to achieving the overall best value for all concerned. The winning team (which will often include developers and designers) sometimes acquires the site or enters into a development agreement with the public agency or private owner. In this scenario the masterplan plays an important role in establishing the value of the land and can be an important part of legal agreements.

**Scenario 5**
Masterplans can be used to facilitate a process of consultation and to establish principles of development. This is often the case for urban extensions and neighbourhood renewal projects where the extent of change can have a significant impact on existing communities and the interests and views of local residents need to be engaged.
2.4 **Stages of a masterplanning process**

This section sets out how to commission and prepare a masterplan, a process which is fluid and during which the client may change and the time between stages in some cases extends to years.

The process must follow a sequence, although the way different activities and key players relate to each other varies, and so the sequence may change. The various stages, described and illustrated below, can be grouped into three basic phases – prepare, design and implement – within and between which ideas develop and interact.

How, by whom and when the different stages are carried out depends on a number of factors, including the resources available to the client’s in-house team. The team carrying out the preparation stage may be internal and/or external professionals and/or partners. The overall process may be broken down into several stages that progress as separate commissions.

It is important to understand that the stages are not carried out in sequence – each needs to be tested against the options and ideas in the other stages. There is significant overlap between the thinking developed in each phase of the process. In particular the design draws on and tests the strategic framework, before developing a spatial masterplan and, very importantly, implementation issues should be considered from the preparatory stage and continually tested through the design process. The main activities involved in each stage are outlined in Box 14.
Presenting data to inform thinking: Rotherham

This material was prepared as part of the thinking for the future development of Rotherham. Yorkshire Forward’s Urban Renaissance programme is working with a town team made up of all the key public, private and voluntary players who have created a town charter intended to stimulate and then channel investment.

The aspirations for design quality are presented in a clear, legible and interesting way to prompt discussion and improve communication. Data needs to be presented in a form that is memorable and readily usable by all concerned with helping to formulate decisions.
2.4.1 **Prepare**  
During the prepare stage the client carries out or commissions work to understand the context and set the strategic framework for the masterplan (unless one already exists). The client must establish aspirations for the area and objectives for the plan. Having done this, the scope of work for the spatial masterplan will be established and resources identified. During this phase the client sets up in-house teams, determining roles and responsibilities, and must establish relationships with key partners and stakeholders. A masterplanning team will be appointed, if required, to produce the strategic framework and it is important to use the most appropriate selection process.  
The client role during this stage is to provide leadership and vision, as well as deal with the practical issues of securing resources to carry out work, working in collaboration with partners and sourcing background information.

2.4.2 **Design**  
During the design stage a masterplanning team evolves the spatial masterplan by thorough analysis, consultations, testing and refinement. At the end of this stage there will be a three-dimensional plan, which presents proposals or aspirations for the development of buildings, street blocks, public spaces, streets and landscape, but which does not design buildings. The plan defines massing, heights, densities, orientations, grids and blocks, movement routes (both pedestrian and vehicular), landscape, which existing elements to respect, and other aspects of relevance to the site.

2.4.3 **Implementation**  
It is essential to the success of the plan to bear in mind the process and strategy for implementation right from the start. There is therefore significant overlap between this phase and the earlier prepare and design stages. For example, the social, commercial, political and economic realities that will drive change and development should be assessed when preparing the strategic framework. These factors must be borne in mind constantly, from the outset through to the creation of the vision and the three-dimensional proposals, and refined as more information becomes available. Once the spatial masterplan is emerging, implementation addresses how development will actually happen, putting strategies and processes in place to ensure successful delivery. Masterplan clients also need to have a structure in place within their organisation to facilitate and review implementation and ensure that the aspirations of the plan are met. If baseline conditions change, the masterplan should be amended.
Box 14: **Stages and key outputs of masterplanning**

<table>
<thead>
<tr>
<th>Main stage</th>
<th>Prepare</th>
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Providing a masterplan to facilitate investment: Ipswich Town Centre

This Area Action Plan used the strategic linkage of critical nodes to encourage collaboration and effective implementation of an urban renaissance plan by the clients and their public and private sector partners.

Four overarching projects were identified, linking the historic town centre core to its surroundings. They include a mixed use Waterfront, a new commercial centre in Ipswich Village and an education quarter, focused on Suffolk College, delivering a new university campus. A sustainable, integrated transport package and single bus interchange underpin the proposals and renew and enhance the urban grain of the town.

Project: Ipswich Town Centre
Clients: Ipswich Borough Council, Suffolk County Council, East of England Development Agency
Masterplanner: Urban Initiatives
Images: Urban Initiatives, Richard Carman
2.5 Different client approaches to masterplanning

Masterplanners are appointed at different stages depending on the nature of the client and the point at which a particular client enters the process. In some instances a client carries out the preparation stage work themselves, in others they commission consultants to do it. Other parties may carry out the design and implementation stages, for example potential developers as part of a competition. How and when external professional expertise is sought, or negotiation and consultation take place, or an implementation partner is brought on board, is affected by the nature of the client.

There are three generic scenarios, depending on whether a client is itself a developer, controls development (for example, as a local authority), or is in partnership with a developer to encourage development of the type they believe suitable.

Client scenario 1 – developer client
The land is predominantly in the control of a single body and is usually in private ownership. In this scenario the client has a great deal of control over the process from preparation through to implementation and may be the developer for all or part of the land. The client is likely to buy in expertise from a range of professionals and appoint masterplanners early on in the preparation stage. In-house professionals may prepare the strategic framework, but their skills are unlikely to include all those necessary to achieve design quality, for which the client may buy in external help.

Client scenario 2 – controlling client
This scenario usually involves public sector clients who may own some land, but do not have sufficient in-house resources to prepare a masterplan. Their aim is to prepare a masterplan which will provide a framework for others who will come forward with detailed proposals. Controlling the quality of the final proposal is a primary concern, whether to support ambitious aspirations, to change the perceptions and quality of an area, or in some cases because of a poor track record in delivering quality in the past. They are often in a position to exercise control through the planning process as well as through land ownership.

The client is likely to appoint a masterplanning team to prepare the strategic framework as a separate exercise, or as a defined preliminary stage to the preparation of the spatial masterplan. Once the strategic framework is agreed, the client appoints a masterplanning team to take the design phase through to an implementation strategy. The public sector accounts for the greatest number of such masterplans and exercises control primarily through the planning process, but sometimes as landowner, funder or development manager, eg. in a development agency.
**Client scenario 3 – client in partnership**

This situation is similar to scenario 2. In this instance the public sector client body is confident that there is market demand and that private sector partners will be able to deliver quality, so it seeks a private sector partner to deliver the development. In this scenario the public sector client commissions masterplanners to prepare a strategic framework that will then be used to develop a brief for a competitive process to appoint a developer partner. Developers may be asked to prepare masterplans as part of the competitive process, and they will therefore also have to appoint masterplanning teams. For guidance on this process see Work sheet 3.

The preferred developer works alongside the client to refine the proposals. Ultimately the public and private sector organisations may enter into a joint venture to deliver the proposals, under which the public sector may well contribute land assets and funding and take a share of the development profits.

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**Box 15: Factors that impact on the client role**

The stages of the masterplanning process outlined in section 2.4 are explored in more detail in the following sections. The client role in each depends on a number of issues, including:

- how much design skill and experience there is in-house
- what time is available from in-house people
- whether the client is using the process to develop general principles and development policies
- the pattern of land ownership including potential for a compulsory purchase order (CPO)
- the role and power of local residents in the decision-making process
- the internal and external funds available for preparing the masterplan
- the local property market and strength or weakness of local demand
- options available in terms of delivery, for example reliance on private sector investment
- whether the development is controversial
- how closely the process needs to be controlled in terms of planning policy and the quality of the final development
- the consultation and negotiation skills needed
- how easily the site can be developed in phases, thus facilitating changes of client during the process.
Variations on this model:

- Some clients appoint developer partners on the basis of their financial standing and record. Once the preferred developer is identified, the client and developer jointly appoint a masterplanner. This model should only be used where the development is relatively straightforward, for example a site which will be cleared, and where the development parameters and quality aspirations are clearly identified.

- In some instances it is appropriate for the client to go beyond the strategic framework stage and move into the design of a three-dimensional plan before selecting development partners. This is the case, for instance, where there are significant site constraints, a complex mix of proposed uses, a need to define the key outputs and requirements more closely, or where the buy-in of local residents is of paramount importance, for example in housing stock transfer schemes.

2.6 Next steps

This section has explained the principles of masterplans and illustrates how particular situations will create different relationships and needs for clients. The next sections look at the three stages or components of masterplanning: preparation, design and implementation. The preparations stage makes everything ready for design to take place; while the design stage provides the framework within which implementation will bring about the desired changes to the physical, social and economic character of the area.
‘Branding’ the environment to assist regeneration: Corby

This plan for Corby proposes significant expansion, and introduction of civic amenities and services, to sustain the balance of economic and population growth needed to enable Corby to meet the challenges of today and the future. This plan illustrates how perception of areas can be altered by identifying the dominant character within an existing neighbourhood and thereby making it possible to tailor future intervention.

Project: Corby Regeneration Framework
Client: Catalyst Corby, the Urban Regeneration Company for Corby
Masterplanner: EDAW
Image: EDAW
Prepare

This section considers the preparation stage, when the client identifies its aims and how to achieve them, selects the people and groups who will be involved, the client team, the masterplanning team and the stakeholders, and creates the strategic framework or brief which will be used as the basis of the three-dimensional spatial masterplan.

The full masterplanning process involves a number of stages which may overlap to a greater or lesser extent and be carried out by a range of different teams.
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3.1 Identify aims and objectives

The need for a masterplan is likely to have been triggered for the reasons outlined in section 2.3. Before embarking on a masterplanning exercise the client has to

• establish why one is required

• set the broad aims of the process and desired output

• define the physical boundaries of the area under review.

It is important to recognise at the outset that the delivery of the masterplan will depend on a range of parties who may start with varying and sometimes conflicting aims. For example, the public agency may want to foster the welfare of people within their jurisdiction, local residents will be seeking an improvement in their quality of life and private developers may seek to optimise an opportunity to make profits or improve their assets. These different objectives may well converge to bring about change, so several needs and aims may be defined simultaneously.

“By good design we mean design that is fit for purpose, sustainable, efficient, coherent, flexible, responsive to context, good looking and a clear expression of the requirements of the brief”

Design review, Introduction – Paul Finch
3.2 **The strategic framework**

Strategic thinking and research has to be carried out, often by the client, to define needs, objectives and the key parameters that will inform the preparation of a spatial masterplan. This is referred to as the strategic framework and provides vital background information for the design stage of the masterplan. Key tasks that should be completed as part of the strategic framework include:

- collecting and analysing baseline information
- carrying out urban design analysis and characterisation
- creating outline business case, including delivery
- developing the vision – state and communicate aspirations.

Often an in-house team will be able to start the research and prepare much of the strategic framework, with some specialist input.

3.2.1 **The role of the strategic framework**

The strategic framework is the basis for the brief for the three-dimensional design – the spatial masterplan. Preparing this framework is a significant project in its own right. It draws together the client team and makes explicit the collective vision. It includes an overview that establishes and analyses the context and states clear objectives agreed between the key stakeholders. The first stage is to record baseline information and its analysis, which should address the topics outlined in section 3.2.2.

It is important to start the process on a sure footing, based on realistic assumptions about market demand and deliverability. The initial thinking can help decide how to generate political support and, if the process is to succeed, it may include making tough, crucial political decisions. It is particularly important to put in the early thinking to avoid wasting time and money for all involved later on, even though this early work will need to be adapted if circumstances change.

**Box 17: The main components of the strategic framework**

- physical parameters of the project: condition, constraints, opportunities, base data
- vision and its rationale – what kind of place and why
- analysis of the potential catalysts for change
- outline business case
- identification of strategic delivery issues and options
- identification of key stakeholders – roles and responsibilities
- how the framework will inform design
Dealing with strategic issues: Swords, Dublin

Swords is a growing town in the Greater Dublin area. While it has an attractive historic high street and town centre, it lacks high quality amenity and retail. Key issues that were addressed from the start included transport, character, the planning context and the competition from other centres. A potential metro line connection to the site was identified and evaluated, and an appropriate mix of functions and range of accommodation planned, including larger scale social amenity facilities and medium density housing.

A strategic brief derived the vision and land use plan for a 70 acre site adjacent to the town centre, by placing the site in its geographical, transport and planning context at a regional scale.

Project: Swords Barrysparks, Dublin
Client: Bovale Ltd
Masterplanner: DEGW
Images: DEGW
Establishing baseline data

The information in these grids is drawn from statistical data about Utrecht and Groningen in the Netherlands. It describes the cities' character in terms of quantifiable data. This provides a rich information base or understanding of the context for a plan and the baseline for proposals. Such information may also be a useful adjunct to other communication tools.

3.2.2 **Baseline information**

The baseline information provides facts about the current situation – physical, social and economic. This states the physical parameters of the project, setting its constraints and opportunities within the wider context. It is vital that any regeneration context for the masterplan is understood, particularly where some regeneration principles are already established, e.g., through the local plan, design briefs, conservation area plans, Single Regeneration Budget (SRB), EU Structural Funds, housing market renewal, housing expansion area or New Deal for Communities (NDC) programmes. The area may also have been the subject of previous masterplans that are now out of date, though the background material may still be relevant.

Collecting information is time-consuming and should be done in stages. Start with information readily available in-house, and public information from English Heritage, ODPM, the Office for National Statistics, survey and plan data, local history sources, websites and other sources. Then commission technical surveys as required, such as:

- location and capacity of utilities infrastructure
- resident and stakeholder opinion
- land use and property ownership and condition
- traffic modelling.

This information becomes a valuable resource that can be amplified as the project progresses. It should be filed and managed for easy access. A dedicated website accessible to members of the masterplan team could be considered.

Input from local stakeholders can bring greater depth to the baseline information: for example, an appreciation of the history, perceptions and associations with the place. Information on stakeholder aspirations should be part of this baseline data. Even at this early stage it is important to be clear to stakeholders about the broad parameters for change and to consider potential incompatible needs and opinions.

“The Masterplanning is rather like practising medicine, you have to start with the individual symptoms of the patient – the place.”

John Nichols, Leicester URC
**Box 18: Topics to research for baseline information**

- planning framework: local, regional, national
- land use patterns: buildings and open space
- physical condition: ground, air, water, buildings, topography, aspect
- infrastructure: subsurface and surface routes of drainage, water, power, telecommunications
- heritage: buildings, archaeology, cultural, landscape
- movement: traffic, public transport, pedestrians, cyclists
- demography: social and economic
- people: community, accessibility, amenity, diversity
- ownership
- legal constraints
- property market: demand and supply
- ecology and nature conservation, environmental assets
- cultural provision and identity
- proposals: planning permissions and proposals

Adapted from *Urban design compendium* p27 (London 2000)

### 3.2.3 Urban design analysis and characterisation

Initial urban design analysis is likely to be carried out when preparing the strategic framework. It is likely to be broad and should help identify key issues for consideration. It should include the collection and evaluation of information about the development of the area over time.

A useful method of analysis is ‘Characterisation’, developed by English Heritage and local authorities as a means of understanding the overall character of an area, rather than focusing just on the quality of one or two special buildings or places within it. It is designed to help inform the strategic framework as well as the spatial masterplan. Characterisation needs to start in the preparation stage, though it may also be developed during the design stage.

“There is no design process that should not just consider what we experience and see with our eyes, we should be thinking about the whole human response to place, including its culture, memory and history.”

Michael Freeman, Argent Group plc
### Box 19: Factors that influence character

The character of a place is influenced by many factors, including:

- the way the built form relates to the topography and the natural features around which the settlement has grown
- the historic structure and layers of development which have influenced the built form of an area,
- the landmark buildings, and traditional building types, including ‘ordinary’ buildings
- the green spaces and landscape framework
- the nature of the streets and spaces and the relationships between the public and private realm.

Using a range of techniques including review of historical maps, aerial photos, field survey and engagement with local communities, a ‘picture’ is built up of the urban character of an area. An assessment process follows to analyse the historic fabric and attribute ‘values’ or significance to the different layers. Judgements can then be made about what is historically or culturally significant, vulnerable to change or in need of protection, enhancement or celebration.

To be effective, characterisation should be seen as an integral part of masterplanning, offering a systematic approach to understanding the context of proposed changes. However, it is not meant to regulate activity and, if carried out thoroughly, may actually reduce the need for regulation.

Understanding the character of a place is a crucial component of masterplanning. It can help in understanding the way social, cultural and economic factors have influenced its evolution, and it can be used as a basis to make informed decisions on how the area should continue to change and respond to the conditions of today – and tomorrow – and reinforce the uniqueness of the place.
Characterisation as the starting point: Gloucester

Images from a characterisation study for Gloucester City Centre show the city’s historic development. Through an analysis of different aspects of heritage and the physical attributes of the city, character areas are identified which can act as the starting point for any design process.

Project: Gloucester - Rapid Characterisation and Scoping Report
Clients: South West Regional Development Agency
Report: Alan Baxter & Associates
Images: Alan Baxter & Associates
3.2.4 **The outline business case**
The baseline information should inform the outline business case, which tests feasibility. An initial assessment should be made to address the issues outlined in Box 20, although they are not necessarily dealt with definitively at this early stage.

The outline business case may examine a wider context than the immediate masterplan area, for example the regional economy. If a change in the perception of an area is wanted, or a significant urban extension or new neighbourhood is proposed, the effect on the end consumer should be explored. Issues affecting individual investors or local residents, such as the aspirations of potential homeowners, are relevant.

### Box 20: Issues to address in an outline business case

- how to position the proposed development in the regional, sub-regional and local economy
- how proposals should address issues of demand and supply in the property market and the potential financial benefits to investors, public agencies or the local community
- how the masterplan and resulting development can contribute to meeting policy objectives, particularly where a public agency is leading the process and seeking to regenerate the area
- a risk assessment to review risks and constraints, whether financial, legal or political, that could prevent implementation of the masterplan, and how to manage them
- potential catalysts for change in the economic base of the area or the nature of the site
- practical aspects of how the masterplan, its design and the implementation strategy will be carried out, including identifying an appropriate budget and programme
- consideration of broad issues and options related to the implementation of development and delivery mechanisms.

Implementation options must be considered from this early stage onwards. They should be at the heart of the testing and review of the masterplan during the design phase and followed through after the plan is completed. The option chosen depends on the masterplanning route and context within which the client is working.

Clients need to be realistic about the time, cost and effort it will take for consultants to prepare a masterplan. Generally the minimum expenditure is between £50,000 and £100,000. This fee may suffice for projects which are relatively straightforward, where there is comprehensive baseline data, where much of the detailed technical input is to be provided from outside the masterplanning team (eg. traffic modelling), where the design outputs (3D models, number of public consultations) are not over-ambitious and where the masterplanning programme will progress quite quickly (up to six months). For more complex or larger masterplans, requiring a wider range of skills and more detailed outputs, the cost is more likely to be between £100,000 and £500,000.
Testing options at all scales: Almere Port

These diagrams show the use of generic modelling to illustrate the impact of a mix of uses at the scale of the building, block and the city area. Such analysis can help to consider the impact of different development options on city character, building design and development economics. Investigations of this sort are needed to test the viability of proposals and ensure that they are fully understood.

Project: Almere Port, Netherlands
Client: Almere Municipality
Masterplan briefing: DEGW
Image: DEGW

3.2.5 The vision
A vision for the area forms the foundation of the masterplan. It describes, in words, images and diagrams (but not designs):

- the kind of place the area should become
- how much change is needed, of what type and over what time
- realistic objectives for development
- what is needed physically, economically and socially in the area.

Some clients write a vision statement at the start of the preparatory stage and include it in the outline brief. If a specific vision cannot be articulated from the start, it may state simply a general preferred outcome, for example regeneration of the local area. Or it may look at specific issues such as finding a positive use for redundant land. The vision will be tested and expanded through the 'prepare' and 'design' stages, particularly as the needs of stakeholders and partners are understood with increasing clarity.

In complex regeneration projects, with conflicting community wishes or a need to stimulate community interest, masterplanners may be employed at an early stage to carry out consultation, test community views and establish a range of options before a vision for the area can be articulated clearly.
Creating a vision for the future: Blackpool

Blackpool, once one of England’s most popular seaside resorts, has been in decline for some time. The local council wanted a dramatic new vision to upgrade the town and bring new economic opportunity. A framework of distinct neighbourhoods has been created which will allow appropriate local development to improve what is offered to tourists, the development of year-round attractions to combat seasonal economic weaknesses, and the upgrading of living and working environments. The images show a comprehensive plan with emphasis on integrating its components with the existing context and taking advantage of the local assets.

Project: Blackpool Waterfront
Client: Blackpool Borough Council
Masterplanners: EDAW and The Jerde Partnership
Images: EDAW
3.3 Identify the type of masterplanning process

The process to be adopted, decisions about how much expertise to buy from outside and how to choose development partners must all be considered at this point. The different contexts in which the masterplan is being proposed ↔ and the differences between client types ↔ mean that each situation requires a process tailored to its context.

Masterplans, especially those prepared for the public sector, often have a 'client' made up of several organisations and/or stakeholders, which change during the process. It is helpful to think about ‘the client’ — the entity undertaking the tasks outlined in this guide — as falling in to one of three categories, sometimes combined in a single client body.

Box 21: Three types of client’

Organisations commissioning and committing funds for the preparation of the masterplan may be:
• organisations with an interest in the delivery of the masterplan because it impacts on their assets or investments — for example the local education authority or landowner
• the community that will be affected by the physical, economic and social changes that will be realised through the masterplan
• organisations which will ultimately be charged with delivering the masterplan, but which may not be known during the preparation and design stages of the masterplanning process.

The internal client team, stakeholders, the masterplanning team and delivery partners identified throughout the preparation stage must be made aware of the type of process that is proposed and the basis on which it has been chosen. Everyone needs to understand this process and their agreement to work within it must be sought. If assumptions change, or different implementation routes evolve, then the new situation must be explained to relevant parties.
3.4 **Establish the client team and roles**

Creating the right client team and managing the multiple relationships well is essential for the success of the masterplan. The client committing funds for the creation of the plan must gain and keep the involvement, support and perhaps assistance from other bodies. A positive relationship between the client team and the specialist masterplanning team is essential to the success of the project.

The knowledge and expertise available in client organisations vary and must be taken into account when planning the process. For instance, major landowners usually have an experienced estates team and local authorities employ planning professionals. Specialists need to be co-opted for the duration of the project to complement skills not available within the client organisation. They may be appointed to assist in the early stages of the project, for example the preparation of the outline business case, and may be retained to provide support to the client throughout the process.

It is important that the leader of the client team, the project sponsor, maintains a productive team by instilling a team culture that:

- encourages and enthuses team members
- helps keep the project on track – managing the budget, monitoring time and quality
- holds only essential meetings – efficiently chaired and minuted
- is generous with praise
- avoids ‘contractual’ or adversarial, language
- criticises constructively, in private
- always keeps the ‘big picture’ in view.

**Box 22: Aims of a client management structure**

The client management structure should:

- identify the client team roles and who will fill them
- allow for other roles to develop as the project progresses
- set out objectives for each role drawn from the project vision
- define the facts needed at each stage before decisions can be made
- make clear who decides the brief, the budget and, how to allocate costs and time
- state thresholds for delegating decisions
- provide for record-keeping, make records of decisions
- set project milestones, agree key ‘sign-off’ stages
- have a process for testing and evaluating decisions
- specify a process for resolving conflicts
- plan for any feedback to client or stakeholders that will be needed.
3.4.1 A champion
A person in the client team should be appointed as the guardian of the overall aims and quality of the outcome, to inspire the team to provide a high quality result. This person champions the project, raising awareness of and expectations for it, and has a particularly important role in negotiating controversial situations, for example if changes are required in local plans or in people's perceptions. The champion must be committed to the aims of the project and to the quality of the outcome, and needs political and negotiating skills. The project champion within a local authority could be the Director of Environment or Regeneration, an elected member or the CEO, and in the case of a private company, charity or community group, the CEO, a non-executive director or a trustee.

3.4.2 The client or project sponsor
The immediate client, or project sponsor, is responsible for delivering the masterplan and for seeing that the vital client tasks, including consulting with stakeholders, preparing the brief and selecting the technical team, are carried out.

Box 23: A project sponsor
A project sponsor should:
• understand the overall vision
• lead and motivate the team
• identify and support the skills of other team members
• communicate well within and outside the organisation
• understand value and risk – sometimes with professional advice
• know when a decision is needed
• know when a good decision has been reached
• be tenacious in attention to both the big picture and the details
• have an appropriate level of authority to take strategic decisions as required.

3.4.3 A project manager
The project manager co-ordinates and manages the project from day to day and can be recruited from outside the client organisation, or may already be part of the in-house team. This person is needed early on if the in-house management has limited experience of masterplanning and can continue into implementation phases. The project manager needs to have a strong personality and must either be given powers to make decisions or have direct access to the project sponsor and project champion.
3.4.4 **Client steering group**

The steering group may consist of representatives of the main stakeholder organisations. Its members should provide direction, but not operate as a multi-headed decision-making body. It should be chaired by the client, in the person of either the project sponsor or project manager. The chair must interpret the consensus, define the direction to be taken and obtain ratification so that the professional masterplanning team is clear about what is required. The views of the different members must be carefully co-ordinated to ensure that there is no danger of contradictory instructions being given.

A relevant and deliverable masterplan will be achieved by making sure that the knowledge and expertise of stakeholders is incorporated into the process. Sometimes many agencies and organisations expect, and are entitled, to have a say in particular spheres, so joint agreements are needed to get consensus on the guiding concepts. The steering group should help this process, and ensure that key agencies able to assist with the delivery of the masterplan, have had input at the early stages and therefore are committed to making the project a success.

It may be useful for the steering group to include masterplanning experts who are not directly involved in the project, but who can provide additional technical vetting of proposals. Alternatively, proposals can be submitted to CABE’s Design Review programme.
3.4.5 **The decision-making process**

The roles of project sponsor and project manager can be combined. When they are carried out by different individuals the responsibility for taking decisions must be very clear. The project sponsor has the main responsibility and the project manager only takes specifically delegated decisions related to the administration of the project. Involving the right people at the right time needs careful planning from the start. It is also important to clarify communication channels with elected local authority members to ensure that they are consulted at key stages.
3.5 **Identify stakeholders**

Stakeholders may be from political and statutory authorities, from the investor community and private interests, or from public bodies and the community. Reconciling their diverse needs may be one of the prime reasons for proposing a masterplan. Some stakeholder groups may only come into being through the masterplanning process. Others may form alliances. Early contact with, and information from, as many stakeholders as possible is essential.

**Box 25: Potential masterplan stakeholders**

**Public interests – political and statutory bodies**
- planning authorities
- highway authorities
- fire and emergency services and police authorities
- building control departments
- statutory consultees and agencies, eg. CABE, English Heritage
- public funders, eg. Regional Development Agencies, English Partnerships
- local service providers, eg. the Local Education Authority, Primary Care Trust, housing associations.

**Private interests**
- landowners
- funders (short-term)
- investors (long-term)
- developers
- management agents
- occupiers
- utilities companies
- transport providers.

**Community interests**
- local resident bodies
- local businesses and chambers of commerce
- local employers and employees
- amenity groups
- local communities
- local politicians
- future residents and users
- visitors to the area
- children (who will probably be adults by the time development is complete).
3.6 Consult and communicate with stakeholders

Stakeholder communication needs to be carried out by someone experienced so that appropriate information is collected without raising false expectations. Time should be given to consultation but not so much that the project is submerged by it. The right amount of information is needed at the right time. Input of the wrong level offered at the wrong time results in unnecessary frustration and delay for everyone.

Precise communication routes, timings and people involved vary according to the project. Stakeholders may need to be contacted by the client, the project champion, the project manager, the leader of the masterplanning team or specialists. The vision needs to be communicated, stakeholder knowledge tapped and their concerns understood so that the masterplanning team can incorporate their views and knowledge into the design process.

3.6.1 The consultation strategy

Consultation is about establishing and reconciling values and conflicting objectives and dealing with sensitive issues. The consultation process is vitally important where there is a desire to see the masterplan inform local planning policy, particularly given the need for local planning authorities to prepare a Statement of Community Involvement as part of the preparation of the Development Plan Documents.

The client should prepare a consultation strategy early on. It is easy to confuse consultation with communication, publicity or marketing, thereby raising false expectations, so processes must be carefully planned. Consultation is about an exchange of ideas; communication is about a one-way provision of information.

The consultation strategy should set out:

- who will be in charge of the process
- the aims, anticipated benefits and risks associated with the consultation
- who should be consulted, who communicated with
- stages at which it will be carried out
- types of processes to be used
- how this would relate to a parallel communication/publicity or marketing strategy

The amount, type and timing of consultation depends on the context. For example, a project with competing, varied developer interests and many existing local organisations with their own agendas needs to be handled differently from one where local interest has to be generated before any plan can take shape. Some official bodies are entitled to representation and must be consulted.
Adopting mechanisms to aid in consultation: Holbeck Urban Village, Leeds

Large-scale models, and clear images recording ideas, are important tools to facilitate ongoing discussions. This is particularly relevant when the process takes many years, as was the case in the ‘loose fit’ masterplan for Holbeck Village in Leeds, where a consensus on directions for the future is emerging after a long period of consultation.

Those who will initiate and control the change and those who will be affected by it – landowners, developers, agencies, institutions, funders and the local authority – are developing a strong sense of ownership through consultation and discussion. This process is organic and flexible and needs sufficient time for the right decisions to be made, to create the right partnerships and to be sufficiently flexible to accommodate ever-changing political, social and cultural scenarios.

Project: Holbeck Urban Village, Leeds
Clients: Leeds City Council, Yorkshire Forward
Consultants for Strategic Framework: Bauman Lyons, Martin Stockley Associates, Estell Warren
Landscape Architects
Images: Leeds City Council
Everyone consulted must realise that the design process is about reconciling differing objectives and that it is therefore seldom possible to give everyone everything they want. Experts and lay people should be encouraged to challenge each other’s assumptions. The design team must recognise the valuable contribution that local knowledge brings to a project and should be prepared to tap into it through early consultation, to avoid pursuing impractical or less effective solutions.

Many forms of consultation may be needed, including role-play, public participation exercises and design workshops, before shared objectives are agreed. These should not be treated as opportunities for ‘design by committee’. Well-tried mechanisms for consultation such as ‘Planning for Real’ or Enquiry by Design (as developed by English Partnerships) may usefully be employed. The process, which may take several days, needs careful preparation and should be managed by people familiar with the techniques. Where local authority or other public resources are needed to create and implement the masterplan, political backing is critical, especially as tough political decisions may have to be taken. Early liaison can help gain political support.

Sometimes simple communication of information is needed, for instance to gain the support of stakeholders at different stages, or to ‘market’ the ideas to potential investors or funders and to engage them in the process.

Box 26: Consultation and communication methods

A wide range of methods have been developed to consult or communicate with stakeholders, many of which can be used in combination or at different points in the process. Some are clearly consultative in their methods and aims, others are about one-way communication or marketing. It is important that the appropriate methods are used, depending on the audience, the client’s objectives and the stage reached in the process. Methods include:

- design workshops
- open days
- exhibitions
- study tours
- walkabouts
- focus groups
- community meetings
- questionnaires
- formal committees/meetings
- Urban Design Action Teams (UDATs)
- Enquiry by Design (developed by English Partnerships)
- Placecheck (developed by the Urban Design Alliance)
- Planning for Real
- projects with a local architecture and built environment centre
- initiatives with local teachers and children, linked to curricula
- website
- newsletters
- local press articles

For more information see Nick Wates, Community consultation handbook (Earthscan, London 2002)
Using different media for communication: Lewisham Gateway

The regeneration of central Lewisham seeks to solve the problem of the town centre being separated from its rail and bus stations, at the same time as creating a new public space and facilitating a substantial amount of new commercial, retail and residential development. Options for the Lewisham Gateway project are shown on drawings, which illustrate the three-dimensional spatial plan.

Different media can communicate different ideas. Using a variety of illustrative materials to present a design can be helpful in communicating with different types of stakeholder. Computer modelling allows a variety of three-dimensional impressions; Drawing allows expressive annotation about possible uses or other details.

Project: Lewisham Gateway, London
Consultants: Chesterton International, Jon Rowland Urban Design, Colin Buchanan and Partners
Images: Jon Rowland Urban Design
3.6.2 The consultation process
Public consultation and dealing with discussion of conflicting aspirations and needs is an area of special expertise. Elements that are fixed and cannot be open to debate must be made clear. Approved local and central government plans and development frameworks, their status and relevance to the masterplan, must be set down and explained before consultation starts. As far as possible those consulted must agree to aim for decisions everyone can accept. Formal approval processes must be explained and opportunities identified to feed back decisions on design and approvals.

Effective consultation needs to show the public and interest groups that the masterplan team is actively involved in considering their area and concerns in a thorough way, not simply tinkering at the edges, even if solving the larger problem will take time. The downside lies in raising expectations that take years to fulfil. Programme and costs need to be dealt with frankly and realistically; but it is good to bear in mind the confidence-building effect of seeing something happening sooner rather than later.

Many large-scale masterplan sites have been reviewed several times and the key stakeholders may be suffering from ‘consultation burn-out’. To overcome any negative response, the masterplan must identify early wins and reinforce the importance of a deliverable scheme with a realistic timetable for implementation.

In some cases, particularly in housing redevelopment schemes, appointing separate consultants to work with and represent local residents improves the process. These independent advisers should act as advocates for the community and, where necessary, support direct community involvement. There may also be opportunities to use the consultation process to develop skills and improve the capabilities of community representatives.
Box 27: **Questions for a consultation event**

**Preparation**
- What are the objectives and purpose of the event?
- Who will write the agenda?
- How does the event relate to the planning and design process?
- Which stakeholders will be invited and how will they be contacted?
- How to time the meeting for maximum convenience?
- How to reach people who cannot attend?

**Organisation**
- Who will organise the event?
- How long will it last?
- What equipment or specialised services are needed?
- What sort of venue should be used?
- What facilities, such as refreshments or a crèche, will be provided?

**Costs**
- What will be the cost of the event, including preparation and follow-up?
- Who will sponsor the event?

**Professional support**
- Will an independent facilitator be needed?
- What will be the role of other professionals?
- Should limitations be put on participating professionals accepting related consultancy work?
- How will participants be briefed?

**Follow-up**
- How will feedback be used?
- How will the event be presented to the media?
- What sort of report(s) and/or drawing(s) will be produced?
- How will the event be followed-up?
- Who will take responsibility for incorporating ideas and giving feedback after the event?

3.6.3 **Consultation outputs**

The process delivers information from those consulted – hard data, opinions and preferences – which can be fed into the strategic framework and the design. To capture the benefits of communication at every level, the process needs to be carefully documented and the outputs clearly described. Those consulted should have the opportunity to give feedback so that trust and collaboration can be built up: crucial when the time comes to implement the masterplan. The process can become part of the change management that is needed as the area is transformed.
3.7 The masterplanning team

3.7.1 Finding the right skills
The range of skills needed in a masterplanning team is wide and varies from project to project. Selecting appropriate specialists can be time-consuming but is very important. Competitive selection should follow processes similar to those for any design project and be based on quality and value, not on cost alone.

Although many different specialisms may be needed in the course of a project, the central skills are those of urban design/masterplanning, economic, transport and landscape planning. Others may be needed at specific moments, for specialised data reports or to tackle particular issues. The client may well have most of the necessary skills in-house, and only need to buy in a few additional ones. Alternatively, a consultant masterplanning team may cover all the areas, or co-ordinate a wider network of specialists.

Box 28: The masterplanning team

Core specialisms
- masterplanning
- urban design
- town planning
- architecture
- landscape design
- traffic and movement analysis and planning
- economic development and property demand
- regeneration funding and delivery

Additional skills
- project management
- structural, civil and highways engineering
- construction management
- acoustic engineering
- cost planning/quantity surveyor
- property market analysis
- urban sociologists and crime consultants
- community development and consultation
- event organisation and promotion
- market research
- identity and branding
- environmental specialists, eg. ecologists, waterways
- archaeology/heritage
- conservation and listed building specialists, urban historian
- industry sector consultants, eg. cultural or leisure industry
- artists and arts professionals
There is no professional qualification in masterplanning; masterplanners are often urban designers, town planners, architects or landscape architects who have learnt through experience the additional skills required for masterplanning. Some multi-disciplinary practices offer urban design, landscape architecture, economic regeneration and architectural skills under one roof. It is not essential for the team to have all the specialisms in-house, provided the firm is familiar with working with the other professional skills required. Architects can play a vital role in these projects, bringing depth to the design thinking. But masterplanning is not simply architecture at a bigger scale and masterplanning requires an additional set of skills to those needed for the design of a building or group of buildings.

Box 29: A masterplanner’s core skills

A masterplanner should have the ability to:
- coordinate a diverse range of technical inputs and evaluate the relative importance of different elements
- think holistically about an urban area
- prepare urban design proposals
- present research, evaluation and proposals clearly to a wide range of audiences
- communicate ideas and proposals clearly and succinctly through words, diagrams and three-dimensional illustrations – usually with input from an urban designer
- address how proposals are going to be delivered
- explain design decisions to a wide audience/key stakeholders
- manage the team, client input, budget and programme effectively
- bring together key stakeholders’ interests into a coherent whole.
3.7.2 **Leading the masterplanning team**

The client must ensure that the team is led by a strong individual experienced in masterplanning and able to co-ordinate the sometimes contradictory professional approaches. The main criteria for assessing masterplanning skills are experience and references, which must be carefully considered during the selection process. The lead masterplanner in the technical team draws together the policies and proposals put forward by specialists into a single plan focused on the original vision. The integration of landscape design and urban design is particularly critical in achieving this coherence. In some situations the client’s project manager may be used to manage the interaction between the client and the masterplanning teams.

3.7.3 **The commissioning brief**

For a masterplanning team to tender for a project or to say how they will approach it, they require a commissioning brief. The quality of the final masterplan depends to a great extent on the quality of this brief. It should refer to the baseline data and the client’s initial aims and vision, as set out in the strategic framework, and must include information about the tendering process. Some clients are in a position to prepare very complete information, others not, but all should have done some work on the strategic framework before appointing a masterplanner. The consultant team for a masterplan will refine the initial brief in an inception report. This may re-balance priorities and must be agreed with the client as the framework for the plan.

Box 30 outlines the type of information that a masterplanning team needs to receive in a commissioning brief to be able to prepare a tender. This is expanded in Worksheet 4.

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**Dealing with different scenarios: Lower Lea Valley, London**

A masterplan sometimes needs to play several roles. The masterplan exercise for the Lower Lea Valley has dealt with three potential scenarios: with the Olympics, after the Olympics and without the Games. It must both organise activities in space for a major international event, and also use the opportunity to capture the maximum regeneration benefit for London. It sets out how the Olympic provision could leave a legacy of regenerated land and new facilities, create new neighbourhoods, parks and waterways and generate economic activity for London.

Project: Lower Lea Valley / London Olympics 2012 -
The Legacy Masterplan
Client: London Development Agency
Masterplanner: EDAW, Allies and Morrison,
Foreign Office Architects, HOK
Image: EDAW
Box 30: Contents for a masterplanners commissioning brief

The commissioning brief should include, or be appended, with as much information as possible about the:
• vision
• primary objectives for development: physical, economic and social
• lead client organisations
• steering group and relationship to other stakeholders
• masterplan site area
• baseline information and further work required on baseline information
• outline business case and what requires further investigation
• things the masterplan is trying to define and what will be left open
• current policies for the area and where they are subject to revision
• preliminary options for financing the partnership with the private sector or a public agency
• how the team will be selected: selection criteria, selection programme, submission requirements
• skills required
• outputs required from the selected team, including client meetings, consultations, reports (numbers level of detail), presentations
• programme for the masterplanning process
• budget: this may be fixed in advance or left to the competing teams to determine.

3.7.4 Selecting a masterplanning team

Reputation and previous knowledge are the starting point for selecting a team. However, a competitive selection is often required, as is compliance with European Regulations. There are two main types of competitive process:

• an invited shortlist

• an open process where anyone can apply.

One method likely to produce a skilled and compatible team is a staged competitive selection. At stage one several organisations pre-qualify by sending details of their skills and experience. Depending on the type of skills needed, the RTPI, the RIBA, UDG or other organisations may be able to provide names for a long list. A short list of three or four teams is then identified. These firms are asked to prepare a more detailed submission for stage two and to attend an interview. Stage two submissions may request initial ideas about the methodology of preparing the masterplan and identification of issues particular to the locality. The client may set a fixed budget and compare what each team offers within that budget, or allow the teams to propose their methods and their budgets.
The client must set aside time to provide information for the competing teams, and offering honoraria to cover some the costs may encourage well thought-out submissions. When making the final choice, it is important to consider the amount of time that will be spent on the project by the senior, experienced members of their team and the experience of the proposed team leader.

Occasionally clients consider appointing masterplanners through a design competition. This approach is not appropriate in most circumstances as it is generally premature for competing teams to submit developed design ideas. Rather they should be appointed on the basis of a sound methodology, design skills, capacity to work alongside the client and their appreciation of the potential of the place. Design competitions are costly in terms of time and energy for the client and the competing teams.

However, there are circumstances where a design competition may be appropriate, for example when the strategic framework for the project is well established and the competition process is used as part of the selection of development partners.

**Box 31: Key principles for your selection process**

- candidates are treated equally and fairly
- the process is transparent and well-run
- there is a genuine intention to proceed
- every candidate has adequate time to participate
- the information required for the ‘pre-qualification’ stage is not too onerous
- all candidates are told the selection criteria at each stage
- all candidates have the same and the most up-to-date information
- all candidates are told all the necessary procedures
- information from candidates is treated in confidence
- the process is open to scrutiny
- the reasons for the final choice are justifiable
- unsuccessful candidates are given feedback.
### Box 32: Stages of the selection process

Any selection process must be transparent, accountable and fair.

**Stage one: pre-qualification**
In order to demonstrate suitability, organisations are often asked to pre-qualify. Conditions must be defined by the client and cover the main qualities needed in the team, such as intellectual, technical, physical and financial resources. A ‘long list’ of firms that fulfil the pre-qualification criteria is drawn up. The quality of what a team has achieved should be considered, as well as the quantity. Preparation of plans that have been successfully implemented is an important qualification factor.

**Stage two: A short list**
This is narrowed down to a short list from which the final selection is made. A professional adviser with masterplanning expertise may be needed to help create the short list. Short-listed teams prepare a more detailed submission.

**Selection from the short list**
The selection committee needs a diversity of skills to evaluate the quality of the various inputs, from project management, to technical considerations and design flair. Selection on the basis of fees alone is not recommended – it is unsuitable for the procurement of intellectual or creative services. Where price is one of the criteria, a balance must be sought that gives appropriate weightings to both the quality of the proposal and the fees tendered.

**Appointment**
As soon as a choice has been made, the masterplanning team is appointed. Contractual arrangements must be finalised and the timetable agreed.

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### 3.7.5 Official Journal of the European Union procedures (OJEU)

EU procurement regulations for ‘services’ apply to masterplan projects for public clients. Neither EU regulations nor other competitive selection processes prohibit contact with the prospective tenderers. Direct interaction by tenderers with a senior person on the client team, such as the project manager, can lead to more thoughtful proposals, especially where the context of the plan is still to be clarified. It can also offer clients a clearer indication of which team will work most effectively with them.

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### 3.7.6 Creating a positive working relationship

The relationship between client and consultants is one of the keys to success. The parties should respect each other, and neither should dominate – the consultants must feel free to challenge the brief and the client to challenge the consultants’ ideas. The roles of individuals on both the internal and external teams need to be made clear to all parties and the client should develop a structure to manage the process and relationship.
Thinking about identity: Zuidas, Amsterdam

There is a 25 year programme for developing the Zuidas area of Amsterdam. This is an illustration from a strategic framework or brief for the masterplan. It communicates issues of image, branding, culture, identity or character across part of the Zuidas plan. The Municipality has proposed an overall masterplan which subdivides the area into smaller zones. Each of these neighbourhoods has its own components, accommodation needs, atmosphere and scale. This information forms part of the brief for the masterplanning design process.

Project: Amsterdam Zuidas, Netherlands
Client: ING Real Estate
Masterplan briefing: DEGW
Images: DEGW

3.8 Next steps

Once the prepare stage is complete the strategic framework will act as the brief for the spatial masterplan, and a masterplanning design team will be in place. It is now possible to move to the design stage. During the preparation stage the process for implementation should have been considered. In some projects there may be a gap in time between the prepare and design stages, while funding or early implementation issues are resolved. In these cases it will be important to ensure that as time passes the strategic framework is kept up to date.
During the design stage, the client has important roles that are likely to focus on:

• providing technical background to the masterplanning team

• providing leadership, helping coordinate the input and interests of many stakeholders

• ensuring clarity is given about the priority of certain objectives

• providing strategic direction to the team when required

• contributing to the evolution and testing of proposals

• starting to get commitment from key stakeholders who will help take the masterplan forward, including political backing

• providing realism about funding, phasing and delivery

• communicating what is happening to a wider audience.
Box 33: **The process and outputs in the design stage**

| Design | Test strategic framework  
|        | • collect any further baseline information  
|        | • test and develop the business case  
|        | • review and expand vision  
|        | ↓  
|        | Prepare and test land use and plan layout options  
|        | ↓  
|        | Test against potential implementation models and options  
|        | ↓  
|        | Consultation stakeholder consultation and feedback  
|        | ↓  
|        | Prepare draft spatial masterplan including three dimensional urban design proposals  
|        | ↓  
|        | Development capacity analysis and testing  
|        | ↓  
|        | Urban design refinement  
|        | ↓  
|        | Finalise spatial masterplan and report, including implementation mechanisms |
4.1 The design process

The table opposite outlines the steps that need to be taken during the design of the masterplan. This involves testing the strategic framework, evolving physical proposals and defining outline implementation possibilities, to ensure that they form a coherent and realistic way to bring about beneficial changes.

In the early stages the proposals establish the principles of land use for the area, which are then elaborated in three dimensions, showing the key urban design principles for development. These three-dimensional proposals can be tested by quantifying the amount of development that is likely to result and therefore the likely costs and values. This will help inform the implementation stage.

Several documents provide detailed and thorough descriptions of the issues that masterplanners should address during the design stage, most notably the Urban design compendium (English Partnerships and Housing Corporation, London 2000) and Urban design guidance (Urban Design Group, London 2002) and these should form part of the masterplanners' library.

Once the masterplanning team is in place and the design process underway, clients need to be aware of:

• the iterative nature of the process, with constant testing

• what to expect in a masterplan

• how to evaluate a masterplan

• the importance of continuing to engage stakeholders in the masterplan

• how to ensure that the masterplan addresses issues of delivery

4.2 What to expect in a masterplan

From appointing the consultant team to final masterplan is unlikely to take less than six months and, depending on the size of the project, may take a year or longer. Key milestones, consultations and decision-making points should be set, when the plan should be reviewed against the vision and objectives before proceeding.
Box 34: The contents of a spatial masterplanning document

Three-dimensional urban design proposals
- the proposed massing, height, densities, orientation, grids and blocks, (without architectural or style details)
- movement routes (both pedestrian and vehicular)
- the location and role of open space.

The written part of a masterplan may cover the following:

Vision statement
- the vision for the area, which will have evolved and expanded through the process
- aims and objectives – what the masterplan is trying to achieve

Site and context appraisal
- the existing context and summary of baseline information

Policy review
- the policy context and the need for aspects of the masterplan to be adopted as policy, eg. through supplementary planning guidance or design briefs

Feasibility appraisals
- the business plan, including feasibility and option appraisal

Planning and design principles
- a description of the different elements of the masterplan: the physical, economic and social
- the different physical elements / layers that as a whole will create a successful place – often presented as strategies relating to land use, urban design, architecture, open space / landscape, movement, infrastructure, etc
- policies that should be adopted to inform the more detailed stage of design for individual buildings and spaces, for example, quality of key spaces or sustainable design principles for buildings

Indicative design concepts and proposals
- aspects of the masterplan that are definitive and vital to the creation of a successful place and those where more flexibility can be applied

Details of the proposed development process or delivery strategy
- the mechanism for assessing detailed proposals against the masterplan as they come forward
- the mechanism for changing the masterplan if circumstances change
- the delivery strategy, eg. costs, phasing, funding, timing and delivery organisations
- the key partners in the development and their respective roles: regeneration agencies, developers, funders, designers, the community, tenants, transport providers, the local planning authority, etc.
- the key steps required for implementation.

Some of these topics form part of the commissioning brief when choosing a masterplanning team. They should be checked and reviewed as they are extended or elaborated during the design process.
4.3 Evolving and testing the masterplan

During the evolution of the design, many factors will have to be considered and addressed. A key role for the client during the design stage is to test how the masterplan deals with these factors. Testing will not happen at a single point in the process, but will be iterative. It should refer back to the original objectives and vision set within the strategic framework.

Testing should answer five fundamental questions about the masterplan:

- Will it deliver the vision established for the place, based on its unique qualities?
- Does it set out proposals and principles that will create a place that will function well in terms of its urban design: streets, blocks, spaces, movement, landscape, and infrastructure?
- Does it provide the basis to create great architecture, buildings and public spaces in terms of design quality, set the standards to be achieved and provide the framework for testing proposals?
- Are the proposals viable in economic and market terms?
- Is the plan deliverable? What are the mechanisms to ensure delivery?

Tests for the emerging proposals are outlined below. They relate to the key components of vision, function, urban design, architecture, design quality and viability identified above. Part of the process of testing the plan takes the form of continued consultation and communication with the stakeholders. Much of the work described in sections 3.6 and 3.7 takes place during the design stage, although it starts in the prepare stage.

Some masterplans may not pass all the tests. However, a basic CABE tenet for buildings also applies to masterplans: does it bring more to the world than it takes away?
Box 35: **Key tests for a masterplan**

The experience of CABE’s Design Review Committee in evaluating a large number of masterplan proposals suggests the following tests. Does it:

- reconcile economic goals and other public aspirations?
- provide an urban structure which is easy to explain and use; and robust enough for future cycles of redevelopment?
- allow phased implementation?
- provide value if only executed in part?
- provide a flexible and open-ended framework, able to respond to change in demand?
- achieve a sense of place and distinct local identity?
- achieve something overarching – the quality of the public realm/landscaping?
- integrate with surroundings so that the area being developed and the surrounding area benefit from each other?

### 4.4 A ‘vision’ and sense of place

A masterplan sets out principles that can be applied with a degree of flexibility. A good masterplan has a ‘vision’ that helps shape what happens on the site, giving it coherence and a real sense of identity and place. Some sites might call for visionary design quality, and some masterplans might achieve it, but this is not true of the majority. Rather, a vision is likely to derive from an understanding of the characteristics of a site, its history and geography, to suggest how a sense of place can be created and related to what is there already. It is important that the vision is not lost during the development of the design, so as it develops, the plan must be constantly checked against the original vision.

Some aspects of the vision may go beyond the physical and change people’s perceptions of a place or alter aspirations and expectations of local people and investors. A vision need not arise from a design objective: it may be generated by other aspects of masterplanning, such as the business plan or innovative funding arrangements.

“It is important that when designing a masterplan we design in cross section as well as in plan to address issues of topography.”
Michael Freeman, Argent Group plc

“It is important that the client stops the designers from starting to design on day one. Instead they must spend time studying and understanding the place.”
Alan Baxter, Alan Baxter & Associates
4.5 Functionality

4.5.1 Urban design
Every masterplan responds to unique circumstances. However, tried and tested urban design principles can be used to evaluate its quality. By design: urban design in the planning system: towards a better approach (CABE/DETR 2000) indicates key questions to ask when evaluating the design quality of proposals and the extent to which they will secure well designed projects during implementation.

Design review (CABE, London 2002) explains how CABE evaluates quality in design and stresses the importance of urban design analysis. People evaluating masterplans need to balance idealism with pragmatism. A good masterplan must be based on understanding the nature of a place before starting to design for it, and must include a written and drawn urban design analysis. This understanding can also be strengthened through the process of characterisation described in section 3.2.3. An urban design analysis takes into account:

- the nature of the surroundings beyond the site
- connections and desire lines between site and surroundings and the patterns of movement of pedestrians and vehicles
- the existing patterns of built form on the site and around it, including heritage issues and characteristics that make it a unique place
- the site topography, hard and soft landscape and ecology.

4.5.2 Site planning
Successful site planning balances routes, spaces and buildings. Developing the plan is an iterative process that constantly checks that all important aspects are covered. The shapes of building plots and buildings must not be the only focus of the design; open space must have a purpose and not simply be 'space left over after planning'. But the converse may be dangerous too; shaping blocks and building plots to define open space must not result in arbitrary building forms difficult to turn into good architecture. Site layouts should take account of the topography – very few masterplans are on flat sites – and can create great opportunities. Not thinking this through can result in disasters.

Site planning should, from the beginning, include thinking about hard and soft landscape design. Open spaces are often a significant part of urban masterplan design. The more flexibility required in future patterns of built form, the more it will be landscape design that gives coherence. Criteria for well-designed open spaces must be carefully thought through.
Establishing design principles for neighbourhoods: Cherrywood, Dun Laoghaire

The masterplan sets out the framework for a new urban settlement on a 150 ha suburban site to the south of Dublin. A long term development framework outlines the scale and type of development, also outlining key principles of character and mixed uses for different parcels.

This plan illustrates six approaches to different locations, and states the key principles that are to be followed when designing them, such as building height, landscaping types, and predominant uses. Architectural design styles are not prescribed, but the brief for each type of area is clear. This definition provides an inbuilt flexibility to enable phased implementation through individual planning permissions.

Project: Cherrywood, Dun Laoghaire, Ireland
Clients: Dunloe Ewart Plc and British Land Developments Ltd
Masterplanners: DEGW, Landscape Design Associates
Images: DEGW, Landscape Design Associates
Box 36: **Key questions for open spaces and the public realm**

**Function**
- What is the space for – can exceptional events be catered for?
- Is the location right for its intended use, eg. is it meant to be a focal set-piece space or a quiet, out of the way place?

**Design**
- Will it provide local identity, character and delight?
- What scale should it be?
- How can it respond to and reinforce the topography, microclimate, views and landmarks?
- Are the edges places of activity?

**Users**
- Who will use it and at what hours of the day?
- Is it as safe as possible for all who will use it?
- Does it address the needs of users?
- Is it overlooked, what activities are affected by this?
- Does it provide for vehicles effectively eg. for maintenance, or accessibility?
- Will it be sustainable, who will own and maintain it, and how will maintenance be paid for?

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### 4.5.3 Infrastructure and connectivity

Balancing the needs of access and movement with creating a high quality development often takes a great deal of ingenuity and creativity on the part of the masterplanning team and client. It is important that the needs of the car are not the only ones considered in determining site access, layout or roads.

The existing context and opportunities for infrastructure and connectivity should be the starting point when planning a pattern of development. Good places are well-connected. It is essential to look beyond the ‘red line’ of the site boundary and consider how the site connects with its surroundings for all relevant types of movement. Brownfield regeneration sites have often remained undeveloped or under-developed precisely because of lack of connectivity. On such difficult sites, it sometimes happens that fundamental infrastructure problems (for example, the need for a new bridge across a river) are passed over as too hard or too expensive to solve. Poor connectivity may limit the success of the plan, whatever the quality of the subsequent design.

Infrastructure and site conditions should be considered at the same time as above-ground connections. They sometimes pose costly constraints that need to be understood from the outset, for example utilities connections or diversions, ground contamination and remediation or flood defence requirements.
Using tools to test masterplans: South Bank

There are various tools available to help establish the baseline and test proposals. For example, Space Syntax use a set of techniques for robustly forecasting the effects of masterplan design decisions on social and economic outcomes such as pedestrian movement flows, crime patterns and land values. The analysis is particular to the context and helps deals with masterplan issues including layout, permeability, spatial accessibility and land use allocation.

Project: South Bank Analysis
Client: South Bank Centre
Consultant: Space Syntax
Image: Space Syntax
4.5.4 **Roads, servicing and car parking**

Accommodating the car has the single largest impact on urban form and the proportion of land dedicated to vehicles can be large. Issues such as road design, vehicle access to plots and buildings, vehicle parking and public transport contribute to the ‘anatomy’ of site planning and should be assessed at early stages of the development of the plan. In a well-designed masterplan, a realistic attitude to vehicular management is integrated with thinking about landscape design. It should not be regarded as a technical matter to be dealt with only by traffic engineers. Schemes that ‘wish away’ the problems of traffic may fail to reconcile the conflicts between vehicles and pedestrians.

Car parking is land-hungry and particularly hard to accommodate as development densities increase. It is therefore essential to address this issue at the beginning of planning the site and not as an afterthought. Car parks can be considered as public space in many instances and designed as such to contribute to positive amenity, with good landscaping and surface treatment, rather than being designed as a necessary evil with minimum visibility.

4.6 **Design quality and architecture**

4.6.1 **Masterplanning and architecture**

Masterplans usually define an urban design vision, but should not define architectural styles as this is best left to individual architects and developers during implementation. However, the masterplan should establish the aim of design quality in architecture, and create a framework within which good quality architecture can flourish. For some aspects of the masterplan it may be appropriate to give guidance as to the architectural approach, for example the relationship to a listed building. Methodologies and tools to assist in the pursuit of design quality in buildings, for example the use of design codes, are considered in section 5.4.

Many masterplanning teams include people with architectural skills to provide wide aerial perspectives or indicative ‘cameo’ views of what places or buildings will look like. Pitching these illustrations at the right level is an art in itself. In the public consultation exercise, the presentation of architectural imagery acts as a lightning conductor, for good or ill. At best, such an approach generates far more memorable images than can ever be achieved by a plan. At worst, it can distract attention from more strategic issues.
**Communicating design proposals to stakeholders: Canon’s Marsh, Bristol**

Canon’s Marsh is a major brownfield site in the heart of Bristol, marred by a derelict gas works dating back to 1823. Three landowners own the site. After many years of unsuccessful attempts to redevelop the site, the key to unlocking its potential was a rigorous process of public consultation that established a set of ‘public criteria’ from a series of stakeholder and community focus groups. These, combined with a commercial brief from the developer client, enabled the masterplanners to produce a scheme that could be evaluated by the same groups. The image shows how the urban design and architectural quality of a plan can be communicated to a wide audience.

Project: Canon’s Marsh, Bristol Harbourside  
Client: Crest Nicholson (SW) Ltd  
Masterplanner: Edward Cullinan Architects  
Image: Richard Carman

“The masterplanner will set down the fundamental principles for a place, but they shouldn’t be the architects of the whole lot.”  
Alan Baxter, Alan Baxter & Associates

“Until the 20th century, architectural coherence came for free, due to the need to use local materials. Now we have to work harder to get it.”  
Michael Freeman, Argent Group plc
4.6.2 **Coherence, variety and uniformity**

A sense of place and coherence come primarily from the following qualities of buildings and spaces:

- scale
- compositional rules for building design
- grain of built form
- balance of diversity or uniformity.

A Nash terrace and medieval streets are examples where these features can be clearly differentiated. Until the twentieth century, coherence came easily, as buildings, whether high status architecture or vernacular, conformed to well-understood patterns that evolved gradually and used a limited range of largely local materials and a local skills base. Clearly this is no longer so and in the 21st century the challenge is sometimes to reign in the huge variety of possible forms and materials.

The masterplan should set down the extent to which it is attempting to impose coherence or uniformity on future architectural development. A specialist advisor may be needed to help understand the physical impact of the architecture when the plan is developed. The masterplan should permit variety and individuality without creating an incoherent, ‘placeless’ environment. The key to success is often simplicity.

The strength of the masterplan lies in its ability to accommodate change. Setting standards by delivering high quality projects early is important and will benefit later projects and create benchmarks against which they can be judged. For more information about commissioning building projects see *Creating excellent buildings: a guide for clients* (CABE 2003).

4.6.3 **Architectural heritage**

Many masterplans include buildings or areas of historic value, whether statutorily protected or not. The built heritage often offers important clues to achieving a sense of place – something which is much harder to do with a cleared site – and should be seen as an asset, not a liability. This applies to large and small elements, from whole buildings or structures down to fine details, for example paving or street furniture.

A successful masterplan recognises the value of these assets and finds ways of celebrating them by investing in their setting. The plan should ensure that new development does not make a weak attempt to emulate the past, but instead presents a positive view of contemporary urban design in a historic setting. *Building in context* (CABE 2001) provides some examples of projects that succeed in addressing this issue.
Using modelling to test proposals: Newquay

Newquay, like other English seaside towns, has experienced a cycle of economic decline in recent years. In order to drive regeneration in the town, key agencies commissioned a masterplan to provide a shared vision to inform development for the next 20-25 years which looks at physical, social and economic issues and how to implement change in accordance with this vision. Using a three-dimensional block plan provides a vivid illustration of large scale intervention in an existing place.

Project: Newquay Action Framework Plan
Clients: South West Regional Development Agency, The Newquay Core Group
Masterplanner: Landscape Design Associates
Images: Landscape Design Associates
4.7 Viability

4.7.1 Development capacity testing
The financial viability of the proposals in relation to possible development patterns needs to be reviewed early on. The process is similar to an option appraisal: the amount of space being provided, the types of building plots and different density assumptions need to be reviewed in relation to various options for delivery. Several scenarios may be explored that give different values depending, for example, on the proposed form of the development or overall changes in market value. This material is carefully cross-referenced to establish under what circumstances there may be a funding shortfall, or how much incentive will be needed. The minimum capacity and use required to achieve a sense of place needs to be defined, as do any services requiring a minimum catchment to become viable. The scenarios considered in this capacity testing should also assess the impact of potential changes in market demand and that the masterplan and its implementation may generate.

Often, the private sector undertakes a large part of the implementation. In this case it may be advisable to talk to potential developer partners early on, without prejudice, in order to ensure that the masterplan meets their investment criteria.

4.7.2 Plot testing
A masterplan normally makes specific proposals about urban blocks and building plots. These need to be tested in a number of ways, including:

- Does the plot make sense in relation to likely sizes, shapes and uses of buildings? For example, some plots are too big for a single solid building and too small for a form incorporating useful open space. This can be assessed by drawings at the appropriate scale, in section and plan. The appropriate block size depends on the proposed land use, the likely scale of buildings and the need for amenity and services at block level.

- In cases where there is not yet a developer, will the blocks, plots and buildings implied in the masterplan correspond to what developers will want to build?

- What levels of permeability are provided for vehicles and pedestrians? Are pedestrians given appropriate priority? As block sizes reduce do choices for pedestrian permeability increase?

- How will the built form affect sunlight, wind patterns and views?
4.8 **Next steps**

When the design stage is complete there will be both a drawn spatial masterplan and a written report that sets out the strategic concepts behind the design proposal, the background and basis for these and any guidance or design principles that can be used to control the quality of the implementation when it takes place. The plan is not complete without an implementation strategy being thought through and adopted. Many implementation issues may have been considered earlier or during the Design stage, but for clarity they are described in the next section.

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**City plot testing**

This diagram illustrates the wide range of ways in which a particular plot could be used, in terms of the mix of uses. It forms part of a masterplan assessment in which the block was tested for uses as diverse as a football pitch and a corner shop. Such analysis could be used to test the flexibility of a masterplan, the urban design implications of different options or the cost implications.

Image: Maxwan Architects, DEGW
Implementation

This section explores the aspects of an implementation strategy that must be considered before a masterplan can be adopted. They relate to the background data, analysis, consultation with stakeholders and the development requirements incorporated into the three-dimensional plans.
### Box 37: The process and outputs in the implementation stage

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<tr>
<th>Implementation</th>
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<td>• Timetable</td>
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<td>• Partners in local delivery</td>
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<td>Where appropriate establish principles in policy</td>
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<td>Establish mechanisms for delivering design quality in projects eg.</td>
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<td>• Design briefs</td>
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<td>Market the development opportunities / find development partners</td>
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<td>Delivering projects</td>
<td>Monitor proposals against masterplanning key principles</td>
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<td>Review and amend if baseline conditions change</td>
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5.1 An implementation strategy – the heart of the process

To ensure that the masterplan does not become yet another study, implementation must be considered from the start and throughout the masterplanning process. Preparing an implementation strategy involves legal, financial and political issues, for which the client and masterplanning team will usually require specialist advice. The role and remit of various public agencies, costs and potential funding sources, land ownership, phasing and long-term management, as well as the legislative context are all relevant. The potential development organisations, and whether they will become partners of the initial masterplanning client or take over as the client themselves, must be identified.

Clarifying and understanding realistic delivery strategies is an essential part of masterplanning and one which must start early. What the options are and how they will be encouraged and controlled, are as important as the three-dimensional designs.

It is important to recognise at the outset that masterplans should not been seen as rigid blueprints for development and design. Rather they set the context within which individual projects come forward. Success will ultimately depend on the delivery of great design at a more detailed level. There will be much for clients to do beyond the masterplanning stage.

5.2 Adopting an implementation strategy

Masterplans should be simple, sophisticated documents. They must communicate clearly the aspirations for development in an area and a certain amount of prescription is appropriate. Yet they also have to provide flexibility, as much of the physical change will take years, sometimes decades, to be delivered. As a result, the pursuit of a particular implementation strategy, or limitations in possible implementation routes, may have an impact on the spatial masterplan itself.

The implementation or delivery strategy should evolve through analysis and discussion during the course of the masterplanning process. The masterplanning client must have both a strategy and a supporting organisational structure to see that it is carried through or adjusted as necessary along the way. The delivery strategy records how to progress from strategy to projects happening on the ground. It should cover the following issues:

• timetable
• funding sources
• partners
• delivery vehicles or agency
• marketing
• management and maintenance strategy
• risk analysis
Setting out to deliver: Manchester City Centre

Manchester City Centre has gone through a process of significant renewal over the last ten years. The first phase was precipitated by the damage caused by the IRA bomb in 1996. In order to spearhead the rebuilding programme, a masterplanning competition was held and team appointed. The robustness of the masterplan was proven over time with different developers, architects and designers delivering individual buildings and public spaces which all added value to the principles set out in the masterplan.

The delivery mechanism for the rebuilding programme also provided a model, which was subsequently replicated in the establishment of urban regeneration companies (URCs). Manchester Millennium Limited was set up with a dedicated team of professionals and acted as a one-stop-shop for all issues related to the renewal programme. Its effectiveness was guaranteed through the multi-disciplinary skills of the team, the leadership provided and the close working relationship with the key partners, most importantly Manchester City Council.

“Great projects need great leadership to inspire a great team to a great performance.”

Creating excellent buildings: a guide for clients Summary p4
5.2.1 **Timetable for staged implementation**

The likely and optimum phasing of or timetable for development should be established. This will be influenced by the issues outlined in Box 38. The phasing strategy is often accompanied by a development capacity and financial model, which can be used to test the impact of different assumptions or scenarios.

Projects that can be delivered early should be identified. Such projects, no matter how small, if delivered to a high quality, can help create investor and community confidence, change perceptions of an area and set a benchmark for design quality. However, if roads, open spaces and infrastructure are to be developed early on, maybe in advance of buildings, the masterplan must have been tested rigorously to ensure that they provide a good framework and do not limit flexibility as the development progresses. The desire to complete such large-scale public realm or infrastructure projects early, perhaps because they depend on a slow rolling programme of investment, should be treated with caution.

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**Box 38: Factors that can influence the phasing of delivery**

- **Property market** – likely demand, anticipated changes in demand due to the masterplan, impact of downturns and upturns in the property market and the level of flexibility required, the need for public subsidy, issues with developer negotiations eg. potential for planning gain, profit sharing and payment of dividends from profits
- **Movement issues** – transport infrastructure, potential changes over time, timescale for public transport improvements, eg. a new river crossing, the impact of car usage and car parking requirements
- **Land ownership** – the availability of land for development and issues related to acquisition and potential for compulsory purchase of some plots
- **Funding availability**
- **Planning process** – the timing and impact of planning applications or permissions, or the adoption of the masterplan principles into policy
- **Utilities infrastructure (including information technology)** – with long-term masterplans the impacts of new infrastructure requirements or technological developments should be considered.
A flexible plan: Bermondsey Spa

This area has suffered from loss of traditional industries related to the docks. The masterplan for Bermondsey Spa Regeneration Area identifies sites in Southwark’s ownership within the area for development. These were put out to competition seeking sustainable mixed tenure, high quality and innovative urban design and efficient, environmentally friendly buildings.

The flexibility of the initial plan allowed a new implementation team to put forward proposals that accommodate blocks which, while designed in a different way, have a similar capacity and scale. This meant that proposals were developed without having to revisit the principles agreed to in the early phase.

5.2.2 Funding

The availability of funding obviously has a significant impact on the delivery of the masterplan. The funding strategy should address existing and potential sources of funds, how they will be secured and over what timescale. Where land is in public ownership consideration will have to be given to the likely receipts, the sale of land for lower values to facilitate investment, the suitable use of planning gain and the potential for the public sector to benefit from future profits.

The delivery of many publicly promoted masterplans is funded from a number of sources, such as European, regional, local authority and lottery. Co-ordinating them can be complex and needs an experienced person. Public sector bodies may provide funds, in which case you must make sure that you have the mechanisms in place to draw down the funds when required. The public sector may facilitate the project indirectly, for example by providing land or support from experts employed by them. Where only limited funding is available, it should be used as ‘seed-corn’ to stimulate additional funding.

The funding of other local or strategic improvements to the physical environment or regeneration programmes, may offer opportunities for integration, for example, street or park maintenance programmes, schools building or CCTV investments. These should be explored by the funding strategy for the masterplan to ensure that these programmes add value to the overall objectives.
5.2.3 Delivery vehicles
From the start of the project someone should focus on how the plan can eventually be delivered. This may entail setting up a new team or agency with a remit to focus on the delivery. In other cases, people with the appropriate skills are brought together to form a team within the existing public agency or client organisation. The skills required for implementation are different from those for the earlier masterplanning phase, and new people with different technical backgrounds may need to be brought in. The team must have appropriate powers and reporting structures, with a single point of contact for all interests, to ensure that it can work effectively. It may be advisable to prepare an organisation diagram of a delivery vehicle, together with an indicative revenue budget for setting up and running the organisation.

Possible mechanisms for implementing a masterplan include:

- Statutory agencies (such as Urban Development Corporations) set up with central government approval using specific legislative procedures. They can be vested with significant powers in respect of land assembly and the promotion of development within an area and are often set up where two or more organisations come together to deliver the project, or the scale is such that it is warranted. They are most effective when closely allied to the local authority and regional development agencies.

- Local delivery structures established to deliver or oversee a masterplan. Whether the organisation operates as a legal entity depends on the circumstances of the project and the client’s resources and capabilities. Typically it involves some form of partnership arrangement between the Council and private land owner/developer. A number of models for local delivery structures are available, including joint venture partnership, company limited/unlimited by guarantee and hybrid structures, each with particular benefits and limitations, and appropriate for different circumstances.

- Single client / site owner or consortia that is likely to undertake the majority of the development or bring in other investors / developers.

Parts of the plan may be the subject of developer competitions. 

5.2.4 Partners in local delivery structures
Masterplans can only be implemented where the overall objectives and vision for a project are widely understood and supported. More often than not, delivery relies on a number of different partners from the public and private sectors. The delivery strategy should be clear about how to engage with these partners, whether through parcelling up the land for disposal, engaging a masterplan developer or consortia or carrying out a developer competition. Development partners should be selected with the same rigour as any other competitive process. It is important that the commitment of potential development partners to the objectives of the masterplan and design quality is tested during selection.

In some instances a joint venture (JV) vehicle may be established between the public agency that owns the site and a private developer, which may have an impact on the delivery vehicle. For example, JV agreements can include the sharing of profits from the development, or commitments for public sector investment in land acquisition or site remediation.
Establishing principles that will stand the test of time: King’s Cross Central

The proposals for King’s Cross Central have evolved through three years of work which have culminated in an imaginative framework of proposals. These are financially viable, adaptable and deliverable, on a phased basis, in a range of market conditions, over at least one full economic cycle. The developer, Argent St George, has followed a clear, step-by-step process, with widespread public consultation and the transparent provision of information at every stage.

In July 2001, ten ‘principles for a human city’ were published by the developer, with inputs from the local planning authority and English Heritage. The intention is to test emerging ideas against the ten principles at each stage of the project. Following on from this, the developer published ‘parameters for regeneration’, covering issues that would impact on the plan including: land ownership and other boundaries; planning policy expectations; the nature of high density mixed-use development; regeneration objectives; heritage and environmental resources; transport infrastructure; and services and utilities. Ideas about how to physically reshape King’s Cross then followed in ‘a framework for regeneration’. The framework has benefited from a number of studies in which over twenty architectural practices have been invited to explore how various development zones and plots might be built out as offices, housing and other land uses, and how the framework might be further reviewed.

The results will be submitted alongside the planning applications as an Urban Design Statement and Urban Design Guidelines which, if approved, will be used as reference documents throughout the design process. In addition, Argent St George will maintain, and keep up to date, an illustrative build-out plan at each key stage of the project. This is intended to help the local planning authorities and others understand how each phase of development might shape the next.
Box 39: **Considerations for local authorities when forming delivery partnerships**

When identifying a preferred delivery option involving a local authority and developer(s) and/or landowner(s) a number of considerations will need to be taken into account including:

**Legal/financial:**
- the local authority’s legal ability to be a party to particular types of delivery bodies, which involves considerations related to local government finance
- mechanisms to ensure separation of the role of the local authority as an active participant in the delivery body and its role as planning authority
- the number of parties involved in delivering the masterplan, including landowners and others with established and vested interests in sites or generally in the development area
- arrangements and responsibilities for undertaking public sector/infrastructure works and delivering local authority objectives that will impact on the profitability of the project.

**Procedural:**
- implications of comprehensive rather than ad-hoc development and how and where CPO powers will be used – this is related to the phasing of the overall development and delivery of individual elements
- ability of the local authority to defend any challenge made by landowners and other third parties – this relates to the weight to be attached to existing planning permissions and applications, emerging local planning proposals, supplementary planning guidance, and other policy documents
- mechanisms for achieving control over design and build specifications and quality of construction.
There are a number of practical issues to consider about how the delivery body functions. For example, in the case of a joint venture partnership:

- a commonality of interest and a high level of trust between the parties is needed and must be maintained throughout the relationship

- the parties must be prepared to tolerate a degree of ‘give and take’ and ‘take the rough with the smooth’

- where a number of parties’ interests need to be involved (usually represented by lawyers and other external advisers) the process of reviewing, negotiating and agreeing the JV agreement can be very prolonged

- progress will be determined by the pace of the slowest and the longer the processes continue, the greater the possibility that one or more of the parameters or variables which need to be factored in each party’s calculations will change, extending the negotiation process further

- each party will be required to pay its own costs as well as contribute to a range of shared costs

- valuing the various parcels of land involved in the masterplan and how to equate the disparity in values between, for instance, a public road and land for prestige development is a continuing issue throughout the process.

These considerations may lead to the conclusion that a formal corporate structure/company is more appropriate, though this raises issues about the legal process and responsibilities of parties. When evaluating and deciding on the most appropriate structure/organisation to take forward the masterplan, it is recommended that specialist legal, property and funding advice be sought.

5.2.5 Marketing
A marketing and communications strategy needs to be planned and reviewed at each stage, focusing on different audiences. The plan will be easier to implement if the local community is involved. Interest from developers must be stimulated in order to have a basis for the development activities. Public bodies, which may have access to sources of funding, are also important targets. The documentation for these different audiences varies. Architectural imagery can be powerful in this context. However, expectations must also be carefully managed as pictures of apparently real outcomes that may never come about can distract or create false expectations.
5.2.6 **Management and maintenance strategy**

A key aspect in any major new development is how to manage the finished buildings and the public realm in the longer term. This is as relevant to a business park as it is to a new housing development. The implementation strategy should consider management of the construction phase, the letting process, and the management and maintenance of the completed buildings and open spaces.

A strategy should be developed to consider the management and maintenance of the finished development, particularly of public areas, and how this will be funded. Outline principles should be established about how issues of maintenance, cleaning and security are to be addressed and who is to be responsible. The way in which management can be organised depends on the tenure arrangement for the places that are created, or in the case of public realm, whether roads and spaces are adopted by the local authority. Management is sometimes undertaken by the developer, who may form a management company for this purpose and charge ground rent to tenants. Where maintenance of the public realm falls to the local authority it is important that the revenue implications are considered.

Where public facilities form part of the masterplan, for example an arts complex or new primary school, their funding, delivery and ongoing revenue implications, should be considered in consultation with key partners, for instance the local education authority.

5.2.7 **Risk analysis**

The implementation strategy will be more robust if the potential risks and pitfalls have been analysed. The risk analysis should also record issues completely outside the control of the key partners, eg, economic recession. The key agencies involved in ensuring that the scheme happens must know at the outset what they need to do and the implications of failure. The process helps test the masterplan and the assumptions in the delivery strategy.
5.3 Delivering design quality

The delivery of a masterplan can take years. Client commitment and leadership during the process is vital to ensuring the project’s success. The commitment to design quality is even more pressing, as delivery will inevitably be fraught with periods of uncertainty and involve hard decisions, tough negotiations and dealing with political pressures. The client’s commitment to design quality, its ability to judge when design quality may be compromised, and its leadership to safeguard it, are of paramount importance.

Within the masterplan document should be a record of the core aspects of the site’s physical development that will contribute to a place of quality. At the basic level it will set down urban design principles for quarters and, potentially, individual plots of development, or for open spaces and streetscape. In some instances it is appropriate to go to the next level of detail in defining what is meant by design quality and engage designers to demonstrate this. The client organisation should address mechanisms for delivering design quality that will impact on how it implements the masterplan.
Box 40: *Mechanisms for delivering design quality in masterplans*

**Design briefs** – In some instances more detailed design briefs for key sites, clusters of buildings and open spaces are required. These documents may need to be adopted as supplementary planning guidance.

**Design guidelines** – Some aspects of the masterplan may benefit from further policy development, which may result in design guidelines being established. This could include a ‘palette’ for materials and street furniture for the public spaces, or design and space standards for housing units. The type of guidance depends on the aspirations for a particular character, as well as whether the development is being carried out as a single project or in separate parcels. The guidance may be broad and strategic or more specific, for example design codes. However, extensive guidelines or prescriptive design codes alone do not necessarily result in good design. Appropriate interpretation of the guidance depends on the appointment of good designers.

Design guidelines are particularly important on large-scale masterplans with long-term implementation strategies where the client body and/or the key personnel are likely to change. The guidelines should be used to ensure high quality design consistency in a format that still allows for freedom of design expression.

**Team of architects and designers** – Both variety and uniformity in the urban environment can contribute to the quality of a place. As a masterplan involves many buildings and public spaces, often with multiple uses, its implementation can benefit from the engagement of a number of designers, each of whom can bring something unique and distinctive to the project. Once the core principles of a masterplan are established, it should provide a framework within which architects and landscape architects can design buildings and public spaces. Clients could consider selecting a panel of designers.

**Competitive interviews and competitions** – The design of key buildings and open spaces may also benefit from the appointment of designers through competition. This may take the form of a competitive interview, where an approach is put forward by the design teams, or a structured competition with a level of design output. Competitions can engage the interests of designers who would not normally put themselves forward for such work but who can bring additional flair and innovation to a project. Clear assessment criteria are required. However, full design competitions should be used sparingly and help bring extra focus on important projects. More information on running design competitions is available in *Creating excellent buildings: a guide for clients* (CABE 2003).

**Design advisory panel** – Some client organisations set up an advisory panel to vet the quality of schemes designed within the context of a masterplan. This is similar to the design panels outlined in *Better civic buildings* (CABE, London 2002), except their remit is focused on a masterplan area. Such a panel can also play a useful role in preparing design briefs and judging design competitions.
5.4 Design coding

5.4.1 What is a design code?
A methodology that is currently being tested and piloted in the UK is design codes, a form of design guidance that is more detailed than that used in the last few decades. The methodology has been applied in a range of projects overseas, notably in the USA. It is not a wholly new concept to the UK – English Partnerships recently defined design codes for some major urban extension projects and the Millennium Communities. In fact design codes were applied in many of the UK’s most successful, historic housing areas, for example Georgian London.

The use of design codes is only possible when a series of principles of good urban design can be applied that go some way to creating a successful place: local distinctiveness based on historic character, ease of movement, legibility, quality of public space, continuity and enclosure and adaptability. But codes are only a means to an end; in the hands of the right designers they help define and deliver quality.

In the UK, codes are defined as detailed design guidance, which is stricter and more exact than other guidance used recently. Where possible, compliance with the code will form part of the legal agreements governing what and how development occurs in the area covered by the code.

5.4.2 Design codes and masterplanning
There are four potential scenarios, mainly relating to major housing developments or large urban extensions, where design coding may be considered:

• projects where there are risks that the design ambitions of the masterplan will not be realised due to the expected design approach of developers, and therefore more detailed guidance could provide greater control over the design and development of buildings and public spaces

• where it is important to deliver development quickly, a design code can provide a greater degree of certainty to the planning authority, developers and the local community, thus potentially speeding up the design and planning process

• In particularly sensitive locations or where challenging forms of development are proposed, for example for reasons of heritage or density, establishing more detailed design criteria could help ensure appropriate development

• In the phasing of major projects where a number of parties are involved in implementing the masterplan and there is a need to maintain consistency in design quality.
Using design codes: Upton, Northampton

The level of detail to which a masterplan will be developed will depend on the way it will be used in the development process. On the Upton project, a design code has been developed, following a process of consultations and engagement with local stakeholders, using the method of ‘Enquiry by Design’. The design code sets out design principles and helps give clarity to the local planning authority and development partners, thus potentially speeding up the planning process and ensuring design quality is delivered on the ground.

Project: Upton, Northampton
Client: English Partnerships
Masterplan: EDAW and Alan Baxter & Associates
Image: Alan Baxter & Associates

The code is based on the urban design principles established in the spatial masterplan. It identifies key areas, elements or aspects of the plan which require more detailed guidance than would normally be included in a masterplan but should stop short of defining architectural style.

The elements for which detailed guidance is given and whether they are recommendations, options or fixed requirements varies. Examples of guidance include:

- going beyond simple massing principles to define the relationship of the facades of individual buildings to the public realm
- identifying appropriate materials for use in the design and construction of buildings and public spaces
- setting guidelines for the design of streets and public spaces, for example home zone design guidelines
- identifying environmental design and operational standards of housing, for example the Building for Life Standard.

www.buildingforlife.org.uk
5.4.3 **Issues to consider**
Clients thinking about using design codes in the implementation of a masterplan should consider:

- The preparation of design codes should be an extension of the masterplanning design and implementation processes.
- The codes should leave room for architectural and landscape design creativity.
- They should be flexible, so that standards can be improved and can build on existing and new design and environmental standards eg. CABE’s Building for Life standard.
- Different levels of prescription apply in different contexts. For example, where a developer is committed to design quality and has a proven track record of using good architects, a prescriptive code may not be required. Where the design track record is poor, a code can bring clarity and establish a benchmark for quality.

These, and a more general review of matters relating to design codes, are set out in *Building sustainable communities: the use of urban design codes* (CABE, London 2003).

5.5 **Establishing the masterplan in the planning process**

Placing a masterplan in the context of the planning process is vital if its tenets are to be safeguarded. The policy framework creates the opportunity for masterplans to have a considerable influence in shaping the development of an area. This is particularly so where it is drawn up as part of an Area Action Plan within the local planning authority's Development Plan Documents, and backed up by a policy within the authority's core strategy. Masterplans can be part of Supplementary Planning Documents. This enables the local planning authority to place significant weighting on the masterplan in determining individual planning applications. However, masterplans can also be used as a support document to individual planning applications or as a planning condition for individual applications.

The masterplan (accompanied, where relevant, by appropriate supporting documents such as an Environmental Statement) may form the basis of an outline planning application. This may relate to the entire masterplan area, or part of the area, in which case the masterplan will provide the strategic context for the application. In these circumstances the masterplan will need to provide sufficient certainty and ‘fix’ on the principles of development both for the purposes of assessment under the environmental impact assessment regulations, and in order to enable the local authority (and consultees on the application) to
Providing a framework for different designers and developers:
King’s Waterfront, Liverpool

Key partners have inputted into the plan for the redevelopment of this prime site on Liverpool’s waterfront. The masterplan provides a framework for individual schemes, which are put out to design competitions, and defines land parcels that can be marketed to developers. The plan aims to create a major attraction of international significance and a centrepiece for the European Capital of Culture 2008 festivities. The options for development of the site have been tested in plan form and, with a preferred layout identified, are illustrated through three-dimensional pictures of key spaces.

Project: King’s Waterfront, Liverpool
Client: Liverpool Vision
Masterplanner: EDAW
Images: EDAW
understand and assess the acceptability of the proposals. There is increasing recognition of the need to support outline planning applications with a statement setting out the proposed design principles, as well as illustrative material in plan and elevation showing further details of proposals. Importantly, statements on design principles enable the local authority to begin to address issues of design quality from the outset of the decision-making process, rather than leaving the principles (as well as the details) to subsequent reserved matters or detailed applications.

### 5.6 Moving towards delivery

Clients should recognise that, with a masterplan in place, they will now move into a phase of delivering projects on the ground. During this phase, the client commitment to design quality will have to be maintained. But before signing off the masterplan documents, the client should review whether all the tasks have been carried out and properly finished, and a realistic way forward identified:

- Has the design been tested against the vision?
- Has the design been reviewed for design quality?
- Are the economic assumptions still relevant?
- Have all the professional inputs been co-ordinated?
- Has the plan been accepted by the stakeholders?
- Is the local authority in agreement with the plan – will implementation proposals receive permission?

“An assessment of the roles and relationships of the area or site to its strategic context, together with an appreciation of the individual characteristics of form and the way a place is used, will lay the foundations for a unique design response.”

*Urban design compendium* p22
• Is the plan being incorporated into the local area development framework?

• Are other relevant authorities satisfied, eg. the highways department?

• Is there a strategy for communicating the outcome to a wider public?

• Is it clear who is going to take forward the delivery strategy and do they have the capacity to do so?

• Has a development partner(s) been brought into the process, or is a strategy in place for doing so?

• Are the first key projects underway, to get early wins?

• Has phasing been planned?

• Have the next key steps been identified?

• Are more detailed design guidelines needed?

5.7 Monitoring the outcome

As individual projects come forward, clients should ensure that they are working with designers and development partners who can deliver design quality. As individual sites are developed, building evaluation needs to be carried out. This includes monitoring that the development proposals are in line with the masterplan. In addition they need to be assessed in their own right to evaluate the quality of design. Design review (CABE, London 2002) covers questions that should be considered and the Design Quality Indicators (DQIs) developed by the Construction Industry Council and CABE can be used. Creating excellent buildings: a guide for clients (CABE, London 2003) contains references and checklists for evaluating detailed design proposals for individual buildings and sites.
Creating value through landscape: Poolbeg, Dublin

The masterplan for Poolbeg attempts to accommodate difficult uses – such as remaining utilities and port facilities – while creating new high value development in this dockside area adjacent to Dublin city centre.

A strong three-dimensional hard and soft landscape design concept aims at creating an environmental context within which conflicting uses can co-exist. High value residential, a commercial quarter, cultural facilities, leisure, and a wildlife park sit side by side with non-intrusive industrial sites and clean utility installations (power station, sewer and recycling plant), screened and integrated at the same time by three strategic landscape components.

A comprehensive implementation plan aims to deliver components of the landscape to complement development parcels coming forward.

Project: Poolbeg Peninsula, Dublin
Client: Dublin City Council
Masterplanners: DEGW, Camlin Lonsdale
Images: DEGW, Camlin Lonsdale
6.1 References

Additional references to construction generally and to specific building types can be found in CABE, *Creating excellent buildings: a guide for clients*, CABE, London 2003


CABE, Department of Environment, Transport, and Regions (DETR) *By design, urban design in the planning system: towards better practice*, Thomas Telford Ltd, London 2000


CABE, University College London (UCL) and Department of Environment, Transport, and Regions (DETR), *The value of urban design*, Thomas Telford, London 2001


CABE, *Building sustainable communities: developing the skills we need*, CABE, London 2003


CABE, *Design review*, CABE, London 2002

CABE, *Design reviewed masterplans*, CABE, London 2004

CABE, *Design reviewed town centre retail*, CABE, London 2004

CABE, *Design reviewed urban housing*, CABE, London 2004

CABE, *Paving the way: how we achieve clean, safe and attractive streets*, Thomas Telford, London 2002


CABE, *The councillor’s guide to urban design*, CABE, London 2003


CABE Space, *Manifesto for better public space*, CABE Space, London 2004

CABE Space, *Value of public space*, CABE Space, London 2004


Wates, Nick, *The community planning handbook: how people can shape their cities, towns and villages in any part of the world*, Earthscan, London 2000


**Web-based resources**

Building for Life: www.buildingforlife.org
(This site includes extensive downloadable resources based on volume housebuilding best practice workshops at www.buildingforlife.org/resources.html)

CABE case studies: www.cabe.org.uk/case studies

English Partnerships: www.englishpartnerships.co.uk

Joseph Rowntree Foundation: www.jrf.org.uk

Communities and Local Government
www.communities.gov.uk

Renewal.net (resource for neighbourhood renewal): www.renewal.net

RUDI (Resource for Urban Design Information): www.rudi.net

Urban Regeneration Companies website: www.urcs-online.co.uk
6.2 Contacts

Architecture Centre Network (ACN)
70 Cowcross Street
London EC1M 6EJ
T 020 7253 5199
www.architecturecentre.net
Contact for details of regional architecture centres

British Urban Regeneration Association (BURA)
63-66 Hatton Garden
London EC1N 8LE
T 0800 018 1260 or 020 7539 4030
F 020 7539 9614
info@bura.org.uk
www.bura.org.uk

Campaign to Protect Rural England (CPRE)
CPRE National Office
128 Southwark Street
London SE1 0SW
T 020 7981 2800
F 020 7981 2899
info@cpre.org.uk
www.cpre.org.uk

The Coalfields Regeneration Trust
Silkstone House
Pioneer Close
Manvers Way
Wath Upon Dearne
Rotherham
S63 7JZ
T 0800 064 8560
F 01709 765599
info@coalfields-regen.org.uk
www.coalfields-regen.org.uk

Commission for Architecture and the Built Environment (CABE)
1 Kemble Street
London
WC2B 4AN
T 020 7070 6700
F 020 7070 6777
enquiries@cabe.org.uk
www.cabe.org.uk

Communities and Local Government (CLG)
Eland House
Bressenden Place
London SW1E 5DU
T 020 7944 4400
F 020 7944 4101
contactus@communities.gsi.gov.uk
www.communities.gov.uk

Department for Culture Media and Sport (DCMS)
2-4 Cockspur Street
London SW1Y 5DH
T 020 7211 6000
enquiries@culture.gov.uk
www.culture.gov.uk
Department of the Environment, Food and Rural Affairs (DEFRA)
Room 320, Nobel House
17 Smith Square
London SW1P 3JR
T 08459 33 55 77
F 020 7238 6609
helpline@defra.gsi.gov.uk
www.defra.gov.uk

English Heritage
1 Waterhouse Square
138-142 Holborn
London EC1N 2ST
T 020 7973 3000
T 0870 333 1181
F 01793 414 926
www/english-heritage.org.uk
Contact for details of ten regional offices

English Partnerships
Corporate Headquarters:
110 Buckingham Palace Road
London SW1W 9SA
T 020 7881 1600
F 020 7730 9162
www/englishpartnerships.co.uk

English Partnerships: National Consultancy Unit
Central Business Exchange II
414-428 Midsummer Boulevard
Central Milton Keynes MK9 2EA
T 01908 692 692
F 01908 691 333

Environment Agency
Contact for details of local offices
T 08708 506 506
enquiries@environment-agency.gov.uk
www.environment-agency.gov.uk

Fields in Trust (formerly the National Playing Fields Association)
2d Woodstock Studios
36 Woodstock Grove
London W12 8LE
T 020 8735 3380
F 020 8735 3397
info@fieldsintrust.org
www.fieldsintrust.org

Forestry Commission
Head office:
Silvan House, 231 Costorphine Road
Edinburgh EH12 7AT
T 0131 334 0303
F 0131 334 3047
enquiries@forestry.gsi.gov.uk
www.forestry.gov.uk

The Glass-House Trust
2a Kingsway Place
Sans Walk
London EC1R 0LS
T 020 7490 4583
F 020 7253 3335
www.theglasshouse.org.uk

Green Space (formerly the Urban Parks Forum)
Caversham Court, Church Road
Reading RG4 7AD
T 0118 946 9060
F 0118 946 9061
info@green-space.org.uk
www.green-space.org.uk

Groundwork UK
Lockside
5 Scotland Street
Birmingham B1 2RR
T 0121 236 8565
F 0121 236 7356
info@groundwork.org.uk
www.groundwork.org.uk
Housing Corporation
Corporate Office:
Maple House, 149 Tottenham Court Road
London WC1T 7BN
T 020 7393 2000
F 020 7393 2111
enquiries@housingcorp.gsx.gov.uk
www.housingcorp.gov.uk
Contact for details of local offices

Institute for Sport, Parks and Leisure
The Grotto House
Lower Basildon
Reading RG8 9NE
T 0845 603 8734
info@ispal.org.uk
www.ispal.org.uk

Institute of Public Policy Research (IPPR)
30–32 Southampton Street
Covent Garden
London WC2E 7RA
T 020 7470 6100
F 020 7470 6111
www.ippr.org.uk

The Landscape Institute
33 Great Portland Street
London W1W 8QG
T 020 7299 4500
F 020 7299 4501
mail@landscapeinstitute.org
www.landscapeinstitute.org

Learning Through Landscapes
3rd Floor, Southside Offices
The Law Courts
Winchester SO23 9DL
T 01962 846258
schoolgrounds-uk@ltl.org.uk
www.ltl.org.uk

The Local Government Task Force
T 020 7837 8286
F 020 7813 3060
info@lgtf.org.uk
www.lgtf.org.uk

Natural England (formerly the Countryside Agency)
1 East Parade
Sheffield S1 2ET
T 0114 241 8920
F 0114 241 8921
enquiries@naturalengland.org.uk
www.naturalengland.org.uk

Neighbourhood Renewal Unit
Contact through regional Government Offices
T 020 7944 4400
www.neighbourhood.gov.uk

Office of Government Commerce (OGC)
Rosebery Court
St Andrew’s Business Park
Norwich, Norfolk
NR7 0HS
T 0845 000 4999
servicedesk@ogc.gsi.gov.uk
www.ogc.gov.uk

Open Spaces Society
25a Bell Street
Henley-on-Thames
Oxfordshire RG9 2BA
T 01491 573535
F 01491 573051
hq@oss.org.uk
www.oss.org.uk
Prince’s Foundation
19–22 Charlotte Road
London EC2A 3SG
T 020 7613 8500
F 020 7613 8599
enquiry@princes-foundation.org
www.princes-foundation.org

Royal Institute of British Architects (RIBA)
66 Portland Place
London W1B 1AD
T 020 7580 5533
F 020 7255 1541
info@inst.riba.org
cs@inst.riba.org.uk
www.architecture.com

Royal Institute of Chartered Surveyors (RICS)
12 Great George Street
Parliament Square
London SW1P 3AD
T 020 7222 7000
General Enquiries
T 0870 333 1600
contactrics@rics.org.uk
www.rics.org.uk

Royal Society for the encouragement of Arts, Manufactures and Commerce (RSA)
8 John Adam Street
London WC2N 6EZ
T 020 7930 5115
general@rsa.org.uk
www.rsa.afa.org.uk

Royal Town Planning Institute (RTPI)
41 Botolph Lane
London EC3R 8DL
T 020 7929 9494
F 020 7929 9490
www.rtpi.org.uk

Sustainable Development Commission
Defra, 1C, Nobel House
17 Smith Square
London SW1P 3JR
T 020 7238 4695
sdudiv@defra.gsi.gov.uk
www.sustainable-development.gov.uk

Town and Country Planning Association (TCPA)
17 Carlton House Terrace
London SW1Y 5AS
T 020 7930 8903
F 020 7930 3280
tcpa@tcpa.org.uk
www.tcpa.org.uk

Urban Design Alliance (UDAL)
70 Cowcross Street
London EC1M 6EJ
T 020 7251 5529
F 020 7250 0872
info@udal.org.uk
www.udal.org.uk

Urban Design Group
70 Cowcross Street
London EC1M 6DG
T 020 7250 0892
F 020 7250 0872
admin@udg.org.uk
www.udg.org.uk
6.3 Glossary

This glossary covers some terms that have not been used in this guide but are relevant to masterplanning. It has been put together principally from the following sources:
CABE, *The councillor’s guide to urban design*, CABE, London 2003
Urban design group urban design guidance: *urban design frameworks, development briefs and masterplans*, Thomas Telford London, 2002
www.renewal.net/JargonBuster.asp

Some concepts, such as those relating to the 2003 Planning Bill, may change once the planning system is in operation. More substantial definitions for most of these terms, and information on new terms and changing uses, may be found in Robert Cowan’s Dictionary or on the dictionary’s website www.urbanwords.info

A

Agenda 21 action plan
A means by which local authorities set out and promote sustainable development, based on local consultation about the likely impact of development on the social, economic and environmental conditions of people in the future and in other places.

Architecture and Built Environment Centre
An organisation, funded by CABE, that provides a local or regional focus for a range of activities and services relating to design and planning (such as discussions, information, exhibitions, training, collaboration and professional services).

area action plan
Under the Planning and Compulsory Purchase Bill 2003 these will form part of the development plan documents to provide a planning framework for areas of change and areas of conservation. They will deal with specific parts of the local authority’s area and with specific
requirements such as the redevelopment of an area of derelict land and buildings or the enhancement of an area of historic or architectural interest.

**area appraisal**
An assessment of an area's land uses, built and natural environment, and social, economic and physical characteristics.

**area based regeneration**
An initiative in which a range of partners work together, coordinating and targeting their resources to improve the quality of life in areas experiencing problems of economic, social and environmental decline.

**area development framework (ADF)**
Documents accompanying housing market renewal prospectuses prepared by the relevant Pathfinder body and setting out their vision and funded programme for achieving housing market renewal in their area. The ADFs translate the overall strategy into actions at the local authority level.

**arm's length management organisation (ALMO)**
An organisation that manages a council's former stock of council housing at arm's length from the council.

**Assisted Areas**
Those areas where regional aid may be granted under EU law. Regional Selective Assistance (RSA) is the main form of such aid in Great Britain. It is a discretionary grant, awarded to secure employment opportunities and increase regional competitiveness and prosperity.

**baseline, baseline indicator**
A measure of conditions at the outset, against which subsequent progress can be measured - often in the form of a baseline study.

**best value**
From 1998, the term given to the process through which local authorities work for continuous improvement in the services they provide. The aim is to ensure that the cost and quality of services are of a level acceptable to their electorate. Councils are also subject to independent best value audits by the Best Value Inspectorate, an offshoot of the Audit Commission.

**brownfield land**
Land that has been previously developed, as opposed to 'greenfield' (land that has not been developed). A brownfield site may well be green, not brown, if its buildings have been demolished and vegetation has taken over: many 'brownfield' sites are actually biological oases with far greater species diversity than local 'greenfield' sites.

**building line**
The line formed by the frontages of buildings along a street.

**business case or business plan**
An expression of the underlying purpose of a project within the mission, aims and objectives of an organisation. It should be based on detailed current and projected financial information, related to anticipated costs and returns of a project. It can also include a rationale for the evaluation of non-financial aspects of a project.

**business improvement district (BID)**
An area defined by local authorities jointly with local business, in which additional services and improvements are funded by an additional levy on the business rate. The details of each BID scheme, including the nature of the improvements and the size of the addition to the rates, will be for the businesses affected to agree and vote upon in a referendum.

**business planning zones (BPZ)**
See simplified planning zones (SPZ).
C

CABE – Commission for Architecture and the Built Environment
CABE champions the creation of great buildings and public spaces. It is a non-departmental public body set up by the Government in 1999. Through public campaigns and support to professionals, CABE encourages the development of well-designed homes, streets, parks, offices, schools, hospitals and other public buildings.

CABE Design Review
A programme offering free advice to planning authorities and others on the design of selected development projects in England.

CABE Enabling
A programme offering advice to clients who aspire to quality but would welcome technical assistance on matters such as brief development, selection of architects or choice of procurement route.

CABE/English Heritage Urban Panel
Established in 2000 in order to offer guidance on the evolution of English Heritage’s urban strategy and to advise on major schemes of urban regeneration. The Panel’s membership is drawn from practitioners experienced in the urban field and includes leading architects, historians, engineers and planners and representatives of CABE. The Panel works by making dedicated visits, by invitation, to see regeneration proposals at first hand.

capacity building
Development work that strengthens the ability of individuals and community organisations to build the structures, systems, networks and skills needed to take part effectively in managing processes of change.

capital funding
Money spent on the purchase or improvement of fixed assets such as buildings, roads and equipment.

capital project
A project requiring expenditure outside the normal operational budget of an organisation (the revenue budget). Special funds usually need to be identified, agreed and obtained.

character appraisal
Techniques (particularly as developed by English Heritage) for assessing the qualities of conservation areas.

character area
An area designated for its distinct character, identified as such through urban design analysis, so that it can be protected or enhanced by planning policy or intervention.

characterisation ←
1 Defining and understanding the characteristics of a place; see also character appraisal. 2 The product of such a process.

charette
See design workshop.

City Challenge
A five-year programme, launched in 1991, under which local partnerships were able to bid competitively for government funding to regenerate a specific deprived area using a comprehensive approach.

commissioning brief
The brief prepared by the client for the appointment of a consultant team setting out the scope of the project, outputs and programme on which a masterplanning team is able to prepare tender.

community planning
1 The process by which a local authority and other organisations come together to promote, plan and provide for the well-being of the communities they serve. 2 Planning by, for or with local community organisations. 3 A process of involving a wide range of local people in planning a particular area in an event held over a few days, usually with the help of specialists and facilitators.
community strategy
A strategy, which a local authority has a duty to prepare, setting out a long-term vision that has been agreed with all the main local stakeholders, including public, private and community sector organisations, through a local strategic partnership. Community strategies should promote the economic, social and environmental well-being of their areas and contribute to the achievement of sustainable development.

competitive interview
A process to select consultancy teams, or a member of the team, on the basis of performance at an interview. Selection depends on track record, credentials and proposed approach.

compulsory purchase order (CPO)
Mechanism for an acquiring authority to expropriate land and/or buildings in accordance with a power conferred by an enactment. Section 226(1) of the Town and Country Planning Act 1990 provides one such power by which a county, district or London borough council, joint planning board or national park authority can compulsorily acquire land for planning purposes, including to facilitate development, re-development or improvement, subject to authorisation by the First Secretary of State (Deputy Prime Minister). ODPM has published guidance on the use of the power at Appendix A to ODPM Circular 02/2003 ‘Compulsory Purchase Orders’. The Planning and Compulsory Purchase Bill 2003 proposes a revision to this power which will enable the acquiring authority to justify compulsory acquisition on the basis that it will facilitate the carrying out of development, redevelopment or improvement which they think will be of economic, social or environmental benefit to their area. The Bill also provides for a new loss payments scheme to enhance compensation paid to owners of property which is not their home, on the basis that this should encourage quicker compensation settlements.

conservation area
An area designated by a local authority under the Town and Country Planning (Listed Building and Conservation Areas) Act 1990 as possessing special architectural or historical interest. The local authority will seek to preserve or enhance the character and appearance of such areas.

context (or site and area) appraisal
See area appraisal.

countryside design summary
A descriptive analysis explaining the essential design relationship between the landscape, settlement patterns and buildings. It sets out the implications of the choices open to designers. It can be adopted as SPG or used as the context for individual communities to prepare village design statements.

critical path
The shortest sequence of activities needed to complete a project. A delay in any activity on the critical path will delay the overall timetable. Typical activities on the critical path prior to construction include raising funds, receiving planning approval and producing information.

d

design advisory panel
A group of professionals, often with specialist knowledge on design issues, which advise local authorities or other organisations on the design merits of planning applications or other design proposals and issues. See also CABE Design Review.

design and build (D&B)
A term for methods of procurement contracts in which the building contractor is partly or entirely responsible for design development and quality, as well as for delivery of a building. Variants include: Design, Build, Own and Manage (DBO&M), which is frequently the scope of a project, handled under PFI, and Design, Build, Finance and Operate (DBFO). D&B gives private financial partners responsibility to design, build and manage and/or operate the completed facility for many years, usually 20-30, after which management and operation revert to the client.
design coding
A system whereby the key components of the design of new developments are established up front and, through legal requirement, any developers subsequently wanting to build in the area are required to abide by the code. A design code may be included as a part of an urban design framework, a development brief or a masterplan when a degree of detail and prescription is appropriate.

design guidance
A generic term for prescriptions contained in masterplanning documents providing guidance on how development can be carried out in accordance with the planning and design policies and objectives of a local authority or other relevant organisation.

design guide
A document providing guidance on how development can be carried out in accordance with the design policies of a local authority or other organisation such as district and unitary authorities. A design guide can be given weight by being subject to public consultation and by being approved by a council as SPG.

design quality indicators (DQIs)
1 Qualitative measures for assessing the design quality of buildings.
2 A specific method developed by the Construction Industry Council, consisting of a non-technical questionnaire which can be filled in online (at www.dqi.org.uk) by any stakeholder and addressing quality in terms of functionality, build quality and impact. It can help to make assessment a participatory and interactive process.

design statement
In the context of a planning application, a written statement to a local authority prepared by an applicant setting out the design principles adopted in relation to a proposed design for a site and its wider context. This practice is encouraged in PPG1.

development/planning brief
A document providing guidance on how a specific site of significant size or sensitivity should be developed in line with the relevant planning and design policies, including site capacities. It will usually contain some indicative, but flexible, vision of future development form. Whereas a planning brief may provide the policy and land-use context and vision for the site, a development brief is likely to have been market-tested to ensure the scheme is feasible and viable.

development capacity analysis/testing
A method of exploring, or testing, how much development a place is likely to accommodate.

development framework
A document that provides an overall development strategy for an area, and which might include a number of individual masterplans and/or site development briefs.

development plan ↔
1 Generic term for the statutory plans prepared by planning authorities setting out policies and proposals for land use and development in their area. Decisions on planning applications should be in accordance with the development plan taking account of any other material considerations. Depending on the structure of local government, any given area may be covered by a UDP or by a combination of structure plan and local plan.
2 Under the Planning and Compulsory Purchase Bill 2003, the existing development plan system will be replaced by a regional spatial strategy (RSS) and local development plan documents (DPD).

development plan documents (DPD)
A suite of documents proposed under the Planning and Compulsory Purchase Bill 2003 which will form part of the local development framework and overall development plan under the new system. They may comprise: a core strategy (which will set out the vision for the authority and the primary policies for meeting that vision); site allocations (identifying the sites which are proposed for development to meet the authority’s vision and core strategy); area action plans (providing a
planning framework for areas of change and areas of conservation); proposals map (illustrating on an ordnance survey map the policies in the development plan); general policies for the control of development (covering, amongst other things, the protection of the natural, visual and residential environment, highway safety, design etc); and a **statement of community involvement**.

**development trust**
A community-led enterprise organisation combining community-led action with business expertise which seeks to move beyond provision of welfare services by setting up enterprises (social businesses) which encourage self-help and reduce dependency. As community based, not-for-profit organisations they work alongside the local voluntary sector and the local authority, sharing the values of public service and community benefit.

**Economic and Social Research Council (ESRC)**
A national body which supports and represents research and skills in social sciences. Its strategic objectives include focusing social sciences research on national priorities, increasing the impact of research on policy and practice and enhancing the capacity for highest quality in social science research.

**English Cities Fund (ECF)**
Government funding to support the regeneration of **brownfield** sites on the edges of town and city centres. ECF is a partnership between **English Partnerships**, developer AMEC and investors Legal & General.

**English Partnerships**
The key delivery agency in the government’s new ‘living communities’ agenda to regenerate our towns, cities and rural areas, with responsibility for initiatives such as **Millennium Communities**, **URCs** and the **National Coalfields Programme**. It was created in 1994 to support land reclamation, property development and ‘the creation of strategic development packages for employment, housing, recreation and green space’, particularly by working with local authorities. Its regional offices were incorporated into the new **RDA**s in 1999.

**enterprise zone**
A zone in which development is encouraged by exempting industrial and commercial property from rates, simplifying planning procedures through zoning, and providing 100 per cent tax allowances for capital spending, introduced in the Local Government, Planning and Land Act 1980. More than 30 zones were designated, each with a 10-year life. The last will expire in 2006.

**environmental impact assessment**
A tool used for decision-making regarding developments, identifying the environmental, social and economic impacts of a proposed development and specifying mitigation measures to ameliorate those impacts. Required by law under conditions set out The Town and Country Planning (Environmental Impact Assessment) (England and Wales) Regulations 1999. The information gathered is presented in an Environmental Statement and should accompany the planning application.

**European Objective 1 funding**
A programme to target **EU structural funds** on areas which have a per capita GDP less than 75% of the EU average for wealth creation. Merseyside, South Yorkshire, West Wales & the Valleys and Cornwall and the Isles of Scilly all qualify for Objective 1 funding.

**European Objective 2 funding**
A programme to target **EU structural funds** on areas that have suffered through the decline of a major industry. The overall aim is to support economic regeneration.

**European Objective 3 funding**
A programme to target **EU structural funds** towards developing lifelong learning, supporting those at risk from exclusion in the workplace, promoting the role of women in the workforce and promoting adaptability and entrepreneurship. It applies in all areas of Great Britain that do not have **Objective 1** status.
**European Regional Development Fund (ERDF)**
A fund for regeneration initiatives. The **Objective 2** Programme provides ERDF grant funding to support projects that encourage and facilitate industrial regeneration and revival in areas where the decline of traditional industries has caused serious economic and social problems, as well as rural areas needing economic development.

**European Social Fund (ESF)**
Support from the EU for economic and social development. This includes activities that develop employability and human resources in five key areas: active labour market policies; equal opportunities; improving training and education and promoting lifelong learning; adaptability and entrepreneurship; and improving the participation of women in the labour market.

**European Spatial Development Perspective (ESDP)**
A non-statutory document produced by the Informal Council of Ministers in 1999, setting out principles for the spatial development of the EU.

**EU structural funds**
EU funding which includes the ESF, the ERDF and other funds supporting a wide range of economic development and social programmes and projects.

**Feasibility study**
A review carried out objectively and early in a development process to check whether a set of proposals is likely to be achieved on the basis of the organisation’s objectives and whether the chosen site is suitable for the intended building, as well as reviewing the financial aspects of a development and its likely implications in terms of planning, risk and environmental impact.

**G**

**Gap funding**
Use of public investment in high-risk projects to make up the difference between the extra cost of developing difficult sites and possible market values if the projects are unsuccessful. It is the main vehicle by which the government hopes to encourage developers to build on brownfield sites.

**H**

**Housing Corporation**
A non-departmental public body, created in 1964 and sponsored by the Office of the Deputy Prime Minister, whose role is to fund and regulate housing associations in England. Other bodies perform similar roles in Northern Ireland, Scotland and Wales.

**Housing Growth Areas**
Four areas identified in the **Regional Planning Guidance** for the South East (RPG9, March 2001): Thames Gateway, Milton Keynes/South Midlands, Ashford and London-Stansted-Cambridge (M11 Corridor). The Government announced in the **Sustainable Communities Plan** (February 2003) that these areas would be the focus for significant, sustainable housing development to meet the current and projected housing shortage in the South East. In **Creating sustainable communities: making it happen: Thames Gateway and the Growth Areas** (July 2003), the Deputy Prime Minister provided further detail on proposals for sustainable growth in the wider South East over the next 15 years, and an overview of Government action, with partners, to help deliver that growth.

**Housing Market Renewal Pathfinders**
Partnerships bringing together local authorities and other key local agencies to implement that part of the **Sustainable Communities Plan** directed at areas of low housing demand. The Market Renewal Fund makes available £500 million to the nine Pathfinders over three years from 2003: Birmingham-Sandwell, East Lancashire, Hull & East Riding of Yorkshire, Manchester-Salford, Merseyside, North Staffordshire, Newcastle-Gateshead, Oldham-Rochdale and South Yorkshire.
joint venture (JV)
A development project involving a collaboration between two or more parties that share the risks and rewards. The joint venture might be a limited liability company, a partnership or a partnership arrangement with profit division.

local design statement
A design statement prepared in consultation with the public for potential approval by a local authority as SPG. Types include village design statements and placechecks.

local development documents (LDD)
Documents proposed under the Planning and Compulsory Purchase Bill 2003 to replace area-wide local plans or UDPs. It is likely that they will include a core policy document and a proposals map together with action plans concentrating on particular areas or topics (such as housing), rather than one district-wide plan as at present. LDDs may take the form of development plan documents or supplementary planning documents.

local development framework (LDF)
As proposed in the Planning and Compulsory Purchase Bill 2003, a portfolio of local development documents which will provide the local planning authority’s policies for meeting the community’s economic, environmental and social aims for the future of their area where this affects the development and use of land.

local development order (LDO)
An instrument proposed under the Planning and Compulsory Purchase Bill 2003 to allow a local planning authority to expand permitted development rights for specific areas. An LDO can encompass anything from all of the land covered by a local planning authority to a specific site, and can grant permission for any physical development or change of use specified in the order. Development permitted can be either unconditional or subject to reasonable conditions or limitations.

local development schemes (LDS)
Strategic planning documentation proposed under the Planning and Compulsory Purchase Bill 2003 in which a local planning authority outlines the local development documents it intends to produce, following a survey of the local area. The LDS will set out: what development plan documents and supplementary planning documents the LPA propose to prepare over a three-year period and the timetable for their preparation; the policies which the authority wish to save from their existing local plan or UDP until these are superseded by new development plan documents and the timetable for the preparation of the statement of community involvement.

local education authority (LEA)
Local authority departments which have responsibility for primary education provision in their area and for promoting high standards of education. An LEA must ensure that there are enough primary and secondary places with adequate facilities to meet the needs of children living in the area.

local investment finance trust (LIFT)
A public private partnership between the local healthcare trust and private sector partners with the purpose of improving the primary healthcare facilities within a defined geographic area for a minimum of twenty years. The remit of the partnership is to procure, maintain and refurbish the primary care buildings within the designated geographic area.

local plan
The detailed, local element of what, with a structure plan, constitutes the development plan for an area. Local plans are the means by which local authorities set out policies and proposals for the development and use of land. A local plan comprises a written statement and proposals map. Under the Planning and Compulsory Purchase Bill 2003, local plans will be superseded by local development frameworks.
**M**

**masterplan**
The term is used in this guide to describe a 'spatial masterplan', which sets out proposals for buildings, spaces, movement strategy and land use in three dimensions and match these proposals to a delivery strategy.

**Millennium Communities**
A programme, run by **English Partnerships**, which aims to deliver around 5-6,000 dwellings over the course of 7-10 years on a range of selected sites according to a number of specific objectives. These place an emphasis on design quality, sustainability, specific environmental performance standards, innovative construction, social inclusion and long-term economic viability. The programme was initiated in 1997 with the launch of the development competition for Greenwich Millennium Village.

**N**

**National Coalfields Programme**
An initiative begun in 1996 and managed by **English Partnerships**, the RDA's, the Coalfields Communities Campaign (CCC) and other key local partners, on behalf of the Office of the Deputy Prime Minister. The aim is to address economic, environmental and social issues in the former coalfield communities of England, where huge job losses, contamination and dereliction followed the widespread pit closures of the 1980s and 1990s.

**Neighbourhood Renewal Fund (NRF)**
Government grants initiated in 2000 to support local services in deprived areas in association with local strategic partnerships. It provides public services and communities in the 88 poorest local authority districts with extra funds to tackle deprivation. The original £900 million pot has been extended for a further three years and has been increased by a further £975 million.

**New Deal for Communities (NDC)**
A government programme announced in 1998 as part of the Government's National Strategy for Neighbourhood Renewal to help deprived neighbourhoods tackle social exclusion, with the aim of bridging the gap between these neighbourhoods and the rest of England. It supports intensive regeneration schemes that deal with problems such as poor educational standards, unemployment, crime and poor standards of health. Approximately £2bn has so far been committed to the 39 partnerships.

**New Opportunities Fund (NOF)**
A Lottery Distributor created in 1998 to award grants to education, health and environment projects throughout the UK. Many of the grant programmes focus on those in society who are most disadvantaged.

**Office of Government Commerce (OGC)**
A central government department, part of the Treasury, which advises all government institutions on best practice in procurement of goods and services including construction projects.

**Official Journal of the European Union (OJEU)**
Daily journal advertising the service requirements of all public procurement, including construction projects. Publicly funded projects over a certain size must advertise here both for professional teams and builders.

**output specification**
The form in which briefs for PFI projects are stated. It requests the provision of the service that the building will provide.

**P**

**pathfinder**
See **Housing Market Renewal Pathfinders**.

**performance criterion**
A means of defining the extent to which a development must achieve a particular functional requirement (such as maintaining privacy), without having to set out precise physical standards (which specify more precisely how one aspect of a development is to be designed). Unlike standards, performance criteria make no prior assumptions about the means of achieving a balance in urban design.
permitted development
Small scale, often domestic, development which does not require formal planning permission provided it complies with criteria set out in Government legislation.

placecheck method
A tool (developed by the Urban Design Alliance) for assessing the qualities of a place, showing what improvements are needed, and focusing people on working together to achieve them. A Placecheck can cover a street (or part of one), a neighbourhood, a town centre, or a whole district or city. The Placecheck User's Guide can be downloaded from www.placecheck.com.

Planning and Compulsory Purchase Bill 2003
Draft legislation aimed at making the planning system 'clearer, faster and more certain'. At a strategic/regional level, **regional spatial strategies** will incorporate and replace **regional planning guidance** and replace **structure plans**. At a local level, **local plans** and **UDP's** will be replaced by local development documents. A number of changes are proposed to reduce delay and speed up decision-making in the development control process. In addition, local planning authorities will have wider **compulsory purchase** powers and compensation will be available to occupiers as well as owners.

planning brief
See development brief.

planning gain
Benefits for the community at large secured by a local authority through a **section 106 agreement**. The official name for these benefits is now 'planning obligations'. The term planning gain, though widely used, is frowned on officially, being thought to be associated with suspicions that developers use the system to buy planning consents.

The Government's Green Paper, 'Planning: Delivering a Fundamental Change', with three associated daughter documents covering major infrastructure projects, planning obligations (section 106 agreements) and compulsory purchase orders. Many of the provisions are being taken forward in the Planning and Compulsory Purchase Bill 2003.

planning obligation
See section 106 agreement.

planning policy guidance (PPGs)
Government national land use planning policies for England. Prepared on general and specific aspects of planning policy that local authorities must take into account in formulating plans (see structure plan, local plan, area action plan, UDP) and in making planning decisions. PPGs are being replaced by planning policy statements.

planning policy statements (PPS)
Guidance issued by Government, in place of PPGs.

pre-qualification
The process by which a contractor or design team demonstrates competency in order to be placed on a short list for possible selection for a project. Conditions for suitability should include assessment of competence as indicated by track record, size, staff qualifications and financial record.

prior indicative notice (PIN)
The notification that must be sent to the OJEU announcing that suppliers will be sought for publicly-funded projects or services above specific values.
private finance initiative (PFI)
A procurement route in which a private sector supplier takes over the design, construction and management of a building for use by the public sector. The typical operating period is 20–30 years. Outputs that the service is intended to provide must be clearly defined. At the end of the operating period, ownership of the building reverts to the public sector.

public private partnerships (PPP)
Procurement methods that involve working in partnership with private finance. They usually involve versions of Design and Build, including Prime Contracting. Prime contractor relationships are being used on Design, Build, Finance and Operate (DBFO) rolling programmes so that many smaller projects may be undertaken by a team led by the prime contractor, but not all are defined or let on day one.

regeneration
See urban regeneration.

regional assembly
Existing regional bodies, based on the same regional boundaries as the RDAs, which would operate between central and local government, and would have a number of specific responsibilities relating to planning and regeneration, such as the preparation of regional spatial strategies.

regional development agency (RDA)
An agency created in England in 1999 (under the Regional Development Agencies Act 1998) to coordinate regional economic development and regeneration, improve the regions’ relative competitiveness and reduce regional imbalances.

regional housing boards
Bodies established to strengthen the integration of the various strategic/planning processes relating to the provision of affordable housing and to co-ordinate the arrangements for establishing regional housing priorities. In future the method of allocating housing capital resources will be changed so that resources can be directed to regionally identified priorities. Boards comprise senior officials from Government, the Housing Corporation’s regional offices, the proposed regional assembly, the RDAs and English Partnerships.

regional planning bodies (RPB)
Bodies which, as part of existing regional assemblies, prepare RPG. Under the proposals of the Planning and Compulsory Purchase Bill 2003, they would prepare and administer regional spatial strategies.

regional planning guidance (RPG)
Planning guidance related to regional policy, prepared by the regional planning bodies in partnership with regional stakeholders, and issued by the Government. Under the Planning and Compulsory Purchase Bill 2003, this will be superseded by regional spatial strategies.

regional spatial strategies (RSS)
Regional planning policy and guidance which regional planning bodies (RPB) will be required to prepare and monitor under the provisions of the Planning and Compulsory Purchase Bill 2003. RSS will relate not only to planning matters but also other strategic land use and development matters. Initially, the Secretary of State will be able to prescribe the relevant current RPG as RSS.

registered social landlord (RSL)
A housing association, housing trust, housing cooperative or housing company that provides social housing and is registered with the Housing Corporation.

Royal Institute of British Architects (RIBA)
A professional organisation, with around 30,000 members, which exists to advance architecture and promote excellence in the profession. It conducts lectures, exhibitions, events, works in schools, and community architecture schemes.
Royal Institute of Chartered Surveyors (RICS)
A global professional body that represents, regulates and promotes chartered surveyors and technical surveyors. It has 110,000 members and addresses all aspects of land, property, construction and associated environmental issues.

Royal Town Planning Institute (RTPI)
A membership organisation, consisting of fully qualified professional planners, planning officers of local councils, central government employees, property developers, consultants, and teachers and researchers in universities. The RTPI's mandate is to advance the science and art of town planning for the benefit of the public.

Section 106 agreements (section 75 in Scotland)
An agreement or instrument, with statutory basis under section 106 of the Town and Country Planning Act 1990, entered into by a person with an interest in a piece of land, either with the local planning authority or unilaterally, normally before the grant of planning permission. The agreement may restrict the development or use of the land in a specified way; require specific operations or activities to be carried out in, on, under or over the land; require the land to be used in a specified way; or provide for a specific payment to the local authority or other public body to secure benefits to the community. Government policy (Circular 1/97) requires that such planning obligations must be necessary, relevant to planning, directly related to the proposed development, fairly and reasonably related in scale and kind to the proposed development, and reasonable in all other respects.

Sensitivity analysis
An examination of the effects on an appraisal of varying the projected values of important variables.

Simplified planning zone (SPZ) or business planning zone (BPZ)
A zone in which local planning authorities may relax planning policies and negate the need for permission for certain types of development.

Under the Planning and Compulsory Purchase Bill 2003, it is proposed that an SPZ (referred to as BPZ in the Green Paper 2002) can be identified by a local planning authority, or designated by the Secretary of State, in an area identified for such an approach in the regional spatial strategy. These new-style SPZs are intended to provide strategic flagship sites for high-quality low-impact development in a region, and to help to get inward investment in the right place, allow new innovative development to set up quickly, and promote high-tech clusters. It is intended that each region will have only one or two SPZs.

Single pot
The regeneration funds available for distribution by the RDAs.

Single Regeneration Budget (SRB)
A UK government funding programme launched in 1994 by bringing together 20 existing regeneration and economic development programmes. SRB funds were allocated on the basis of competitive bids by local partnerships. In the years after 1994 there were six rounds of competition for the budget.

Social exclusion
Poverty. The Joseph Rowntree Foundation defines social exclusion as 'the process by which some forms of disadvantage, including unemployment, poor skills and poverty, can interact to push people out of mainstream society, and the effect that lack of income and lack of work have on people’s ability to participate in society'.

Spatial masterplan
See masterplan

Stakeholder
1 A person or organisation with an interest in or concern for a particular place; one who affects or is affected by the processes of urban change.
2 A person or organisation with a specific financial or legal interest (owning property or running a business, for example) in a particular site or area. This second meaning is less often used in relation to urbanism and regeneration, but the existence of two meanings makes stakeholder a somewhat ambiguous term.
statement of community involvement
A statement setting out a consultation strategy for the local planning process, to be presented as part of the development plan documents under the proposals of the Planning and Compulsory Purchase Bill 2003.

statement of development principles (SoDP)
Proposed under the Planning and Compulsory Purchase Bill 2003, a SoDP enables a developer to obtain an indication from a local planning authority as to whether a proposed development would be acceptable in principle. The local planning authority will issue a SoDP which will set out whether the authority agrees with the principle of all or part of the development and give reasons for doing so. The statement would be a material consideration in the determination of future applications.

stock transfer
In housing terms, the process of transferring the ownership and management of a local authority’s housing to a not-for-profit registered social landlord. Transfer cannot take place unless a majority of tenants vote in favour of the process in an independently-run ballot and approval is received from the Secretary of State. It is often preceeded by an ‘options appraisal’, in which a local authority explores the most appropriate management, ownership and investment arrangements for their housing stock in order to bring them up to minimum standards of decency.

strategic framework
An expression of the basis on which an area should be planned, giving the reasoning and necessary background. It acts as the brief for the masterplan and may be carried out as a separate project by a different team. It is not an official, widely-understood and well-defined term, but indicates a statement of aims and objectives for regeneration.

structure plan
Development plan prepared by county authorities setting out strategic policies for an area. It does not contain site specific proposals but will identify broad areas for development. Under forthcoming legislation contained in the Planning and Compulsory Purchase Bill 2003, structure plans will be superseded by regional spatial strategies.

sub-regional framework or sub-regional strategy
Part of regional spatial strategy under the legislation proposed in the Planning and Compulsory Purchase Bill 2003, this addresses issues for parts of a region, or areas that cut across regional boundaries, and enables consideration of the sub-regional implications of local development documents and other major development proposals.

supplementary planning documents (SPD)
Documents produced by the local planning authority as part of its local development framework. These are not subject to independent examination but the matters they cover must be directly related to a policy or policies in a development plan document. Local planning authorities may use SPDs as additional guidance to cover a whole range of issues which elaborate upon a development plan document but do not need to be subject to independent examination.

supplementary planning guidance (SPG)
Additional advice provided by a local authority on a particular topic, elucidating and exemplifying policies in a development plan. SPG includes urban design frameworks, development briefs, design guides and village design statements. It must be consistent with the local plan and should be prepared in consultation with the public, and formally approved by the council in order to give SPG additional weight as a ‘material consideration’ in the planning process.

sustainability appraisals (SA)
These would be mandatory under proposals in the Planning and Compulsory Purchase Bill 2003 for RSS and LDDs. The process, which is integral to the preparation of RSS and LDDs, appraises the potential economic, environmental and social impacts of options for development to help decisions to be made in accord with the objectives of sustainable development. The
ODPM has commissioned guidance on SA of RSS and LDDs, which will be published in the summer of 2004.

**Sustainable Communities Plan or Communities Plan**
The long term programme of action launched by the Deputy Prime Minister on 5 February 2003 and documented in *Sustainable communities: building for the future*. It sets out the action being taken to deliver thriving, inclusive communities across England in both urban and rural areas. Amongst other things, it aims to: tackle housing supply issues in the wider south east (see Housing Growth Areas); address low demand and abandonment in parts of the North and the Midlands (see Housing Market Renewal); improve the quality of our streets, parks and other public spaces (or 'liveability'); improve the quality of housing stock; and promote good design.

**sustainable development**
1 'Development that meets the needs of the present without compromising the ability of future generations to meet their own needs' (as defined in *Our common future* by the World Commission on Environment and Development or Brundtland Commission, 1987). The report of the UN 'Earth Summit' in 1992 suggested that economic, social and environmental considerations had to be integrated to address issues of poverty, equity, quality of life, and global environmental protection. These principles were adopted and incorporated into *agenda 21*, a comprehensive set of principles to assist governments and other institutions to implement sustainable development policies and programmes in the twenty first century.
2 More generally, a benchmark for a range of economic, social, political, and environmental initiatives that contribute to 'quality of life': the Government has identified local, regional and national indicators against which progress towards sustainable development, in this sense, is monitored.

**tender process**
The process of inviting organisations to submit a proposal, with costs, to carry out a piece of work. It covers the preliminary invitation to tender, formal invitation to tender and the actual form of tender.

**unitary development plan (UDP)**
The combined equivalent of a *structure plan* and *local plan* for unitary authorities. The *development plan* for metropolitan authorities.

**urban design action team (UDAT)**
Part of a process of consultation, UDATs involve collaboration between local people and an invited team of professionals (often over several days) to explore design ideas for a particular area.

**urban design framework**
1 A document describing and illustrating how planning and design policies and principles should be implemented in an area where there is a need to control, guide and promote change. It includes a two-dimensional vision of future infrastructure requirements and can specify development in phases or cover an area only part of which is likely to be developed in the near future. Urban design frameworks may be used to coordinate more detailed *development briefs*. They are sometimes referred to as 'urban design strategy' and 'planning and urban design framework'.
2 In looser terms, any set of principles that shapes the physical form of urban development.

**urban development corporation (UDC)**
A limited-life organisation (established under the Local Government, Planning and Land Act 1980) with a broad remit to secure the regeneration of a designated geographical area over a limited periods of time, focusing on economic and physical renewal. Within these parameters UDCs enjoyed a comprehensive range of powers and considerable autonomy, including powers of *compulsory purchase* and some development control functions. By April 1998 they had completed their task: the final eight were wound up and *English Partnerships* (in the form of the Commission for New Towns) inherited the remaining assets and liabilities in order to complete the process of disengagement and monitoring.
urban grain
The pattern of the arrangement and size of buildings and their plots in a settlement. An area's streets, blocks and pattern of junctions defines its urban grain.

urban regeneration
A term that became current in the 1980s (and more widely after 1995) as a replacement for ‘urban renewal’, which had become associated with wholesale clearance and comprehensive redevelopment. It was used initially by the private sector and was later applied to all kinds of positive urban change.

urban regeneration company (URC)
The companies are separate private legal entities, set up and funded by government. They work in partnership with local agencies to co-ordinate investment plans from both the public and private sectors with the aim of regenerating their areas.

urban structure
The framework of routes and spaces that connect locally and more widely, and the way developments, routes and open spaces relate to one another.

Urban Task Force
Established by the Government in 1998, and chaired by Lord Rogers, to identify causes of urban decline in England and recommend practical solutions to bring people back into cities, towns and urban neighbourhoods. Its report, Towards an urban renaissance (1999), has had an enormous influence in stressing the importance of the shape of public spaces and their impact on the cohesion of neighbourhoods. It also emphasised the importance of design by encouraging: the introduction of a national urban design framework; adoption of an integrated approach to design-led regeneration; single strategies for public realm and open space; increased urban densities; the creation of spatial masterplans; and the establishment of local architecture centres.

village design statement
An advisory document, usually produced by a village community, showing how development can be carried out in harmony with the village and its setting.

vision statement
A simple statement of main objectives, needed for early consensus to be able to start the feasibility and budget checks and as a constant reference point throughout the project.

voluntary transfer
See stock transfer.

6.4 Photography credits
Illustrations and project photographs are credited within the document.

All other images have been provided by CABE with the exception of the following:
p3 Adam Gault Photography
p65 EDAW
p71 & p104 Lovejoy London
p72 Alan Baxter & Associates
p76 Proctor and Matthews Architects
Work sheets

1 Competitive selection

1.1 Achieving best value (value for money, VFM)

Most public bodies or public funding agencies require services and works to be procured by a competitive process. The objective of the competition is to achieve the 'best value' or 'value for money' option – the option that represents the best fit to the client’s requirements at the most advantageous price, a balance between quality and cost. Designers and consultants are frequently selected in this way using a process involving presentation, interview and design.

To achieve best value at all stages of a project, a well-organised and properly documented procedure is needed to select teams that will work with the client and with each other effectively to create the strategic framework and masterplan.

The processes described below are valid for the selection of any team or team member, for instance masterplanning teams and any other specialists that may be required, such as architects, traffic engineers, open space designers and project managers.

1.2 Stage one: pre-qualification

The purpose of pre-qualification is to select a short list of companies capable of providing services or undertaking a task to the required standards and which will be requested to tender competitively for the job. The selection criteria may be solely quality (most usual for design and other consultants) or a mixture of quality and price.

If the project is subject to the EU procurement directives, notices must be published in the Official Journal of the European Union (OJEU) and the tendering process will therefore be open. If open tendering is not required, or where the client wants to notify potential bidders of the project, suitable candidates can be identified in a number of ways:

• Clients can use their own knowledge to prepare a ‘long list’ of candidates. This may take considerable time and effort for a client with no previous experience, who will need to consult contacts and professional institutes and understand how to weigh up the rival merits of candidates.
• Help can be given by the various professional institutions and trade associations, such as RTPI, RIBA, RICS, UDG.

• Specialist advisers can help create a list.

• Advertisements can be placed in professional journals to attract suitably qualified people.

1.2.1 **The stage one brief**
Clients should prepare a summary brief or the full commissioning brief to issue to prospective bidders. A summary brief is likely to be more appropriate if going through OJEU procedures, particularly where there is significant background material to the commissioning brief.
A summary brief should provide adequate information about the budget, programme, skills required and extent of work already done by the client.

1.2.2 **Pre-qualification submissions**
Once a long list has been established or an OJEU notice issued, candidates will have to submit information to establish that they are qualified to undertake the task required. This process, usually referred to as pre-qualification or expression of interest, requires candidates to provide details of their experience, skills, financial stability and availability in order to assess their basic competence to undertake the work.

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**Box 41: Typical pre-qualification information**

- previous work and commitment to design quality
- size of firm
- financial stability (based on financial checks)
- number of professionals
- CV of key personnel
- range of skills
- experience with multi-disciplinary teams
- size and type of similar projects undertaken
- availability during the project period
- references from previous clients
- sustainability policies
- equal opportunities policies
- quality assurance procedures

1.2.3 **Numbers and timetable**
The number of firms to consider and the time they should have to submit material varies according to the type and scale of the project, the roles being selected, the selection process being used and whether the project is subject to OJEU rules (which specify minimum numbers).

When firms are invited to make initial submissions for pre-qualification, between five and ten firms may be considered. For complex submissions, the number should be kept as small as possible. When the process involves open competition – including through OJEU – the long list is created by the responses received. Careful wording of competition conditions and notices advertising the project helps ensure that the list only contains firms capable of providing a suitable final project.
1.2.4 Establishing a shortlist
The long list should be reduced by rating each firm against a weighted set of pre-qualification criteria agreed by the client team and any advisers. A small number of firms which pass all the pre-qualification conditions should be selected – for OJEU restricted procedure a minimum of five is required. In other circumstances, and depending on the amount of work that the bidders will be asked to do during the second stage of tendering, three or four teams should be short-listed.

Many organisations have policies on the selection of consultants and may have a pre-selected panel of consultants to draw on. You should check that the policies are appropriate for the project and their application is communicated at the beginning of the process to ensure that the teams being considered comply. Some regular clients have lists of organisations that have been ‘pre-qualified’ according to criteria developed over many projects. If this is the case it is still important to check that the firms on the list have the capability to meet the brief.

1.3 Stage two: tenders from shortlisted teams

1.3.1 Client briefing
Once the shortlist has been established the full commission brief should be issued (if it was not issued during stage one). It is important at this stage for competing teams to have time to discuss the project with the client, understand the background, view relevant material and visit the area. This can be accomplished through a briefing day with the teams and client, which should take place as early as possible during stage two.

1.3.2 Submission requirements
The commissioning brief should clearly set out the submission requirements to ensure consistency and fairness. Generally submission should be asked to address:

• confirmation of team, key personnel and roles
• approach to project management
• programme
• methodology
• key issues to be addressed – which may be included in the brief as a series of questions
• design challenge – which may require some diagrams explaining broad urban design principles

• fee bid

If firms are to be asked to prepare extensive material, or to absorb a lot of information as part of the tendering process, clients should consider offering an honorarium.

1.3.3 **Stage two evaluations**
A preliminary evaluation of submitted tenders should help establish issues for clarification or exploration at interview.

For design teams and consultants, prices may be tendered as one of the following:

• ‘lump sum’ (fixed price), sometimes broken down into separate costs for various stages

• a time-related charge.

Once the quality of the prospective tenderers has been established, fee bids should be evaluated. In some instances clients may choose to have sealed bids, which are not part of the evaluation process. It is important that clients place the appropriate emphasis on the quality of the submission, not simply the price. Also if the tenders reveal that the client’s budget was unrealistic, it will be sensible for the client to adjust their expectations to ensure the appropriate quality of output from the masterplanning team.

Clients must pre-plan and structure interviews to find out the necessary information and to get a ‘feel’ for the way a relationship with the team might develop. It is useful to:

• devise standard questions

• agree roles and responsibilities of the panel members

• decide how decisions will be made. Will it be by vote? Will there be a power of veto?

The client and advisers may also wish to review previous projects or take up references from previous clients.
Selection using EU procedures

Official Journal of the European Union (OJEU or OJ)

The European Union (EU) regulations set down procedures with strict timetables, advertising requirements and selection processes for contracts over a certain value for supplies, services or works awarded by public authorities, utility companies or those funded publicly. The intention is to ensure fair treatment of all potential contractors in the EU and to promote transparency.

The regulations apply to all types of design services and, as they are continually being developed, it is important to check that you are using current guidance. Regulation 23 of Public Works Contracts Regulations, 1991 and Regulation 25 of the Public Services Contracts Regulation 1993 applies to projects receiving public funds such as lottery funds distributed by public or quasi-public bodies, for example the Arts Council and Sport England. The only exception is where less than 50% of the funding comes from public sources. Even then, the funders may make it a condition that EU procurement rules are followed.

There are four relevant directives: services, works, supplies and utilities, based on three main principles:

- community-wide advertising of contracts so that firms in all member states have an opportunity to bid for them
- banning technical specifications liable to discriminate against foreign bidders
- application of objective criteria in procedures for tendering and awarding contracts.

Unless great care is taken in wording advertisements, the effect may be to prevent design driving selection. The minimum period for selecting contractors is about six months. As this is several months longer than might otherwise be needed for an effective competitive selection, organisations often use the OJEU process to choose teams with which they then make framework agreements lasting several years (generally not more than four). This promotes long-term partnering and encourages continuous improvement as a team, as well as allowing the same team to be used on different projects without repeating the full selection process.

The need for supply of goods and services or for undertaking works is advertised in the Official Journal of the European Union (OJEU). This journal covers all of Europe (EU) and anyone can respond to the advertisements. OJEU is available online and in different languages. Official EU forms, which can be obtained from www.simap.eu.int, must be used when submitting notices. Suppliers have a set period in which to notify their interest. The evaluation of tenders is made against pre-advertised criteria. The ‘Most Economically Advantageous Tender’ criteria can be specified in the notice or in the contract documents and stated in the notice as ‘specified in the invitation to tender’. If

Further information can be found in Successful delivery toolkit, (OCG), CUP guidance Nº 51: introduction to EU procurement rules (www.ogc.gov.uk) and in Public procurement, Alastair Blyth, (RIBA Enterprises 2003).
nothing is specified, the award criteria will be deemed to be lowest price.
After a contract is awarded, a notice must be placed publicising the placing of the contract.

The rules described below can be difficult to interpret. For example, where a service has been previously provided by someone and the client wishes to retain them again on the basis of the specialised knowledge they now have, this may be acceptable. However it may be difficult to prove the special case.

### 2.1 Financial thresholds

The information below cannot be treated as a substitute for proper legal advice. The EU procurement rules apply to ‘major’ contracts defined by financial limits that are adjusted biennially. Consultant fees are normally deemed to be services (building works are classed as works). The current limits (2003) are shown in the table below. The highlighted band is that applicable to projects with public funding but not from a central government body. It is important to check in up-to-date information if your organisation is a Schedule 1 body or an alternative public sector organisation. If in doubt seek legal advice or use the lower levels.

<table>
<thead>
<tr>
<th>Entity Type</th>
<th>Supplies</th>
<th>Services</th>
<th>Works</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entities listed in Schedule 1 (S.I. 1995/201)</td>
<td>£93,738 (£137,000)</td>
<td>£93,738 (£137,000)</td>
<td>£3,611,319 (£5,278,000)</td>
</tr>
<tr>
<td>Other public sector contracting authorities</td>
<td>£144,371 (£211,000)</td>
<td>£144,371 (£211,000)</td>
<td>£3,611,319 (£5,278,000)</td>
</tr>
<tr>
<td>Indicative notices</td>
<td>£513,166 (£750,000)</td>
<td>£513,166 (£750,000)</td>
<td>£3,611,319 (£5,278,000)</td>
</tr>
<tr>
<td>Small lots</td>
<td>£54,738 (£80,000)</td>
<td>£54,738 (£80,000)</td>
<td>£684,221 (£1,000,000)</td>
</tr>
</tbody>
</table>
Services and works are treated differently. The limits for services apply to each service required and each is contracted individually, with contracts covered by the Services Regulations. The limits for services apply to each service required and each is contracted individually, with contracts covered by the Services Regulations. The works limits are applicable to the aggregate of work to be undertaken in a single project. So even if the works are to be awarded on a package basis, for example under a construction management or management contracting arrangement, the aggregate value of all the packages applies.

2.2 Three possible procedures

Under the EU directives, three selection procedures apply to any type of services or works, including masterplanning. In different countries the rules may be interpreted differently – in Germany, for example, almost all architectural appointments are made through the negotiated route.

2.2.1 Open tender

A notice is published and anyone can submit a tender. This can generate a very large number of responses and involve the client in an inordinate amount of work in assessing them. For tenderers, it carries a low likelihood of success against an unknown number of competitors and is a poor investment of time and cost. As a result it is less likely to bring responses from high-quality firms with good reputations. The rules specify how quickly clients must respond to requests for information. In practice, open tender is rarely used.

2.2.2 Negotiated tender

The contract is negotiated directly with at least three tenderers if three suitable ones exist and, if not, then with the maximum number available. The rules surrounding this process are very strict, to prevent abuse. Most funding bodies will not accept this process unless it is fully justified and the burden of proof that appropriate conditions apply lies with the contracting authority. Some of the grounds accepted for choosing this route include:

\[
\begin{align*}
&\text{SI 1993/3228} \\
&\text{SI 1991/2680}
\end{align*}
\]
• when for technical or artistic reasons, or to protect an exclusive right, only one contractor is able to perform the contract

• where a contract follows a competition and the client has to award the contract to the successful candidate, for example, commissioning works of art or the award of an architectural commission following a design competition.

A negotiated tender can also take place, without prior publication of a contract notice, if no or only inappropriate responses were received in response to an open or restricted procedure.

2.2.3 Restricted tender
A restricted number of tenderers, usually between five and 20, (a minimum of five) are selected from a pool of those expressing interest and who meet any specified criteria. It is generally a two-stage process – once the responses have been received no negotiations are permitted and tenders are evaluated on pre-determined award criteria published in the contract notice or invitation to tender. Clarification meetings are permitted, although as the line between negotiation and clarification is not clear it is advisable to take external advice.

The following principles are important:

• If the nature of the procurement changes from that originally advertised and specified, then a new exercise is needed

• Pricing changes are vulnerable to challenge

• All tenderers must be treated fairly and discrimination avoided.

2.3 Restricted tender procedure
This procedure is commonly used and allows quality to be considered at two points in the process.

2.3.1 Prior Indicative Notice (PIN) If the services or works are likely to be above the EU procurement threshold, place a Prior Indicative Notice (PIN) in the OJEU as soon as possible. A single PIN notice can be issued for all the services, but it should make clear whether you intend to award the services as an aggregate or as individual contracts. The PIN is only compulsory where you want to take advantage of the timescale reduction for the return of tenders. ↔

If a construction management form of procurement is chosen, a PIN notice can be placed for the procurement of all the packages, even if you intend to award them separately (construction management is itself treated as a service). In order to take advantage of the timescale reduction referred to above, the PIN notice must be placed not more than 12 months and no later than 52 calendar days before the main notice is to be placed. It will be published within 12 days of receipt.

The timescales set out here must be observed if an accelerated restricted procedure is to be followed ↔. However it is possible, and very usual, to publish the PIN notice less than 52 days before the main notice.
2.3.2 **Contract notice**
Issue a main notice requesting expressions of interest. This notice provides full information and informs parties how to bid for the project. The date for return of the expressions of interest is 37 calendar days from the day after the notice has been sent to the OJEU. If you use the accelerated restricted procedure, (check the EU website for details of when this may apply), this period can be reduced to 15 days. This is only available for clients who can provide a justifiable operational reason for requiring an accelerated procedure. The notice can ask interested parties to provide enough information for pre-selection. Firms can be rejected for the following specific reasons:

- selection/rejection factors such as bankruptcy, professional misconduct, registration on appropriate professional or trade registers
- inadequate economic and financial standing
- inadequate technical knowledge and ability

2.3.3 **Additional pre-selection questionnaire**
Alternatively, a separate questionnaire can be sent out to those expressing interest, but this will usually prolong the pre-selection process as after the closing date you have to make sure that everyone has had time to complete and return the questionnaires.

2.3.4 **The tender**
The tender list must be selected only from those who have expressed an interest and meet any pre-qualification criteria. The selection team may evaluate the responses to rank the returns in order of merit. The tender list should comprise a minimum of five companies and the number must be specified on the OJEU notice. The selection process for tenderers must be transparent and the criteria for eligibility must be very clear. It is not possible to add during selection criteria that have not appeared in the notice so careful thought must be given when they are defined. It is therefore particularly necessary to include design quality and expertise requirements clearly in the notice.

The tender period must be a minimum of 40 calendar days. This can be reduced to 26 days if a PIN has been published (subject to the 12 months/52 days rule) and can be shortened to 10 days for accelerated restricted procedures. Select the contractor, service provider or supplier by assessing which tender is the ‘most economically advantageous to the contracting authority’. This is in line with the UK government's procurement policy to adopt ‘value for money’ procedures. It does not necessarily mean the lowest tender. Within 48 days of awarding the contract, place a Contract Award Notice in the OJEU. Since 1 May 2002, standard forms of notice have been mandatory. These can be accessed on www.simap.europa.eu.
Time periods involved in the EU requirements are illustrated below. Failure to follow these procedures can and does lead to litigation. It may lead to withdrawal of funding if one of the conditions of funding is that the EU procurement rules apply.

2.3.5 **Contract award notice**
This must be sent on completion of the tendering exercise and award of the contract. Tenderers, whether or not they are successful, should be notified and debriefed. If the process is abandoned and no contract awarded the abandonment must be notified and contractors who submitted an offer must be informed.

### 2.4 Quality of design and construction

In relation to design and construction projects, to achieve quality when using the EU procurement procedure, the client and advisers must clearly state their design quality requirements in the formal notices announcing and describing the project and its requirements.

Potential design teams and contractors need to be able to identify that the project is of interest and relevant to them and to understand the client’s criteria for selection. For example the ‘Category of Service’ in the OJEU Notice for Services gives an opportunity to describe the scope of the project.

It is also common for clients to advise firms they wish to make a submission that a notice has been published in the OJEU and to advertise in the trade press such as Building Design, the Architects’ Journal, Contracts Journal, Regeneration and Renewal and Planning announcing the project and referring to the OJEU notice. Once a notice is published, the client is committed to the award criteria set out in it.
2.5 **The timetable**

The timetable below is for selecting contractors for works under the restricted procedure. The items in bold are mandatory.

<table>
<thead>
<tr>
<th>Box 43: <strong>Selection timescales</strong></th>
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<tbody>
<tr>
<td><strong>EU procedures</strong></td>
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<td>10</td>
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<td>11</td>
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</tbody>
</table>

The timetable for works contractors can be slightly longer.
References & contacts

Office of Government Commerce
www.ogc.gov.uk
Successful Delivery Toolkit contains
Achieving excellence suite of
construction procurement guidance,
and OGC site links to Procurement
Policy and EU rules including guidance
notes and thresholds

Tenders Electronic Daily Database (TED)
www.ted.europa.eu
Free access to online version of the
Official Journal of the European Union
(OJEU), updated daily

UK Legislation
www.opsi.gov.uk/legislation
Free download of statutory instruments
and UK legislation

Address for all communications
and notices:
Office for Official Publications of the
European Union
2 Rue Mercier
L-2985 Luxembourg
Tel: 00 352 49 92 81
Fax: 00 352 49 00 03

Official EU forms on which to submit
OJEU notices can be found at:
www.simap.europa.eu

Information on electronic procurement,
codes and standard forms of notice can
also be obtained from this address.

Alternatively notices can be forwarded
electronically to:
mp-ojs@opoce.cec.eu.int
3 Masterplanning / developer competitions

Increasingly, private sector partners are playing a critical role defining and delivering publicly promoted masterplans. In these instances a competition process is often used to select the winning partner to deliver development within the broad objectives established by the public sector. For instance a competition may be held to appoint a consortium to develop a large brownfield site or redevelop a housing estate. Under this approach, much of the work included in the design section of the guide is undertaken when selecting a developer and their design team.

3.1 Preliminary work

Agencies disposing of land or inviting a developer to come into partnership with them need to have done enough preparatory work to be able to evaluate the offers being made by bidders. It is therefore sensible to hold a competition only if a strategic framework is in place. Such framework often includes urban design analysis and consideration of potential physical options, as well as costing and commercial analysis. This enables the public agency to test issues that can then be included in a brief for a developer competition. Issues to consider may include establishing urban design principles for development and reviewing the need to support investments in social and physical infrastructure, such as roads or schools. This will ensure that the client is negotiating from a position of knowledge and strength.

3.2 The competition process

A competitive selection process to appoint development partners is a major undertaking for all concerned: the public agency, the bidders and their consultants and the local community. If mismanaged the process can lead to disillusionment for the potential investors and local residents and significant financial loss, with some competitions costing bidders as much as £250,000. It is therefore important for clients to be conscious of the time and energy involved for both them and bidders when using competitive selection. The watch points below outline some principles that clients and site owners should consider when running competitions to select developers for major masterplanning projects or when appointing teams to prepare a masterplan.

3.2.1 When to have a developer or masterplanning competition

Clients must first establish whether a design competition (that includes the submission of relatively detailed design proposals) is appropriate for the project at its current stage. They should check that enough information is available to ensure the competition will help them develop their ideas. If many basic issues are still unresolved, it may make sense to appoint an advisory consultancy team through a quicker process, eg. competitive interview, to work through these issues.

Section 3.2

Section 3.7 & Worksheet 1
3.2.2 **Watch points**
Assuming a masterplan competition is the right way forward, then whether the client is appointing a development partner to work alongside a public agency or a consultant team as masterplanners, many of the tips for success are the same:

- Adopt a simple and clear selection process, in order to avoid unnecessary delay and costs to the client organisation and the bidders. A two stage competitive process can work well.

- For the competitive process to be fair and effective the client must do their homework, establish the constraints and opportunities presented by a site and communicate issues effectively in the brief.

- Test the aspirations in the brief with the relevant decision makers to ensure that there is political backing.

- Avoid lengthy ‘wish lists’ that have not been tested and be clear about the relative priority of different aspects of the brief by indicating which are essential, non-essential but high priority or simply desirable, eg. a new primary school or park.

- Ensure that selection processes comply with European Regulations and other procedures.

- Ensure that competitors are treated equally and that the process is as transparent as possible, adopting good practice when evaluating submissions. Design must be given the appropriate weighting in the selection criteria. Details of the decision-making panel and any client advisers should also be clear to competitors.

- Make good decisions by: engaging all the relevant decision-making bodies as early as possible in the process; having the relevant technical support to help prepare the brief and evaluate the submissions thoroughly; and setting up the selection panel or jury, which should include a design expert.

- Be clear about the ultimate intent of the competition: is the aim to select a winning masterplan, or a winning team? When appointing a masterplanner, clients should generally be doing the latter: they are selecting a team on the basis of the quality of thinking and expertise they will bring to the process. For developer competitions it can be more complex, as certain aspects of the submissions can be more fixed, for example the financial offer tied to the masterplan. However, generally speaking the client is picking a team with which they will have a partnership during the regeneration process.
• When setting submission requirements the level of detail requested should reflect the selection criteria and decision-making process. Clients should be reasonable about the amount of work required, particularly as this will often be done at risk. It is useful to specify the plans and illustrations required, including the scales to be used, so that submissions are comparable. Consider whether to give an honorarium to bidders or designers – this can be an important statement of commitment from a client organisation.

• Once the client has appointed a masterplanner or preferred developer, they must not lose sight of the original objectives. If the winning team, masterplanner or developer has to develop ideas that meet client aspirations then it is necessary to make sure these are communicated to them and that the scheme is subject to ongoing review.

Box 44: A competition as a creative process

A masterplanning or developer competition can be a very creative process for both the competition teams and the client. Here are some ideas to help:

• Have a single point of contact within the client organisation to manage the competition
• Set up a technical panel to support the client contact during the process
• Brief all the teams together at the outset and provide all the technical information at the beginning, with as much as possible in digital format, eg plans and photos
• Identify a period of several weeks at the beginning of the competition during which technical questions can be raised and provide everyone with the answers, irrespective of who posed the question
• Set up at least one further (individual) meeting with each team to discuss their proposals and provide technical input
• Evaluate the teams on the basis of their submissions – don’t go back asking for changes or more work, only ask for points of clarification
• Think imaginatively about how to involve the community in the competition. They could be consulted on the brief, have individual working sessions with short-listed teams, be invited to an exhibition of the final submissions, asked to vote on the preferred scheme and have a representative on the jury.
4 Getting the brief right

A clear brief is crucial for an effective and efficient working arrangement between the commissioning body (local authority, public agency, private company or public/private sector partnership) and the masterplanning team. It sets the context for the masterplan, identifying aims and objectives as well as outputs and working arrangements. The key elements to can be summarised as:

- a clear and simple introduction explaining the context for the work
- clearly stated aims and objectives for the work
- a description of the broad principles of the approach to be adopted
- clearly specified outputs
- a statement on budget, timescale and management.

Each brief will be specific to the project and will need to reflect and respond to local issues and circumstances, such as organisational, financial or personnel considerations. However, some general principles relating to the preparation of the brief will assist both the commissioning body and tenderers. It should provide prospective masterplanning teams with a clear idea of the scope of work and outputs on which they must prepare their proposal, and help the commissioning body ensure submissions address specific issues of concern and are broadly consistent in their form and content, thereby facilitating comparison and assessment.

The following is a checklist of points to consider when drafting the brief. Whilst they are not exhaustive and are generic rather than project specific, they are intended to provide a series of prompts for those involved in preparing the brief. It is important to note that much of the background material may already exist in the strategic framework and therefore may not have to be repeated in full in the brief, but should be referred to or appended. As far as possible, the brief should aim to be a succinct and clear document.
Box 45: **Things to think about**

1. Introduction / context

- Commissioning organisation(s) – explain who is funding the project and the relationship between them. This will provide tenderers with an understanding of the agencies they will be working with and the dynamics of the commissioning body.
- Policy background – identify and summarise national/ regional/local policy relevant to the commission and/or funding programmes that relate to the area of work, and how the project itself relates to this policy framework. This will assist in clarifying the context within which the masterplan is being prepared and provide an understanding of local or site specific issues.
- Reports/reference documents – identify and summarise the main research papers, earlier studies etc that provide essential reading for the project.
- Related studies – explain whether there are any other commissions ongoing or to be let that relate to or impact on the masterplan (e.g. property market assessment, transport study) and identify how the interaction between them will be managed (by the commissioning body and tenderers).
- Wider stakeholder group – identify, where appropriate, other groups that have a specific interest in the project/area.
- Overview of objectives – explain the overall purpose of the commission (e.g. provide guidance for the development of an area, support funding bids).

This background information tends to dominate the brief – it is familiar to the commissioning body and relatively straightforward to prepare. However, it is background, and can be summarised with details in appendices so that attention is focused on those issues where the tenderers need to show their particular expertise and add value to the project.
2. Aims & objectives

- Specific aims and objectives for the commission – explain the specific drivers for the preparation of the masterplan and the principal outputs (e.g. identify development opportunities, promote development interest, and produce a spatial masterplan to address specific issues).

Whilst a multi-headed commissioning body can result in competing aspirations and objectives, identifying the key aims and objectives also provides the opportunity to establish common ground. In drafting the brief, the process of setting down the aims and objectives of the masterplan study will help clarify thinking on the purpose of the commission and identify priorities that need to be addressed. As a consequence it will also assist in refining the scope of work and budgeting for the commission. Too many aims and objectives, or ones that are too vague, can detract from the main focus of the masterplan and result in issues being addressed in a limited manner or the overall impact of the masterplan being diluted.

3. Methodology

- Overall approach – identify the main stages/elements of the commission to ensure the key areas of work are covered whilst allowing flexibility for tenderers to show innovation and ideas.
- Key elements/stages – in more detail, describe the main tasks and expected outputs from each stage. As appropriate, identify the main skills that are required for these tasks.
- Statement on consultation – identify the anticipated scope of consultation seeking ideas from the tenderers on how they would undertake, manage, report and use the outputs from the process.
• Outputs – describe the interim and final outputs of the work (e.g. issues/briefing papers, published report, presentations).

The tenderers’ proposals for the main tasks identified in the brief provides the main opportunity for them to demonstrate innovation and added value. Whilst it is clearly important that the overall methodology for preparing the masterplan should be robust, being over-prescriptive as to the detailed approach may stifle new and innovative ideas. Tenderers should be encouraged to explain the rationale for their proposed approach, illustrating with examples from their work where and how it has been used, and the outputs.

4. Reporting

• Draft contents – identify the (anticipated) main contents of the masterplan (e.g. context, area/topic-based analysis, proposals, implementation strategy and funding). As appropriate specify the need for particular elements such as an executive summary and diagrams.
• Specific outputs – identify any particular requirements of the masterplan (e.g. formatting).
• Statement on copyright – specify who will have copyright of the report/outputs.

A draft ‘contents list’ for the masterplan might be discussed at an early meeting so that all parties are clear about the overall form and content of the final document whilst leaving flexible the individual elements and detailed content.
Box 45: Things to think about (continued)

5. Budget, timetable and management

- Overall budget – where possible identify the budget for the work (e.g. fixed price, range or ‘up to’).
- Inclusions/exclusions from the budget – specify whether the budget is inclusive or exclusive of expenses and/or VAT. Identify whether the commissioning body will be meeting any of the costs (e.g. consultation, printing).
- Statement on costs – specify how costs should be expressed in the tender (e.g. time inputs by individual, by task and day rate).
- Programme – specify start and completion dates and any critical dates during the course of the commission.
- Lead officer – identify named contact person to receive bids and act as project director. Tenderers should also nominate a project director and project manager and identify how they propose to manage the project overall and on a day-to-day basis.
- Steering group – explain whether a formal Steering Group will be set up for the project, who will be on it and how often it will meet.

It is important that the day-to-day management of the masterplanning process is led by an appropriately experienced person who is able to dedicate the time required to liaise with the appointed team and the commissioning body. The importance of this role cannot be under-estimated. They need to have the necessary skills, time and authority to take responsibility for leading on the project. Team management skills will also be important. On certain projects – due to scale or complexity, or the skills or capacity within the commissioning body – it may be appropriate to appoint a dedicated project manager for the commissioning the masterplan.
6. Tender process

- Tender requirements – what information must be provided by the tenderer (e.g. understanding of the brief, approach, staff, skills/experience, costs)?
- Selection criteria – explain how the tenders will be assessed (e.g. relevant experience, understanding of technical issues, and value for money).
- Appointment – explain whether appointment will be by written submission only (for small commissions) or, more likely, interview (identifying how many stages will be involved).
- Submission costs – specify whether any submission costs will be met by the commissioning body. Preparing proposals can be an expensive process particularly where tenderers are expected to present initial ideas. For two stage tenders it may be appropriate for a contributions/honoraria to be made available towards submission costs to the short-listed teams.
- Closing date for tenders – specify timescales for submission of expressions of interest and proposals if a staged appointment process is to be used.
- Format for tenders – specify whether hard and/or electronic copies and how many copies.
- Tender submission details – provide return address and contact name, phone/fax number and e-mail.

In order to assist in the appraisal of submissions it is useful to seek consistent format and content.

7. Invitation to tender

- Depending on the budget for the masterplan it may be necessary to advertise the study through the OJEU procedure. →
- Where the cost threshold has not been reached it may be appropriate to advertise in professional journals in order to seek the widest possible interest in the study. This will enable a wide range of responses but can also lead to a large number of submissions. If this approach is adopted a two-stage appointment process (a short expression of interest to
Box 45: **Things to think about** (continued)

- Demonstrate competency and a detailed proposal related to the specific requirements of the brief might be used to identify a shortlist of firms to submit detailed tenders, thereby limiting the cost and time expenditure by all parties on unproductive work.
  - Alternatively a 'long list' of, say, 6-10 consultancies with known skill and experience in masterplanning might be approached to submit tenders. This may exclude emerging or overseas practices although the brief could specifically encourage the combination of teams and specialisms.

8. Other considerations

- Similar projects - check to find out if similar work has been done by the commissioning body and learn from the experience of that project.
- Budget – is it appropriate to retain a contingency sum to allow for refinements of the scope during the masterplanning process?
- Programme – it is useful to draft a programme to assess the practicality of the project timetable, identifying provisional dates for key events (eg steering group meetings, outputs, reporting). This can be sent out with the brief.
- Sign-off – be clear about who in the commissioning body needs to review/sign off the brief before it goes out – and allow time for this.
- Review – get a colleague to review the brief for clarity.
- Appointment panel – who should be on the panel?
- Selection process – draft a checklist of points that bids need to address (to inform the process rather than a 'score sheet').
Successful masterplanning is the key to creating great places. A clear, considered masterplan developed by professionals and local people together can lead to the physical, social and economic revival of places. *Creating successful masterplans* sets out advice based on the experience of CABE’s enabling and design review programmes. It is the definitive client’s guide to masterplanning, covering all stages of the process from project inception and commissioning, through to implementation.