

## **SPECIFICATION OF REQUIREMENTS: LOCAL DEVELOPMENT FRAMEWORKS IMPLEMENTATION STUDY**

### **PURPOSE**

1. The Research, Analysis and Evaluation Division on behalf of Planning Directorate in ODPM wishes to commission contractors to carry out a three year programme of research to enable us to better understand and support the implementation of Local Development Frameworks (LDFs).
2. The issues inherent to this exercise range from practical matters relating to the implementation of new plan preparation procedures by Local Planning Authorities (LPAs<sup>1</sup>) and their partners to theoretical questions over the purpose and the role of the planning system. Because of this, we will welcome consortium proposals from appropriately experienced and qualified academics working with consultants. In addition, since the research programme will include several components, we expect proposals to demonstrate excellent project management skills<sup>2</sup> alongside understanding of the policy and implementation issues.
3. A key aim of this research is to provide evidence and various outputs for dissemination that will support implementation on the ground. The LDF Implementation Study will identify the changes taking place in 'real time' to assess progress in implementation and the achievement of policy objectives. Contractors will report findings about good practice approaches and potential barriers for successful implementation in a format that is easily accessible to LPAs and partners.
4. We envisage that authorities participating in the study will benefit in the following ways:
  - Opportunity to feedback issues in implementing LDFs and the ability to influence future guidance and practice of LDF preparation;

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<sup>1</sup> We are using the term 'Local Planning Authority' as shorthand for all authorities with responsibilities for local development plan documents, i.e., to include Minerals and Waste authorities and National Parks.

<sup>2</sup> Project management arrangements are discussed in paragraphs 94-100, while proposed steering arrangements are contained in the section on stakeholder roles and detailed in paragraphs 37-49.

- Learning lessons from others and engaging with emerging good practice;
  - Participating in and learning from a range of activities;
  - Understanding their own progress in relation to wider implementation of the new system nationally.
5. PPS1<sup>3</sup> identifies sustainable development as the driving purpose behind the planning system. LPAs need to integrate the four aims of sustainable development i.e. economic development, social inclusion, environmental protection and the prudent use of resources. It also points to the need for more positive planning and for planning to be about proactive management of development, rather than the regulation and control of development. Planning has a critical role in delivering the Government's wider macroeconomic, social and environmental objectives, including for example, the need to achieve balanced housing markets and sustainable improvements in the economic performance of all English Regions.
  6. As well as assessing how the implementation of LDFs changes planning processes and procedures, this Study aims to improve our understanding of how local planning contributes to the delivery of real world outcomes and sustainable development. It will provide a source of reliable and objective evidence for senior policy makers across Planning Directorate and other actors involved with the governance of the system (e.g. Government Offices and the Planning Inspectorate). Further information about the use of the Study for stakeholders is set out in an attached Briefing Note (Annex C).

## **BACKGROUND**

7. The planning reforms fall within a wider context of modernisation and relate to the Government's objectives to improve the performance of Local Authorities (LAs) and the quality of public services more broadly. Since 1997, LAs are required to work in partnership with the private sector, voluntary sector and other statutory agencies, and to become more customer focused. PPS1 sets out the vision for how culture change in planning can play a key role in local governance and civil renewal. Planning is a tool for LAs to use in establishing and taking forward their vision for their areas. It can also offer local communities real opportunities to influence how they want their areas to develop.
8. The regional and local planning provisions of the Planning and Compulsory Purchase Act commenced 28<sup>th</sup> September 2004. The Act defines the objective of spatial planning as "contributing to the achievement of sustainable development". Spatial planning is seen as the vehicle for communities to set clear visions for their own areas, to integrate a wide range of development and regeneration activities, as well as actively promoting participation and involvement through greater transparency, accessibility and accountability.

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<sup>3</sup> Consultation Paper on Planning Policy Statement 1: Creating Sustainable Communities.

9. The LDF system is a critical delivery tool for the department's objectives, identified in the Sustainable Communities Plan, as to a large extent it is through local development documents (LDDs), their policies and interpretation in development control that national planning and regeneration policies are implemented. LDFs are intended to streamline the local planning process and promote a proactive, positive approach to managing development.
10. Planning Policy Statement 12 (PPS12) sets out the key aims of the new system:
  - i. flexibility. LPAs can respond to changing local circumstances and ensure that spatial plans are prepared and reviewed more quickly;
  - ii. strengthening community and stakeholder involvement in the development of local communities;
  - iii. front loading. LPAs should take key decisions early in the preparation of LDDs. The aim will be to seek consensus on essential issues early in the process and so avoid late changes being made;
  - iv. sustainability appraisal. To ensure that LDDs are prepared with the objective of contributing to the achievement of sustainable development;
  - v. programme management. The efficient management of the programme for the preparation of a range of LDDs in accordance with the local development scheme; and
  - vi. soundness. LDDs must be soundly based in terms of their content and the process by which they are produced. They must also be based upon a robust, credible evidence base.
11. In addition to PPS1, the Act itself and PPS12, ODPM have produced several policy and guidance documents that set out the intended objectives, processes and working arrangements for the new system. These include: *Planning: Delivering a fundamental change*, *The Sustainable Communities Plan*; *Community Involvement in Planning: The Government's Objectives*; *Creating LDFs*; *Sustainability Appraisal of Regional Spatial Strategies and LDFs* (consultation draft); *Policies for Spatial Plans: Consultation Draft* (POS Guide) and the *Barker Review of Housing Supply*. LDF Monitoring guidance will be published in early 2005. Tenderers should be fully cognisant of these documents' contents.
12. In May 2004 ODPM commissioned a Scoping Study to investigate the implications of the reforms for the focus and design of the LDF Implementation Study. The Scoping Study examined the assumptions that underlie the achievement of LDF objectives, the factors believed to be critical for successful implementation, and the potential changes expected at different timepoints. From this analysis we have developed an evaluation framework and detailed methodological recommendations. (The Draft Final Report and Summary of Recommendations are attached.)

13. The Scoping Study recommended that the LDF Implementation Study should be grounded in practical investigation of the implementation of the new plan preparation processes. Assessments will focus on how the new elements of the system are enabling authorities to produce LDDs that meet the objectives of planning reform. The investigation will be framed by a thorough understanding of policy objectives relevant to the delivery of sustainable development and the contribution of LDFs to delivery.

## **AIMS AND SCOPE**

14. The aims of the LDF Implementation Study are to:
  - i. assess progress and provide evidence and dissemination materials to support LPAs in their preparation of LDFs;
  - ii. assess how LPAs and partners are changing the way they work in response to the requirements of the new system;
  - iii. provide us with the opportunity to evaluate the articulation of national planning policies (PPSs) in LDFs and to better understand how this enables real world delivery in the longer-term; and
  - iv. to develop our understanding of how plan making influences delivery of sustainable development outcomes, in the longer-term.
15. The Study envisaged in this specification will focus research effort principally on the processes, working practices and interactions between different actors in implementing the new system of LDFs (aims i and ii). A well designed Study of this scale and scope will afford ample opportunity to explore of how planning policies are interpreted and implemented at local level (aim iii). Equally, this depth of enquiry will also enable the development of our understanding of how planning contributes to the achievement of wider sustainable communities objectives (aim iv).

*Aim (i) Assess progress and provide evidence and dissemination materials to support LPAs in their preparation of LDFs*

16. The aim is to assess progress while at the same time supporting implementation: in order to support the implementation of the new system we need to learn about how it is meeting objectives; also, in assessing the attainment of these, the evaluation will by necessity focus on identifying determinants of success.
17. We acknowledge there is some tension inherent here, but believe this can be dealt with adequately. This will require the Study to employ appropriate methods to ensure that assessments are based upon objective and robust evidence and we require contractors to state very clearly and in detail how this will be achieved. In the main, assessment and support will be undertaken as distinct rather than joint activities.
18. While the findings from the work will inform the government's engagement strategy for LPAs, which will consider 'performance'

issues, this Study is intended to be enabling rather than 'policing' in any sense.

19. Whilst the focus is to identify examples of emerging good practice, the Study will enable better understanding about potential barriers for progress and approaches that have proved less successful. It is essential that the Study is designed to encourage the open engagement of LPAs and partners in assessment activities. Details of how the Study will incorporate the on-going support of representative bodies are set out below.
20. LPAs will have different priorities and milestones. The Study must be able to assess the progress of LPAs in different contexts and with different work programmes. Tenderers will be expected to explain how the Study will produce a national overview of progress *and* findings that allow recommendations of practice approaches that are useful at the local level.
21. Many LPAs will still be preparing old style plans under transitional arrangements. Whilst the Study focuses on the new system, tenderers may wish to recommend investigation of those aspects of the transitional arrangements that have implications for the implementation of LDFs.
22. Contractors will work with national stakeholders who play a fundamental role in supporting, advising and governing plan making (e.g. the Planning Advisory Service (PAS), the Planning Inspectorate (PINS), and Government Offices (GOs)) to ensure the quality of various learning outputs produced throughout the life of the project. The Planning Advisory Service are responsible for dissemination of materials and reports from the project (see paragraphs 40 and 83).

*Aim (ii) Assess how LPAs and partners are changing the way they work in response to the requirements of the new system*

23. Planning Directorate's (PD's) culture change initiative contributes towards the delivery of the Public Service Agreement 6, to promote the delivery of sustainable communities and to satisfy the need for community involvement in planning. To meet these objectives, we need a planning system which:
  - is a positive and pro-active process delivering sustainable communities;
  - produces creative and innovative solutions to improve the quality of life;
  - is valued and supported, enjoys public confidence and is transparent and accessible; and
  - has the tools, resources and skills to deliver.
24. The LDF Implementation Study will provide the opportunity to assess and understand the extent to which LPAs are managing to engage partners effectively and implement creative and proactive practice approaches. Through the use of qualitative research techniques, the

Study will go beyond assessments of the statutory requirements for plan preparation and examine the quality of preparation processes and plans. Findings will help to explain the implications of changes in engagement and working practices for enabling LDDs to meet their objectives.

25. Linked to this, the Study will provide a unique, systematic and operational insight into emerging practice in spatial planning. LDD preparation requires LPAs to create plans based on successful corporate working and a commitment to achieving agreed outputs. In particular, LDDs must have regard to Community Strategies. This requires change not just within the LPA, but in the behaviour of the wide range of actors key to the preparation and delivery of spatial plans (e.g., LA colleagues, the development industry, interest groups). Assessment of evidence gathering and decision making processes will enable better understanding of the implications for the plan and whether LDDs present high quality visions that have the respect and confidence of the community and partners.
26. Tenderers must have good understanding of the various PD projects aimed to promote culture change and improve performance. Examples include e-planning initiatives (e.g., PARSOL and PORTAL) and the development of best practice and plain English guides.
27. In addition, contractors should be aware of relevant evaluation programmes and integrate findings from on-going studies. Examples include ODPM's Evaluation of Best Value Standards for LPAs and the Planning Delivery Grant, the Evaluation of the Local Government Modernisation Agenda and POS Enterprises' Dissemination Study.

*Aim (iii) Provide us with the opportunity to evaluate the articulation of national planning policies (PPSs) in LDFs and to better understand how this enables real world delivery in the longer-term*

28. The Study will provide reliable evidence about the extent to which the new system is enabling national planning policy (as set out in PPSs and other national statements) and regional spatial strategies to be implemented. Whilst more specific research may be required to meet detailed requirements, this Study will provide the opportunity for testing and scoping particular policy questions.
29. In particular, analysis and assessment of how plan preparation processes are working will enable us to identify early warning signs of where policy may not be realised and what can be done to remedy this. ODPM / GO monitoring data will tell us when particular LDDs are being prepared and whether preparation meets time tabled milestones. The qualitative components of this Study will allow more in depth assessment of how national and regional policy interacts with local priorities during decision making and how policy is articulated at the local level. Along with considerations of policy content, it will be useful to explore the relationship between the timeframes expected for delivery of national and regional policy through LDDs and the timeframe and capacity constraints on LDD preparation.

30. The concept of 'intermediate outcomes' is fundamental here. Whilst much of planning policy is directed on the nature and delivery of development, LDFs are unlikely to contribute to development outcomes in the timeframe of this study. However, it is possible to identify evaluation criteria that can be used to assess whether, all things being equal, LDF implementation is on the path to delivering objectives. Examples would include the quality of analysis and the definition of objectives.
31. The role and contribution of a variety of actors at the national, regional and local level will be relevant. The Study should develop an assessment of how particular partners in the process input to and influence the implementation process.
32. Tenderers should demonstrate good understanding of the implications of various aspects of LDF preparation for the articulation of policy and the delivery of development; contractors will be required to identify key indicators at each stage that should predict later success.

*Aim (iv) To develop our understanding of how plan making influences delivery of sustainable development outcomes in the longer-term*

33. The LDF Scoping Study developed a theoretical framework of the critical policy path, key factors for implementation and the potential changes anticipated (see Annex B). As well as enabling appropriate design of the Implementation Study, the framework allows an understanding of the complex relationships and interdependencies between the new plan production processes, LDDs, their implementation in different contexts and the role of LDFs in achieving longer-term objectives relevant to sustainable communities. It also highlights the role of various actors in planning processes and implementation.
34. Many of the longer-term outcomes identified are relevant to delivering physical change in terms of the quantity, quality and pattern of development. This is key to creating prosperous places where people want to live and work. In addition, the successful implementation of spatial planning and the associated changes in working practices have the potential to create improvements in terms of participatory democracy, increasing public confidence and social cohesion.
35. The theoretical framework is intended to provide a starting point for thinking through the issues for evaluation. To maintain its usefulness, the framework needs to be developed over time. Evidence from the LDF Implementation Study will improve our understanding of the critical components and relationships that determine successful implementation, what planning does and should achieve, and how LDFs contribute to the delivery of sustainable communities.
36. In turn, the development of the theoretical framework should further inform the development of the research programme. In the Study design proposed here, specific components are purposely flexible in

their scope so that developments in understanding can be incorporated into later research activity.

37. In addition, this iterative process of development will ensure that the Implementation Study can offer an effective precursor for any potential future evaluation of real world outcomes in the medium to long term.

## **THE ROLE OF STAKEHOLDERS**

38. This is a large-scale project that will require frequent input from ODPM and stakeholders in order to steer the research programme effectively and assure the quality of learning and good practice outputs. We envisage that several management groups will be involved in the Study. Tenderers should set out the arrangements for obtaining and integrating comments from each of the groups described below.
39. Research, Analysis and Evaluation Division (RAE) are responsible for the day to day management of the project. Contractors will be required to attend regular progress meetings with RAE officers and members of ODPM's Planning Directorate (PD).
40. PAS will be responsible for managing the action learning events and the dissemination of Study outputs. The IDeA is responsible for running the PAS in association with English Partnerships and ODPM. PAS is formally launched at the end of the year with the aim of providing support and advice for LAs in England. Contractors, together with the ODPM Project Officer, will work closely with PAS throughout the lifetime of the project.
41. The GOs will provide advice and support to LPAs throughout the implementation period. One of the key roles of the GOs is to identify where there are potential issues for the LDF process to address, such as general conformity with Government policy. Contractors will be expected to work with the GOs both in developing the research programme and ensuring the quality of outputs.

### *Steering Group*

42. Members of PD and RAE will be responsible for steering the project. Other relevant bodies, such as PAS, PINS, and the GOs will be asked to join the Steering Group. The Steering Group will meet at least three times a year.

### *Advisory Group*

43. The Advisory Group will be responsible for providing comments on the development of the research programme and key outputs. Given the wide ranging remit of the spatial planning objectives, representation will be sought from a broad range of stakeholders including other Government Departments, professional bodies, the development industry and interest groups. We envisage that the Advisory Group would meet twice a year.



### *Expert Panel*

44. Expert practitioners will be asked to participate in the study to:
  - i. assist in the interpretation of study findings;
  - ii. assure the quality of learning and good practice outputs.
45. We envisage that the full panel of experts will have experience in a broad range of practice areas relevant, but not restricted to, planning. Each output or report would be circulated to selected individuals from the panel with relevant expertise. For example, if a case study report were picking up particular issues around retail planning, experts with this specialism would be asked to review the work.
46. Whilst it is not necessary that this group meet regularly or as a whole, meetings may be necessary to agree interpretation of findings and to ensure that experts comments are properly reflected in the outputs from the Study, especially in good practice or learning outputs. The timing of the arrangements for obtaining and integrating feedback is paramount since it will determine the extent to which 'lessons' can be disseminated at the times when LPAs can implement them.
47. ODPM will retain control over the appointment of the panel. Tenderers should suggest relevant areas of expertise or members and working arrangements to demonstrate their understanding of the value and purpose of the panel.

### *Academic Panel*

48. The contractors will work with ODPM and an appointed Academic Panel to develop the theoretical framework from the LDF Scoping Study. This group will be asked to comment on the implications of the findings for:
  - i. the selection of topics and design of the various study components;
  - ii. our understanding of the planning system more broadly; and
  - iii. potential future investigation of the real world outcomes.
49. ODPM will be responsible for the appointment of the panel. Tenderers should suggest appropriate members or areas of expertise that they feel would complement their core team.

## **DETAILED REQUIREMENTS AND KEY TASKS**

50. The LDF Scoping Study made recommendations for the overall structure and design of the Implementation Study. We envisage it will be comprised of several components:
  - a. Analysis of ODPM monitoring and administrative data;
  - b. Local development scheme review;
  - c. Literature and expert reviews;
  - d. Strategic survey;

- e. Longitudinal case studies;
  - f. Thematic case studies;
  - g. Action learning events;
  - h. Dissemination;
51. Contractors will be responsible for b-f.
52. Each component is described below. Tenderers should critically discuss and/or offer definitive proposals for the following:
- i. the suitability of the design in meeting the aims of the Study;
  - ii. how the design could be improved;
  - iii. how each proposed study component feeds into the others and the practical, temporal arrangements for ensuring this occurs;
  - iv. the research questions that would be addressed by each study component;
  - v. detailed recommendations of research tools and methods;
  - vi. recommendations for ensuring the engagement of respondents;
  - vii. any other aspects of the methodology.

**a. Analysis of monitoring and administrative data**

53. ODPM have several relevant, systematic monitoring systems that will provide background information about LPAs including Best Value, Planning Delivery Grant and the ODPM/GO database that records milestones for individual LDDs and tracks progress in meeting those milestones. In-house analysis of these data will provide information about LPAs work programmes, and aspects of performance and resources.
54. These data will be analysed by ODPM along with available information about the social, economic and environmental context (e.g. Indices of Multiple Deprivation, Audit Commission Quality of Life Indicators). This information will be shared with contractors.
55. These data will provide evidence and context for selecting samples of LPAs for case study research. Tenderers are invited to comment on the indicators that may be useful.

**b. Local development scheme review**

56. The local development scheme (LDS) is a public statement of the LPA's programme for the production of LDDs. LDSs must be submitted to the GOs by March 28<sup>th</sup> 2005. GOs are responsible for assessing if the LDS is robust, deliverable, comprehensive and whether there is a consistent service level agreement with PINS.
57. The role of the LDS as a programme management tool and the GOs' input and advice to LPAs are both crucial factors in the implementation of LDFs. Therefore, contractors will be asked to work with the GOs to examine the process by which LDS assessments were made. This will involve desk-based assessment of a sample of LDSs and other

relevant policy documents, and discussions with relevant GO and LPA officers.

58. Tenderers should set out how this review can be undertaken to produce high quality and useful outputs in the first two months of the project.
59. Contractors will be expected to work with ODPM and the GOs to systematise the knowledge and understanding gleaned by GO officers through the day to day liaison with authorities. Tenderers should consider how information exchange with the GOs can be facilitated throughout the project, to support them in their role advising authorities.

### **c. Literature and expert reviews**

60. It is possible to identify good practice advice on some implementation issues from already published documents. We envisage that the project will produce three reviews of specific areas of practice in the first year.
61. The Scoping Study findings suggest examples of topics that could be covered (see Annex B). Tenderers should comment on these suggestions, provide additional examples, and set out appropriate methods for undertaking the work.
62. Contractors will be required to either undertake this work directly or, in cases where specific expertise or additional capacity are required, to manage sub-contractors for this work. ODPM will retain control over procurement. Tenderers should demonstrate that they are able to identify and draw upon an appropriate pool of expert knowledge and practice experience, across a wide range of planning and related issues, to ensure the involvement of relevant expertise where necessary.
63. Information from the reviews should feed into the development of evaluation criteria and possible research questions.

### **d. Strategic survey**

64. A survey of LPA Chief Planning Officers (CPOs) will be undertaken to monitor perceptions of the plan making process, the associated work programme and the emerging changes in practice. The contractors will be responsible for designing and administering the survey, processing responses, performing analyses and writing reports.
65. The Scoping Study makes initial recommendations of relevant topics to be covered by the survey (see Annex B). We envisage that the survey will be administered to all LPAs, undertaken in the first three months of the contract and repeated every six months thereafter.
66. The survey should provide additional information for the selection of topics and LPAs for case studies and action learning events.

67. Tenderers should comment on the proposals for the survey work, set out an appropriate method and clearly state what they believe the survey work will achieve. If there are any perceived barriers to the success of this component, e.g. the willingness of CPOs to respond, proposals should provide suggestions of how these will be addressed.

#### **e. Longitudinal case studies**

68. Longitudinal case studies will be undertaken to assess the relationships between the various stages of the implementation process over time. They will provide an on-going assessment of the experience of LPAs using the new system, to understand how practice and the approach to development planning changes. The case studies will attempt to identify potential barriers to implementation and examples of good practice.
69. We envisage two levels of research activity. First, a large sample of LPAs (between 30-50) will be selected to participate in self-assessment exercises, which could involve diary techniques and questionnaires. Second, a smaller sample (10-15 LPAs) will be selected as cases for in-depth investigation by methods such as document analysis, interviews, observation and discussion groups. Both levels of research activity require the effective engagement of actors both within and outside the planning profession.
70. The contractors will be responsible for designing and undertaking all elements of the longitudinal case studies. Tenderers should comment in detail about potential methods for both levels of research activity and formulate a detailed and coherent methodology. They should consider the how the work will be managed and the practical difficulties such as visiting LPAs across the country.
71. Proposals should identify how case study findings may be used to assess progress with the new system, as well as how these findings may be used to produce good practice and learning outputs, in addition to research results and implications for policy.
72. Properly structured, this work should provide regular updates and understanding relevant to key research questions. We anticipate that the work will also identify additional issues requiring investigation. Proposals should and set out the arrangements for feeding the findings into other study components i.e. thematic case studies and action learning activities.

#### **f. Thematic case studies**

73. The thematic case studies are intended to assess progress and identify good practice in terms of the implementation of specific aspects of implementation in particular contexts. They will be used where:

- i. an aspect is critical to get right because of the potential impact on later success;
  - ii. an aspect is critical to get right in order to meet priority objectives; and
  - iii. we want to assess progress in relation to specific types of LDDs or projects.
74. We envisage that there will be at least five thematic case studies staggered throughout the life of the project. The Scoping Study findings suggest examples of topics that could be covered initially (see Annex B); later themes will be established from initial research.
75. Whilst the sample and design of the studies will depend somewhat on the issues being examined, we expect that they will include a survey of all LPAs where the issue is relevant and follow up qualitative work with approximately ten LPAs.
76. Tenderers should discuss how they will choose the topics and research questions that will be assessed through the thematic case studies and the role of the Steering Group in this. Thought is required as to how we ensure we are evaluating those aspects that are critical for successful implementation of the system and how these case studies can assess progress. Proposals should give clear and detailed recommendations for the research design of the thematic case studies.
77. Contractors will be required to either undertake the work or, in cases where specific expertise or additional capacity are required, to manage sub-contractors. This input may be required for any number of issues, which cannot be predicted from the outset and contractors cannot be expected to identify collaborators at this early stage. However, tenderers should demonstrate that they are able to identify and draw upon an appropriate pool of expert knowledge and practice experience, across a wide range of planning and related issues, to ensure the involvement of relevant expertise, where necessary. For example, implementation of LDFs may highlight particular process or practice issues relating to Community Strategies and we would need to be reassured of the quality of input in this regard. Clearly, ODPM will want to assist in the identification of appropriate individuals or organisations.
78. We are interested in contractors proposals for how the appropriate level of involvement may be achieved and how we can ensure that the findings are feed into the overall analysis.

#### **g. Action learning events**

79. PAS will manage the action learning events.
80. We envisage that action research events will be undertaken in cases where specific barriers are identified and there is little information about good practice or potential solutions. The activities will involve a scoping and design stage, and research activity such as focus groups,

scenario workshops and / or visits to LPAs and relevant partners. We expect that at least six action learning events will be carried out.

81. Contractors will be expected to work with and support PAS in setting up the events. It will be desirable for contractors to have sufficient capacity to become involved in the research stage for particular events.
82. Proposals should demonstrate clear understanding of action research techniques and give examples or suggestions of the types of activities that are appropriate. Tenderers should set out the arrangements by which the results from other study components feed into the action learning events, and vice versa.

#### **h. Dissemination**

83. PAS will manage the support and dissemination programme. It is likely to include web-based activity, seminars, training and peer learning networks. Contractors will be responsible for producing reports and learning outputs for dissemination and will work with PAS to ensure that dissemination is timely and effective.

#### **OUTPUTS**

84. The following outputs are required:

- i. Newsletters*

These will be drawn from the study as a whole and will aim to disseminate the key messages to LAs and harness engagement. Contractors will be required to produce two newsletters a year;

- ii. LDF Progress Reports*

These will be drawn from analyses of the monitoring data, the strategic survey and the longitudinal case studies. They should be accessible to both researchers and practitioners and will address the key research questions. Contractors will produce one Progress Report a year;

- iii. Issues Reports*

These will be required for each literature or expert review, thematic case study and action learning event. Where relevant, the Issues Reports will draw on evidence from other study components. The precise format of these reports will depend on the issues being discussed, but they are likely to comprise both 'factsheet' style summaries and a fuller discussion of methods and findings. The contractors employed for each study component will be responsible for the production of the relevant Issues Report;

- iv. Lessons learnt and good practice*

These will be drawn from the survey and case studies, and where relevant, incorporate findings from action learning events. The contractors will work with ODPM and PAS to produce materials that are

easily accessible to planners and other relevant practitioners. Two or three sets of 'lessons' related material will be produced each year;

*v. Material for action learning events*

Through their work with the PAS in setting up action research events, contractors will be required to produce relevant background material;

*vi. Dissemination material*

Through their work with the PAS on dissemination, contractors may be required to produce additional outputs for seminars, learning networks and other support activities;

*vii. Final Report*

The contractors will be required to write a summary of the findings of the research programme on completion of the work. Primarily, this report will be for ODPM records but will be shared with stakeholders and practitioners.

85. ODPM will retain control over the content and timing of dissemination materials, working in partnership with PAS.
86. The successful contractor must be prepared to work flexibly and in partnership with ODPM to produce timely and high quality information for internal ODPM policy use and for wider dissemination with stakeholders and the general public. They must be prepared to share drafts of all outputs with Steering, Advisory and other groups involved in the quality assurance and management of the project.
87. The nature of the research is such that some findings may require a more formal policy response on the part of government, through, for example the issuing or revising of planning policy companion guides or good practice notes. Therefore, the Study must retain an ability to re-visit and explore in more depth any salient issues that may be addressed by formal government guidance.
88. The contractor will make agreed amendments to draft outputs on the basis of comments from the Project Officer. Due to the requirement to produce 'real time' practice lessons to LPAs and the planning community, contractors will be required to submit final outputs as soon as possible after receipt of comments on the draft outputs (the expected time period is two weeks).
89. All Reports should be produced with accessible summaries. The material generated by the Implementation Study will be made available in a web-based repository via the Planning Portal.
90. All outputs must be written in "plain English" and proof read for spelling and grammatical errors. Proposals should build in a contingency for buying-in the expertise of the Plain English Campaign to assist with the production of outputs.
91. An electronic copy of each output is required at the completion of the project. Electronic copies of documents should be in Arial or Times

New Roman font in Microsoft Word (ODPM standard software is Word 97).

92. The background data for any graphs and charts should be provided in a clearly labelled Excel spreadsheet or SPSS file. Negatives and paper copies of any photographs should be provided and fully labelled (these are non-returnable). Electronic and separate paper copies of all figures and drawings should be provided and fully labelled.

## **PROGRAMME OF WORK**

93. The programme of work will commence in February 2005 and will commit funds from budgets in 04/05, 05/06 and 06/07. Tenderers should offer timetables for the various study components based on the information provided in the specification and appended documents.

## **PROJECT MANAGEMENT**

94. Given the scale and nature of this study, we are placing considerable importance on the value of excellent project management skills. The tenderer must nominate a Project Manager in their proposal who will manage the contract overall and the various study components. The Project Manager will be regarded by the ODPM as being fully responsible for performance of the programme of work.
95. The tenderer must nominate team members in their proposal who will be responsible for each of the individual study components.
96. Day to day liaison will be between the contractor's Project Manager and the ODPM's Project Officer. The Project Manager will send written weekly progress reports to the ODPM Project Officer. The Project Officer will be closely involved in all stages of the research and will expect a regular flow of information on any issues or difficulties arising and proposals for their resolution, including details of their implications for the timetable.
97. The contractor will be required to provide draft copies of all research instruments to the Project Officer for comment prior to the contractor undertaking any primary research. This will include questionnaires, topic guides, interview schedules and any other aspects of research design.
98. The contractors, together with ODPM may decide that additional collaborators with specific areas of expertise should be employed for specific components of the study (e.g. a thematic case study or expert review). In this event, contractors will be responsible for sub-contracting with these organisations or individuals, but ODPM will retain control over their selection and procurement. Tenderers should suggest how they would approach this sub-contracting process.
99. Contractors will be required to attend a number of meetings with the Steering Group, Advisory Group and Academic Panel at key stages in



the programme, and to liaise with the Expert Panel. Proposals should suggest how the Groups might best input to the research and at what stages. In particular, tenderers should suggest appropriate points at which the Steering Group can review and evaluate overall progress.

100. Any draft material that should be provided for the management groups will be provided at least one week before their scheduled dates. The contractor will be required to arrange and minute the Steering and Advisory Group meetings, which will be held in London.

## **RESPONDING TO THIS SPECIFICATION OF REQUIREMENTS**

- 101.** Proposals must be submitted by **11.00 on Wednesday 2<sup>nd</sup> February 2005.**

### **Criteria for evaluating tenders**

102. Tenderers proposals will be judged according to the ODPM's assessment of value for money, which will be based on an evaluation of:
- i. the project management ability and experience of the lead contractor and nominated project manager
  - ii. the robustness, suitability and value added of the proposed approach for meeting the aims and objectives of the research;
  - iii. knowledge of planning policy issues and the planning reforms;
  - iv. understanding of the new corporate and partnership approach to development planning. Tenderers should note that this will be assessed in part on the basis of the composition of the consortia team;
  - v. methodological and analytical rigour;
  - vi. the relevant skills, experience, technical competence and innovation within the research team;
  - vii. the adequacy of the proposed management arrangements;
  - viii. track record and experience of collaborative working;
  - ix. their quality assurance procedures specified for the research process;
  - x. their identification of potential risks and how these will be managed and overcome;
  - xi. communication and influencing skills, particularly the ability to write concise, well argued and user-friendly reports and good practice guidance in plain English. Tenderers should note this will be assessed in part on the basis of written quality of proposals received;
  - xii. a proven track record of delivering to time and budget;
  - xiii. the overall cost.

### **Methodology**

103. The proposals should demonstrate a good understanding of the policy context, the revised objectives of development planning and the contribution of planning.

104. Tenderers must provide a detailed description of their recommended approach to meet the study aims, objectives and detailed requirements including a full justification of the proposed methodologies (see paragraph 51).

### **Work programme**

105. Tenderers must propose a detailed work programme designed to complete the project within the above timetable. This should include reference to meetings with management groups and should clearly demonstrate how the Study components will be co-ordinated.
106. The proposal should include details of all assumptions on which the proposed timetable and associated costs are based.
107. Tenderers should demonstrate that they have effective project management arrangements in place to ensure that the work is completed to time and budget.
108. The programme of work should identify key points in the programme suitable for progress reviews and payment for completion of work.
109. Within the work programme, tenderers should allow 2 weeks for ODPM to comment on all outputs.

### **Staffing**

110. The proposal should include information about the personnel who would be involved in the study: their level of seniority, daily rate, relevant experience (including a 1 page CV) and the responsibilities they would undertake in the project team.
111. The details of the project team should be clearly linked to the work programme and should identify the individual contribution that each member will make. Proposals will identify a Project Director, who will have overall responsibility for the contract and the delivery and quality of the project, and a Project Manager, who will be responsible for performance of the work programme and liaison with ODPM's Project Officer.
112. Tenderers are welcome to make recommendations of sub-contractors at this stage. Where sub-contractors are identified, the full details of personnel should be provided.

### **Costings**

113. Project costs should be provided exclusive of VAT and tenderers should state whether VAT would be charged. Detailed costs should be provided as follows:
- **staff (indicating the number of person days per task required from each staff member and their daily rate);**

- costs for each study component (to include the costs for different scenarios such as the management or undertaking of thematic case studies);
  - writing Reports and producing other outputs;
  - at least three meetings per year with the Steering Group;
  - at least two meetings a year with the Advisory Group;
  - arrangements for liaison with the expert practitioner group;
  - at least two meetings a year with the Academic Panel;
  - travel and subsistence;
  - any other costs (please specify);
114. Tenderers should supply this information in a cost matrix, an example of which is provided in Annex D.
115. The agreed day rates for staff will also be assumed to apply to any additional work or contract variation.
116. A comparable breakdown of project costs is required for any sub-contractor proposed for the project.

### **Payments**

117. Invoicing arrangements will be linked to the satisfactory delivery of key milestones in the programme of work. Key milestones could include a working paper or draft report. Tenderers should propose suitable milestones that mark progress points in the work programme. Please note that payment will not be made on the basis of the weekly progress report.

### **Quality plan**

118. Tenderers should provide details of their quality plan for the project. The plan should explain the procedures and practices that will be implemented to assure quality in all aspects of the project. It must identify and assess the main risks associated with undertaking the research and proposals for managing and overcoming these.

### **Tender interviews**

119. Interviews with preferred tenderers will be required. Tender interviews are likely to take place in the week commencing Monday 7<sup>th</sup> February 2005. Tenderers should indicate whether this is unsuitable. It is expected that those with a key role in managing and undertaking the research will attend the interview.

### **Enquiries**

120. Any queries regarding this specification should be addressed to:  
Dr. Kate Broomfield  
Research Analysis and Evaluation Division  
Office of the Deputy Prime Minister  
2/A4, Eland House

Bressenden Place  
London SW1E 5DU  
020 7944 3473  
[katherine.broomfield@odpm.gsi.gov.uk](mailto:katherine.broomfield@odpm.gsi.gov.uk)

**Annexes (not for wider circulation)**

Annex A: LDF Scoping Study Draft Final Report (Arup)  
Annex B: ODPM Summary of LDF Scoping Study Recommendations  
Annex C: ODPM Briefing Note  
Annex D: Example cost matrix