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# “Top-Down-Bottom-Up” Methodology as a Common Approach to Defining Bespoke Sets of Sustainability Assessment Criteria for the Built Environment

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**Abstract:** The top-down-bottom-up (TDBU) methodology for defining bespoke sets of sustainability criteria for specific civil engineering project types is introduced and discussed. The need to define sustainability criteria for specific civil engineering project types occurs mainly in one or both of the following cases: (1) when a more comprehensive and indicative assessment of the sustainability of the project type in question is required; and/or (2) there is no readily available bespoke sustainability assessment tool, or set of criteria, for assessing the sustainability of the project type. The construction of roads, buildings, airports, tunnels, dams, flood banks, bridges, water supply, and sewage systems and their supporting systems are considered to be unique civil engineering/infrastructure project types. The normative definition of sustainable civil engineering/infrastructure projects and the framework for assessing its sustainability is defined and provided by the authors. An example of the TDBU methodology being applied to define sustainability criteria for transport noise reducing devices is presented and discussed. The end result of applying the methodology is a systematically researched and industry validated set of criteria that denotes assessing the sustainability of the civil engineering/infrastructure project type. The paper concludes that the top-down-bottom-up will support stakeholders and managers involved in assessing sustainability to consider all major research methods to define general and unique sustainability criteria to assess and so maximize sustainability. DOI: 10.1061/(ASCE)ME.1943-5479.0000169. © 2014 American Society of Civil Engineers.

**Author keywords:** Sustainability; Project management; Infrastructure planning; Criteria; Noise reducing devices; Assessment framework.

## Introduction: Rationale for a Methodology to Define Bespoke Sustainability Assessment Criteria for the Various Civil Engineering Project Types

As a result of climate change and current agendas such as Agenda 21 run by the United Nations (UN) for sustainability, every engineering discipline and sectors of society have to play a role to achieve the global position of being sustainable (Jarmin 2008). Therefore, it becomes evident that within the sphere of civil engineering projects, regardless of their size, their design, build, operation, maintenance, and removal consider sustainability throughout its whole life cycle equally to be compliant to the said agenda. Indeed, it is foreseeable policies such as sustainable procurement, sustainability monitoring, and sustainability reporting using relevant criteria become increasingly stipulated by clients and key stakeholders (or may become mandatory within the near future) for the respective industries to win work and/or remain competitive.

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This paper presents an overview of the top-down-bottom-up (TDBU) methodology for defining sustainability assessment criteria for specific civil engineering project types. The need to define sustainability criteria for specific civil engineering project types occurs in one or both of the following cases: (1) when a more comprehensive and indicative assessment of the sustainability of the project type in question is required; and/or (2) there is no readily available bespoke sustainability assessment tool, or set of criteria, for assessing the sustainability of the project type in question. Within the context of this paper, civil engineering project types are (but not limited to) the following: construction of roads, buildings, airports, tunnels, dams, flood banks, bridges, water supply, and sewage systems, and the supporting systems for the aforementioned.

Though many of the available sustainability assessment tools are able to highlight key general sustainability issues to consider, and so assess [for example, sustainable project appraisal routine (SPeAR), building research establishment's environmental assessment method (BREEAM), and civil engineering environmental quality assessment and audit scheme (CEEQUAL), to name but a few], many are unable to highlight key project type specific criteria (i.e., unique to the engineering project type in question) in their assessment of sustainability, and are prescriptive in their nature. Furthermore, it is evident that the sustainability issues to assess invariably vary from civil engineering project type to civil engineering project type, and so the notion of a one size fits all generic set of sustainability criteria for all civil engineering projects is an impossibility, which could lead to omitting key civil engineering project type issues to assess for maximizing sustainability. Hence, the need to guide relevant stakeholders to define a pertinent and robust set of criteria in the absence of research informed and industry validated criteria for the sustainability assessment of their particular project type is salient because there is a current lack of

68 support to achieve this end. As such, it is the main aim of the paper  
69 to provide a common approach to defining bespoke sets of sustain-  
70 ability criteria for projects.

### 71 **Methods to Assess Defined Sustainability Criteria:** 72 **Multicriteria Analysis Approach versus Rating** 73 **Approach**

74 It is useful to discuss how criteria are generally used and assessed.  
75 There are generally two main approaches within the literature for  
76 assessing the sustainability of civil engineering projects. The multi-  
77 criteria analysis (MCA) approach and the rating approach. The rat-  
78 ing systems approach, also referred to as rating tools, within the  
79 literature [British Research Establishment (BRE) 2006; Inbuilt  
80 2010; Fowler and Rauch 2006; Uher 1999; Fenner and Ryce  
81 2008] typically rate criteria performance on a set scale. They usu-  
82 ally have a prescribed set of modelled criteria and the need to  
83 collect data to assess each alternative's performance against the pre-  
84 determined set of criteria. Rating points or a score are awarded by  
85 an assessor or examiner, for example, on a 1–10 scale, for criteria  
86 fulfilment, and the alternative that scores the highest is considered  
87 the best/most sustainable alternative in the view of the assessor(s).  
88 Thresholds are normally set for summed scores to denote the proj-  
89 ects' overall level of performance against the predetermined set of  
90 criteria, typically as pass, good, very good, or excellent, which may  
91 be presented as a certificate.

92 Many of the most popular sustainability assessment tools such  
93 as BREEAM, leadership in energy and environmental design  
94 (LEED), SPeAR, and CEEQUAL use the rating approach, which  
95 is generally favored by industry because of the easy to follow  
96 method and transparency in rating criteria. However, the concept  
97 of simply rating criteria on a set scale is its biggest strength and  
98 weakness because it allows for total compensation in the perfor-  
99 mance of criteria. As such, a compromised solution is invariably  
100 selected. This is against the fundamental principles of sustainabil-  
101 ity, which generally state an optimal approach to assessing sustain-  
102 ability is to be taken. Furthermore, the notion of an examiner  
103 assigning points on the performance of criteria fulfilment can be  
104 criticized as being arbitrary and prone to major bias, and so not  
105 scientifically robust, which adds to the argument.

106 A far more rigorous approach to assessing the sustainability of a  
107 civil engineering project type would be to take an MCA approach  
108 to assessing sustainability, such as that found in tools like sustain-  
109 able water industry asset resource decisions (SWARD) and sustain-  
110 ability appraisal in infrastructure projects (SUSAIP). Generally,  
111 MCA begins with first defining the overall decision goal, i.e., sus-  
112 tainability, and the formulation and structuring of criteria within a  
113 framework (by the assessor) that best represents achieving the said  
114 decision goal. Later, a multicriteria decision-making (MCDM) tool  
115 can be selected [e.g., simple additive weighting method (SAW),  
116 simple multiattribute rating technique (SMART), analytical hier-  
117 archy process (AHP), preference ranking organization method for  
118 enrichment evaluations (PROMETHEE)] to assess the selected  
119 multiple sustainability criteria in relation to one another in an  
120 unbiased way. Excellent discussions on MCA can be found in  
121 Dodgson et al. (2000), Triantaphyllou (2000), and Yoon and  
122 Hwang (1995), to name a few. This approach is different from the  
123 more popular rating approach in three major ways: (1) the assessor  
124 (s) has/have the flexibility to select or define criteria pertinent to  
125 their decision context/project type for assessment; (2) through  
126 the process of modeling criteria and applying normalization func-  
127 tions, trade-offs in criteria performance can be equitably high-  
128 lighted and compared by transforming the entries in the decision  
129 to be represented on a 0–1 preference scale; and (3) based on

the MCDM tool selected, the best noncompensated solution can  
be ranked or scored for performance with respect to the set of alter-  
natives considered by applying nontrade-off methods. The MCA  
approach overall allows for context specific issues to be addressed  
and discussed, which would have been otherwise omitted in generic  
sustainability assessment tools, and thereby is a more flexible and  
conductive approach to promoting innovation instead of predefining  
all parameters and expecting all solutions to fit that model, as in  
rating tools. Indeed, a more practical move would be to define  
the essential requirements for a sustainability assessment method  
and set out the scope that should be addressed in the context of  
an accepted and transferrable sustainability assessment framework  
that can be applied to all civil engineering project types.

It would therefore be useful to have available a systematic  
method for establishing the set of criteria initially required for  
MCA to guide stakeholders wishing to identify and maximize  
sustainability issues to consider, and so assess with regards to  
their civil engineering project type, as there is a current lack  
of support for practitioners in this area. Within this paper, stake-  
holders are defined as “Individuals, groups and/or organisations  
who affect and/or could be affected by an organisation's activ-  
ities, products or services and associated performance” (BRE  
2009). For civil engineering projects, this usually includes the  
following: consultants (e.g., design engineers, architects, ecolo-  
gists, researchers, and solicitors/lawyers), project managers, asset  
managers, local authorities, contractors, manufacturers, suppliers,  
construction companies, end users/affected public, maintenance  
companies, and demolition companies, to name a few.

Given the aforementioned information, it is the purpose of this  
paper to (1) specify the decision goal, i.e., define what a sustainable  
civil engineering/infrastructure project is to aid criteria selection;  
(2) define the sustainability framework for structuring criteria  
and assessing civil engineering projects' sustainability; and (3) pro-  
vide a research method to define relevant sustainability assessment  
criteria specific to the project type in question for MCA.

### 165 **Defining Sustainability and the Sustainability** 166 **Assessment Framework for Civil Engineering/** 167 **Infrastructure Projects**

168 It is important to first discuss and define sustainability and the as-  
169 sessment framework for civil engineering/infrastructure projects  
170 before developing a tenable approach for defining sustainability  
171 criteria. While it may appear rather obvious, a good starting point  
172 for measuring the sustainability of civil engineering/infrastructure  
173 projects is to first define what it means within its context (Sahely  
174 et al. 2005; Levett 1998). Why? For the following reason: “How  
175 can we measure sustainability unless we know what we are trying  
176 to measure?” Moreover, Singh et al. (2009) and Bell and Morse  
177 (2008) articulate more importantly “how do we know when/if  
178 we have achieved ‘sustainability’ if we cannot measure it?” A  
179 normative definition of sustainable civil engineering/infrastructure  
180 projects therefore needs to be defined first to guide criteria selection  
181 and design to provide a common approach toward assessing the  
182 sustainability of civil engineering/infrastructure projects. More-  
183 over, based on the definition given for civil engineering projects'  
184 sustainability, an appropriate and transferable sustainability frame-  
185 work is also necessary to structure criteria for assessments.

186 It is remarkable that despite the prevalence and commitment to  
187 the topic of sustainability, there is still no uniform agreement on its  
188 meaning, let alone a definitive way to measure it (AtKisson and  
189 Hatcher 2001; BRE 2006; McCool and Stankey 2004). This is  
190 hardly surprising when there are reported to be over 200 definitions

191 of sustainability, with the most popular definition being Brundt- 222  
 192 land Commission and World Commission of Environmental and 223  
 193 Development's (1987). There are many definitions of sustainability 224  
 194 [e.g., Lynam and Herdt 1989; Pearce and Turner 1990; Fresco and 225  
 195 Kroonenberg 1992; International Union for Conservation of Nature 226  
 196 (IUCN) et al. 1991; Brundtland Commission and World Commis- 227  
 197 sion of Environmental and Development 1987], but many are vague 228  
 198 and provide little detail on what to sustain, to what extent, and on 229  
 199 what timescale. A more practical definition of sustainability within 230  
 200 the context of civil engineering is clearly required, which clearly 231  
 201 describes what to sustain, to what extent, and on what timescale. 232

202 It is often accepted that sustainability encompasses three main 233  
 203 components: social, economic, and environment [Olewiler 2008; 234  
 204 British Standards Institute (BSI) 2010; Xing et al. 2007; Beloff et al. 235  
 205 2009]. However, for civil engineering/infrastructure projects, a 236  
 206 fourth component, technical, is added (and recommended by the 237  
 207 authors) to take into consideration the crucial technical perfor- 238  
 208 mance and functional aspects of engineering projects, while still 239  
 209 considering the main three principles of sustainability (Oltean- 240  
 210 Dumbrava et al. 2010a, b, c; Ashley et al. 2004). This ensures no 241  
 211 trade-offs are made in the technical performance/functional aspect 242  
 212 of the civil engineering project in meeting sustainability objectives. 243  
 213 Although this addition may be unusual to some academics and 244  
 214 practitioners involved in assessing sustainability, it is logical to 245  
 215 consider technical sustainability aspects explicitly for what are in- 246  
 216 deed technical projects. Thus, to provide a practical and contextual 247  
 217 definition the relevant stakeholders could utilize, civil engineering 248  
 218 projects' sustainability has been broadly defined as the following: 249  
 219 "The optimal consideration of technical, environmental, economic 250  
 220 and social factors during the design, construction, operation, 251  
 221 maintenance and repair, and removal/demolition stages of civil 252

engineering/infrastructure projects" (Oltean-Dumbrava et al. 2010a, b, c).

Fig. 1 illustrates the aforementioned definition by highlighting how the factors of sustainability should be incorporated throughout the whole life cycle of civil engineering/infrastructure projects.

The sustainability definition provides the spatial and temporal context required with clear aims on how to achieve sustainability without specifying specific objectives. A selected life cycle stage could be assessed for sustainability instead of the whole life cycle. Therefore, criteria should be selected or created that denotes assessing sustainability, as shown in Fig. 1.

An assessment framework is required to structure and order criteria sets for assessment. Fig. 2 shows the proposed sustainability framework for assessing the sustainability of civil engineering/infrastructure projects based on the definition given for sustainability.

The framework shown in Fig. 3 simply sets the boundaries for projects' sustainability to be assessed within, which represents the decision goal and provides a means to structure and order (through a nested hierarchical system) criteria and indicators (Oltean-Dumbrava et al. 2010a). Sustainability factors (sometimes referred to in the literature as principles/dimensions/aspects/considerations) are fixed aspects for sustainability, and allow for the arrangement of relevant criteria and indicators through the sustainability framework. Primary criteria are key general themes that characterize assessing the sustainability factor under consideration for the civil engineering/infrastructure project type in question. Primary criteria are not usually measurable, and will typically have a set of secondary criteria below them that define the primary criteria. Secondary criteria underpin the primary criteria and are specific to the primary criteria under consideration. They are measured through the use of indicators, which are the unit of measurement

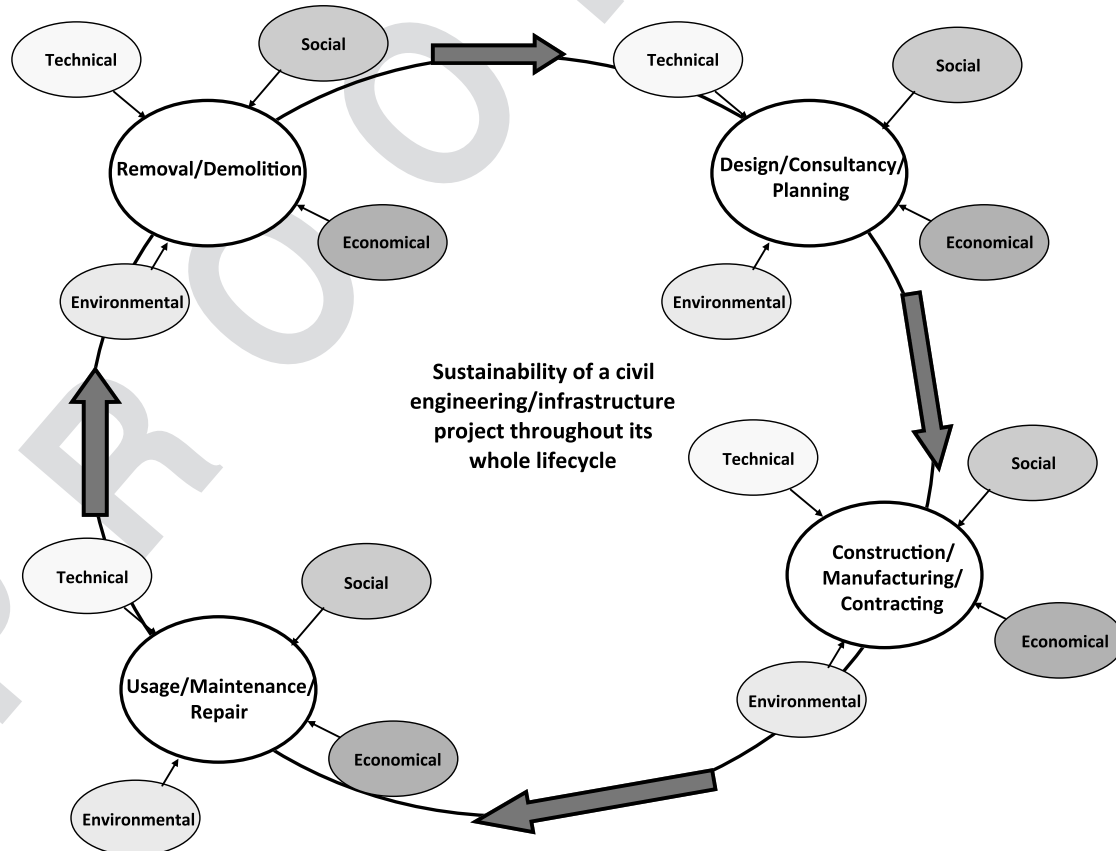
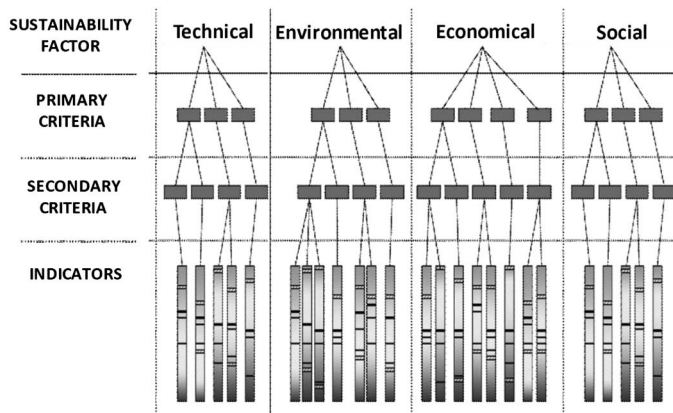


Fig. 1. Sustainability factors to be considered throughout the whole life cycle of civil engineering/infrastructure projects





F2:1 **Fig. 2.** Sustainability framework for assessing the sustainability of civil  
F2:2 engineering/infrastructure projects

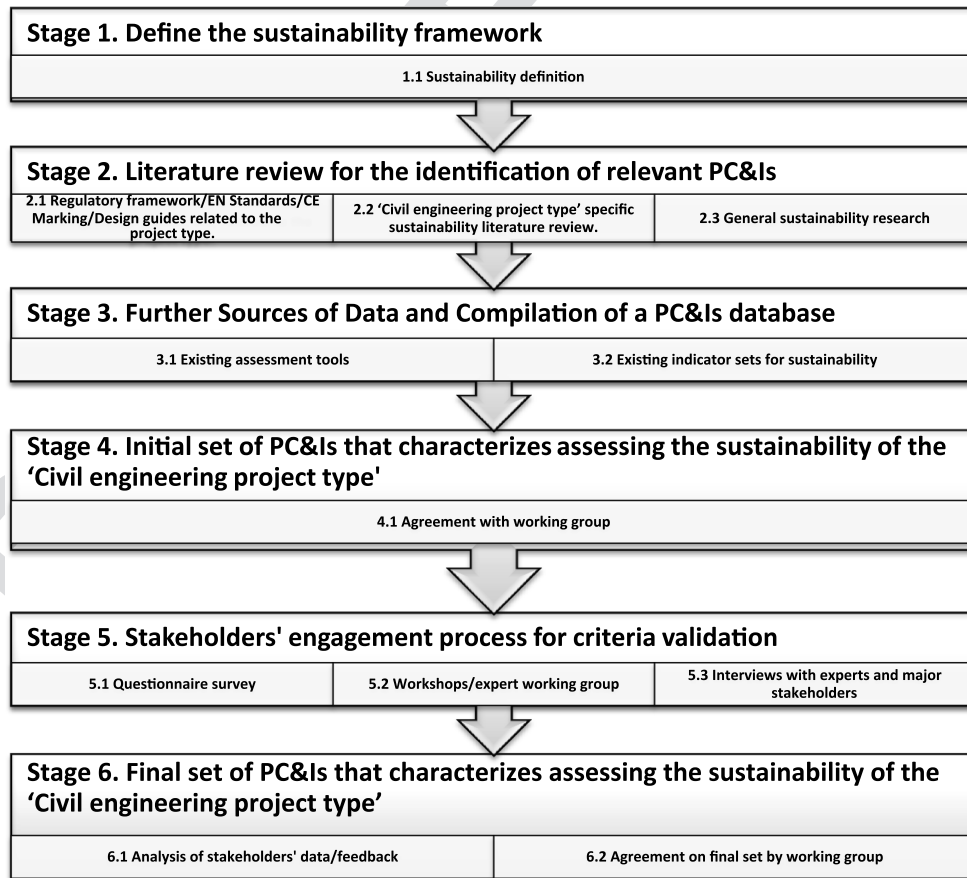
253 for secondary criteria, and are either quantitative or qualitative. Fur-  
254 thermore, in some cases, secondary criteria may have further attrib-  
255 utes/tertiary criteria that define them further and are measured  
256 through the use of indicators as well. This hierarchy of criteria lev-  
257 els and the aggregation of criteria values can continue ad infinitum;  
258 however, typically more than three levels are not seen within the  
259 literature (e.g., SWARD and BREEAM).

260 Given the aforementioned points raised within this section,  
261 the authors are confident that the definition of sustainable civil

262 engineering projects, and the sustainability framework provided,  
263 is sufficiently transferrable to denote commonly assessing the sus-  
264 tainability of most civil engineering project types, such as the  
265 construction and management of roads, buildings, airports, tunnels,  
266 dams, bridges, water supply, and sewage systems, and the support-  
267 ing systems for the aforementioned. The ensuing top-down-  
268 bottom-up methodology places emphasis on investigating what  
269 sustainability criteria and indicators could be selected or created  
270 to assess each major factor of sustainability at each life cycle  
271 stage of the civil engineering/infrastructure project type under  
272 investigation.

### 273 **Top-Down-Bottom-Up Methodology for Defining** 274 **Relevant Sustainability Assessment Criteria for** 275 **Unique Civil Engineering Project Types**

276 There is a dearth of literature for the actual development of a be-  
277 spoke sustainability assessment method (i.e., tool) from its incep-  
278 tion for civil engineering projects, which includes (1) defining the  
279 sustainability framework; and (2) defining the relevant sustainabil-  
280 ity assessment criteria for the project type in question. The need  
281 to define a logical and robust method for defining sustainability  
282 criteria for unique civil engineering projects is evident where hith-  
283 erto their sustainability has not been widely considered (for exam-  
284 ple, roadside transport noise barriers, flood alleviation schemes, or  
285 construction products). Upon consulting the following key litera-  
286 ture, BSI (2010), Sanchez and Lopez (2010), Lundin (2003),



F3:1 **Fig. 3.** Top-down-bottom-up research strategy for defining the relevant generic sustainability criteria and indicators that characterize assessing  
F3:2 the whole life sustainability of specific civil engineering/infrastructure project types (PC&I = potential criteria and indicators) [adapted source:  
F3:3 Oltean-Dumbrava et al. (2010a)]

287 AtKisson et al. (2004), Dasgupta and Tam (2005), Segnestam et al.  
288 (2000), Ugwu and Haupt (2005), Office of Deputy Prime Minister  
289 (ODPM) 2005, Bell and Morse (2008), and Fortunet and Quevedo  
290 (2005), the authors subsequently synthesized the discrete methods  
291 utilized by the aforementioned for developing frameworks, criteria,  
292 and indicators, and developed the top-down-bottom-up research  
293 strategy for defining the relevant set of sustainability assessment  
294 criteria for unique civil engineering project types, presented  
295 in Fig. 3.

296 The purpose of the top-down-bottom-up research methodology  
297 is to consider all major possible research methods and sources of  
298 data to identify relevant criteria that denote assessing the sustain-  
299 ability of the civil engineering project type in question. All iden-  
300 tified relevant criteria are added to a user created database of  
301 potential criteria and indicators (PC&I), and are screened later on  
302 for relevance and structured into an appropriate hierarchy. An over-  
303 view of the top-down' and bottom-up aspect of the methodology is  
304 given herein for the readers' information.

305 Two distinctive approaches are recognizable within the literature  
306 for developing a sustainability framework and designing/validating  
307 sustainability criteria and indicators. This has been broadly classi-  
308 4 fied by Lundin (2003) as

- 309 1. The top-down approach: Experts and/or the working group de-  
310 fine the framework and the set of sustainability criteria.
- 311 2. The bottom-up approach: Participation of different stake-  
312 holders in the design of the framework and the sustainability  
313 criteria selection process.

314 For instances of both approaches being primarily taken  
315 discretely, see AtKisson et al. (2004) for taking a bottom-up  
316 approach through the indicators, systems, innovation, strategies  
317 (ISIS) method for assessing regional sustainability, and Dasgupta  
318 and Tam (2005), in their development of the technical sustainability  
319 index (TSI), take a top-down approach for assessing infrastructure  
320 projects.

321 However, both methods used in isolation have their pros and  
322 cons. The top-down approach runs the risk of taking a narrow view  
323 and missing out on PC&I crucial to defining and assessing the sus-  
324 tainability of the civil engineering project type, which can only be  
325 identifiable by relevant stakeholders through consultation and val-  
326 idating the developed model. Conversely, the bottom-up approach  
327 runs the risk of taking up a lot of time, creating a complex model,  
328 and missing out on key PC&I, which may only be identifiable by  
329 experts in the field of sustainability and through academic research.

330 The need to consider both approaches to avoid the pitfalls  
331 of using only one method is most judicious. Therefore, both ap-  
332 proaches should be implemented for achieving two distinct  
333 purposes:

- 334 1. Top-down methodology: To define sustainability, the assess-  
335 ment framework, and the initial potential set of primary criteria  
336 and indicators that characterize assessing the sustainability  
337 of the civil engineering project type in question by experts;  
338 and
- 339 2. Bottom-up methodology: For stakeholders to validate the pro-  
340 posed set of sustainability (namely the technical, environmen-  
341 tal, social, and economic) criteria that epitomizes assessing  
342 the sustainability of the project type in question. Here, the sta-  
343 keholders are to be asked whether any criteria proposed should  
344 be added or removed from the set, and to rank/rate each cri-  
345 terion in terms of importance. This is achieved through a  
346 stakeholders' engagement process, involving a combination  
347 of either workshops, interviews with experts and key players,  
348 and/or questionnaire surveys to target as many stakeholders as  
349 possible involved throughout the whole life of the civil engi-  
350 neering project type in question.

351 The amalgamation of both methods have been shown in Fig. 3,  
352 whereby stages 1–4 highlight taking a top-down approach to define  
353 the sustainability framework and the initial hierarchy of criteria and  
354 indicators that characterize assessing the sustainability of the civil  
355 engineering project type in question, and stage 5 highlights taking a  
356 bottom-up approach to target stakeholders involved throughout the  
357 whole life of the civil engineering project type in question to val-  
358 idate and add/remove criteria. Pursuant to the TDBU methodology,  
359 stage 6 assesses the stakeholders' feedback and affirms the final set  
360 of sustainability criteria for the project type under investigation.

### 361 **Detailed Overview of the Top-Down-Bottom-Up** 362 **Methodology**

363 With reference to Fig. 3, a succinct overview of the methodology,  
364 process, and the rationale behind each major stage is described  
365 subsequently.

#### 366 **Stage 1. Define the Sustainability Framework**

- 367 • Stage 1.1 Sustainability definition: This is the first and most  
368 important task to define the framework in which criteria and  
369 indicators can be arranged and so assessed within. At this point,  
370 it is recommended that the fixed definition of sustainable civil  
371 engineering projects and the sustainability framework postu-  
372 lated by the authors be used to aid defining criteria.  
373

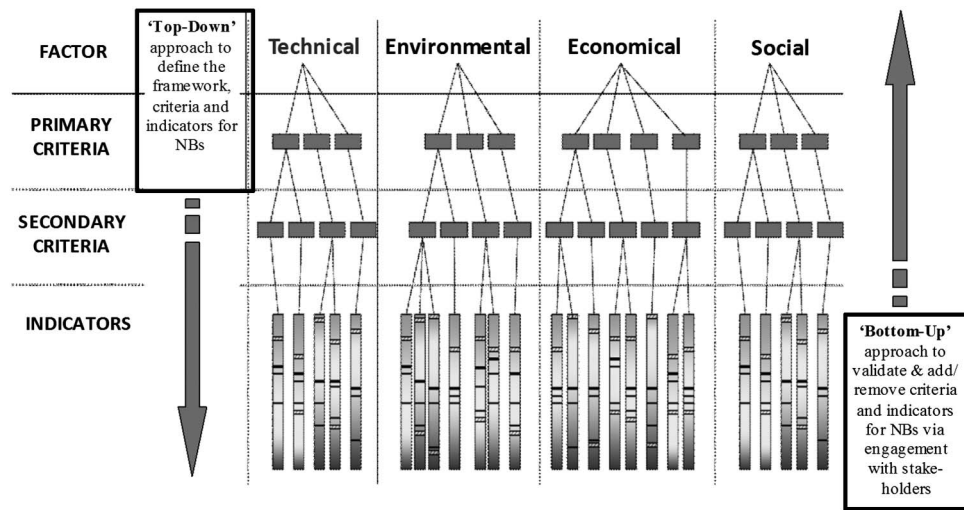
#### 374 **Stage 2. Literature Review for the Identification of Relevant** 375 **Potential Criteria and Indicators**

376 The key purpose of this stage is to identify issues unique to assess-  
377 ing the sustainability of the civil engineering project type in ques-  
378 tion while still reviewing general issues for sustainability in civil  
379 engineering projects. This can be achieved in three steps, which  
380 are elaborated subsequently as

- 381 • Stage 2.1. Regulatory framework/EN standards/CE marking/  
382 design guide: Typically, a number of well researched and indus-  
383 try consulted standards, design guides, and regulatory frame-  
384 works exist for the specific civil engineering project type in  
385 question. A review of technical/legislative information related  
386 to the civil engineering project type should be completed for  
387 identifying aspects of sustainability (namely technical, environ-  
388 mental, social, and economic) that may be already incorporated/  
389 achieved within them. This could help bring to the fore PC&Is  
390 that could characterize assessing the sustainability of the civil  
391 engineering project type in question. The results of this stage  
392 should be added to the PC&Is database for screening and ana-  
393 lysis later on.
- 394 • Stage 2.2. Civil engineering project type specific sustainability  
395 literature review: Of published scientific and research literature  
396 on the sustainability of the specific civil engineering project type  
397 in question (where possible) and/or review of literature on the  
398 economic, environmental, social, and technical impacts of the  
399 civil engineering project type to gain a deeper understanding  
400 of the major technical, economic, environmental, and social  
401 impacts of the specific civil engineering project type across  
402 its whole life, and so create unique PC&Is to reflect assessing  
403 the aforementioned four factors of sustainability. Where appro-  
404 priate, the results of this stage are to be added to the PC&Is  
405 database for screening and analysis later on.
- 406 • Stage 2.3. General sustainability research: Published in peer re-  
407 viewed journals, review of how sustainability (or the individual  
408 factors of sustainability) in other construction projects within  
409 a similar spatial context has been addressed in the interest of  
410 gaining further potential PC&Is that could be transferable to  
411 encapsulate assessing the sustainability of the project type in

412	question. The findings of this stage are also be added to the		
413	PC&Is database for filtering/analysis later on.		
414	<b>Stage 3. Further Sources of Data and the Compilation of a</b>		
415	<b>PC&amp;Is Database</b>		
416	The aim of this stage within the research strategy is to formally		
417	conclude compiling the PC&Is database, which denotes assessing		
418	the environmental, economic, technical, and social aspects of the		
419	civil engineering/infrastructure project type in question. Once com-		
420	pleted, it will be possible to select relevant primary criteria, sec-		
421	ondary criteria, and indicators from the PC&Is database, and structure		
422	sets for assessing each factor of sustainability for the project type in		
423	question. Stage 2 is also expanded further by considering the two		
424	subsequent key sources for identifying further PC&I because of		
425	them being either supported by their respective industry, developed		
426	through research, and/or for their prevalent use of being practically		
427	applied.		
428	• Stage 3.1. Existing assessment tools: Currently used for assess-		
429	ing sustainability or aspects of sustainability (i.e., social, eco-		
430	nomic, environmental, and technical) to identify further		
431	potential PC&Is that could be transferable or adapted to suit		
432	the context of the civil engineering project type in question.		
433	Normally, these tools are widely used by their respective indus-		
434	try and supported by research. As such, the various PC&Is that		
435	could be identified here are usually more than validated. The		
436	findings of this stage are to be also added to the PC&Is database		
437	for filtering/analysis later on.		
438	• Stage 3.2. Existing indicator sets for sustainability: There		
439	already exist databases, or sets of indicators/criteria for sustain-		
440	ability, from which one can select the most apt to fit their context		
441	and project type, for example, the United Kingdom, Quality of		
442	Life Counts; the construction and city related sustainability in-		
443	dicators (CRISP) database; and the sustainable building alliance		
444	(SBA) database. Where appropriate, the results of this stage are		
445	to be added to the PC&Is database for filtering/analysis later on.		
446	<b>Stage 4. Initial Set of PC&amp;Is that Characterize Assessing the</b>		
448	<b>Sustainability of the Civil Engineering Project Type</b>		
449	• Stage 4.1. Agreement with working group: From selecting cri-		
450	teria from the compiled database of PC&I, the working group		
451	(i.e., the team of experts or DMs involved with the project in		
452	question) are to structure a tentative hierarchical set of relevant		
453	generic sustainability assessment criteria that denote assessing		
454	the sustainability of the civil engineering project type under		
455	scrutiny. The initial set of criteria should embody assessing/		
456	optimizing the economic, technical, environmental, and social		
457	aspects of the civil engineering project type under investigation.		
458	Criteria here should be selected primarily on the basis of rele-		
459	levance, understandability, and data availability. The initial set of		
460	criteria should be agreed with the working group before being		
461	put through the stakeholders' engagement process for criteria		
462	validation and refinement.		
463	<b>Stage 5. Stakeholders' Engagement Process</b>		
464	The principal purpose of this stage is to validate the initial proposed		
465	set of PC&Is with all relevant stakeholders (see definition) involved		
466	throughout the whole life of the civil engineering project type in		
467	question. Therefore, this stage invites all stakeholders to participate		
468	by commenting on if any criteria should be added or removed from		
469	the initial proposed set of criteria through either of the following:		
470	• Stage 5.1. Questionnaire survey: Sent out to all stakeholders in-		
471	involved throughout the whole life of the project to comment and		
472	validate the initial set of sustainability assessment criteria for		
473	the civil engineering project type by either rating or ranking		
474	the proposed set of criteria.		
		• Stage 5.2. Workshops: To bring together all relevant stake-	475
		holders to gauge further opinions on the proposed set of sustain-	476
		ability assessment criteria for the sustainability assessment of	477
		the civil engineering project type.	478
		• Stage 5.3. Interviews with experts and major stakeholders: To	479
		gain an even deeper understanding of key sustainability issues	480
		that may need to be considered throughout the whole life of the	481
		civil engineering project type, and validate the proposed set of	482
		criteria and/or indicators.	483
		<b>Stage 6. Final Set of PC&amp;Is that Characterizes Assessing the</b>	484
		<b>Sustainability of the Civil Engineering Project Type</b>	485
		This stage confirms the final hierarchical set of sustainability as-	486
		essment criteria and indicators following garnering and analyzing	487
		feedback from the relevant stakeholders, which will characterize	488
		assessing the sustainability of the civil engineering project type	489
		in question. The final set of PC&Is that denotes assessing the sus-	490
		tainability of the civil engineering project under study is affirmed	491
		through completing two main steps, listed as follows:	492
		• Stage 6.1. Analysis of stakeholders' data: From the stake-	493
		holders' engagement process, to remove, add, and validate the	494
		most suitable criteria and indicators through quantitative and	495
		qualitative analysis of the questionnaire surveys, workshops,	496
		and interviews with experts and major stakeholders.	497
		• Stage 6.2. Agreement on final sustainability criteria set by work-	498
		ing group: The expert working group on the sustainability of the	499
		civil engineering project type will/should validate the final set of	500
		PC&Is. Thus, one is left with a systematically researched and	501
		industry validated set of sustainability assessment criteria that	502
		denotes assessing the sustainability of the civil engineering pro-	503
		ject type. This will provide the basis for conducting a MCA for	504
		assessing and/or reporting on sustainability.	505
		A case study example of implementing the TDBU method for	506
		defining the set of relevant generic sustainability assessment crite-	507
		ria for a unique civil engineering project type is given herein.	508
		<b>Case Study: Defining the Relevant Generic Set of</b>	509
		<b>Sustainability Assessment Criteria for Noise</b>	510
		<b>Reducing Devices Projects for EU Project QUIESST</b>	511
		Transport noise reducing devices (NRD) projects are unique civil	512
		engineering projects. Noise reducing devices such as noise barriers,	513
		absorptive claddings, and road covers form a major a part of the	514
		European transport infrastructure and are designed to control the	515
		spread of surface road and railway noise to impacted communities.	516
		However, a relevant generic set of sustainability assessment criteria	517
		and an associated method for assessing their whole life sustainabil-	518
		ity does not exist for the NRD industry. Quietening the environment	519
		for a sustainable surface transport (QUIESST) (2010) European	520
		Union (EU) grant is a three-year, inter and multidisciplinary project	521
		undertaken by 13 EU partners from eight countries, which began	522
		in late 2009. Work package 6 (WP6) and its specialist research team	523
		are researching the sustainability of NRDs across their whole	524
		life cycle.	525
		The main aim of WP6 is to provide a bespoke sustainability	526
		assessment framework and method for assessing the whole life sus-	527
		tainability of NRDs, which will form part of the guidebook to NRD	528
		optimization in a sustainable way aiming to be the future reference	529
		source for noise mitigation by NRDs. This tool will assist the	530
		relevant stakeholders (e.g., decision makers, transport engineers,	531
		urban/transport planners, and other relevant stakeholders involved	532
		with NRDs) to assess the sustainability of each major life cycle	533
		stage and so make more sustainable decisions. As there was no	534
		readily available bespoke sustainability assessment tool, or set of	535





F4:1 **Fig. 4.** Top-down-bottom-up approach for defining the relevant generic sustainability assessment criteria and indicators for NRD projects  
 F4:2 (NB = noise barriers that are classified under NRDs) [source: Oltean-Dumbrava et al. (2010b)]

536 criteria, for assessing the sustainability of NRD projects, the TDBU  
 537 methodology for creating and defining sustainability assessment  
 538 criteria for unique civil engineering/infrastructure project types  
 539 was selected and implemented to define the relevant generic set  
 540 of sustainability criteria necessary for assessing the sustainability  
 541 of NRD projects through a MCA approach, presented and dis-  
 542 cussed herein as a case study example.

543 **Method: TDBU Methodology for Defining and**  
 544 **Validating Sustainability Criteria for Unique Civil**  
 545 **Engineering Projects**

546 Fig. 4 illustrates the implementation of the top-down-bottom-up  
 547 methodology within the context of the sustainability framework  
 548 for defining and validating the set of sustainability assessment cri-  
 549 teria for NRD projects.

550 The top-down approach involved the dedicated cohort con-  
 551 cerned with NRDs' sustainability researching and generating the  
 552 initial set of criteria for validation, whereas the bottom-up aspect  
 553 involved a stakeholder's engagement process to validate, add, re-  
 554 move, and comment on the proposed set of criteria by means of

- 555 • A survey of key stakeholders involved in the NRD industry
- 556 across Europe;
- 557 • Group workshops of key stakeholders involved throughout the
- 558 whole life of NRDs; and
- 559 • Interviews with key stakeholders and experts.

560 Primarily a questionnaire-based survey was developed contain-  
 561 ing the proposed set of generic sustainability criteria, whereby the  
 562 responders were asked to rate, rank, add, and remove criteria, and  
 563 validate/comment on the generic set of sustainability criteria for  
 564 NRDs projects. The questionnaire consisted of two major parts:

- 565 1. The first part addresses one of the four sustainability factors,  
 566 e.g., economic/cost considerations, and asks the respondent to  
 567 rank the related primary criteria in terms of their importance  
 568 that define it, e.g., life cycle cost, effect on local residential/  
 569 commercial property prices, contractual and procurement  
 570 type, and so on. The respondent is also given the choice to  
 571 add/remove primary criteria.
- 572 2. The second part asks the respondent to rate on a 5-point  
 573 Likert scale how important they consider each primary/  
 574 secondary/tertiary criterion (i.e., 1 = very important, 2 =  
 575 important, 3 = moderately important, 4 = of little importance,

5 = unimportant). An option is also provided to add any  
 further primary/tertiary/secondary criteria they consider im-  
 portant for assessing the sustainability of noise barrier  
 projects.

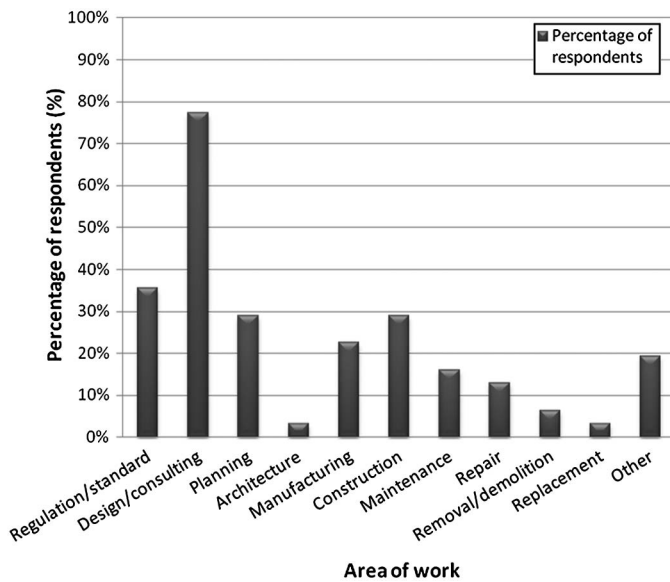
Note that adopting the Likert scale for validating sustainability  
 criteria is a typical method utilized by other sustainability assess-  
 ment tool developers (e.g., Ugwu et al. 2006) because it allows one  
 to perform meaningful and transparent statistical analyses for de-  
 termining the relative importance of criteria by the stakeholders.  
 The results will be presented in a table showing their individual  
 ranking overall and within their respective sustainability factor.

587 **Results from Questionnaire Survey**

588 The NRDs' sustainability criteria validation questionnaire-based  
 589 survey was conducted over a 5-week period from October 4, 2010  
 590 through November 5, 2010. The QUIESST (2010) consortium and  
 591 their available network(s) were fully utilized to gain meaningful  
 592 responses from a wide range of organizations/individuals that in-  
 593 clude national road and rail authorities, planning authorities, contrac-  
 594 tors, manufacturers, consultants, designers, acoustical engineers,  
 595 asset managers, and researchers across Europe. A total of 31 ques-  
 596 tionnaires were returned, which given the small niche market size  
 597 of NRDs, the general historic reluctance of stakeholders to partici-  
 598 pate, and the wide range of stakeholders represented, was considered  
 599 a good sample size to perform meaningful statistical analysis. How-  
 600 ever, it should be noted that it proved to be difficult to receive all  
 601 questionnaires fully completed, and as such, the results of the most  
 602 relevant questions are given. This covers the ranking and rating of  
 603 the primary criteria. The calculation of Kendall's coefficient of con-  
 604 cordance for the ranking data and the 2-way analysis of variance  
 605 (ANOVA) for the rating data for each criterion with their standard  
 606 deviation were primarily used to analyze the data collected in de-  
 607 termining the stakeholders' agreement for the said criteria. Fig. 5 gives  
 608 the breakdown of these respondents by work sector.

609 A problem to overcome was missing data, e.g., there was no  
 610 reply, a "do not know" category was ticked, or an invalid reply  
 611 was given. For the statistical analysis of data, it was important  
 612 to include only those complete sets of rankings/ratings. For this  
 613 reason, although 31 questionnaires were received, it was not pos-  
 614 sible to include all replies. In the tables, the numbers of valid replies  
 615 are given.





**Fig. 5.** Respondents' specialist area of work within the NRD industry

### Sustainability Factors

A general question was included to determine which sustainability factors the respondents felt were the most important to consider throughout the whole life of NRDs. Respondents were asked to rank the four sustainability factors (outlined in Fig. 1) in the order of importance with rank position one denoting the most important to consider and last place (4th) denoting the least important. Table 1 shows the mean rank (i.e., summing the ranks obtained from all respondents and then taking these sums to obtain an overall ranking average) for each sustainability factor based on the questionnaire results. For this question, all respondents gave valid responses.

The results show that the majority of the respondents ranked the technical/acoustical performance factor as the most important to consider throughout the whole life of NRDs. This is an understandable result because in many cases, it is essential that public expenditure of achieving a desired noise reduction through a mitigation measure be justified to stakeholders. The environmental impact of the project ranked, on average, as the second most important factor, with economic/cost criteria and social criteria being ranked close to third on average. The similar rankings given to economic and social factors agree with previous research findings (Joynt and Kang 2006). The results of the calculation of the Kendall coefficient of concordance  $W$  (a statistic indicating the degree of agreement between respondents) show that when  $k = 31$  respondents and the number of ranked items is  $N = 4$  (sustainability factors), their agreement was  $W = 0.47$ . A value of  $W$  of 1 represents total agreement, and 0 represents no agreement at all. The level of significance is  $p = 0.01$  (1%). Therefore, the authors reject the null hypothesis that the respondents' ( $k = 31$ ) rankings are unrelated to

**Table 1.** Average Ranking of Sustainability Factors

Sustainability factor	Average ranking position (out of 4)
Acoustic/technical performance	1.10
Environmental impacts	2.39
Economic/cost considerations	2.84
Social considerations	3.03
Kendall's $W$	0.47
Test for significance	Significant at the 0.01 level

Note: Sample size is 31.

one another. The significant correlation indicates a reasonable degree of agreement among respondents (Siegel and Castellan 1988).

### Social Criteria

The next part of the questionnaire focused on validating the proposed set of social criteria for considering and assessing the social factor in the sustainability assessment of NRD projects, which was split into two parts to generate ranking data and rating data for analysis. Respondents were asked to rank primary criteria, i.e., key general issues that define the social factor in the order of their importance, in which 1st place is most important. Subsequently, respondents were then asked to rate individually all primary, secondary, tertiary, and quaternary social criteria on the Likert scale of 1–5. For each type of question, respondents were given the option to state “do not know” and provide further not listed criteria they consider important for assessing the sustainability of NRDs. As noted previously, only the analysis of the primary criteria are reported here.

Stakeholders were asked to rank, based on their opinion, seven primary social criteria in the order of importance to characterize assessing the social factor for NRD projects. Based on 11 valid replies, Table 2 shows the mean rank for each primary social criterion

In evaluating the results highlighted in Table 2, it is clear to see that safety and security and health and well-being were considered most important above all other social primary criteria by the stakeholders. This is not wholly surprising because the issue of considering health and safety is already (within the developed countries) well embedded in construction practices and related legislation, acts, and so on. Severance that results from the blocking, or partial blocking, of vehicular and pedestrian access by the NRD was felt by the respondent as the third most important factor to consider. This issue is likely to play a large role in determining overall social acceptance. This result was also expected because this factor is becoming widely recognized as important for the whole success of the NRD scheme. Local employment, community engagement, and design were ranked lowest. It is likely that severance, community engagement, and design were partly taken into account in the relatively high rating given to social acceptance. Furthermore, the results of the Kendall coefficient of concordance show that when  $k = 11$  and respondents rank  $N = 7$  primary social criteria, their agreement was  $W = 0.5$  ( $p < 0.01$ , i.e., statistically significant at the 1% level). Again, there is a reasonable measure of agreement between respondents.

Table 3 ranks the mean rating received for the primary social criteria only. It should be noted that 37% of the ratings were missing (because of respondents either not fully completing the questionnaire and/or opting to tick “do not know” for rating criteria), so the results should be used with caution.

**Table 2.** Average Rank for Primary Social Criteria

Social criteria	Average ranked position (out of 7)
Safety and security	2.00
Health and well-being	2.27
Severance	3.73
Social acceptance	4.09
Architectural design and local context	4.36
Community engagement	5.27
Local employment and engagement with local business	6.27
Kendall's $W$	0.50
Test for significance	Significant at the 0.01 level

Note: Sample size is 11.

**Table 3.** Average Rating for the Primary Social Criteria

	Rank	Primary social criteria	Average	Sample size	SD
T3:1					
T3:2	1	Health and well-being	1.28	18	0.46
T3:3	2	Safety and security	1.53	19	0.70
T3:4	4	Social acceptance	2.59	17	1.12
T3:5	3	Architectural design and local context	2.70	20	1.22
T3:6	5	Community engagement	2.89	18	1.23
T3:7	7	Severance	3.57	14	1.28
T3:8	6	Local employment and engagement with local businesses	3.64	14	1.60

The average ratings presented in Table 3, although incomplete, correlate with the mean rankings ( $r = 0.82$ ,  $p < 0.05$ ). It is clear that issues relating to health and safety and safety and security are considered important to very important by the stakeholders, whereas all subsequent primary criteria are considered important to moderately important. Safety being rated by the respondents as a very important criterion is an understandable result. In particular, because of the presence of an active claims culture, the notion of safety first is a particularly salient issue that can cost organizations tens of thousands or even millions, if precautions are not fully taken into account. However, a few respondents commented that they felt community engagement and social acceptance should be made a mandatory requirement for NRD projects, and is the most important barometer to determine the social success of a project.

### Economic Criteria

Stakeholders were asked to rank six primary economic/cost criteria in the order of importance to characterize assessing the economic/cost factor for noise barrier projects. Based on eight complete sets of rankings, Table 4 shows the mean rank for each primary economic/cost criterion.

It is clear to see that life cycle cost was considered, by a large margin, as the most important above all other economic/cost primary criteria by the stakeholders. Also, it is noted that the effect on local property prices and the contractual and procurement type was ranked the lowest by the respondents. Furthermore, the results of the Kendall coefficient of concordance show that when  $k = 8$  respondents rank  $N = 6$  primary economic/cost criteria, their agreement was  $W = 0.41$  ( $p < 0.01$ ).

Table 5 ranks the mean rating received for these primary economic/cost criteria.

The results presented in Table 5 agree well with the ranking data. The correlation between the two sets of data is close with  $r = 0.93$  significant at  $p < 0.01$ . It is clear that issues relating to life cycle cost are considered very important by the stakeholders, whereas all subsequent primary criteria are considered important

**Table 4.** Average Rank for Each Primary Economic/Cost Criterion

	Primary economic criteria	Average ranked position (out of 6)
T4:1		
T4:2	Life cycle cost	1.38
T4:3	Green value	3.19
T4:4	Financial sources	3.63
T4:5	Compensation cost	3.69
T4:6	Effect on local residential/commercial property prices	4.56
T4:7	Contractual and procurement type	4.56
T4:8	Kendall's $W$	0.41
T4:9	Test for significance	Significant at the 0.01 level

Note: Sample size is 8.

to moderately important. However, overall it would appear that life cycle cost is the most important economic consideration and may be enough to consider as the only economic criterion necessary to assess the economic factor. This will be considered further in the next stage of the project.

### Technical Criteria

Stakeholders were asked to rank three primary technical criteria in the order of importance. Table 6 shows the mean rank for each primary technical criterion based on 27 complete sets of rankings.

From Table 6, it is evident that material selection and buildability/constructability were considered more important than the flexibility and adaptability. The results for the Kendall coefficient of concordance show that when  $k = 27$  respondents rank  $N = 3$  primary technical criteria, their agreement was  $W = 0.23$ , which is statistically significant ( $p < 0.01$ ).

Table 7 ranks the average ratings received for the primary technical criteria.

The results presented in Table 8 agree well with the ranking data in which the correlation coefficient was very high with  $r = 0.998$  ( $p < 0.01$ ). The average ratings fell in a fairly narrow range, and overall, it appears that the majority of the respondents felt all of the primary technical criteria proposed were important and relevant to assessing the technical sustainability of NRD projects.

### Environmental Criteria

Table 8 shows the mean rank for each primary environmental criterion.

The results in Table 8 show great ambivalence among the stakeholder for ranking all primary environmental criteria. It becomes apparent that there is no large difference between the environmental criteria. This is supported by the results of the Kendall coefficient of

**Table 5.** Average Rating for the Primary Economic/Cost Criteria

Rank	Primary economic criteria	Average	Sample size	SD
1	Life cycle cost	1.28	18	0.46
2	Compensation cost	2.39	18	1.14
3	Financial sources	2.67	15	1.23
4	Green value	2.89	18	1.08
5	Contractual and procurement type	3.07	15	1.10
6	Effect on local residential/commercial property prices	3.24	25	1.05

**Table 6.** Average Rank for Primary Technical Criterion

Primary technical criteria	Average ranked position (out of 3)
Material selection	1.54
Buildability/constructability	2.06
Flexibility and adaptability	2.41
Kendall's $W$	0.23
Test for significance	Significant at the 0.01 level

Note: Sample size is 27.

**Table 7.** Average Rating for Technical Criteria

Rank	Criteria level	Primary technical criteria	Average	Sample size	SD
1	1	Material selection	1.30	20	0.47
2	1	Buildability/constructability	1.85	26	0.83
3	1	Flexibility and adaptability	2.14	22	0.89

**Table 8.** Average Ranking for Primary Environmental Criteria

	Primary criteria	Average ranked position (out of 6)
T8:1	Energy	2.74
T8:2	Land use	3.26
T8:3	Air quality and climate change	3.35
T8:4	Flora and fauna	3.74
T8:5	Water	4.18
T8:6	Waste	0.08
T8:7	Kendall's <i>W</i>	Not significant
T8:8	Test for significance	
T8:9		

Note: Sample size is 17.

**Table 9.** Average Rating for Environmental Criteria

	Rank	Primary environmental criteria	Average	Sample size	SD
T9:1	1	Flora and fauna	1.95	19	1.08
T9:2	2	Land use	2.25	18	1.11
T9:3	3	Energy	2.32	19	1.29
T9:4	4	Air quality and climate change	2.32	19	1.29
T9:5	5	Waste	2.81	21	1.25
T9:6	6	Water	2.88	17	1.45
T9:7					

concordance, which show that when  $k = 17$  respondents rank  $N = 6$  primary environment criteria, their agreement was very low with  $W = 0.08$  and failed to reach the level of significance even at the  $p < 0.05$  level.

The ratings of the primary environmental criteria are shown in Table 9.

Not surprisingly, there is no agreement between the rankings and the ratings presented in Table 9 ( $r = 0.41$ , which is not statistically significant). The small range in the ranking and ratings indicates the difficulty of separating these environmental criteria.

### Case Study Discussion

To achieve a viable and practical framework for procuring sustainable NRDs, it is necessary to identify a list of sustainability criteria and indicators specific to NRDs and indicate their relative importance. Unfortunately, whole life cycle design of NRDs are currently not in line with the growing sustainability agenda for a sustainable surface transport, such as not fully taking into account the whole life cycle cost, calculating the carbon footprint of projects, ensuring future proof designs for the possible impact of climate change, and creating designs sympathetic to the impacted communities (Oltean-Dumbrava et al. 2012). This underlines the need to define relevant generic sustainability criteria for comparing technical, social, environmental, and economic factors for different NRD types at a specific site.

The top-down-bottom-up methodology was implemented to define the relevant generic set of sustainability assessment criteria and assessment framework for NRD projects. A set of systematically researched and industry validated generic set of sustainability assessment criteria that denotes assessing/optimizing the technical, environmental, social, and economical factors of NRD projects is now available to all relevant stakeholders to utilize as a result of the research carried out. It is now possible to select appropriate criteria for carrying out a MCA to determine the whole life sustainability of NRDs projects. A number of 22 primary criteria together with secondary criteria and indicators were identified, shown in Table 10. In total, 126 individual sustainability criteria make up

**Table 10.** Primary Criteria for Assessing the Sustainability of Noise Barrier Projects

Sustainability factor	Primary criteria	
Technical	Material selection	T10:2
	Ease of building/construction	T10:3
	Flexibility and adaptability	T10:4
Economic	Life cycle cost	T10:5
	Green value	T10:6
	Financial sources	T10:7
	Compensation cost	T10:8
	Effect on local residential/commercial property prices	T10:9
	Contractual and procurement type	T10:10
Social	Safety and security	T10:11
	Health and well-being	T10:12
	Severance/separation	T10:13
	Social acceptance	T10:14
	Architectural design and local context	T10:15
	Community engagement	T10:16
	Local employment and engagement with local business	T10:17
Environmental	Energy	T10:18
	Land use	T10:19
	Air quality and climate change	T10:20
	Flora and fauna	T10:21
	Water	T10:22
	Waste	T10:23

the generic set of pertinent criteria affirmed for NRD projects. The factors are placed in order of mean rank (see Table 1), and within each factor, the primary criteria are in turn also ranked based on the results in Tables 2, 4, 6, and 8. This provides a convenient summary of the relative importance of four factors and 22 primary criteria.

Within the context of NRD projects, noise is considered as a technical-acoustical design consideration, and so to avoid double counting, has been omitted from being included within the environmental factor. Table 11 highlights a few example bespoke/unique criteria specific to NRD projects for each sustainability factor, as a result of implementing the TDBU methodology.

However, one should be mindful that the final presented list of 22 primary criteria—and the numerous secondary and tertiary criteria related to it for NRD projects—is not definitive; it is a modifiable set of criteria. If required, users can develop and add further primary and secondary criteria they feel are appropriate based on the strategy discussed within this paper. Indeed, it would be un-knowledgeable to assume that the generic set of sustainability criteria defined for NRDs (or for any other civil engineering project type) is definitive. The generic set of sustainability criteria defined now represents the current state-of-the-art thinking in sustainability, issues related to NRDs, and the demands of the current political environment. However, as the knowledge and practice of the aforementioned change over time, so will the issues that are considered important change for the end user or project. Thus, it is important that the generic set of sustainability criteria defined for NRDs (or for any particular project type) evolve over time and be subject to revisions and refinement. Because of implementing the TDBU methodology, the authors believe all the major issues/primary criteria listed for each sustainability factor characterizes the main issues that should be considered for assessing the sustainability of NRD projects across their whole life. As such, the authors do not foresee any likely additions to the list of primary criteria, but a large scope to add/develop numerous further secondary and tertiary criteria for each primary criterion as deemed fit.



**Table 11.** Example Unique Criteria Defined for Assessing the Sustainability of Noise Barrier Projects as a Result of Implementing the TDBU Method

T11:1	Sustainability factor	Sustainability criteria unique to NRD projects
T11:2	Technical	Ability of the NRD to change as required (for example, to increase the height of the noise barrier should there be an increase in noise emissions)
T11:3		Acoustic durability
T11:4		Resistance of the NRD system to the potential impacts of climate change
T11:5	Economic	Income generation because of the noise barrier (i.e., from the use of advertising or solar panels on the face of the barrier)
T11:6		Effect on local residential/commercial property prices because of the placement of the NRD
T11:7	Social	Psychoacoustic impacts of NRD material selection
T11:8		Loss of view and sunlight because of the placement of NRDs for residents and road users
T11:9		Ability of the NRD to affect outside air circulation
T11:10		Vulnerability of the barrier to vandalism
T11:11		Ability of the noise barrier face to be used as community art projects
T11:12		Glare from the NRD to road users
T11:13	Environmental	Noise barriers obstructing fauna/wildlife corridors
T11:14		Ability of the NRD to trap/deflect roadside pollution
T11:15		Accommodating water flow through the barrier under normal conditions (land use)
T11:16		Special drainage conditions to address flood risk (land use)

The questionnaire survey allowed the researchers to engage with a large range of relevant stakeholders involved throughout the whole life cycle of NRDs in a short space of time, and gain key feedback from the industry regarding their perceptions of sustainability criteria. It provided a platform for the stakeholders to get involved in developing a NRD sustainability assessment tool. However, the questionnaire results provide an overview of what is felt most important to key players connected with NRDs in Europe. The stakeholders are not, in general, experts in sustainability, their opinions inform research decisions, and so the survey results described cannot be considered definitive and used in isolation. Ultimately, it is for the experts in sustainability (i.e., the authors and the expert working group) to take into consideration all sources of information, i.e., the results of the literature review, stakeholders' feedback from the questionnaires, and the opinions of the expert working group, to define the final set of generic criteria that are most appropriate for assessing the sustainability of NRD projects.

In drawing conclusions, it needs to be remembered that the average ratings are based on different numbers of responses, which makes for difficulties in interpretations. However, the analysis of the ranking data was more robust because this was based on complete sets of data. Generally, there was good agreement among those who responded, which was shown to be statistically significant. Further, it was shown that these rankings were significantly correlated with average ratings of primary criteria in three out of the four groups of factors. In the fourth case (environmental criteria), in which there was no significant correlation, it was shown that there was no significant agreement among the rankings of respondents, probably because the criteria were considered of similar importance. It is considered that this good agreement between rankings and ratings lends support to using the average ratings as a means of ordering the importance of the whole set of criteria, both primary, secondary, and indicators.

Additionally, from the survey of stakeholders involved with NRDs, it was shown that broadly speaking, all the criteria identified from literature sources and stakeholder discussions have been rated moderately to very important. The rankings based on the replies from a detailed structured questionnaire provide a convenient summary of the relative importance of four factors and 22 primary criteria. These rankings will be of importance in assessing the overall sustainability of NRD projects in future procurement.

One important aspect for future consideration is the practicality of assessing the criteria. For assessing the overall sustainability of

NRD project options, a clear MCDM for comparing all criteria in relationship to one another is required, and this will be the aim of the authors involved with the QUIESST (2010) project in the next phase. This will form the basis for outlining the sustainability assessment method for NRD projects, and so conclude the final NRD sustainability tool for designing and managing NRDs.

## Overall Conclusion

The top-down-bottom-up methodology has been introduced and practically applied to define sustainability assessment criteria for unique civil engineering/infrastructure projects in this paper. Although there is disjointed literature describing different approaches to developing a sustainability assessment tool and so the subsequent assessment criteria are required, this paper has aimed to succinctly describe a methodology that synthesizes all major research methods to define sustainability assessment criteria specifically for unique civil engineering/infrastructure projects. This method will help inform stakeholders to define appropriate sustainability assessment criteria for projects when (1) the sustainability has not been widely considered for the project type; (2) the stakeholders wish to go through the process of defining their own sustainability criteria for appraising project options; (3) no industry accepted sustainability assessment tool, which addresses the technical, economic, environmental, and social factors of sustainability exists for the project type; and (4) the stakeholders wish to develop their own sustainability assessment tool instead of relying on prescriptive rating tools.

Two distinct approaches have been combined: the top down approach and the bottom up approach for defining criteria. The end result of applying the said TDBU methodology is a tenable set of criteria that denotes assessing the sustainability of the civil engineering project type in question. Such an approach is invariably more scientifically rigorous than defining criteria based on intuition or by a single/small group of decision makers without consultation. However, the methodology could be criticized as being largely technocratic in its approach because of the top down section defining sustainability for civil engineering projects (i.e., assessment goal), the sustainability assessment framework, selecting and creating the initial set of criteria, and affirming the final set of criteria following the stakeholders' engagement process by a single/expert group working on the project type. It is difficult to specify

914 other stages stakeholders should/could be involved with because  
 915 it is the authors' view that the axiomatic sustainability definition  
 916 and framework should be fixed to provide a common approach.  
 917 The bottom up aspect of the method focuses on consulting a large  
 918 pool of stakeholders relevant to the project type through a number  
 919 of participatory methods for further criteria creation, which is now  
 920 becoming increasingly important to validate the selection and use  
 921 of criteria for projects' evaluation and maximizing sustainability.

922 The value of the top-down-bottom-up methodology is evident  
 923 from its application to define sustainability assessment criteria  
 924 for NRD projects. Here, it was found that the review of the regu-  
 925 latory framework/EN standards/CE marking/design guides regard-  
 926 ing NRDs, review of NRDs' sustainability literature, and interviews  
 927 with key stakeholders proved to be the best methods to initially  
 928 identify general and unique sustainability issues to consider and  
 929 thus assess for NRD projects. It is likely unique issues to NRD  
 930 projects such as assessing the impact NRDs have on obstructing  
 931 fauna movements, the ability of NRDs to trap/deflect and so reduce  
 932 roadside pollution, the effect the placement and type of NRDs have  
 933 on nearby property prices and possible compensation costs pay-  
 934 able, the modularity and ability of the NRD to change as required  
 935 (for example, to increase the height of the noise barrier, should  
 936 there be an increase in noise emissions because of an increase of  
 937 vehicles on the road), the safety impacts of glare from the NRD to  
 938 road users, the loss of view and sunlight because of the placement  
 939 of NRDs for residents and road users, the ability of the NRD to  
 940 affect outside air circulation, and the ability of the noise barrier face  
 941 to be used as community art projects to increase social acceptance  
 942 would not have been assessable criteria within the general sustain-  
 943 ability assessment tools available for civil engineering projects,  
 944 albeit the TBDU method could be implemented to add further cri-  
 945 teria to already established tools (e.g., for SPeAR and CEEQUAL).  
 946 This lends support to the need to take a bespoke approach to assess-  
 947 ing the sustainability of civil engineering/infrastructure projects  
 948 and affirms that a one size fits all generic set of sustainability as-  
 949 sessment criteria to comprehensively assess the many different  
 950 types of civil engineering projects is an impossibility.

951 Fulfilling or optimizing a particular criterion in isolation does  
 952 not denote the sustainability of the civil engineering/infrastructure  
 953 project in question (e.g., carbon footprint). Indeed, it is the combi-  
 954 nation of all sustainability criteria being used and measured in re-  
 955 lation to one another within the defined sustainability framework  
 956 that shows the relative sustainability of the project as a whole. Thus,  
 957 without a clear multicriteria decision-making system for comparing  
 958 all criteria in relation to one another and setting reference points,  
 959 benchmarks, and optimum points for indicators (through modeling  
 960 criteria), it would be very difficult to assess the sustainability of the  
 961 project type. Because there are many methods for modeling and  
 962 assessing criteria, the aim in future research would therefore be  
 963 to develop a common approach to modeling all criteria appropri-  
 964 ately for carrying out a sustainability MCA for a civil engineering  
 965 context. The MCA method will need to be able to assess the se-  
 966 lected multiple sustainability criteria in relation to one another in  
 967 an equitable way for assessing the overall sustainability of the  
 968 project type in question.

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