



PROJECT DESIGN GUIDE L01 DESIGN MANAGEMENT AUDIT

Project Name: <i>Name</i>	Project No.: <i>Number</i>	Audit No.: <i>1</i>	Date: <i>tbc</i>
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Revision:	Revision description:	Revision date:
01	Contents page omitted, graphics updated & stage numbers amended	9 June 2014
02	Typefaces and logo updated, list of surveys added.	24 Feb 2015
03		

Edited to be project specific / Revised by:	
Name:	Position:
Signature:	Date:
Checked by:	
Name:	Position:
Signature:	Date:
Authorised by:	
Name:	Position:
Signature:	Date:

Document Distribution:

Name	Company	Status	Date
		A	00/00/2012

Status key:
A – Action
I - Information

1.0 Introduction

Whilst a culture of 'correct first time every time' is to be proactively encouraged, it is recognised by many that quality costs. Audits are a fundamental part of many Clients' and Contractors' processes. They ensure projects are managed properly and they bring projects back on track when necessary.

This document is to be used as a 'health check' on projects. It can be used by a number of organisations (Client, Contractor, an independent consultant, others), for a number of reasons (Monthly standard procedure audit, a health check before bidding / before agreeing terms, or when things start to go wrong), at any stage of the project.

The sections in this document have been laid out and annotated in blue type (instructions) and red italics (prompts to be over-write). The intention is to make this document as intuitive as possible.

Audit findings are to be listed out. Actions are to be assigned if this document is to be used for official QA purposes, and dates set for notifying the auditor of any resolutions required.

2.0 Audit Agreement

When this guide is used on a consultancy basis, the scope of the audit, timescale for the audit and fees for the audit must be agreed before commencement. It is suggested that the audit be undertaken on an hourly rate, with capped total fee. Audits by their nature rely on considerable input from other parties. It is therefore important to agree a mechanism for ensuring other parties provide the necessary information with due regard to the audit time scales.

3.0 Use of Consultants

The use of consultants can greatly benefit an audit. Expert knowledge can find issues and risks that may otherwise be missed. A common sense approach should be used so as not to build in inefficiency into a project or bid system. Reason for the audit needs to be defined, as does scope of audit and cost constraints, in relation to the risk of the project to the organisation concerned.

Consultant	Reason
Approved Inspector	To review for Building Control compliance.
Town Planning consultant	To review for Planning compliance.
Forensic Planner	To review Contractor and consultant programmes.
Quantity Surveyor	To review project costs (building and life cycle)
Architect	To review Architecture
Structural Engineer	To review structural solution
Building Services Engineer	To review MEPh solution
Disability / Inclusive Consultant	To review for inclusivity compliance
Environmental consultant	To review environmental impact and compliance
CDM C	To review H&S and CDM compliance
Sector specific consultant i.e. educationalist	To review for educational compliance

4.0 Scoring system

A RAG (Red Amber Green) visual is to be used along with a numerical score, between 1 and 10. Low scores (1-4) are to be colour red, middle scores (5-7) are Amber, with high scores (8-10) being green.

Whilst an overall score can be collated, it is not recommended that this method is used to judge projects, as it does not account for a risk weighting that could apply to individual items. For example, a poor score for a poorly compiled PDG does not mean the consultants are not undertaking their responsibilities with due regard for the success of the project. On the other hand a poorly structured design programme could have fundamental implications on the tender and construction milestones. The former, should in some cases, result in only a REC (Recommendation) whilst the later should result in a CAR (Corrective Action Required).

5.0 Managing this document

To be amended to be project specific, procurement specific and stage relevant.

To be used for every audit and electronically saved with unique reference, (i.e. do NOT over-write).

To be updated when REC's and CAR's have been reviewed.

Appendix A - Audit Proforma

PROJECT
DESIGN
GUIDES

AUDIT PROFORMA

Project Name:									
Project No.:		Doc. no.:							

1.0 KEY DATES	
Countdown to PC:	- ??
Main Contract Date:	- ??
Start on Site Date:	- ??
Planning Permission Date:	- ??
PC Date:	- ??

Record/plan date of/for project audits.

Use for audits at RIBA stages

Amend Contractor /RIBA stages to suit procurement route.

Use for audits at /before project Gateways

2.0 AUDIT SCHEDULE											
Audit:	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Date:	00/00/15	00/00/15	00/00/15	00/00/15	00/00/15	00/00/15	00/00/15	00/00/15	00/00/15	00/00/15	00/00/15
Stages:	1/2	3.1	3.2	4.1	4.2	4.3	5.1	5.2	6	7	
Stages:	Contract/ Preparation/ Design			Design Development – Design Completion (inc. Procurement)			Construction		Hand- over P.C.	Use	
Gateways:	1	2	3	4	5	6	7	8	9	10	

3.0 ORGANISATION DETAILS		
Client:	??	
Responsible person:	??	
Contact details:	T:	
	M:	
	Address	
Contractor:	??	
Responsible person:	??	
Contact details:	T:	
	M:	
	Address:	
Main Contract signed?	Y/N	Status:
Architect:	??	
Director of team:	??	
Project Architect:	??	
Contact details:	T:	
	M:	
	Address:	
CDM Competence statement		<i>Requested and provided?</i>
Appointment doc's signed?	Y/N	Status: refer to PDG A00, A00.1, A01, A02, A03.

Performance status:	Excellent / good / satisfactory / unsatisfactory / poor	<i>As evaluated by whom, through what system / reasoning?</i>
	Any warnings:	<i>When & Why?</i>
	Put on Notice?	Y/N
Comments:		
Structural/Civil Eng.:	??	
Director of team:	??	
Project Architect:	??	
Contact details:	T:	
	M:	
	Address:	
CDM Competence statement		<i>Requested and provided?</i>
Appointment doc's signed?	Y/N	Status: refer to PDG A00, A00.1, A01, A02, A03.
Performance status:	Excellent / good / satisfactory / unsatisfactory / poor	<i>As evaluated by whom, through what system / reasoning?</i>
	Any warnings:	<i>When & Why?</i>
	Put on Notice?	Y/N
Comments:		
Building Services: etc		

Comments:		

Note: Ensure organisation details are completed

4.0 PROJECT DESIGN PROCESS STATUS				
Title	Plan to use	Date issued	Comments	Score
CONSULTANT APPOINTMENT STRATEGY	A	00/00/0000	<i>How has this been undertaken?</i>	
COMPETENCE STATEMENT AND ASSESSMENT	M		<i>Proof required. This is mandatory.</i>	
SCHEDULE OF SERVICES (SOS)	M		<i>All parties agreed to a single document?</i>	
DESIGN RESPONSIBILITY MATRIX (DRM)	M		<i>All parties agreed to a single document?</i>	
DESIGN PROGRAMME & DELIVERABLES	M		<i>All parties agreed to a single document?</i>	
DESIGN REVIEW & AUTHORITY PLAN	M		<i>Has this or a similar tool been used / used effectively.</i>	
DESIGN EXECUTION PLAN (DEP)	M		<i>Has this or a similar tool been used / used effectively.</i>	
CONTRACT SCHEDULES & DESIGN PROCESSES	M		<i>Is the contractor managing these items, are the consultants aware of them?</i>	
DESIGN TRACKER – CONDITIONS AND COMPLIANCE	A		<i>Has this or a similar tool been used / used effectively.</i>	
DESIGN TRACKER - DELIVERY	A		<i>Has this or a similar tool been used / used effectively.</i>	
BIM PROTOCOLS	A		<i>Has this or a similar tool been used / used effectively.</i>	
DOCUMENT MANAGEMENT SYSTEM PROTOCOLS	A		<i>Has this or a similar tool been used / used effectively.</i>	
RFI PROCEDURES	A		<i>Has this or a similar tool been used / used effectively.</i>	
CHANGE CONTROL PROCEDURE	A		<i>Has this or a similar tool been used / used effectively.</i>	
QUALITY CONFORMANCE TRACKER	A		<i>Has this or a similar tool been used / used effectively.</i>	
Other				
Filing system	M		<i>Are all documents stored in a standard filing system on a project server.</i>	

Note: Check as a minimum all mandatory processes.

Score key: 1-4, 5-7, 8-10, N/A

5.0 DESIGN CHECK LIST – CLIENT STRATEGY			
Review Category	Document Reference	Comments	Score
Reviewing the OBC (Outline Business Case).		<i>Has this been undertaken effectively?</i>	
Reviewing the Design brief against the OBC.		<i>Has this been undertaken effectively?</i>	
Reviewing the Design brief against the initial programme, construction methodology, logistics and constraints.		<i>Has this been undertaken effectively?</i>	
Reviewing the client's choice of Procurement route.		<i>Has this been undertaken effectively?</i>	
Identifying added value for the Client, Stakeholders (& Contractor).		<i>Has this been undertaken effectively?</i>	
Other			

Note: For clients use and contractors involved during the early project stages.

Score key: 1-4, 5-7, 8-10, N/A

6.0 DESIGN CHECK LIST – ALL STAGES			
Ref: 1	Design Considerations - Legal	Comments	Score
6.1.01	Has the site boundary been defined and is ownership known?	<i>Check and comment.</i>	
6.1.02	Has the responsibility for works outside boundary line been defined (e.g. S278)	<i>Check and comment.</i>	
6.1.03	Are there Party Wall issues?	<i>Check and comment.</i>	
6.1.04	Are there Rights of Light issues?	<i>Check and comment.</i>	
Ref: 2	Design Considerations – Information required	Comments	Score
6.2.01	Have all surveys been listed out?xz	<i>Yes/No</i>	

6.2.02	Have all survey scopes been created?	<i>Check and comment.</i>	
6.2.03	Archaeology – desk top study and report	<i>Check and comment.</i>	
6.2.04	Ecology - Arboricultural report / SSSI's report	<i>Check and comment.</i>	
6.2.05	Environmental - (inc. Air Quality & Acoustics)	<i>Check and comment.</i>	
6.2.06	Soil investigation (SI)	<i>Check and comment.</i>	
6.2.07	Geotechnical report	<i>Check and comment.</i>	
6.2.08	Typographical survey	<i>Check and comment.</i>	
6.2.09	Measured Building / Existing structures survey	<i>Check and comment.</i>	
6.2.10	Below Ground Structures	<i>Check and comment.</i>	
6.2.11	Below Ground Services	<i>Check and comment.</i>	
6.2.12	Existing materials (Inc. Asbestos)	<i>Check and comment.</i>	
6.2.13	Wind analysis / modelling	<i>Check and comment.</i>	
6.2.14	Flood Risk Assessment (FRA)	<i>Check and comment.</i>	
6.2.15	UXO	<i>Check and comment.</i>	
6.2.16	Other	<i>Check and comment.</i>	
6.2.17	Has a request for information (RFI's) schedule been created by each consultant prior to each project stage?	<i>Check and comment.</i>	
Ref: 3	Design Considerations - Statutory	Comments	Score
6.3.01	Planning permission status?	<i>Check and comment</i>	
6.3.02	Does S106 agreement effect design?	<i>Check and comment</i>	
6.3.03	Planning conditions status?	<i>Check and comment</i>	
6.3.04	Statutory easements and diversions - Water supply	<i>Check and comment.</i>	

6.3.05	Statutory easements and diversions - Foul waste	<i>Check and comment.</i>	
6.3.06	Statutory easements and diversions - Electricity	<i>Check and comment.</i>	
6.3.07	Statutory easements and diversions - Gas	<i>Check and comment.</i>	
6.3.08	Statutory easements and diversions - Telecoms/Data	<i>Check and comment.</i>	
Ref: 4	Design Considerations – Building Control	Comments	Score
6.4.01	Fire strategy (inc AD B)	<i>Is there an initial / completed design report?</i>	
6.4.02	Acoustic strategy (inc AD E)	<i>Is there an initial / completed design report?</i>	
6.4.03	AD L & F considerations	<i>Is there an initial / completed design report?</i>	
6.4.04	Access statement (AD M)	<i>Is there an initial / completed design report?</i>	
Ref: 5	Design Considerations – Advisory	Comments	Score
6.5.01	BREEAM	<i>Is there an initial / completed pre-assessment?</i>	
6.5.02	Code for Sustainable Homes (CfSH)	<i>Is there an initial / completed pre-assessment?</i>	
6.5.03	Lifetime Homes	<i>Is there an initial / completed pre-assessment?</i>	
Ref: 6	Design Considerations – General	Comments	Score
6.6.01	Is BIM being instigated?	<i>Yes/No</i>	n/a
6.6.02	Pre-contract BIM execution plan	<i>Completed?</i>	
6.6.03	Post-contract BIM execution plan	<i>Completed?</i>	
6.6.04	BIM assessment form	<i>Are all responsibilities fully understood.</i>	
6.6.05	IT assessment form	<i>Are all responsibilities fully understood.</i>	
6.6.06	Resource assessment form	<i>Are all responsibilities fully understood.</i>	
6.6.07	Does design scope match brief?	<i>Check and comment.</i>	
6.6.08	Do Areas conform to the brief at each project stage?	<i>Check and comment.</i>	

6.6.09	Check that Construction drawings align with Town Planning drawings?	<i>Check and comment.</i>	
6.6.10	Change Control (CC).	<i>Has CC been rigorously managed? Has CC effected any statutory compliances? Have any changes been design in without client instruction?</i>	
6.6.11	Sustainability strategy.	<i>Is there an initial / completed design report?</i>	
6.6.12	Daylight strategy.	<i>Is there an initial / completed design report?</i>	
6.6.13	Security strategy.	<i>Is there an initial / completed design report?</i>	
6.6.14	ICT strategy	<i>Is there an initial / completed design report?</i>	
6.6.15	Wayfinding strategy.	<i>Is there an initial / completed design report?</i>	
6.6.16	Catering strategy.	<i>Is there an initial / completed design report?</i>	
6.6.17	FF&E specialist	<i>Is one required?</i>	
6.6.18	Refuse & recycling strategy.	<i>Is there an initial / completed design report?</i>	
6.6.19	Cleaning and Maintenance strategy.	<i>Is there an initial / completed design report?</i>	
6.6.20	<i>Other strategy.</i>		
Ref: 7	Design Considerations – Team work	Comments	Score
6.7.01	All Design Team resource in place for stage of work?	<i>Check and comment.</i>	
6.7.02	Fees for remaining stages adequate to complete project?	<i>Check and comment.</i>	
6.7.03	Deliverables defined for next stage?	<i>Check and comment.</i>	
6.7.04	Design on programme?	<i>Check and comment.</i>	
6.7.05	Disciplines co-ordinated?	<i>Check and comment.</i>	
6.7.06	SDP defined, and lead-in periods known to Design Team?	<i>Check and comment.</i>	
6.7.07	Tolerances aligned to lowest denominator?	<i>Check and comment.</i>	
6.7.08	Interfaces in detail agreed?	<i>Check and comment.</i>	

6.7.09	Fixing schedule defined and agreed with Structural Engineer and Design Sub-contractors / Suppliers?	<i>Check and comment.</i>	
6.7.10	CDM responsibilities undertaken, managed, and documented?	<i>Check and comment.</i>	
6.7.11	Monthly / Fortnightly reports undertaken diligently?	<i>Check and comment.</i>	
6.7.12	Team working well/satisfactorily together?	<i>Check and comment.</i>	

Note: Complete the above table in relation to the project stage being audited.

Score key: 1-4, 5-7, 8-10, N/A

7.0 CONTRACT COMMUNICATIONS			
	No's / %	Comments	Score
RFI's outstanding			
TQ's outstanding			
EWN's			
NCN's			

Note: complete table and drill down into any critical issues.

Score key: 1-4, 5-7, 8-10, N/A

8.0 AUDIT FINDINGS				
Recommendations	Comments	Action taken	Review date	Resolved?
REC 01				YES
				PARTIALLY
				NO
Corrective Actions	Comments	Action taken	Review date	Resolved?
CAR 01				YES
				PARTIALLY
				NO

Both CAR and REC are to be reviewed after 5 working days, or other agreed date. CAR's **MUST** be resolved satisfactorily. REC may become CAR's if not resolved within 5 working days.

Date published:	
Distribution:	

Note: use Audit Finding section if feed-back is necessary (i.e. not required for a bid risk check)

9.0 AUDIT DUE PROCESS BY**Audit by**

Name: Position:

Signature: Date:

Checked by

Name: Position:

Signature: Date:

Authorised by

Name: Position:

Signature: Date:

CAR / REC Reviewed by

Name: Position:

Signature: Date: