

CABINET AGENDA



Monday, 8 December 2008

at 9.00 am

in Committee Room B

MEMBERS: CABINET:

The Mayor, Stuart Drummond

Councillors Hall, Hargreaves, Hill, Jackson, Payne, and Tumilty

1. APOLOGIES FOR ABSENCE

2. TO RECEIVE ANY DECLARATIONS OF INTEREST BY MEMBERS

3. MINUTES

To receive the Record of Decision in respect of the meeting held on 24 November 2008 (previously circulated)

4. BUDGET AND POLICY FRAMEWORK

No items

5. KEY DECISIONS

5.1 Building Schools For The Future Approval Of Outline Business Case –
Director of Children's Services and Chief Financial Officer

6. OTHER ITEMS REQUIRING DECISION

6.1 Former Eldon Grove Sports Centre - *Director of Adult and Community Services and Director of Neighbourhood Services*

7. ITEMS FOR DISCUSSION

No items

8. ITEMS FOR INFORMATION

- 8.1 Local Area Agreement Reward Element (Local Public Service Agreement Round 2) – 30 Month Monitoring Report – *Assistant Chief Executive*
- 8.2 Care Support Independence: Thinking About A New Care And Support System - *Director of Adult and Community Services*
- 8.3 Integrated Commissioning And Provision Of Services For Adults - *Director of Adult and Community Services*
- 8.4 Annual Review Of Performance For Adult Social Care - *Director of Adult and Community Services*
- 8.5 Operation Of The Good Tenant Scheme - *Head of Community Safety & Prevention*

9. REPORTS FROM OVERVIEW OF SCRUTINY FORUMS

No items

EXEMPT ITEMS

Under Section 100(A)(4) of the Local Government Act 1972, the press and public be excluded from the meeting for the following items of business on the grounds that it involves the likely disclosure of exempt information as defined in the paragraphs referred to below of Part 1 of Schedule 12A of the Local Government Act 1972 as amended by the Local Government (Access to Information) Act 1985

10. EXEMPT KEY DECISIONS

- 10.1 Development Of A Team Around The Primary School Pilot Project And A Request For An Exception To The Contract Procedure Rules (Para 3) – *Director of Children's Services*

11. OTHER EXEMPT ITEMS REQUIRING DECISIONS

- 11.1 Senior Management Review (Para 2) - *Chief Personnel Officer*

CABINET REPORT

8th December 2008



Report of: Director of Children's Services and Chief Financial Officer

Subject: BUILDING SCHOOLS FOR THE FUTURE
APPROVAL OF OUTLINE BUSINESS CASE

SUMMARY

1. PURPOSE OF REPORT

The key purpose of the report is to seek Cabinet's approval to the submission of an Outline Business Case for Hartlepool's Building Schools for the Future programme.

The report provides information on the background to the requirement to submit an Outline Business Case before the Building Schools for the Future procurement process can begin. The report also highlights key issues that are addressed in the Outline Business Case.

The OBC is seen as a crucial stage of the BSF programme. It provides clarity to Partnerships for Schools and to potential bidders about our vision for transformation of secondary age teaching and learning and how that vision will translate into the rebuilding, remodelling and refurbishment of our secondary school buildings. It fixes the cost limit for each individual school project and for the overall programme.

2. SUMMARY OF CONTENTS

The report provides information on the background to the requirement to submit an Outline Business Case before the Building Schools for the Future procurement process can begin. The report also highlights key issues that are addressed in the Outline Business Case.

3. RELEVANCE TO CABINET

Building Schools for the Future will have a significant impact on the future provision of education in Hartlepool.

4. TYPE OF DECISION

Key Decision. Tests One and Two apply

5. DECISION(S) REQUIRED

Cabinet is recommended:

- To approve in principle the submission of the Building Schools for the Future Outline Business Case
- To authorise the Portfolio Holder for Children's Services to give final approval to the Outline Business Case and its appendices
- To refer the indicative capital affordability gap to the Council meeting of 11th December 2008, in line with Council's resolution of 30th October 2008.
- To ask Council to determine how they wish to fund the gap based on the funding principles reported to Council on 30th of October as follows:-
 - ◆ Capital receipts generated from the sale of surplus school assets arising from the implementation of BSF;
 - ◆ Capital receipts generated from the sale of other Children's Services assets;
 - ◆ Prudential borrowing funded by secondary schools (this would require Schools Forum approval and potentially Department for Children, schools and Families approval);
 - ◆ Prudential borrowing funded from the Council's own budget
- To note the draft Section 151 letter prepared by the Chief Financial Officer and authorise the Chief Financial Officer to make the final changes.

Report of: Director of Children's Services and Chief Financial Officer

Subject: BUILDING SCHOOLS FOR THE FUTURE
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2. BACKGROUND

Hartlepool's Building Schools for the Future journey began early in 2006 with the appointment of an Interim Project Director. Later that year the Council applied to be a Wave 5 Authority and Cabinet appointed a Project Board, Stakeholder Board and Project Team and launched the first of four stages of public consultation. The "readiness to Deliver" assessment was submitted in October 2006 and Hartlepool was officially launched as a Wave 5 Authority in October 2007.

Strategy for Change Part One was submitted ahead of schedule in December 2007, followed by Strategy for Change Part Two in May 2008. Hartlepool's Strategy for Change documents and the process by which they have evolved have been recognised by government officials as models of good practice. The key features of the strategy documents that have received acclaim include the development of the School Strategy for Change documents, student engagement and change management.

The submission of the Outline Business Case (OBC) marks a watershed between the strategic and operational phases of the Building Schools for the

Future (BSF) programme. The OBC must be fully approved by Partnerships for Schools, the Office of the Schools Commissioner and the Department for Children Schools and Families before we can begin the process of procuring an Information and Communications Technology (ICT) partner and a Design and Build partner. In other words, the BSF money is not released until the OBC is approved.

3. AIMS OF THE BUILDING SCHOOLS FOR THE FUTURE PROGRAMME

The principal aim of the Building Schools for the Future programme is to transform teaching and learning opportunities for all of Hartlepool's secondary age young people, supported by significant capital investment in excess of £90 million. School buildings will be rebuilt, remodelled or refurbished, depending upon size, suitability, condition and availability of funding. State of the art Information and Communications Technology (ICT) infrastructure and equipment will support personalised learning and a Learning Anywhere Anytime culture through a managed service provided by a specialist ICT company.

Seven learning institutions will benefit directly from Building Schools for the Future funding:

Catcote Secondary Special School
Dyke House School
English Martyrs School and Sixth Form College
High Tunstall College of Science
Manor College of Technology
Pupil Referral Unit
St Hild's CE Secondary School

St Hild's is eligible for ICT elements of BSF funding only, as the school was recently rebuilt. Catcote School will move to the new Community Campus site, currently occupied by Brierton Community School. The Pupil Referral Unit will move to the site currently occupied by Catcote School, at the end of the BSF programme. Section Four below provides information about the scope and costs of each individual school project.

4. FINANCIAL CONSIDERATIONS

The Authority will receive capital funding from the The Building Schools for the Future programme in two main elements, Construction and ICT. The funding is based on a spreadsheet formula known as a Funding Allocation Model (FAM). The main drivers of the FAM are the pupil number projections for ten years into the future. The formula delivers ICT funding of £1,450 per pupil and construction funding on the basis of:

- 50% new build
- 35% remodel and refurbish
- 15% minor works

It is not expected that Authorities will reallocate capital funding to individual school projects on a 50%:35%:15% basis, rather that they will use the funding in a strategic way, using all available information to determine an appropriate scope of works at each school, so that the transformation of teaching and learning opportunities takes place in all institutions.

Total BSF income for Hartlepool is currently calculated as follows:

Income Heading	Income £
FAM Including ICT at quarter 1 2008 ¹	£89,953,000
Indexation applied from quarter 1 2008 to start of construction	£12,808,000
FAM including ICT indexed to construction start date	£102,761,000

The table below indicates how it is proposed that BSF programme funding will be allocated on an individual school basis:

School	Scope of works	Construction Capital (£) (start of construction)
Dyke House (sample school)		£13,374,000
Manor		£24,708,000
High Tunstall		£22,671,000
English Martyrs		£21,282,000
Catcote		£12,249,000
Pupil Referral Unit		£811,000
St Hild's		£194,000
Construction Totals		£95,289,000
ICT costs		£8,843,000
Total capital costs		£104,132,000

The figures reported above take the following adjustments into account as a result of decisions made at The Schools Transformation Project Board which met on 24th November 2008.

- Reduction in allowances included within the costings to allow for existing furniture and equipment that can be used for the following schools:
 - Dyke House
 - English Martyrs
 - High Tunstall
 - Manor

Experience of previous major capital programmes suggests that it would be reasonable for schools to re-cycle some existing loose furniture and equipment, as well as that which it purchases over the next 3 to 5 years, ahead of completion of individual school projects. The net effect of this amounts to approximately £100,000 for each of the four identified schools.

¹ Quarter 1 2008 is the FAM reconciliation date which is used to compare funding across all Authorities in a BSF wave at a fixed point in time. This date is consistent with the reported funding available at SFC2.

- Adjustment to the scope of the project at the Pupil Referral Unit. The Funding Allocation Model income for the Pupil Referral Unit amounts to £486,000. Initial cost estimates of a provisional scope of works for the PRU, provided by technical and financial advisers, amounted to £1,112,000. This was felt to be excessive, in that the PRU provides only 24 pupil places. The assumption was that significant work, including elements of demolition, would be needed to the existing Catcote School buildings. The Project Board felt that spare buildings on the site could be put to appropriate alternative use outside of the BSF programme. The Project Board was confident that a transformational solution for the Pupil Referral Unit could be achieved with a capital allocation of £612,000. This resulted in a saving of £500,000.

Strong support for these measures was expressed by the Project Board, including the representative of the secondary headteachers.

The estimated requirement for ICT infrastructure at St Hild's exceeds the FAM funding allowance of £116,000. As St Hild's is not eligible for access to BSF capital, other than this special allowance, additional capital income outside of the BSF programme amounting to £78,000 is required. St Hild's will meet this shortfall through Devolved Formula Capital, supplemented by funding from the Local Authority Coordinated Voluntary Aided Programme.

The projected total capital expenditure for Hartlepool's BSF programme is currently £104,132,000. When this figure is compared to the total FAM funding of £102,761,000 there is an affordability gap as follows:

Total Funding available from FAM	£102,761,000
Costed capital expenditure (including ICT)	£104,132,000
Difference	£1,371,000
Less	
Additional income from St Hild's for ICT infrastructure	£78,000
Support from secondary schools to make a contribution towards the cost of loose furniture and equipment, using Devolved Formula Capital allocations and revenue balances between now and the opening of each school.	£400,000
Affordability gap	£893,000

It is a government requirement that the Authority's Chief Financial Officer signs a "Section 151 Letter", the objective of which "is to demonstrate the local authority's ownership and understanding of the OBC, to increase confidence that the OBC is affordable and to prove that value for money will be delivered through the proposed procurement route." A report on Section 151 issues from the Executive was considered by Council on 30th October 2008. Council resolved:

- 1) That delegated authority be granted to Cabinet and the Chief Financial Officer to finalise the Section 151 letter to be included in the BSF Outline Business Case
- 2) That in the event of a shortfall, and prior to any measures being implemented to address such a shortfall, a report on the proposals be submitted to Council for debate

A potential shortfall of £893,000 has been identified and Partnerships for Schools require explicit detail on how the shortfall will be met when the Outline Business Case is submitted. It would be appropriate to raise the potential shortfall at the Council meeting on 11th December 2008, under matters arising from the Council meeting on 30th October 2008.

5. RISK ANALYSIS

The key risks to the Building Schools for the Future programme in Hartlepool are:

- Failure to secure approval to the Outline Business Case
- Failure to secure appropriate and sufficient resources
- Failure to achieve transformation of teaching and learning

It is not possible to begin the process of procuring new and transformed school buildings until the Outline Business Case (OBC) is approved. Ongoing dialogue with Partnerships for schools indicates likely approval to the OBC, provided that the Council indicates how any affordability gap will be bridged and how it will ensure that it has adequate resources available to move forward to the procurement phase of the programme.

The Council has already indicated its intention to bridge any affordability gap; now that the quantum of the potential affordability gap has been identified, Partnerships for Schools requires the Council to indicate how it will be bridged.

Ensuring adequate resources includes ensuring that there are appropriate skills within the Schools Transformation Core and Extended Teams to lead the competitive dialogue stages of procurement. A two day audit of skills has been arranged with the 4ps organisation and will take place in the middle of December, once the Outline Business Case has been submitted. Any skills shortages and their implications will be reported to Cabinet in January 2009.

A commitment to the transformation of teaching and learning has driven Building Schools for the Future in Hartlepool since our earliest engagement with the programme. There are a number of ways in which this can be demonstrated, including the following:

- All secondary schools and the Local Authority participated in the National College for School Leadership's Building Schools for the Future Leadership Programme;
- The secondary headteachers nominated the Deputy Headteacher of Manor College of Technology to join the Authority's Schools Transformation Team, in order to ensure an appropriate interface between Authority officers and school leaders;
- The transformational elements of the Authority's Strategy for Change have received significant acclaim from Partnerships for Schools
- Each individual institution's School Strategy for Change articulates what transformation of teaching and learning means for that school and all have been approved.

6. CONCLUSION

The draft Outline Business Case is complete and is attached to this report. Further minor adjustments may be required and will be reported to members at the Meeting. To allow for adjustments to be made following the Cabinet meeting, it is recommended that Cabinet approves the OBC in principle and delegates final approval of the text to the Portfolio Holder for Children's Services.

Although the Council resolution of 30th October 2008 indicates clearly the Council's intention to bridge any capital affordability gap, Partnerships for Schools has indicated that there is a requirement that the Council indicates precisely how it intends to do so.

7. RECOMMENDATIONS

Cabinet is recommended:

- To approve in principle the submission of the Building Schools for the Future Outline Business Case
- To authorise the Portfolio Holder for Children's Services to give final approval to the Outline Business Case and its appendices
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- ◆ Prudential borrowing funded by secondary schools (this would require Schools Forum approval and potentially Department for Children, schools and Families approval);
- ◆ Prudential borrowing funded from the Council's own budget
- To note the draft Section 151 letter prepared by the Chief Financial Officer and authorise the Chief Financial Officer to make the final changes.

8. APPENDICES

A draft Outline Business Case is attached to this report as Appendix A.

A draft Section 151 letter is attached to this report as Appendix B.

9. CONTACT OFFICER

Paul Briggs
Assistant Director (Resources and Support Services)
Children's Services Department
01429 284192

Appendix A

CHILDREN'S SERVICES DEPARTMENT

Every Child Matters

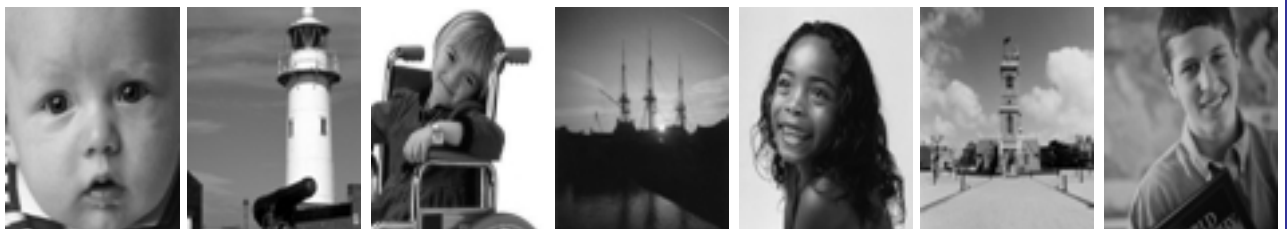


Building Schools for the Future

Outline Business Case

Draft Version for Cabinet

8 December 2008



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Appendix A **Appendices**

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Appendix 2	Delivery of Strategy for Change
Appendix 2A	ICT Output Specification
Appendix 2B	Technical Support Aspects for the CLC
Appendix 2C	Interface Matrix
Appendix 3	Risk Matrix – Risk Management
Appendix 4	Funding Allocation Model
Appendix 5	Affordability Model
Appendix 5A	ICT Funding Model
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Appendix 11	Construction Programme
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Appendix 18	Change Management Plan
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Appendix 20	Transport Costs
Appendix 21	Design Quality Indicators
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Appendix 23	Terms of Reference – Project and Stakeholder Boards
Appendix 24	BSF Budget Plan
Appendix 25	Procurement Business Case
Appendix 26	PE & Sport Strategy
Appendix 27	Control Drawing
Appendix 28	Glossary of terms

Appendix A

The OBC addresses issues raised through the evaluation of our SfC2, see comments & table below.

Department for Children Schools and Families SfC 2 Checklist Issues
<p>Issue 1 - The LA has committed to improve 'choice, diversity and access for pupils and their parents by ensuring that performance at all of its schools is improved, extending the range of specialisms offered, increasing school self-governance through Foundation and Trust developments at all eligible secondary schools'. As part of the OBC, we now require the LA to outline more specific proposals for these developments, including the proposed Trust partners and objectives and the timetable for implementation of the Trusts. In particular, the OBC should also set out more clearly how Trust status at Dyke House is intended to support the drive for higher standards at this National Challenge school. As a sign of commitment we would expect the schools concerned to submit an expression of interest for the next round of the Trust and Foundation Schools Partnership's supported school scheme through which funding and advice is available to schools acquiring Trust status</p> <p>LA response - One of the strategies to secure improved standards that Hartlepool's secondary schools have adopted is to consider carefully Trust status. Manor College of Technology has led this initiative and has received written confirmation that it has been admitted to the Supported Schools Scheme. The Trust Partners are Heerema, Conoco-Phillips Petroleum and British Energy, the Universities of Sunderland and Durham and three Chinese Institutions. Manor's bid was initially made on behalf of Manor College of Technology, High Tunstall College of Science and Hartlepool Sixth Form College. Further discussions indicate the likelihood that English Martyrs RC School and Sixth Form College and St Hild's CE School will join the Trust as associate members, as their voluntary aided status precludes them from being full Trust members. Dyke House School, in consultation with all other potential members of the Trust is considering joining the Trust as a full or associate member. The principal aim of all the institutions named above is to collaborate to ensure the raising of standards through joint working and sharing of experience and expertise. The Local Authority and the institutions see the development of the Trust as a natural extension of the existing successful Education Improvement Partnership. OSC is fully aware of our intentions in this area and supports our proposals, see Appendix 12</p>
<p>Issue 2 – Hartlepool needs to show how it will take account of declining or erratic standards when considering whether schools are a cause for concern and demonstrate an agreed policy setting out how the LA will intervene in schools where performance is below standard.</p> <p>LA response - Hartlepool Borough Council has a robust Schools Causing Concern policy which is implemented to ensure schools with a declining trend in standards are identified early and preventative measures are put in place to address that decline.</p> <p>Individual school pupil performance data is fully analysed by the School Improvement Partner linked to each school and a report is submitted to the school's governing body. This is carefully monitored by senior members of the Council's school improvement team and preventative or remedial action is targeted as appropriate.</p> <p>School improvement priorities are agreed and a time-limited school improvement plan is drawn up against which progress is carefully monitored by the Assistant Director of Children's Services with responsibility for Performance and Achievement.</p> <p>A range of intervention and support strategies are then provided by Council officers in order to ensure the school standards improve as rapidly as possible.</p>

Appendix A

Issue 3 – Hartlepool needs to show clearly how it has, and will, develop the market of school providers.

LA response - See response to Issue 1 above.

Issue 4 – Hartlepool needs to provide details of its strategy for bringing up its performance at % 5+A-C GCSEs including English and maths, which is much lower than the national average although its performance at % 5+A-C GCSE is above.

LA response - Hartlepool Borough Council has a clear strategy for supporting its secondary sector schools to improve the percentage of young people achieving five or more GCSEs including English and maths. The challenge, support and intervention to schools is provided through the Secondary National Strategy consultants and the Advanced Skills Teachers who are used to improve the quality of English and maths teaching and learning by coaching colleagues and modelling good practice, and who work very closely with heads of English and maths departments to analyse individual school performance data and set challenging targets for improvement. This school improvement work is managed by the Council's Secondary Strategy Manager and monitored by the Assistant Director of Children's Services with responsibility for Performance and Achievement.

A collaborative of senior school leaders and heads of English and maths departments from every secondary sector school in Hartlepool has been established. This group identifies common training, development and resourcing issues and identifies key local authority priorities which can be addressed with the support of the Council's secondary strategy consultants.

Issue 5 – Hartlepool needs to complete the soft market testing for ICT as well as discussing details of the managed service with schools and obtaining a firm commitment from them. There also needs to be further clarification of ICT integration risks due to non-LEP procurement.

LA response – An ICT soft market testing day was held on 3rd December 2008. A PIN was issued to ensure market interest in the Hartlepool project, [redacted] companies attended the day. Details regarding school commitment to the managed service can be found in Section 3.4, with school commitment letters attached as Appendix 10

In terms of integration risks, the Authority is well aware of the strong role that it must play in managing the relationship between construction and ICT. Several strands will be followed. The risk management process will identify risks, allocate an owner, and oversee the management of the risks (via the project team). In procurement terms, the Authority will use the dialogue process to make clear the roles and responsibilities of all (using tools like the Responsibilities Matrix, sometimes called the interface matrix, see Appendix 2C), to more clearly understand and plan for the integration required, and to pass risk, as much as is commercially sensible, to the construction and ICT partners. In governance terms, the Authority will put in place strong governance, both through the contract, for example through the liaison procedures, and through internal process, procedure and structure.

Issue 6 – There are anomalies within the FAM. While it is appreciated that this is still being developed, version 1.5 notes a slightly lower funding envelope than the figure referred to in the SfC2 affordability section, which would create a greater affordability gap. The LA should be aware of this and ensure the affordability gap can be met through their own resources. Explicit approval by the LA for funding the affordability gap should be included at OBC stage, together with further details about how this will be funded.

Appendix A

LA response – Version 1.4 of the FAM was used as part of the SfC2 submission with agreement from our PFS Project Director. Version 1.8 of the FAM has been used as part of our OBC submission. The affordability gap is outlined in Section 5 of the OBC with details of how the Council will fund this.

Issue 7 – Hartlepool needs to provide clarification as to the rationale behind LA's funding commitment for the pupil numbers at Dyke House, as it places a risk on the funds for the school's development. Currently there is a difference between the pupil numbers in the FAM and Appendix A and this 166 pupil difference is due to a portion being funded by Hartlepool's own resource.

LA response - In December 2007 Hartlepool's Project Director submitted a paper to Partnerships for Schools seeking agreement to an increase of funding within the Funding Allocation Model (FAM). The request was based on the fact that the pupil numbers at the time of completion of projects in 2011/12 would be considerably higher than the 2017/18 planning number and there was significant risk of under-provision of pupil places when the BSF project was complete. It was agreed that Hartlepool's FAM would be re-calculated, based on the 2011/12 projected pupil numbers.

The Authority had agreed with Partnerships for Schools that a 7% surplus of planned pupil places was appropriate in the Hartlepool context. The agreement was that the Authority would plan to construct 5,730 places in order to create the 7% surplus; a distribution of all 5,730 places was declared by the Authority although 5,564 places would be funded through the FAM.

It appears that, when the FAM was re-calculated by Partnerships for schools, the difference (5,730 – 5,564 = 166) was deducted from the Dyke House School pupil numbers on the FAM spreadsheet. The 166 place funding shortfall should be seen as an overall project affordability issue and not as one relating specifically to Dyke House School.

The Authority is intending to meet any capital affordability shortfall from proceeds of sale of land in the ownership of the Council, but not directly related to the current secondary school estate, as indicated in Section 5.

Issue 8 – Hartlepool needs to provide clarification that a financial Adviser has been appointed.

LA response – The Authority appointed BDO Stoy Hayward as Financial Advisers in July 2008.

Issue 9 – Hartlepool needs to confirm how the funding for Brierton School, as calculated in the FAM, will be shared with the school/s accommodating pupils.

LA response – The Brierton pupils have been distributed throughout the town; funding for each school is based on our pupil projections recalculated upon the closure of Brierton School.

Issue 10 – Hartlepool needs to provide full minutes of Cabinet and Project Board meetings (or relevant sections of the minutes regarding the BSF programme).

LA response – Copies of relevant Cabinet and Project Board minutes can be found in Appendix 6.

Appendix A

Partnerships for Schools Checklist Issues	
SfC2 Focus Areas	Section References
By submission of OBC, more benchmark data on post-16 performance and quality will be required. In addition to the KPIs for reducing those who are NEET, KPIs/targets should be added for achievement, attainment, staying on and retention post-16.	See Appendix 14
By submission of OBC there needs to be greater clarity on which additional services can be provided through the remodelled school estate, including a review of the level of aspiration for the provision of extended services in 4 of the schools	See Section 3.1
By submission of OBC, the LA should have firm plans for the relocation of the PRU will ensure access to a balanced curriculum and related KPIs for engagement and attendance.	See Section 2.2.6
ICT – by submission of OBC it would help to have greater clarity about how the learning platform will need to be configured to meet the needs of all learners.	Section 3.4
PE and Sport – Community access and provision coupled with facility management options are further developed as the LA works towards their OBC.	Section 3.1
The authority should identify adequate resources for the development of educational transformation and change management by OBC.	Change Management Plan, Appendix 18
In order that greater cost certainty can be obtained, more detailed information should be presented in the OBC about both sites and buildings.	Section 2.2, 3.1, 5.1 & Appendix 1A
In the OBC, the control option drawings need to demonstrate a clearer link to strategic and educational transformation objectives.	Section 3.3 and Appendix 1A
The OBC should show the development of proposals for an integrated approach to community services on a site specific basis. With regards, PE and Sport, this should include further development of options for community access and provision coupled with facilities management options.	Section 3.1
The LA should undertake necessary engagement with key partners to establish joined-up funding to support BSF ICT investments for integrated approaches to services. For OBC we would like to see clear plans and necessary agreements to support data sharing across Children's Services.	Section 3.4
By OBC, a risk register should be developed in respect of technical aspects of procurement, educational transformation and preparation. School/site specific registers should also be developed and the LA should ensure that the most significant risks continue to be reported at meetings of Project Board. The key ICT risks should be transferred to the main risk register and appropriate actions planned.	Appendix 3
Proposals in respect of land sales need to be agreed with PFS prior to submission of OBC.	Section 5.1
A detailed implementation plan for change management should be drawn up as part of OBC development, including resourcing and the addition of a section on supporting efficient and effective use of the new facilities.	Change Management Plan, Appendix 18

1 EXECUTIVE SUMMARY

1.1 Background

Introduction

Hartlepool's BSF journey began early in 2006 with the appointment of an Interim Project Director. Later that year the Council applied to be a Wave 5 Authority, appointed a Project Board, Stakeholder Board and Project Team and launched the first of four waves of public consultation. The "Readiness to Deliver" assessment was submitted in October 2006 and senior leaders from all secondary schools, along with senior officers from the Local Authority, participated in the National College for School Leadership's BSF Programme, beginning in December 2006.

In Hartlepool we consider "Building Schools for the Future" to be an unfortunate title for the programme, as it seems to imply that it is only about school buildings. We refer constantly to the Schools Transformation Programme, because we believe passionately that BSF is about transforming teaching and learning opportunities for all our young people and their families. The buildings that are created and adapted must provide transformational opportunities and we are committed to ensuring that all implications of transformation are clearly understood and accepted by all relevant parties. Transformation of teaching and learning opportunities through BSF investment features in fortnightly briefings to Cabinet members, regular Councillor briefings, termly Council staff briefings and twice termly headteacher meetings.

School Organisation Issues

Early work on BSF included a very careful examination of future demographic projections, facilitated by the Tees Valley Joint Strategy Unit. It was very clear that there would be a significant surplus places issue by the end of the BSF planning period. We recognised the importance of resolving school organisation issues early so that we had a very clear basis for transformational thinking and delivering BSF. After several rounds of town-wide consultation and the publication of statutory proposals, Hartlepool's Cabinet decided, in November 2007, to close Brierton Community School with effect from Summer 2009, well ahead of the BSF procurement process. Consultation that leads to school closure is never easy, but our openness and thoroughness ensured very strong and almost universal support of the need for school closure and there was very little formal opposition.

Stakeholder Engagement

BSF is arguably the biggest transformation programme Hartlepool has ever experienced. There has been an enormous amount of consultation and stakeholder engagement and most people in Hartlepool will at least have heard of the "£90 million" we are going to spend on our secondary schools, through media publicity, neighbourhood forums and public consultation events. In addition BSF has featured at meetings of relevant partner and stakeholder groups. There is very strong support for the programme politically, corporately and with partners and we see BSF investment, along with our stunning success in winning the Tall Ships Race in 2010 and the approval of our Primary Strategy for Change, as a springboard to further regeneration of our town and its communities.

Admission to the BSF Programme

Following approval of the "Readiness to Deliver" assessment, Hartlepool was formally admitted to the BSF programme at its remit meeting on 30th October 2007 and the Authority's contribution to that event was acclaimed as "inspirational" by Partnerships for Schools' Education and Planning Director.

Strategy for Change Part One was submitted on time in December 2007. Strategy for Change Part Two followed on time in May 2008. Hartlepool's Strategy for Change documents and the process by which they evolved have been recognised by Partnerships for Schools as models of good practice. The key features of the strategy documents that have received acclaim include the development of the School Strategy for Change (SSfC) documents, student engagement and change management. Further detail on each of these elements can be found in the paragraphs that follow.

Appendix A

School Strategy for Change (SSfC)

The process by which the Authority's Strategy for Change and individual school Strategies for Change have been developed and interwoven has been highly commended. Key to this was the secondment of the Deputy Headteacher of one of the secondary schools to the BSF team, to lead on this aspect. Each school formed its own BSF Team, led by a member of the school's Leadership Team. These teams have met together with the Authority on a fortnightly basis, ensuring consistency and coherence while recognising, respecting and celebrating each school's distinctive ethos.

One of the outcomes of this very close collaboration is that we have developed a town wide Learning Framework, that has been accepted and adopted by all schools and which brings clarity to what "transformation of teaching and learning" means in practice. Supplementing our own position with the introduction of an inspirational Client Design Adviser means that we have been able to translate the Learning Framework and each SSfC into meaningful control drawings and schedules of accommodation. All schools have agreed the detail of a full ICT Output Specification. This early work will provide our Design and Build and ICT partners with an excellent starting point from which to begin to develop their proposals.

Student Engagement

As the best way to engage and involve students in the BSF process, in an appropriate and meaningful way we have student design champions in each of our schools. We identified two participation workers from West View Project who were led and supported by a specialist in young persons' engagement to prepare students from every secondary school for engagement with the Sorrell Foundation. This resulted in preparation and follow-up work, two trips to London and a major celebration event in Hartlepool where student briefs were launched, see Appendix 19. We were informed by the Sorrell Foundation that Sir John Sorrell himself had been very complimentary about the way in which Hartlepool had approached student engagement.

Change Management

Most classrooms in our schools in 2008 look very similar to classrooms in schools fifty years ago. In many cases all they are missing are inkwells embedded in the desks. We recognise that unless we prepare teachers and support staff for transformed teaching and learning environments there is a real danger that we will not realise all the potential benefits of such significant investment. Early recognition of this issue through consultation with staff led to the enhancement of the Authority's Workforce Development Team and the establishment of a Change Management work-stream, facilitated by an expert consultant. As a result, our approach to the development of the Change Management Plan appended to SfC2 was highly acclaimed by Partnerships for Schools and resulted in an invitation by PfS to create an Innovation Zone in partnership with national external bodies. BECTA, NCSL, National Strategies, QCA, SSAT and TDA have all engaged with us and pledged their direct support in ensuring that Hartlepool's school workforce is well prepared for the transformational challenge.

We want to innovate in a practical, pragmatic way. One very tangible aspect of our change management strategy is the creation of an experimental teaching and learning space that we have named "Space to Learn" and which will be based at St. Hild's CE School. This will be funded outside of the BSF programme, from traditional capital resources and is expected to be operational by January 2010. We are creating teaching space that can be flexibly divided into different sizes, in order to experiment with different styles of teaching and learning, supported by every aspect of available technology. We will temporarily house our City Learning Centre provision in the Space to Learn facility. Space to Learn was initially designed by our Client Design Adviser and the design concepts have been developed through engagement with all schools, their staff and students. We are confident that this will help provide bidders with intelligent clients and will bridge any potential gap in mutual understanding of the relationship between pedagogy and space.

Appendix A

Physical Education and Sport

Hartlepool Borough Council's Adult and Community Services Department conducted a review of community sports and swimming facilities at the same time as the BSF Team was preparing the BSF strategies. This work has been brought together under a PE and Sport Stakeholder Board, established in September 2007 and chaired by the Executive Director, Tees Valley Sport. Members include representatives of the Council, schools, Sport England and the national governing bodies of sports. We believe that this has resulted in a coherent approach to the scoping of PE and Sports facilities to be provided at each secondary school site. Where certainty of funding has been achieved, this is articulated in the OBC.

Hartlepool Community Campus

Brierton Community School will close in summer 2009. The school is situated in one of the most deprived areas of the town and we intend to support the regeneration of this area through the creation of a Community Campus on the Brierton site.

At the heart of the Community Campus will be Catcote Secondary Special School that will re-locate as a new build from its existing site just over a mile away. Our primary special school will also be re-built on the same site at the same time. BSF FAM income will be supplemented with funding from the Primary Capital Programme, to ensure that the potential benefits of this transformational co-location can be realised. We are hoping to be able to make provision for post-19 students on this site, in collaboration with Hartlepool College of Further Education and the Learning and Skills Council. This has not yet been included in the scope of the OBC and will be added later, subject to confirmation of LSC capital funding.

A community sports centre, funded through Lottery capital, already exists on the site and will remain and be enhanced. The full scope of the enhancement and its costs has yet to be confirmed and has therefore been excluded from the OBC at this time.

Primary Capital Project

Hartlepool was one of only 41 out of 150 authorities nationally whose Primary Strategy for Change was fully approved at the first iteration. Just as for secondary schools, we are totally committed to the transformation of teaching and learning opportunities and making the most of capital investment opportunities.

The first PCP project will be procured ahead of the BSF programme, but we would wish bidders to indicate their willingness to provide subsequent PCP major capital works alongside BSF projects, at least during the BSF programme timeline and potentially beyond. Our first two years' allocations from the PCP programme are £3m in 2009/10 and £5.4m in 2010/11. We will certainly supplement PCP income with funding from more traditional capital streams that are provided to us by government on an annual formulaic basis.

Design

All of the above activities have led to the development of control option drawings for all BSF schools, in accordance with the BSF templates. Working closely with our Technical Advisers, Client Design Adviser and schools, the control option drawings clearly link to all schools' Strategies for Change, ensuring that the transformational vision can be identified in the plans. More information on the process and outcomes can be found in Section 3.

The Council has worked with the CABE enabler and Client Design Adviser as part of the OBC preparation. Our Design Champion, Cllr Peter Jackson, has visited all Hartlepool schools receiving capital funding under BSF, and has also visited a BSF School in Bristol, to further understand how transformational buildings can support transformational learning.

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ICT

All of Hartlepool's secondary schools have agreed to the provision of a managed service for ICT and have agreed to adopt a single learning platform. The managed service and learning platform will allow teachers and learners to work through a highly maintained, robust and reliable network and to innovate in order to meet new challenges.

The concept of Learning Any Time Anywhere is critical to the transformational vision of Hartlepool and its schools. ICT will allow for a flexible approach to the use of space within schools and will be critical to supporting this vision. ICT provision, both in terms of network provision (wired and wireless) and hardware/software provision, will enable schools to develop as places which support knowledge and action so that learning extends across and between settings.

Through the dialogue process we will seek to ensure that the managed service provider can:

- optimise the integration of ICT with the built environment;
- support the inclusion of learners whatever their individual needs, including those with special educational needs;
- be flexible and able to accommodate future changes and developments in technology and the curriculum;
- maximise the benefits of ICT to the learner.

Technical

The work that has been undertaken by the Technical Team has been extensive and thorough in order to provide a robust base from which to begin the construction works. The estate options were prepared for the SfC2 submission which reviewed the options available to Hartlepool with regard to maximising the works within the BSF Budget. The assumptions and recommendations made at that stage have been revisited and challenged as part of the OBC production.

A major undertaking that Hartlepool initiated was to have detailed consultations with all of the schools within the programme. This programme of workshops has meant that the schools have had an opportunity to match the aspirations raised in their Schools Strategy for Change to the developments of the buildings. This has been extremely beneficial to the process as it has encouraged schools to begin the strategic transformation from their current position to that of the future.

To support the work undertaken with the schools, the Technical Team have also produced desk-top and intrusive surveys of the buildings and sites to establish any restrictions or constraints to the development. The surveys requested by Partnerships for Schools (PfS) have all been procured and delivered, along with additional surveys, for example at Dyke House where the existing structure of the buildings informed the development process, and at Brierton where the decant of Dyke House has been proposed. A major cost to schemes that contain a high level of refurbishment is that of temporary accommodation. The proposed reuse of the Brierton school site, the A2L site and Catcote site will all reduce the costs to the programme. The team have carried out initial feasibility studies to determine the preferred strategy and the construction programme and costs have been finalised for OBC on the basis of these studies.

Outline Planning Approval has been granted for the Sample School – Dyke House and letters of comfort from the Council's Planning department have been received for the remaining schools. There is no school land disposal being proposed by the scheme as currently developed. Consultation with the Council's Highways Department has taken place and their advice has shaped the proposed options at a number of the sites. As the options are developed for the next phase of the project, this level of consultation will continue.

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Costs have been based on North East market rates of Autumn 2008 and on the schemes as agreed by the schools. At each of the sites there are additional costs which have been subject to a separate application to PfS for exceptional abnormal funding. These have been fed into the affordability calculations. In addition to the exceptional abnormal, any schools with a new build area in excess of 75% of total floor area will be eligible for additional funding in order to achieve a reduction in carbon production of 60% of the base line. The application for this funding is being developed for inclusion in the OBC and the assumption is made that funding will be forthcoming, as it is a PfS requirement.

To assist in the development of the future maintenance proposals for the schools, the technical team have provided a forecast of future life cycle costs and facilities management costs. These costs have fed into the discussions between the Council and the schools to assist in the development of a beneficial long term solution for the on-going repairs and maintenance of the schools.

Conclusion

Hartlepool Borough Council is excited by the opportunity BSF provides to transform teaching and learning and to support further transformation of the town. We are confident that our transformational aspirations, as set out in this OBC, are achievable and affordable. Hartlepool's enthusiasm and "can-do" attitude is universally recognised and acclaimed and we look forward to procuring private sector partners who will engage with us to support the continuation of the transformation process in our town.

The key priorities identified in our Strategy for Change Part 1 and 2 documents remain integral to the BSF project in Hartlepool. The BSF investment in Hartlepool will enable schools and the authority to work together to create inspirational, world class facilities, transforming teaching and learning and improving outcomes for all our children and young people.

1.2 The Project

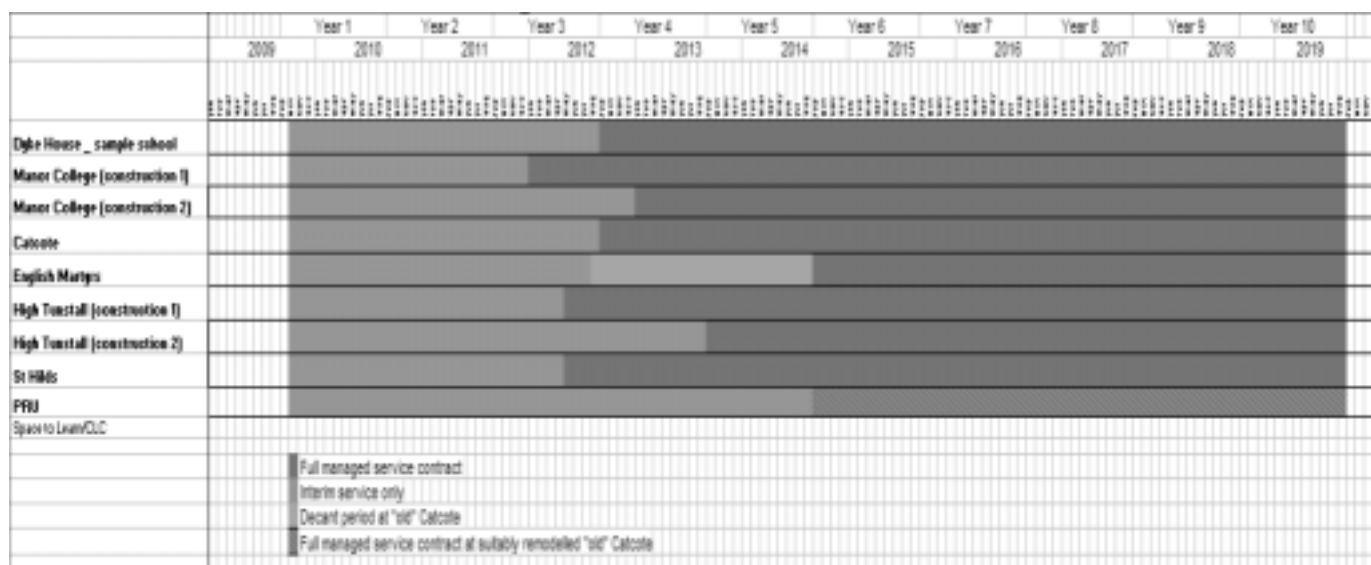
1.2.1 Scope of Design and Build Contract

The number of schools within the scheme of works has not changed from the Strategy for Change Part Two (SfC2) submission. The Design and Build scope will address the 4 eligible mainstream secondary schools, the secondary special school and the Pupil Referral Unit (PRU). As part of the ICT infrastructure upgrade at St Hild's School, associated remedial works will be required.

The proposals are that all of the mainstream schools will remain on their existing sites, and no site acquisitions are required. The relocation of the secondary special school from the Catcote site to a new-build at the site currently occupied by Brierton School is independent of other works, but has been co-ordinated across the Council with the overall plans for the development of the site following the closure of the Brierton School.

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1.2.2 Scope of ICT contract



(Figure 1)

The Council and all secondary schools are committed to the provision of an ICT managed service. The ICT managed service will support the education visions of the Council and individual schools and to interface with the Council's corporate ICT systems. Stakeholders have been extensively consulted on both the managed service and the scope of the ICT output specification, a copy of which is set out in Appendix 2A and the scope of which is summarised below. The Council will expect that, where practical and commercially prudent, the service provider will shoulder risk for provision of the managed service. This risk will be agreed by all schools as part of the dialogue and the service provider will take full account of any existing and ongoing interface arrangements in developing the managed service.

Post Financial Close the Council requires the ICT managed service provider (MSP) to provide interim solutions and services prior to the full managed service commencement in the remodelled, refurbished or rebuilt schools. This is indicated in Figure 1. During the interim period the Council will contract with the ICT MSP for design services relating to the forthcoming construction programme. The Council requires that the ICT MSP warrants all such design services so that the risk for integration of ICT with the construction partner is held by the ICT MSP. During the interim services period the Council requires the ICT MSP to deliver a fully functioning central data centre and learning platform (MLE and MIS). These "virtual services" should not be dependent on the construction programme for delivery and should be offered across the full secondary learning estate at the earliest opportunity.

The service provision will be determined by the key transformational drivers for the Council and schools as outlined in SfC1 and SfC2. These have been revisited and reaffirmed as part of OBC development and the central role of ICT as an enabler is recognised in these documents. This vision has been confirmed on a school by school basis in their SSfCs.

The Council has an existing ICT partner (Northgate IS), responsible for corporate ICT systems as well as aspects of delivery to primary schools, collection of data from all schools to enable the Council to complete statutory returns and the maintenance of the Council database. There is no prior assumption that the BSF service provider will partner with Northgate or will implement the same solutions but the provider will need to ensure that interfaces are managed to secure:

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- Effective data transfer during transition at age 11, including transfer of compliant material from pupils' e-portfolios.
- Support for transition activities
- Ensuring effective interfaces with corporate systems to enable schools to access and benefit from developments in Children's Services e.g. e-CAF, multi-agency working etc.

The service provider will be responsible for delivery of a full managed service to our secondary schools that includes provision and maintenance of the WAN for secondary schools (currently managed by the City Learning Centre) and provision and management of the Learning Platform. Our schools are committed to securing Borough-wide functionality and integration to support multi-site working for staff and pupils. The Council will require providers to indicate how this and other environmental and organisational gains can be achieved within the context of a new build and remodelling programme.

The service provider will be expected to contribute to the implementation of a change management strategy in partnership with local delivery mechanisms such as the E-learning and School Transformation Teams.

Hartlepool has a City Learning Centre (CLC) which is not included in the scope of the managed service. However, the service provider will be expected to work in partnership with the CLC as key deliverers of the change agenda. In addition, the Council will be constructing a Space to Learn at St Hild's CE School to act as a test bed for innovation in teaching and learning. It will be important for the ICT MSP to work in partnership with this institution. Specifically, the CLC and Space to Learn will need to be able to access the WAN and Learning Platform in order to support training. The Council will expect the service provider to work in partnership with the CLC and Space to Learn to provide a platform within which future technologies can be anticipated, tested and evaluated to inform the continued development of the service provided.

The Council vision is based upon secure and effective connectivity. Currently, connectivity to primary and secondary schools is provided by the Northgate IS with connectivity secured through the Regional Broadband Consortium. Hartlepool is considering two options for its BSF Programme:

1. Extending the existing contract with the Regional Broadband Consortium to include secondary schools and delivering connectivity to all its schools and to the CLC and Space to Learn through Northgate IS/Northern Grid. If this solution is adopted the Council will negotiate SLAs with Northgate IS to secure guaranteed levels of connectivity for the managed service provider which are acceptable to both the Council and the provider; or
2. Including connectivity to secondary schools and CLC and Space to Learn within the scope of services provided by the ICT MSP with due regard being paid by suppliers to the opportunities offered by the Regional Broadband Consortium. We invite variant bids for this solution.

The Council would welcome providers' solutions to integrate wireless broadband coverage across the Borough as and when it becomes available. The costs of connectivity to secondary schools are currently subsidised by the Council using "Harnessing Technology" Capital Grant funding and the Council will continue to subsidise at or above this level as long as the grant funding continues to be available. The balance of connectivity costs are met by schools and this will continue post-BSF.

1.2.3 Scope of FM services

Hartlepool Borough Council and schools recognise the need to develop a long term approach to its repair, maintenance and lifecycle replacement. There is acceptance that in future, the strong partnership that has been developing during the BSF process should look forward and take a fresh approach to that which historically for many schools has been a particularly challenging issue. It is important to bring forward a strategy that will maximise the value of the built asset delivered through the current "once in a lifetime" investment programme. It must protect the capital investment through a structured, collaborative

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and innovative funding solution. There must be a broad commitment by such a developing partnership to the creation of an appropriate and equitable funding model that acknowledges and builds upon the concept of 'stakeholders'. The model should act as the catalyst for an agreement that respects individual school needs and the demands placed upon them in an ever changing world whilst still enabling the efficient delivery of robust and viable maintenance arrangements.

The Council has recognised that any investment approach will need its financial support to supplement funding coming directly from schools' delegated budgets. It has consulted its secondary schools on the concept of an Investment Fund that would deliver a long term, cost effective solution to a package of maintenance and lifecycle demands. This single fund would comprise an agreed level of schools' delegated budgets together with additional Council funding and where appropriate funding from the Roman Catholic and Church of England Dioceses. The sole purpose of the Fund will be to ensure that, after project delivery, all secondary school premises are maintained at optimum levels over the life of the Fund.

1.3 Value for Money And Affordability

1.3.1 The estimated affordability position for the Authority's BSF Programme is set out in Section 5 of this OBC. The Authority has assessed the affordability of the Design and Build project and ICT requirements separately. All projected scheme costs have been produced and signed off by Gleeds, our Technical Advisers.

1.3.2 The Authority estimates that the capital cost of the Design and Build procured project exceeds the funding available by £1.4 million. The Council has proposed a strategy for funding £0.9m towards this shortfall including the use of Capital Receipts and Prudential Borrowing. Indicative 'in principle' agreement letters have been supplied by the relevant governing bodies setting out their intention to meet the minimum required expenditure to maintain their premises at 'as built' condition.

1.3.3 The Authority and its ICT advisors have carried out a robust exercise to establish the capital and revenue costs of the ICT project. This has involved modelling the sustainability of the programme over a 10 year period, where the need to consider sustainability and refresh funding has been factored in. It also takes account of the phased entry to the ICT contract as school buildings are complete and of an offer of 'core services' to all schools from day one of the ICT contract. The cost modelling exercise has identified the likely level of annual contributions required from schools they have agreed to contribute the necessary revenue payments (see Appendix 6 for school letters of commitment). Schools have also agreed to allocate necessary levels of funding from, for example, their Devolved Formula Capital to support sustainability of the project for a second 5 years. The Authority is confident that the ICT aspects of its BSF Programme are affordable.

1.3.4 The Authority is confident that any capital or revenue funding gaps can be filled and that the Project as a whole is affordable. This commitment is set out in the Cabinet reports/minute and s.151 Officer letter at Appendix 6

1.4 Readiness to Deliver

1.4.1 The Schools Transformation Project Director has recognised the increasing demands placed upon the existing project team as it enters the procurement stages of the project early in 2009. The existing team is in the process of being strengthened with the addition of an ICT lead officer and a new position of ICT Integrator in order to ensure appropriate linkages and risk management across the ICT and D/B procurement routes. These positions will be additional to the existing project team who provide managerial and general project administrative support. The membership of this new ICT Project Team is shown in Appendix 15.

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1.4.2 A strong and experienced team of external advisers is providing support across the range of finance, legal, ICT, technical, procurement, design and educational areas.

1.4.3 A similar review has taken place in terms of readiness for the D/B element of the project. This team will now include a high level input from the Assistant Chief Executive, the new ICT Integrator postholder, appropriate external advisers as outlined earlier and the Council's internal design champion who is a Cabinet member. The membership of this new D/B Project Team is also shown in Appendix 15.

1.5 Leading and Managing Change

Hartlepool's BSF programme will help to transform the life opportunities of our children and young people. Change is at the heart of this process and this will be managed effectively to ensure we can achieve our aspirations for Hartlepool's learners into the future.

In order to ensure the effective delivery of our programme's strategic objectives, we have, in conjunction with schools, developed a strategic change plan that will enable us to lead and manage change before, through and beyond the procurement process. This will focus on the outcomes of the Hartlepool Learning Framework and identify how Council resources will support the delivery of these outcomes.

Overall, our change process will support schools and their stakeholders by:

- **Enhancing SSfCs** – making sure that these are owned by stakeholders and are aligned with the Council's key objectives outlined within SfC and OBC
- **Enhancing leadership capacity** to ensure that schools can secure the transformation whilst maintaining and developing current standards and provision
- **Enhancing local authority capacity** to support and challenge schools particularly in the key area of ICT
- **Supporting school Change Plans** to ensure that schools are making real the Council's transformational objectives for the future
- **Challenging Schools** to make sure that all staff are engaged in a real transformational process and maximise the opportunities afforded by massive ICT investment
- **Identifying and managing educational risk** – and risks associated with stakeholder buy-in to the programme

Our explicit BSF strategy complements the Hartlepool Children's Workforce Development Strategy and reflects our aspirations to:

- support transition and change by establishing a supportive culture which engages stakeholders and develops people
- create a plan that clearly identifies and enables us to meet the workforce needs of the future
- redesign services to focus on the effective delivery of the five outcomes of the ECM agenda
- create a stable and diverse workforce that is sufficiently staffed, and effectively led and deployed
- develop a skilled workforce with the capacity to meet the needs of children, young people, families and communities
- link organisational vision to individual aspirations and support people in order to ensure that defined objectives are met at individual, school, organisation and partnership level.

Our Council BSF Change Management Plan has been written to reflect the key themes of our Strategy for Change Part Two. These themes have then been linked to our Hartlepool Learning Framework so that the Plan demonstrates how we will support schools in achieving the outcomes agreed by all partners as part of our Hartlepool Learning Framework. Individual schools have also identified their own Change Plans as part of their SSfCs to ensure the effective delivery of their strategic objectives which, in turn, will help to deliver the Council's learning vision for the future.

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Both the Council and schools' Change Management Plans reflect four themes: Learning Culture, Learning Spaces, Philosophy and Organisation, and ICT.

Both Council and schools' Change Plans reflect the guidance from Partnerships for Schools and include key actions which will address issues of structural and organisational change as well as cultural change. In addition, the approach of the Schools Transformation Team has been to embed change management for BSF into other plans and approaches to ensure a coherent joined-up approach with appropriate ownership and accountability.

Each school has developed its own Strategy for Change and each SSfC contains a change management plan. The SSfC for our sample scheme, Dyke House School, is attached at Appendix 2. Each school has engaged with a wide range of stakeholders - staff, pupils, parents, governors and wider community members - in the development of their School Strategy for Change. All schools have established a Change Team and, supported by the Schools Transformation Team (STT), schools and the Council are committed to using innovative methods to actively engage all stakeholders, and particularly pupils, parents and staff, throughout the change process.

As the project moves forward, the work of the School Improvement Team, School Improvement Partners and other departments will focus more to support schools through their times of change and potential disruption. The Council will work with schools through the procurement process to achieve the transformational outcomes outlined in the Strategy for Change documentation. This will be achieved through the rigorous change management processes identified in our Change Management Plan, see Appendix 18

2 BACKGROUND

2.1 The Corporate Vision & Strategic Overview

Our corporate vision and strategic overview outlined in our SfC1 and SfC2 documents remains valid.

Our aspirations for BSF are that it will:

- promote a radical rethink in schools about learning and how teaching can best support these new ways of learning
- promote social inclusion/community cohesion by providing improved learning opportunities for all
- improve ICT systems that will support the development of individual learning pathways
- encourage an even stronger local view of the school as the natural centre of its community
- improve the quality of intervention for under-performing groups through the development of facilities for multi-agency support, counselling and mentoring
- drive forward improvements in choice, diversity and access for parents and children
- provide the opportunity to co-ordinate and align agendas and budgets across education and related public services into a single common vision
- promote close engagement with local employers and work based training providers.

The scope of the programme contained within our Strategy for Change documentation has been reviewed, site survey work has been carried out, planning policy and regeneration considerations factored in and schools and other key stakeholders engaged in detailed work and consultation. This has led to the information contained within our OBC which has been further informed by:

- the outcomes of ongoing consultation and engagement with schools
- further discussions with schools and external partners aimed at maximising the transformational opportunities within the programme
- the cost and affordability of the programme.

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The programme contained within our OBC provides the Council, schools, PfS and potential bidders with the confidence that the Hartlepool project can be delivered, is affordable and will provide the young people of Hartlepool with the transformational learning opportunities that they rightly deserve.

2.2 Key Estate Priorities

The estate priorities for the secondary school estate have been interrogated as part of the process of preparing the Outline Business Case. Each of the options suggested in the Strategy for Change Part Two document has been revisited to confirm that they still offer the preferred solution for the pupils and residents of Hartlepool, see Appendix 1A

A full explanation of the current proposals can be found in Appendix 1A where the fully annotated control drawings for each school have been located. These drawings have been linked to educational transformation as outlined in each school's SfC.

2.2.1 Dyke House School

The proposals for Dyke House School included in SfC2 have been retained. Dyke House is the sample school for the Programme, and remains a substantial remodel on its existing site. The adjacent CLC building adjoining the main school buildings is to become incorporated into the school; the CLC function will be relocated elsewhere.

This will give the school additional area so the amount of new build required to fulfil the requirements of the transformation of learning and the school facilities is now minimal. Dyke House has a considerable amount of community usage within its Avondale Centre. These areas are principally for use by the community although some students benefit from the services offered by the community providers. It is not envisaged to include the areas of the Avondale Centre within the confines of the BSF investment, and therefore these areas will remain unaffected during the works. Similarly the swimming pool contained on the site is outside of the BSF investment and is supported by the school and the local community.

2.2.2 Catcote School Business and Enterprise College

Catcote Secondary Special School will be rebuilt on the site currently occupied by Brierton School, as indicated in the SfC2. Aspirations for further development of this site can be found in Section 3.1.

Hartlepool's aim is to also provide a post 19 facility on the campus and funding and scope is currently being negotiated with the LSC. The key driver is for the campus to share expertise and become a centre of excellence for pupils within the region (further information awaited from LSC).

2.2.3 Manor College of Technology

The SfC2 document had identified Manor College of Technology as requiring a new build element relating to 84% of the required floor area, with the remaining area being refurbished as appropriate. The proposals retain Manor on its existing site, where it is at the centre of the community from which its pupils attend.

Having worked with the school through design engagements and the school having completed their Strategy for Change document, there is an increased amount of new build. New build now represents 87% of the development works, with 13% designated for refurbishment. The school agrees that this revised model provides a representation of the transformational requirements within the school's Strategy for Change.

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The proposed development does not encroach onto existing playing fields but provides a re-working of the pedestrian and vehicular access and car parking arrangements. The proximity and close working relationship with the adjacent 'partner' primary school has been preserved in the proposals and the schools are currently exploring methods to increase this collaboration with sharing of external facilities. This will not impact on the delivery of new facilities.

2.2.4 High Tunstall College of Science

High Tunstall remains a largely new build option on its current site. The amount of new build has been reduced, with the proposed retention of the sports hall and gymnasium and now stands at 80%, down from the 90% at SfC2. The aim is to create the transformational learning spaces required by the school, represented in the schedules of accommodation and control option drawings, by not encroaching on external sporting provision.

The control option has re-worked vehicular and pedestrian access with clear segregation within the existing site boundary. Parent and bus drop off has also been amended to provide a more acceptable option for the school. The existing swimming pool and life centre will remain un-touched by the BSF investment.

2.2.5 English Martyrs School and Sixth Form College

At SfC2 English Martyrs was assessed as requiring a substantial refurbishment and remodel on the existing school site. Further work with the school has led to the current proposal, consistent with the School's Strategy for Change, that will result in some demolition of existing structures and their replacement with newly constructed facilities. Large areas of the school will be required to be refurbished, with the recently constructed sixth form block remaining as a home base for the sixth form.

In order to ensure that the school remains fully functional during construction periods, it will be necessary to decant some pupils into the vacated Catcote School. The control option identifies issues regarding the car-parking, conflict between pedestrians and vehicles and pupil drop-off. In the longer term, we expect it may be necessary to incorporate part of the existing Catcote School site to deal more effectively with these issues. The sports fields will be largely unaffected by the development proposals.

2.2.6 Pupil Referral Unit

Proposals for the Pupil Referral Unit (PRU) were less developed at SfC2 stage, as the Council was still in consultation with the schools and community in determining the most beneficial solutions. The PRU facilities are currently provided in Hartlepool and the current proposals are for this to continue. The site vacated by Catcote School is being proposed as the location of the new PRU. The site is considered as appropriate as it is currently used as an education facility and many of the facilities in the Catcote building would be appropriate for the use by pupils attending the PRU.

Following the completion of the new Catcote facility at the Brierton site and the vacation of the site at Catcote, surplus areas of the facilities will be isolated and considered for appropriate alternative non-school use, with what remains of the buildings remodelled and refurbished to provide the required facilities for the PRU. Following SfC2 submission, the Council reviewed the 12 place facility as described in SfC2 and with agreement from PFS has increased the scope to a 24 place PRU, including 12 places for in-reach and out-reach. The requirements for a PRU with a capacity of 24 pupils will be considerably less than the current site capacity so rationalisation of the site and buildings will be necessary. There is no perceived increase in vehicular movement to or from the site, and the council planning department has provided a letter of comfort to the outline proposals developed at this stage.

3 THE PROJECTS

3.1 Option Analysis & Feasibility

3.1.1 The option appraisals to assess the development options for each of the schools were undertaken at SfC Part 2 and approved by Partnerships for Schools. As part of the engagement process that has been undertaken by our Technical Advisers, Gleeds, each of the proposals developed for SfC2 has been challenged and amended as appropriate. The current 'Control Options' that are included in this submission meet the requirements of the schools and are within our affordability. The control options have been confirmed by each school's head teacher and chair of governors as meeting their aspirations through signatures on the drawings.

Hartlepool chose to undertake an ambitious approach to the development of the control options for each school as part of the OBC submission. The Authority has a robust approach for consulting with its schools and as such looked for their committed involvement at this stage. Due to the size of the programme and our approach to consultation, we took the decision to develop all schools' control options.

Working closely with the Council, the external Technical Advisers, Gleeds, and the Client Design Adviser, GWK, devised a programme of workshops to initiate the design process within the schools. This began with an overall workshop to which all schools were invited and given an overview of the process that was to be adopted. Schools were exposed to the various new design methods recognised as having the potential to stimulate the improvement of results in all schools. The workshop sought to build upon the knowledge and understanding that many schools had attained by their attendance on the NCSL BSF programme of courses, and demonstrate how it could be harnessed to improve their own schools.

Following the open workshop a series of school specific workshops were arranged with each school. All schools participating were encouraged to commit a number of representatives who would attend all workshops and provide continuity throughout the life of the programme. As well as the organised programme of workshops, ad-hoc meetings were arranged to assist both the design team and the schools in developing their ideas and providing an acceptable design solution.

The school specific workshops began with considering the post BSF school structure and management. The early workshops were being run in tandem with the development of the Schools' Strategies for Change and allowed ideas formulated in one area to influence others. The emphasis in the early meetings was to consider the functionality of the new school, with regards to the structure of the learning, the management, the community usage and its future adaptability. This challenged the schools to develop their thinking and in certain cases encouraged them to adopt a more radical approach to planning for the future.

Once the schools began to develop their approach on the future structure of their schools, they were asked to consider area adjacencies. Areas that would benefit from being located in a certain manner either close together, areas that would benefit from being more isolated, and areas that had little natural affinity. The adjacencies were considered for all aspects of the schools, for example with regards to departments, small learning communities, schools within schools, administration and management of the school, supervision and community involvement. Again this was considered at a concept level, linking areas of the schools that would complement each other and/or the future direction of the school. The relationships between internal areas and external space were more important to some schools and some departments. These preferences were represented in the concept plans and explored with schools to ensure that they had fully considered the impact on their current thinking around transformational learning.

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It was only at this point that the assumptions and designs submitted at Strategy for Change Part 2 were introduced into the process. The SfC2 plans were challenged to meet the schools' current proposals and targets. Each school in conjunction with the External Advisers, (with the exception of Catcote as it remains a 100% new build on a new site as indicated in the SfC2) was asked to consider how its aspirations could be provided within its existing building facilities. The practicalities of the various options were considered to ensure that the phasing and affordability of the proposals were considered. Again with the exception of Catcote School, the control drawings for all schools have changed along with the perceived development options. The table on page 24 now indicates the development percentages at each school, compared with the assumptions made at SfC2. The Authority, having undertaken the extensive consultation that is described in this section, is satisfied that it has a robust Control Option design solution at each school that is affordable and represents an appropriate direction of travel to enable each school to achieve its aspirations under the BSF Programme.

Schools and the Council have both signed the control option drawings and the schedule of accommodation. The Head teacher or in certain cases the deputy head teacher and a Governor (usually the Chair of Governors) has signed for the school and the BSF Project Director and Client Design Adviser for the Authority. This indicates the level of commitment that both parties are prepared to make to confirm that the options produced form a sound basis on which to develop the finalised Output Specification in respect of the Sample School or Stage 0 for the non-Sample Schools. It is recognised that further work will be carried out to ensure that the time between OBC and bidder design will be used to produce a developed solution enhanced to represent further developments in each school's education transformation.

A schedule of the formal workshops and meetings held with the schools during this process is included in Appendix 1A. It should be noted that additional less formal meetings were held with all schools as necessary to further define the control plans and accommodation schedules. Initially it was only the sample school that was to have this level of consultation at this stage, but changes to the requirements of the OBC and Hartlepool's desire to fully consult has led to a considerably more robust approach.

It is recognised by the schools and governing bodies that the control options are not the final design but one possible representation of how their aspirations could be realised. During the design process undertaken by the bidders the schools recognise the importance of the 'Control Options' in assisting their thinking process to produce their Strategy for Change and their input into the Council's requirements.

All of the secondary schools have developed their School Strategy for Change (SSfC) documents in order to summarise their aims for education transformation. Students' views have been sought, and these have been developed in liaison with the Sorrell Foundation and all of the secondary schools. The results of the students' work have been presented to the Schools Transformation Project Board, and will be included in the brief for the Design and Build contractor. These students' comments and SSfCs have been reflected in the detailed discussions that have been held with school staff, and this has allowed the Client Design Adviser and Technical Advisers to interpret these aims in adjacency diagrams and accommodation schedules leading to development of the control option drawings.

The initial construction programme (Appendix 1A) indicates the proposed sequence of projects, and reflects a practical strategy for decant of staff and students to allow safe implementation of the construction works. The costs associated with use of additional temporary accommodation at Dyke House School have been mitigated by proposals to utilise available building spaces on the Brierton School site following that school's closure in summer 2009. Similarly, the existing buildings at Catcote School are to be utilised by English Martyrs School during their refurbishment works, following the transfer of Catcote to their new -build school on the Brierton Site. Finally, the proposal is to re-use the existing Catcote buildings by modifying them to allow the PRU to move into that site. This sequence determines the overall duration of construction works, with 2 schools ready for occupation in September 2012, another 2 in September 2013 and the final Design and Build school ready in September 2014. The

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PRU will occupy the remodelled Catcote site in 2015. The timing of the ICT installation works at St Hild's School is more flexible, and may occur in more than one phase; the details will be agreed with the ICT Managed Service provider and the Design and Build contractor to allow best use of resources.

The SfC2 proposal for the sample project, Dyke House School, was to refresh, remodel and refurbish the majority of this 1930s building. That proposal is still valid in terms of the School Strategy for Change (SSfC), and has been reflected in the detailed discussions that have been held with the school regarding transformation aims, adjacencies, and accommodation schedules. There will be minor demolition works (existing science block) and potentially minor new-build works associated with the requirement to improve access and circulation. Details of the scope of work are given in Section 3.1. The detailed design for this school will commence during the procurement period for selection of Design and Build contractor, and is scheduled to be completed by March 2010. This school will be in the first construction phase, starting onsite in August 2010, and it is proposed for better operation and management of the school to utilise the redundant Brierton School buildings for decant of staff and students during the period of refurbishment works. This will give the health and safety benefit of total segregation of the students from the construction hazards, and will allow a shorter construction period at Dyke House.

Suitable survey information is provided to allow the detailed design to proceed for all of the schools. Some surveys, by their nature, will require updating as the design and construction works proceed. For example, the ecological surveys (in particular bat surveys) have a limited validity period, and will require re-survey in the lead up to construction at specific sites.

The detailed design of Manor College of Technology (predominantly new-build) and Catcote Secondary Special School (new-build) will commence following nomination of the preferred Design and Build contractor. This early start is required to allow these schools to be in the second construction phase, starting onsite in late 2010.

Although independent of the project critical path, it is proposed to carry out the detailed design of High Tunstall College of Science to allow it to be in the subsequent construction phase, commencing onsite in June 2011. As this school is predominantly new-build, this phasing will allow best use of resources by following in on from the Catcote School and Manor College works.

The detailed design for English Martyrs Roman Catholic Secondary School is proposed to start early in 2011, with a view to commencement of construction in August 2012. The significant remodelling of the school will necessitate the use of Catcote School buildings which are adjacent to English Martyrs.

The modification of the existing Catcote School buildings for use by the PRU will follow the decant of the English Martyrs staff and students on completion of their school's works. This proposal will make best use of existing assets.

The design of modifications to St Hild's School to allow the upgrade of ICT facilities will be independent of the project critical path, and may be installed in more than one phase. This scope of work will involve close collaboration between the ICT Managed Service provider and the Design and Build contractor, and will be scheduled to make best use of available resources, while minimising the adverse effects of construction works on the students and staff.

In addition to the feasibility study work completed to date in relation to the "mainstream" accommodation and facilities, relevant Council departments, the schools and other service providers have been considering the need and scope for additional community facilities to be integrated with the mainstream development.

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Underlying this thinking has been the desire to

- Create the right setting for a “team around the school” approach, whereby the full range of supportive services, such as Connexions, youth service and primary care, can be provided from a readily identified single “port of call” on site.
- Facilitate the provision of practicable open access not only to the extended services core offer but also to wider community services, responding to identified needs and opportunities.

In practice this work has involved evidence gathering of needs and opportunities, including audits of existing community use of schools, service provider assessments, reviews of existing provision in each schools neighbourhood and various forms of community consultation, including Neighbourhood Action Plan preparation. This work has enabled the production of indicative schedules of the additional built floor space which might be provided at each site to accommodate such uses. Design considerations such as opportunities for shared accommodation, links with outdoor play or other facilities and needs for privacy and security have also been identified.

Sport and PE facilities have received particular attention via the PE and Sport Stakeholder Group, which has involved the schools, the Council, Sport England and sports governing bodies in seeking to agree the desired suite of facilities for each school site. (See also Section 6.3.1 for details of consultation with Sport England and sports governing bodies).

Preparatory work has also embraced investigation of potential funding sources which might be used to supplement the BSF core funding, to enable community facilities to be provided. Potential sources include:

- Extended Schools Grant, Modernisation and the Targeted Capital fund strand 14-19 and SEN
- Children's Centre capital
- Early Years
- Aiming High
- Youth Centre Fund
- My Place
- Sports governing bodies and related agencies
- Council capital programme

Progress to date in terms of site layout design for additional community facilities has been limited by the uncertainty of funding availability during the “mainstream” building period. The site feasibility study work has factored in potential outdoor sport areas to ensure a physical fit on site, but it is considered premature to undertake specific design work around additional new build accommodation for community activities/support services, given that funding cannot yet be determined. From discussion with DCSF, the Council is aware of the Department's 0-19 capital project addressing issues associated with more joined-up management of DCSF capital programmes and would hope that this project might deliver new approaches to effective co-location of services.

In addition, discussions are currently taking place in relation to 14-19 diploma capital funding. A bid for £5million will be submitted in December outlining Hartlepool's proposals for a Centre of Excellence in Hospitality, situated on the site currently occupied by Brierton School and in close proximity to the Catcote School new build. If the initial bid is successful a more detailed submission will be made in February 2009. The potential build programme would fit the timescales of our BSF project and could be incorporated into the construction plan. This would not impede the planned delivery of our BSF programme.

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The Council is also planning to procure and build a new Springwell Primary Special School alongside the Catcote project. It is anticipated that the funding for this element of the project will be in the form of an early draw down on the latter stages of the Primary Capital Programme. The intention is that Springwell is relocated on the campus and that it will share facilities with Catcote.

Given these funding uncertainties, the feasibility study work to date has sought to “future proof” designs, such that any additional community facilities can be integrated seamlessly within the overall site developments, once funding has been secured.

The indicative development site plans for each of the schools are included within the appendices. The plans indicate the control option for the schools and include the building development proposals along with the changes to access, vehicular treatment, bus drop-offs, play areas and sports provision. These plans have been developed for the five schools and the PRU which are in receipt of capital funding.

The table included below indicates the anticipated mix of development on each of the school sites. A further column has been introduced to identify the varying degrees of refurbishment identified. Although we recognise that the FAM does not make this distinction, we have used this method to calculate the expected construction costs included in the affordability calculations.

School	Total	New Build	Major Remodel	Refurbish
Catcote	100%	100%	0%	0%
Dyke House	100%	3%	68%	29%
English Martyrs	100%	34%	50%	16%
High Tunstall	100%	80%	20%	0%
Manor College	100%	87%	4%	9%
PRU	100%	0%	50%	50%
St Hild's	-	-	-	-

3.1.2 The Design Quality Indicators for Schools (DQIfS) is a process for evaluating the design quality of school buildings from the inception of the project through the design stages and once the building is complete. It is a requirement that all BSF schools should engage with the DQIfS process. The DQIfS is very similar to the generic DQI tool but with greater emphasis on areas that are specific to the needs of schools such as the uses of spaces, the buildings relationship to the community and the buildings grounds. During the OBC preparation, the Authority has introduced DQIfS to the sample school, Dyke House, as their DQIfS report will form part of the output specification in the procurement process.

The DQI briefing review for Dyke House was held in early December at the school, and involved the school's headteacher, students, teacher, governor, facilities manager, HBC Member (portfolio holder and design champion), local authority client (design champion), design team, pupil and community representatives to gain a broad stakeholder view of priorities for the remodelled and refreshed school building. This review concentrated particularly on design awareness raising and identifying important factors in the design of schemes. This will be invaluable in the procurement and delivery phases. The Client Design Adviser carried out the DQI leader role, and an independent accredited DQI facilitator chaired the review meeting. The record report is attached in Appendix 21

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The other schools are scheduled for later construction phases, and their DQI briefing reviews are planned as part of their Stage 0 Submission process. Subsequent DQI assessments of the proposed building designs will be held throughout the detailed design process, and ahead of handover and occupation.

This process will build upon the work undertaken with the Sorrell Foundation including schools and in particular pupils.

3.2 All Schools

All of the schools in receipt of capital investment have been developed to the same level. The proposals for the Sample School are evidenced on the individual plans, as are the proposals of the non-sample schools.

The selection procedure for the Sample School was detailed in the Council's Strategy for Change Part 2 document, see Appendix 1A. All the schools were assessed against a set of common criteria and scored according to their compatibility with the criteria. Dyke House scored the highest marks of the five schools receiving capital investment and was deemed most suitable for the sample school. Representatives from Partnerships for Schools also endorsed the selection of Dyke House, having visited all the schools and met with the respective head teachers.

The drawings prepared and submitted as part of this OBC indicate the current schools' facilities and the future proposals. As well as addressing the internal development of the school, the external requirements of providing a 21st Century school have been considered. The incremental development of the secondary schools in Hartlepool in the past has meant that the conflict of pedestrians and vehicles is common on many of the sites and one of the aims of this process has been to demonstrate that a viable and affordable solution to this can be provided.

The individual school plans submitted in the appendices of this OBC provide detailed analyses of the school sites and the control options that have been developed. Essentially they also provide a strategy moving from their current condition through the development process and in to the completed buildings. This decant strategy has also been demonstrated and explained on an individual basis, for each of the schools.

Gleeds has undertaken a thorough review of the control options prepared for each school and has prepared estimated costs of the construction works commensurate with the design work that has so far been achieved. Within the costs, Gleeds has included a review of the survey information undertaken and has made due allowance for works required as identified in the surveys, and where appropriate has included the figures within the abnormal costs proforma already submitted and approved by PFS.

The costs have been calculated using current market rates and based upon the design options and the amount of new build, remodelling and refurbishment. For example the level of remodelling of some areas of the sites is considerably more extensive than others and will attract different costs.

The estimated costs have been carried forward to the affordability section of this OBC. The abnormal proforma are included within the appendices as are the assumptions made in the preparation of the cost estimates.

An Abnormal Costs proforma has been prepared for each of the schools in receipt of capital investment from BSF. The Proformas issued in March 08 are included in Appendix 1B of this document.

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Detailed design development meetings have taken place with all of the schools that are in receipt of the capital investment. As part of this submission we have provided the design information for each of the schools in accordance with the information requirements required in the guidance provided by PfS. In addition to this we have included Schedules of Accommodation that have been prepared in conjunction with and approved by the schools. A full design development process has been undertaken and the drawings prepared as part of the process are available for review should it be required.

3.3 Delivery of Strategy for Change

3.3.1 In developing its Strategy for Change, the Council worked in close partnership with schools to secure a town-wide vision for transformation. This transformational vision reflects the key priorities identified in the Strategy for Change guidance:

- choice, diversity and access
- continuous school improvement including support and challenge to underperforming schools, and support for underperforming groups
- personalised learning and e-learning
- 14 – 19 provision
- effective integration of education and other services through ECM
- inclusion, and championing the needs of all pupils
- change management.

Through the development of the OBC these have continued to be agreed priorities and supported by all stakeholders. These priorities are securely embedded in the Hartlepool Learning Framework, the Hartlepool Change Management model, all SSfCs and the Council's Change Strategy and associated Change Plan.

3.3.2 All schools have considered the above key priorities, along with particular priorities for their own schools and communities, when writing their SSfCs. The SSfCs clearly demonstrate how individual school level plans are aligned and consistent with those articulated in the Council SfC documentation. All SSfCs contain detailed Key Performance Indicators (KPIs) which are aligned to the LA KPIs. This will enable the Council and schools to monitor the progress being made at both LA and school level as the programme develops.

3.3.3 There is a clear recognition that the personalisation of the curriculum will require significant transformation in the organisation of learning. This will be reflected in the agile use of space that our new and remodelled buildings will enable. The design implications of this increased flexibility are clearly outlined in SSfCs. The BSF investment will enable schools to offer spaces which are agile and adaptable with an enhanced infrastructure to facilitate greater complexity of organisation and increased personalisation.

3.3.4 All schools have engaged positively in the development of the Council's strategy for delivery of the 14-19 reforms and there is a clear plan in place for the delivery of diplomas by individual schools. SSfCs are fully aligned with the overall Council strategy and the Council is confident that the facilities envisaged in the post BSF buildings, complemented by those available through existing partnership arrangements with the range of other local 14 – 19 providers, will be capable of delivering the national entitlement in high quality learning environments. BSF is a regular agenda item on the 14-19 Strategic Board meetings.

3.3.5 The welfare of students and their entitlements under ECM are given due priority in all the school SSfCs. Colleagues from the Council inclusion services have supported schools and the School Transformation Team (STT) to ensure that the SSfCs and their design aspirations will meet the needs of all pupils.

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3.3.6 The ICT visions for each school are complemented by the ICT Output Specification which has been referenced to show the links to the SSfCs. All SSfCs are clear about the central role that ICT infrastructure will play in personalising learning and enabling our vision of *anytime, anywhere* learning.

3.3.7 The SSfCs provide a detailed view of how change will be managed to support transformation in Hartlepool. The Council's change plan and schools' own change plans identify actions that will support the delivery of the Hartlepool Learning Framework and, in turn, support delivery against the national policy agenda, see Appendix 18. These change plans will inform future School Improvement Plans to ensure that the change required becomes part of the ongoing planning for each school. These change plans will also inform schools' discussions with their School Improvement Partners to ensure that BSF challenge is part of the ongoing monitoring of each school's progress in raising standards and improving outcomes.

3.3.8 As previously stated, the Council has identified Dyke House School as its sample scheme. Although Dyke House has been thus identified, we have expected all schools to deliver a School Strategy for Change (SSfC) to the same high expectations. In order to achieve this, the Schools Transformation Team (STT) implemented a robust programme of support and challenge to help and enable each school to complete its School Strategy for Change (SSfC) and associated change plan. (See also Section 7 – Leading and Managing Change)

Schools were initially involved in the formulation of the SSfC format and the format was referenced to the Council's own SfC1 to ensure that schools were planning against the overarching objectives previously agreed. Given that the Council's SfC1 reflected the remit for change areas identified prior to the commencement of the programme, SSfCs also reflect at a local level those actions necessary to ensure that the Council delivers its Remit for Change. The detailed change plan that supports each SSfC will ensure that schools undertake the necessary actions to deliver the objectives they have identified for each learning community. The Council's change plan will ensure that schools have the appropriate resources and support to achieve this.

Schools received regular feedback on their developing SSfCs from a range of local authority policy officers and external partners - including CDA, PfS Education Director and PfS ICT Adviser. All schools had additional support from the workforce development team to help them to complete their associated change plans. All schools have developed robust SfCs that articulate how new ways of learning, design and ICT will help deliver transformational outcomes in Hartlepool.

Schools will use the SSfC to inform their annual development planning and this will ensure that the transformational aspirations within SSfCs are made real through the work of each school. School Improvement Officers and policy officers, members of the Workforce Development Team and the SIPS allocated to secondary schools have all been involved in supporting and challenging schools in the development of their SSfCs, and these colleagues will continue to challenge and support schools throughout the design, build and implementation phases of the BSF programme.

Schools have also developed 'day in the life' scenarios that set out a typical day in the life of pupils, staff and community visitors in the future to illustrate their SSfC. Additional consultancy support has been provided for all schools to develop key performance indicators and targets in line with those outlined at LA level.

School Strategy for Change documents are attached at Appendix 2

The range of measures previously identified clearly demonstrate how the work undertaken at each school and articulated in the SSfCs will support delivery of the Council's key strategic objectives, plans and policies, will ensure that the requirements of the Remit for Change are met and, in doing so, will lead to improved outcomes for young people into the future.

3.4 ICT Service Provision

3.4.1 Overview

ICT services for the Council's secondary schools will be delivered through an ICT managed service procured separately from the construction partner. Due to the scale of Hartlepool's BSF programme Partnerships for Schools has agreed that Hartlepool does not need to follow a LEP procurement. The Council and schools regard ICT as a critical element of transformation. Effective use of ICT by all learners and teachers, alongside parents/carers in the home, is a key driver for school improvement. Opportunities to engage productively with ICT will have a positive impact on pupil outcomes through empowering, motivating and engaging learners. ICT supports the key processes/enablers/drivers linked to raising attainment. These include:

- The promotion of collaboration, discussion, dialogue and interaction
- Teacher/practitioner demonstration and modelling
- Use of extended wireless and other technologies to enhance and increase opportunities for access in the home and public areas
- Visualisation, problem-solving and creativity
- Use of common learning platform technologies to ensure every learner has individual learning pathways
- Opportunities for learners to communicate with a wider audience
- Support for remote delivery e.g. expert practitioners and other professionals teaching across a range of sites using video-conferencing
- Providing anywhere/anytime access to learning resources and support
- Increasing opportunities for independent project and research-based learning without limiting resources available online and encourage responsibility
- Enabling learners to "draw down" information and resources in a form and media of their choice and to publish their learning in a variety of media
- Enhancing the opportunities for self, peer and online assessment
- Improve learner motivation and engagement leading to improvements in behaviour and reduction of the impact of negative behaviour on pupils and teachers, as well as enhancing provision in the home supported by the school
- Ensuring staff have the necessary facilities and opportunities to teach in creative and engaging ways using modern technologies and processes leading to improved staff morale and retention along with greater enjoyment of the process by pupils
- Enhancing inclusion by providing opportunities for pupils who are ill, excluded or on extended cultural holidays to access learning
- Providing more effective support and extended opportunity for pupils with SEN by appropriate use of learning platforms and/or technology along with more standard methods to effectively access their learning
- Ensuring all users have equal access including those with specific needs such as visual impairment and motor skill limitations (e.g. by providing icon-based user interfaces)
- Supporting the effective transition and transfer of pupils at the beginning and end of key stages and between institutions and organisations in support of the 14-19 agenda
- Enhancing the quality and frequency of parental/school dialogue by increasing the number of ways parents and schools can communicate and collaborate with an individual child's learning
- Enhancing and developing community skills by providing access to high-quality, ICT-rich learning environments
- Reducing bureaucracy and improving organisational efficiency with greater automation of tasks

In conducting this procurement the Council aims to secure a partner rather than a service provider. In recognising the speed at which technology and its applications change the Council wants to engage a partner who is flexible and responsive to exploiting opportunities as they arise and be willing to support

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the Council and schools in ensuring that learners receive the best possible provision over the life of the partnership. In order to facilitate interest by the market the authority has undertaken a Market Intelligence Day to help inform schools of the benefits of managed services and for them to understand what the market is able to offer them. Following on from this, a PIN notice was issued through the OJEU to give notification that Hartlepool is about to undertake a major ICT managed service procurement and inviting interested parties to attend a Bidders Day. This is designed to allow potential bidders to understand fully what is available to them and to promote Hartlepool as a positive authority to work with. During the Bidders Day potential suppliers will receive information on:

- The existing provision of ICT managed services to Hartlepool Council and the scope and duration of the contracts
- The existing provision of Management Information System services to the schools
- The existing provision of a Managed Learning Environment (MLE) and the options for integration of the existing content into the managed service
- The existing Wide Area Network provision and the contract with Northern Grid
- The procurement timescales and programme milestones
- The scope of service they will be able to offer
- The interface implications associated with our D&B approach, e.g. BSF Managed Services, Interface issues with the build project, additional services.

The current e-learning service within Hartlepool is outlined within Appendix 2B and the authority is keen to explore with the managed service provider how best this can be aligned with the offer of future managed services to ensure integration where appropriate and how they can work together to ensure effective change management. This appendix outlines possible options appraisal.

3.4.2 Functional scope of the ICT managed service

The ICT output specification (Appendix 2A) has been developed in partnership with key stakeholders, including schools, the Council's corporate ICT function, the Hartlepool City Learning Centre (CLC) and the School Improvement Team. Senior Officers within the Performance and Achievement Team within the Council will be integral to the change process of learning within Hartlepool. The ICT output specification has been developed to support Schools' Strategy for Change Plans, "Day in the Life" scenarios and ICT vision statements and has been cross-referenced against these documents. The functional scope of the ICT managed service has been defined by, and will support, the corporate and educational requirements of the Council and its schools, including the specific requirements of individual schools' specialisms/diploma lines.

The Council's secondary special school is also included. Specialist equipment to meet the physical and emotional needs identified in the statements for these pupils will continue to be met from existing SEN funding provided to the school from the Individual Special Schools Budget (ISSB). The procurement and deployment of this equipment will continue to be the responsibility of the school and authority but the service provider will be expected to provide support and advice to the school and authority in this procurement to ensure compatibility with the ICT managed service. The ICT service provider will be responsible for the provision of suitable assistive and adaptive technologies to enable these pupils to access the opportunities offered via ICT to ensure that access and support will be evenly provided across the estate. The ICT service provider will be expected to support a Learning Platform that can support learners, some of whom spend time in both Special and mainstream schools and to ensure that all equipment purchased is adapted to meet specific and sometimes complex individual needs as appropriate.

This will be achieved through the delivery of a full, comprehensive core managed service and the use of the local choice fund. Secondary schools have agreed to join a single learning platform to ensure that collaboration, mobility of pupils (and staff) and synergy are achieved for future transformation of learning.

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The Council's ICT vision is based upon secure and effective connectivity. Currently, connectivity between schools and the council is provided by Northgate IS to the Civic Centre 'hub' and then via Northern Grid for Learning to the National Education Network (NEN). The Further Education College has a separate WAN with a year-on-year connectivity contract with a commercial provider. Hartlepool is considering two options for its BSF Programme:

- Extending the existing contract with the Regional Broadband Consortium for all secondary schools and delivering connectivity to all its schools and to the CLC/Space to Learn through Northgate IS. If this solution is adopted the Council will negotiate SLAs with its corporate ICT partner to secure guaranteed levels of connectivity for the managed service provider which are acceptable to both the Council and the provider; or
- Including connectivity to secondary schools and the Space to Learn within the scope of services provided by the ICT MSP with due regard being paid by suppliers to the opportunities offered by the Regional Broadband Consortia. We will use competitive dialogue to seek bidders' proposals for this second option and assess their cost and value (this would be in addition to ongoing School Revenue Contribution) and this would provide an additional opportunity of working with Primary Schools for connectivity

Providers should identify how they will manage and develop wireless broadband coverage across the Borough. Equipment currently in place is owned by the Council. The capital costs of connectivity are subsidised by the use of the "Harnessing Technology" Capital Grant funding and the Council will continue to subsidise at or above this level as long as the grant funding continues to be available. The balance of connectivity and revenue costs are met by schools and this will continue post-BSF. We would be keen to explore further dialogue as to how the ICT partner will be able to expand and enhance this provision into the future; for example 2.4 wireless in public areas such as parks and sea fronts or 5.8 wireless direct into deprived socio-economic households.

The Council and schools are mindful of the increased functionality and cost benefits which can be secured by commonality of provision and function and this is recognised in the commitment to a common MIS and common Learning Platform. However, Hartlepool values the diversity and individuality of its schools and wishes ICT provision to reflect this. The provider will be expected to manage a Learning Platform and a MIS which offers the maximum possible opportunity for schools and users to personalise it and to customise the service to meet their own needs. In particular, where a school has to change its MIS or Learning Platform the Authority will expect the provider to work with the school in aligning the new systems with existing forms, systems and processes to minimise the impact on schools. Schools currently operate a range of learning platforms and there is no presumption that one of the existing platforms will be chosen. However, providers are expected to articulate how they will migrate content and applications (where appropriate) onto the new platform.

The ICT output specification (Appendix 2A) outlines the Council's and school expectations of the service but there is a recognition that requirements and opportunities will change during the course of the service provision. Schools want the flexibility to work in partnership with the service provider to extend their ICT provision beyond that in the output specification as needs and opportunities arise. Schools undertake to finance any such agreed extensions beyond those service developments and upgrades covered by the output specification. Providers will be expected to negotiate a scale of charges for such extensions in advance of the commencement of the managed service.

3.4.3 Procurement scope of the ICT Managed Service

The functional scope of this procurement is defined in the ICT output specification (Appendix 2A) and the Council intends to invest the full £1450 pp available for ICT services through the ICT managed service provider within the first five years of contract. The procurement scope is slightly reduced from the full ICT Output Specification in that the authority does not wish the ICT managed service provider to be solely responsible for elements such as the Change Management and other training aspects. The Council's thinking around the managed service provider's contribution to change management is described in Section 7.

To date secondary schools have made largely independent decisions regarding ICT although this has changed recently with the impact of 14-19 provision and a strong sense of collaboration including some joint procurement and shared staffing. In considering the BSF ICT provision there has been extensive dialogue with Headteachers, Council departments and a series of meetings with senior staff and technicians, to develop and agree the scope of services and the output specification.

Schools recognise the potential benefits and cost savings to be gained by the introduction of proactive maintenance and remote response and repair where possible and accept that the number of technicians deployed to any one site may not be the same as their current number. However, schools and the Council are keen to ensure that on-site technical support is available at all times the school is open for pupils, which is beyond normal 'perceived' school hours and further information can be found on this in the Output Specification in Appendix 2A. The Council is keen to ensure that such on-site technical support takes due account of the benefits to be gained by the technician(s) having knowledge of and secure relationships with the school and sharing its ethos.

The Council has an existing strategic partnership arrangement with Northgate IS that is responsible for the following aspects of ICT delivery to schools:

- Provision of internet connectivity in conjunction with the Regional Broadband Consortia (Northern Grid), e-mail and maintenance of the WAN/Corporate network for all schools.
- Management and oversight of the Hartlepool Intranet
- Maintenance of the Council MIS (SIMS) with all but one school and responsibility for collection of data for statutory returns from all the Authority's schools

There is no prior assumption that the BSF service provider will partner with Northgate IS but the provider will need to ensure that interfaces are managed to secure:

- Effective data transfer during transition at age 11 including transfer of compliant material from pupils' e-portfolios
- Support for transition activities
- Ensuring BSF schools have access to material delivered via the Learning Platform
- Ensuring an effective interface with corporate systems to ensure schools can access and benefit from developments in Children's Services e.g. e-CAF, Multi-agency working via virtual teams etc.
- An Integrated Children's System (ICS) for Hartlepool Borough Council, which aims to improve social care services and help safeguard and promote the welfare of children and young people in the borough.
- Under a 5-year contract that commenced in 2007, Northgate, in partnership with Liquidlogic and Hartlepool Borough Council, has implemented and is supporting the ICS for Hartlepool's Children's Services Department. The implementation of the ICS is an integral part of the Council's commitment to the government's Every Child Matters programme, and will enable future joint working with partner organisations such as Primary Care Trusts, doctors and the police – key steps in improving outcomes for children and young people.

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- The ICS has been implemented for 141 professional users, including Children & Families Teams, the Young Persons Service, the Disability Team, Safeguarding Unit, Placement Team and Leaving Care Team.

The service provider will be responsible for delivery of a fully-managed service including provision, management, support and maintenance of the WAN (currently managed by Northern Grid for Learning) and provision, management, support and maintenance of a Learning Platform. Currently Northern Grid for Learning acts as “Managing Agent” for the contract to deliver a Learning Platform to all schools (Netmedia being the current product in use). A Learning Platform group within the Council is currently reviewing this provision alongside Northern Grid to see which would be best suited to local needs for the near future and the findings of this group will inform the Council's evaluation of BSF ICT bids.

Our schools are committed to securing Borough-wide functionality and integration to support multi-site working for staff and pupils. To this end, they recognise that an integrated single MIS and a single Learning Platform will bring significant benefits and want to adopt the possibilities offered by common registration and presence-recognition systems linked to back office functions including management of the connected schools real estate including public libraries and similar public spaces that might be used by young people for wellbeing and learning. The Council will expect providers to indicate how this can be achieved within the context of a mixture of rebuild and re-modelling alongside other facilities such as the City Learning Centre and library provision. Hartlepool wants to ensure that the learning platform offered is one which all schools, primary and secondary, can adopt and the ICT provider will be expected to offer the agreed platform to primary schools should they wish to adopt it.

The Council is committed to ensuring schools are sustainable and to minimising the environmental and climatic impact of the BSF development. We recognise that a significant increase in the scale of ICT provision has the potential to impact negatively on carbon footprints. However, we are also aware that BSF will provide an opportunity to replace existing solutions with up-to-date, efficient solutions which potentially can reduce significantly the environmental impacts of ICT provision, and that DCSF require BSF Authorities to achieve a carbon reduction of 60% in new build schemes. For the purposes of this OBC, we have used the Carbon Calculator to demonstrate that this is achievable (see Appendix 22) and bidders will be required to address sustainability issues in their submissions, using the Carbon Calculator as necessary.

All our secondary schools have benefited from access to Computers for Pupils funding. It is the Council's view that the equipment purchased and deployed via this initiative will not be incorporated formally into the managed service due to its expected age and condition at the anticipated commencement of services date. However, the connectivity aspects of the scheme will continue and the managed service provider will be expected to continue to improve and enhance wireless availability to ensure the aim of the transformational agenda are met, particularly in terms of increased opportunities for “anytime-anywhere” learning.

We anticipate that the commencement of the full service to be around January 2012 (although this has not been finalised) with possible early delivery of core/virtual services and full participation through the integration group with the design and build partner from September 2010. In the interim period, the ICT Partner will be able to offer some services, such as procurement, direct to schools prior to commencement of the MSP.

The service provider will be expected to contribute to the implementation of a change management strategy in partnership with local delivery mechanisms such as Hartlepool City Learning Centre, the national strategy consultants, leading and expert teachers, Advanced Skills Teachers and the E-learning and Transformation Teams. The Council and schools will expect the provider to demonstrate how their training plans will enhance the future capacity of the Council and schools e.g. by “training the trainers”. In particular, the provider will be expected to provide training and support on those specific elements of their service which are “new” e.g. Learning Platform and MIS and the development and exploitation of

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new opportunities offered by an enhanced and enriched ICT provision.

3.4.4 Scalability

The additional funding provided by Partnership for Schools for ICT investment in non-BSF schools means that the ICT managed service will be provided to the entire secondary estate and to some technical support aspects of the City Learning Centre (see Appendix 2B). The ICT managed service may also be offered to Primary schools, Hartlepool's Sixth Form College, Hartlepool College of Further Education and other educational establishments as "Additional Services".

The forthcoming secondary Managed Service has been discussed with both primary and post-16 colleagues to ensure an awareness of approach is maintained and the potential benefits of synergy. Also discussed has been the possibility of the managed service provider extending their service beyond the secondary sector for those who may wish to access this. We will require bidders to note that this is a strong intention and that their ICT solutions should offer appropriate scalability and adaptability to meet the needs of other age users and offer such services as appropriate to primary and post-16 providers who may wish to take up such provision.

Hartlepool intends to temporarily move the existing City Learning Centre at Dyke House School and to establish the service within a new-build "Space to Learn" centre which is being funded outside of BSF at St Hild's CE School. This is due to happen in January 2010 and will be for a period of approximately six years until a new campus has been established on the Brierton site and the City Learning Centre will become an integral part of this new learning environment. Although it is not fully included in the scope of the ICT Managed Service Provision, it is anticipated that a 'hybrid' solution could be offered during dialogue whereby the City Learning Centre can maintain its purpose but its staff be part of the managed service provision whilst funding from Becta continues. The management of the City Learning Centre would remain wholly within the Council's control. The service provider will be expected to work in partnership with the City Learning Centre as a key deliverer of the change agenda. Specifically, the authority expects the City Learning Centre to fulfil the following functions:

- Act as a host institution and training provider on ICT-related aspects of the change-management process with particular emphasis on pedagogical development. This will include modelling teaching and learning best practice through demonstration to groups of pupils. In order to facilitate this, the CLC will need to be able to access the Learning Platform and the WAN.
- Contribute to research into ICT-led pedagogy and technological applications
- Provide a test bed facility whereby new and future technologies can be tested, evaluated and prioritised for development and deployment
- Act as an incubator function for developing new ideas and concepts
- Deliver on National Priorities with its Lead Partner, Becta.

It is the Council's intention that the City Learning Centre service should provide a base within which cutting edge practice and applications can be evaluated and developed with minimal constraint. However, there is a recognition that this also needs to take due account in any proposed deployment to schools via the managed service of the capabilities and requirements of the service and it is essential that the CLC and service provider work in partnership in order to maximise the potential of both facilities. In order to fulfil its training function, the City Learning Centre will need to be able to access the managed service and Wide Area Network in order to support training and implementation e.g. through the provision of a room or rooms within the venue managed and maintained by the service provider.

When working in the City Learning Centre the service provider needs to ensure that teachers and pupils are able to access their e-portfolios and to register their presence to their "home" MLE in much the same way as this should be achieved with colleges. The Council will expect the service provider to work in partnership with the City Learning Centre (and Becta) to provide a platform within which future technologies can be anticipated, tested and evaluated to inform the continued development of the service

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provided e.g. through co-ordinated research and evaluation programmes. It is also essential that future developments of the learning platform are included within the scope of the managed service so as not to unduly constrain the funding. The Council and service provider will negotiate a service level agreement to ensure that capital is used to expand and invest in new technologies within the City Learning Centre and that revenue and training costs are fairly and equitably distributed for the actual service provided.

There is an opportunity for the ICT Partner to manage some elements of the City Learning Centre, such as its technical staffing, and to benefit from some spaces being managed directly through a Service Level Agreement. There will, however, be some need for some of this space to remain free of controls to enable it to function in its innovative and responsive capacity. Where this occurs the ICT partner will be freed from any KPI relating to this independent infrastructure. The Hartlepool Partnership, the governing board for the City Learning Centre, is keen to enter dialogue as to how best to achieve this aim.

3.4.5 Phasing of the ICT managed Service:

These proportions could leave 10% of funding available for Design, Implementation, Testing and Training (D.I.T.T.)

Diagram 3.4.5a shows the actual current planned phasing of introduction of the service as of November 2008;

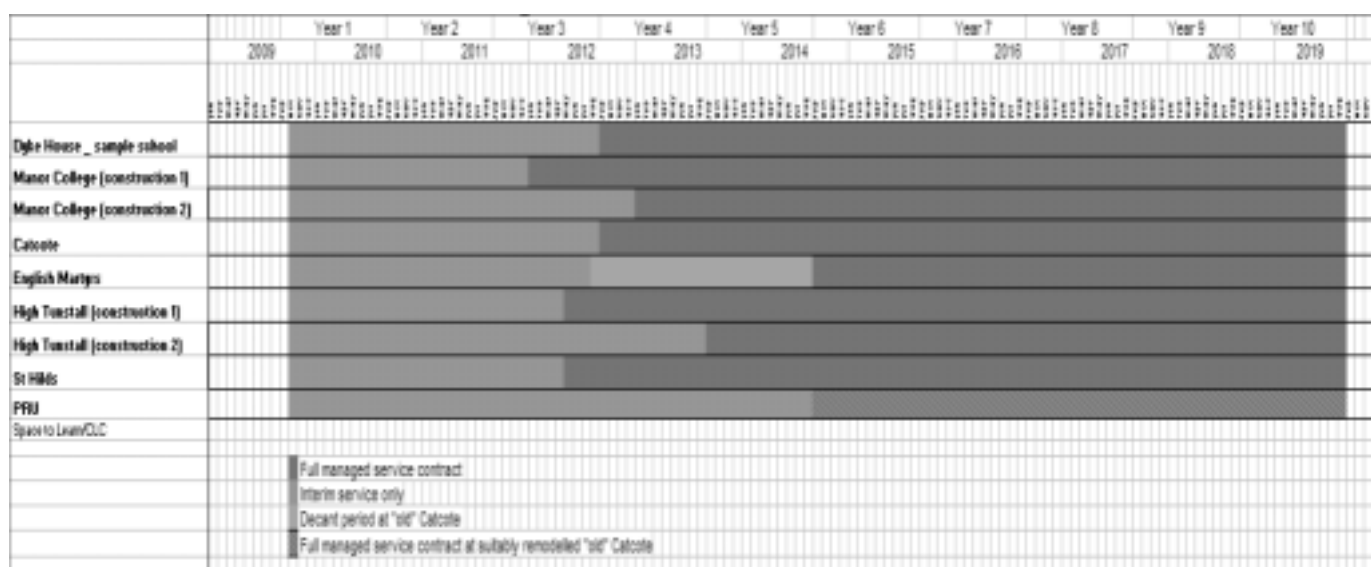


Diagram 3.4.5a

The Council will seek approval to utilise up to approximately 15% of its capital allocation to fund and support the establishment of the Central Data Centre and MLE. We would look at a distinct payment mechanism that encouraged the MSP to work with all schools to port across existing data on to any new system and to ensure that appropriate change management will empower all staff to utilise these "virtual" services at the earliest opportunity.

The partner will also be expected to work as part of the Strategic Integration Group. The core provision of the data centre (in physical or virtual form) and learning platform should be available to all schools from the earliest opportunity. The Council has no prior disposition towards the creation of a data centre but will expect the service provider to demonstrate value for money in terms of how their preferred solution offers best value for money and take due account of the possibilities offered by utilising existing data centres/storage available to the authority (e.g. the Space to Learn area or the corporate ICT partner), any possibilities offered by partnership working with other BSF authorities or by utilising a provider's own existing data storage arrangements. The Council and schools will expect all data to be securely stored

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within the UK frontier regardless of where a solution may be hosted and to be securely backed up in a remote location.

The Council is aware of the potential inequities and risks arising from the phasing of the building programme where ICT capital investment is largely drawn down upon completion of the building followed by a “refresh” before the end of the first five years of contract. Schools are aware of the need to retain up to approximately 30% of their capital investment to fund this refresh programme and are aware of the importance and benefits of continued levels of investment in their ICT provision in the interim period between OBC and the formation of the ICT MSP. However, those schools which are in the latter phases of the building programme will have substantial amounts of legacy equipment prior to their draw down of capital investment. This will present risks to the schools in terms of equity and functionality of provision and/or potential risks to the service provider in dealing with this legacy equipment or in operating within a mixed-economy of a constrained service (e.g. core as defined above) plus school-retained “old legacy” equipment procured from ICT MSP post financial close but prior to BSF rebuild/remodel or refurbishment, and technical support. The Council is keen to mitigate and minimise these risks in a fair and equitable way through its procurement and engagement strategy with the service provider through dialogue with schools.

3.4.6 ICT – Design & Build Interface

Whilst it will be the Council’s responsibility to integrate the provision of ICT with the other elements of the BSF programme it is anticipated that the ICT managed service provider will assist by agreeing to the recommendations of the strategic integration group that will be formed to manage these interface risks. This should ensure that the ICT Partner is able to inform and enhance the construction elements of the programme and the Design and Build contractor will be able to be responsive to the needs of the ICT contract ensuring that the whole project becomes seamless. The ICT provider will ensure that the Design and Build contractor is always fully up to date with the requirements of ICT.

The Strategic Integration Group, whose role will be to ensure a streamlined and congruent approach to the overall process, will consist of the following in addition to others who may from time be called upon to participate:

Local Authority members:	ICT Managed Service Provider	Design & Build Contractor:
BSF Project Director		Architect
BSF Project Manager		Builder
ICT Integration Manager		Mechanical/Electrical
Strategic Director for E-learning		Furniture/Fitting
Transformation consultant		
Sample School		
External Advisers (technical/legal)		

The Council will also seek relevant ongoing advice from partners such as Partnerships for Schools and Becta where appropriate. By following this process clear lines of responsibility are drawn and true seamless integration of the installation process can be gained, ensuring interface arrangements are delivered to secure coverage of all systems needed. Through the agreed interface matrix risk register it will be clear who holds which risks through the process.

4 VALUE FOR MONEY

4.1 Summary of Procurement Route

All of the schools within the BSF Programme with the exception of St Hild's CE School will be in receipt of major capital investment to redevelop their school buildings and external areas in accordance with this document. St Hild's CE School will be in receipt of funding for improvements to its ICT functionality and will also join the other secondary schools in subscribing to a common managed ICT service for the Borough.

With PFS approval, we are using the PFS National Framework to procure a Design and Build Contractor to deliver works at all our BSF schools. The contractor will then work with the ICT Provider, the Council and schools to develop an approved solution to the Council's requirements. The Council will use the batched option of procurement using either the lump sum or target cost option, depending on the suitability of each of these options for each proposed school development.

The first school in the programme is the sample school, Dyke House, which is nearly 100% remodel and refurbishment. This will be followed closely by Catcote Secondary Special School and Manor College of Technology. The current procurement programme indicates that design work would commence on appointment of the Preferred Bidder, with construction following at Dyke House as soon as possible after contracts are signed. Preliminary design of Catcote Secondary Special School and Manor College of Technology is also anticipated during preferred bidder stage, to assist in each school's start on site date being at an optimum date to assist in delivering all schools at the earliest time.

St Hild's ICT enhancement would begin ahead of ICT installation at Dyke House to provide the ICT contractor an opportunity to roll its resources from St Hild's to the other schools thus achieve economies in terms of planning and labour.

High Tunstall, the PRU and English Martyrs will form part of the third phase and would complete the programme.

The preparation of, and submission, of the Stage 0 documents is included on the overall procurement programme and the Council is identifying the requisite resources to carry out this work to meet the programme. (See Section 6 for further information).

4.2 D&B Projects

The Council acknowledges that whilst Design and Build contracts are exempt from HM Treasury VFM guidance, the Council will ensure throughout the procurement process that the cost and scope of solutions offered by bidders is 'on market'. This will be achieved through the use of the PFS National Framework which incorporates a maximum price per square metre arrangement and a mini competition process together with a rigorous benchmarking process using internal and external experience and expertise.

To date, we have engaged with four of the six construction companies listed on the National Framework for Design and Build. All four were interested in the project and welcomed the opportunity to discuss our aspirations. We intend to seek dialogue with the remaining two framework contractors to ensure that our project is a high profile scheme that will attract the greatest amount of interest from the panel.

An internal training session has been undertaken, led by Ward Hadaway, the Council's Legal Advisers, to explain the framework arrangements, the standard form legal agreements and the areas within the agreements which will need to be populated as design development progresses for each school.

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4.3 The ICT Project

4.3.1 The Council will ensure, throughout the procurement process, that the cost of the ICT solutions offered by bidders are “on market” through a rigorous benchmarking process. This will be confirmed as part of the Final Business Case.

4.3.2 HM Treasury Guidance on VFM is not applicable to ICT contracts in BSF. To date, schemes in procurement have been able to deliver the ICT solution within the funding envelope. At this stage the PfS ICT funding assumptions have been used to assess the projected costs of the ICT procurement.

4.3.3 It is assumed that procuring the full scope of the ICT managed service through standard BSF processes offers best Value for Money. Our only amendment to this standard, as agreed with PfS, is:

- around Change Management and Training where we envisage a partnership approach with the managed service provider working collegially with our existing expert practitioners in schools and across the Authority (e.g. specialist schools, advanced skills teachers, NCSL/SSAT consultant leaders) and City Learning Centre staff. These services are considered a strength and good Value for Money and are seen in the BSF context of ‘adding value’.

4.3.4 We are confident that our approach to the ICT investment will deliver the transformational goals because the ICT output specification has been carefully crafted in light of the school and Council Strategy for Change documentation and the School Strategy for Change and ‘Day in the Life’ scenarios. During dialogue we will look to maximise the return on our ICT investment by objectively assessing the value delivered from the procurement, the intention is to deliver value for money through maximising market competition and through the ICT payment mechanism. The approach adopted by Hartlepool is aimed at supporting and upholding the Council's principles of commitment to social enterprise, investment of profit in the community and developing the capability of the public sector.

4.3.5 The ICT managed service provider must be able to demonstrate value for money over the long term to Hartlepool. This will be achieved through competitive procurement for the role of managed service provider, through competing in the supply-chain for new projects and through continuous improvement.

4.3.6 To enable Hartlepool to continually monitor the managed service provider's performance in terms of value for money, a number of Key Performance Indicators will be included as part of the ICT payment mechanism. Once the managed service provider is appointed these will be continuously monitored and reviewed by the Council and its schools to ensure that the partnership is operating effectively.

4.3.7 In essence we are seeking to maximise the economies of scale that come from a large-scale procurement of ICT infrastructure. We will therefore look to the managed service provider to offer a transparent pricing structure for all products and services which we can easily and objectively benchmark against industry standard prices to show the savings afforded by the BSF procurement and the adherence to best value principles.

4.3.8 We will also establish a centrally managed enterprise scale service in order to maximise the economies of running the service holistically as opposed to on a school-by-school basis where we believe there is a perceived degree of overlap and duplication in our current approach to ICT support. In light of significant soft market testing and engagement with the market, we believe that by establishing an intelligent IP based infrastructure across our learning real estate we will be able to extract savings in terms of operational costs in the medium and longer term. We will therefore expect bidders to outline their strategies for delivering such a solution and how it will deliver savings, particularly as regards facilities management.

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4.3.9 We will be seeking to use BSF to maximise the benefits in terms of accessing specialist resources, cost control and quality learning and wellbeing outputs. ICT infrastructure and services across Hartlepool are increasingly more complex and critical to learners and teachers. As a consequence, our ICT needs to be consistently and constantly available, highly secure, easy to use and content rich.

4.3.10 We are seeing a growing demand for our schools to provide high levels of support, driven by the need to raise standards in education. ICT service delivery levels are central to this strategy and BSF affords us the opportunity to review the management of school business support services, building on acknowledged good practice in many cases.

4.3.11 Our schools are passionate about realising the benefits of technology to bring about a dramatic improvement in learning and achievement, to secure the futures of Hartlepool's young people in the global, post-industrial, knowledge-age economy. Delivering and maintaining effective ICT requires specialist skills and resources. Opting for a managed service is one way to ensure that ICT meets the highest expectations of learners and teachers.

4.3.12 One of the ways in which the authority is helping schools to reduce the risk in cost associated with trialling new technologies, is the provision of the cutting-edge shared resource known as the Space to Learn, based at St Hild's and incorporating the City Learning Centre. Funding for this scheme is shared between the local authority, diocese and CLC, ensuring that ahead of BSF investment new technologies and pedagogies are trialled with local students and teachers.

4.3.13 As part of our Value for Money assessment we will assess the degree to which the managed service provider will intelligently apply technologies that will have a significant impact on achievement levels and deepen learning for all who come to our learning spaces, physically and virtually. There must be a perceivable impact that will stimulate the imagination and creativity of learners that will engage, enthuse and motivate, engender collaboration and promote self-directed, personalised approaches to learning. It is imperative that we can demonstrate that this significant investment of public money will lead to tangible improvements. In this regard BSF will not solely be about buildings or technology but rather on progress and positive change for our learners.

4.3.14 There will undoubtedly be changes to the national performance frameworks, inspection regimes, (including Ofsted and other inspectorates), performance indicators and specific targets for a Local Authority over the life of the ICT managed service. The contribution of the managed service provider to the continuous improvement of Hartlepool services will need to be sustained throughout the life of the agreement and the provider will need to be responsive to such changes. Value will come from enhanced levels of entitlement to learning services afforded through the managed ICT service. We will embrace the opportunity that ICT affords us to radically challenge the traditional relationship between the educational institution and the individual. We will use ICT as a key enabler to transform educational systems across Hartlepool to better reflect the needs of the learner and move away from a one-size-fits-all solution. This implies a new view of the learner as a leader in developing their learning pathways, choices, curricula and experiences, rather than a passive recipient subject to a universally applied educational experience.

4.3.15 Value will also come from the creation of learning spaces and pedagogies which account for the different learning styles, needs and interests of individuals and which offer our learners greater choice over what they learn, how they learn it, and even when and where they learn. Through a new 'educational contract' between each learner and Hartlepool, learning institutions will be able to constantly reconsider the relationships and practices that occur within our formal learning spaces. We will look to our managed service provider to proactively offer support and guidance regarding best practice in ICT as a means of supporting increased outcomes for our learners.

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4.3.16 ICT opens up the possibility of learning across institutions and beyond their physical walls. It requires an engagement with informal learning spaces and the creation of connections between these and formal sites of learning at the schools and with our industrial partners. It opens up the possibility of learning with different individuals and organisations, of searching for relevant expertise and the creation of flexible and changing learning communities that will change throughout a 'learning career'. In this context we will look towards our ICT partner and their supply chain to secure long-term relationships with our learners in the form of work placements, training, mentors and educators. As a means of securing value for money we are keen to engender a sustainable learning partnership that will lead to an economic and social renaissance for Hartlepool.

5 AFFORDABILITY

5.1 The D&B Projects

The following sections summarise the estimated affordability position for the Council's BSF programme.

The further design development work that has been undertaken as part of the Outline Business Case production has challenged the perceptions made at SfC2 and has developed more detailed proposals that align with the schools' SfC. These latest options have been captured in the Control Drawings and schedules of accommodation which are contained in the appendices.

The proposals contained in the control options have been reviewed and an estimate made of the likely costs to achieve the requirements. Included within these estimates are the strategy for pupil decant and any temporary accommodation. Also included are the requirements to carry out any works that have been identified in the survey work that has been undertaken. The full schedule of requirements resulting from the surveys undertaken are included within the Abnormals proforma, previously submitted and approved by PFS and contained in Appendix 1B.

5.1.1 Capital Cost

This section sets out the estimated construction costs including abnormal costs, as provided the Council's Technical Advisers, and details the allocated funding at the Funding Start date for the programme. The allocated funding includes £400k (at Reconciliation Date) of additional abnormal funding per site uplifted to Funding Start, and the agreed carbon reduction funding of £1,526k at Funding Start date.

The table below sets out the indicative capital costs as at the assumed start on site date for each school. These figures have been produced by the Council's Technical Advisers and are based on the control options at current market rates uplifted by the June 2008 DTI public sector indices.

Schools	D&B Construction costs including abnormals (£'000)	Abnormals (£'000)
Dyke House	13,374	1,163
English Martyrs	21,282	1,776
High Tunstall	22,671	1,462
Catcote	12,249	327
Manor	24,708	2,147
PRU	811	373
St Hild's	194	-
	95,289	7,248

In accordance with the PFS OBC guidance, a summary of key assumptions made in preparing the cost estimates has been included at Appendix 5.

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At Start Date the capital funding (including additional abnormal funding) totals £93,918k. The detailed FAM information is included as Appendix 4

Further to the FAM, an additional capital contribution of £1.4 million is expected to be required to meet the cost of the design and build of the Hartlepool schools programme. The funding available is as follows:

Funding	(£'000)
FAM construction	93,918
Schools contribution	478
Council contribution	893
	95,289

School Contributions

The following schools have committed to contribute a one off amount of £100,000 each from future DFC allocations to meet the cost of new furniture and equipment

- Dyke House
- English Martyrs
- High Tunstall
- Manor

St Hild's will contribute £78,000 towards the cost of installing the ICT infrastructure. This amount represents the difference between the Technical Advisers estimated costs of £194,000, at start on site date, and funding of £116,623 included within the FAM.

In accordance with FFS OBC guidance, indicative 'in principle' governing body resolutions have been supplied by the relevant governing bodies setting out their commitment to make the necessary contributions. These are supplied at Appendix 6

Council Contributions

The Council has approved the following principles for funding the Authority's contribution to the BSF project. The funding resources are shown in the order they will be used:-

1. Capital receipts generated from the sales of surplus school assets arising from the implementation of BSF;
2. Capital receipts generated from the sale of other Children's Services assets;
3. Prudential borrowing funded by secondary schools (subject to Schools Forum and DCFS approval);
4. Prudential borrowing funded from the Council's own budget

Possible mitigating strategies

As detailed above the Council believes it has built up a robust affordability analysis of the Design and Build project and fully understands the underlying costs and funding terms. As such prudent assumptions have been reflected in the detailed costings. The key mitigating strategy against pressure on the agreed OBC affordability position will involve:

- ensuring market costs (both for construction and FM but also funding terms) are monitored closely to ensure any upward pressure on costs is identified early;
- remaining on programme and ensuring that the costs of any time delays are identified early, and
- developing an output specification which is aligned with the funding envelope.

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The Authority will monitor costs during the development of the project documentation. It is the Authority's intention to disclose affordability information to bidders and be absolutely clear that no further funding is available.

A major focus of our negotiations with bidders will be in securing confidence that the preferred bidder has the capacity to deliver to our project timetable, thus mitigating risk of increased cost as far as possible.

The Authority commits to managing and meeting the affordability gap as outlined, and the necessary contributions required from the Authority to meet these commitments are being factored into the Authority's medium and long term financial strategy in respect of the Authority's budget.

Timing of Capital Receipts

The Authority has considered the likely timing for the realisation of any possible capital receipts and the impact, from a Treasury management perspective, of the requirement that the Authority will need to temporarily fund the affordability gap before the receipts are realised. The Authority understands and accepts the financial consequences of this.

The Authority, through its S.151 Officer letter, has given a commitment to underwriting the cost of the project should expected land sale values not be realised.

5.1.2 Lifecycle/Hard FM Costs

Our external Technical Advisers, Gleeds, have estimated the likely costs over a 30 year period associated with the preventative planned maintenance / lifecycle replacement costs associated with each of the schools. The intention of both the Council and all schools is to ensure that the facilities are fully maintained over their design life to provide a legacy for the residents and communities of Hartlepool of flexible learning spaces however learning will take place in the future.

The following table sets out the expected lifecycle expenditure and annual maintenance for each of the schools following the completion of the initial capital expenditure detailed above. The lifecycle costs represent the whole-life costs of capital expenditure over 30 years.

Schools	Lifecycle (£'000)	Annual building maintenance (£'000)
Dyke House	5,569	134
English Martyrs	7,739	177
High Tunstall	7,499	129
Catcote	3,317	50
Manor	8,360	131
PRU	436	
St Hilda's	3,900	
	36,820	621

The estimated costs have been shared with the schools and each school has committed to proposals to maintain their school facilities for a minimum period and have identified funds from their Devolved Budgets in order to meet these costs.

Appendix A

The costs will be funded as follows:

Funding	Lifecycle costs (£'000)	Annual building maintenance (£'000)
FAM	-	-
Schools contribution	15,697	621
Council contribution	21,123	-
	36,820	621

The Council contribution to Lifecycle costs comprises Modernisation grant and Revenue Contribution to Capital Outlay (RCCO) from the Dedicated Schools Grant (DSG). The schools contribution will include 80% of the relevant reduced Devolved Formula Capital following the modernisation. The funding currently applicable to Brierton School will also be allocated across the modernised schools following its closure. In addition, schools will make payments into a centrally managed investment fund specifically set up to deliver the lifecycle costs detailed above. The investment fund will earn applicable interest.

The Authority has undertaken an exercise to assess the current level of spend in relation to annual Building Maintenance. This has been compared to the estimates provided by Gleeds and it has been agreed that this can continue to be funded from within the existing delegated school budgets.

In accordance with FFS OBC guidance, indicative 'in principle' governing body resolutions have been supplied by the relevant governing bodies setting out their commitment to make the necessary contributions. These are supplied at Appendix 6.

5.1.2.1 Methodology – The Investment Fund

The Council has carried out an extensive consultation exercise with each of its secondary schools on the concept of an Investment Fund as the means by which the BSF Programme investment is protected in the short, medium and longer term. The concept has been supported by schools who acknowledge that such an approach, post OBC, will need further detailed examination and testing. In addition, there has been an open acceptance that a new opportunity presents itself with regards to the procurement of services in this area, which will need to be evaluated and agreed by all stakeholders. In summary, the following core principles will act as the framework upon which to establish and develop a funding mechanism to which all stakeholders can contribute with confidence and which provides appropriate protections allowing an effectively managed programme of work to be planned, undertaken and refreshed on an annual basis:

- Programmes will be developed on a school by school basis on the basis of a 30 year period. Technical assessments and costings will be drawn up in line with each individual Design and Build construction contract.
- Construction contractors will be required to provide maintenance manuals with confirmed lifespans for each key element of the new and/or remodelled school buildings.
- Schools will commit to the provision of an agreed amount of their devolved formula capital and revenue funding
- Hartlepool Borough Council will commit to the provision of an agreed amount of its Modernisation Funding and Dedicated Schools' Grant
- Roman Catholic and Church of England Diocese will be consulted on their approach to the provision of funding from their Locally Co-ordinated Voluntary Aided Programme (LCVAP)

Appendix A

- All interest earned by the Investment Fund will be re-invested for the sole purpose of providing additional funding for the benefit of each school to support the delivery of lifecycle costs.
- Stakeholders' contributions will exceed spending in the early years of the Fund in order to build up funding, which in turn attracts interest
- Each schools' individual agreed spending plan to be reviewed annually in the light of historic costs, market forces, inflation, current and future needs.
- The Council will manage Investment Fund strategies in order to realise benefits from collective investment utilising the knowledge gained by experienced fund managers.
- One fund will exist but there will be ring-fenced "stakeholder accounts" for each participating school with guarantees of annual statements recording all payments in and out of the fund.
- All invested funds are outside school balances as well as earned interest
- Schools may invest additional contributions in some years and less in subsequent years
- The Council recognises that there is no current formula factor to provide lifecycle maintenance funding and commits to the principle of review of its fair funding formula
- Annual agreed fixed contributions to go into the Investment Fund so that all funders have stability

5.1.2.2 Procurement Approach – Option Development

The Council and schools are committed to a procurement approach that will be based on option appraisals and competition to establish the most cost effective means of ensuring that schools are well maintained for the agreed period of 30 years. Any procurement approach will consider as a minimum, the following options:

- a single long term maintenance / lifecycle contract for all schools incorporating an ability to terminate for poor performance
- a single short term maintenance contract for all schools for (say) 5 years with market testing for each subsequent 5 year period

As a minimum, the development of an Authority-wide approach should examine the benefits of the following:

- in house provision by the Council
- provision by external partners
- school based provision

Any of the above (or a combination package) will need to demonstrate that BSF investment can be adequately maintained and protected and at the same time demonstrate that Value for Money is achieved by the choice of the chosen route.

School representatives will be included in the evaluation process for each contract opportunity and the Council will manage the process complying with the law, including any potential conflicts of interest to achieve best value for money and the most economic solution.

Appendix A

5.2 ICT Projects

The Council and its ICT Advisers have carried out a robust exercise to establish the capital and revenue costs of the ICT project. This has involved modelling the sustainability of the programme over a 10-year period (contractually this would be five years plus an optional five year extension dependent on the adequacy of the ICT MSP's performance), where the need to consider sustainability and refresh funding has been factored in. It also takes account of the phased entry to the ICT contract as school buildings are complete and of an offer of 'core services' to all schools from day one of the ICT contract.

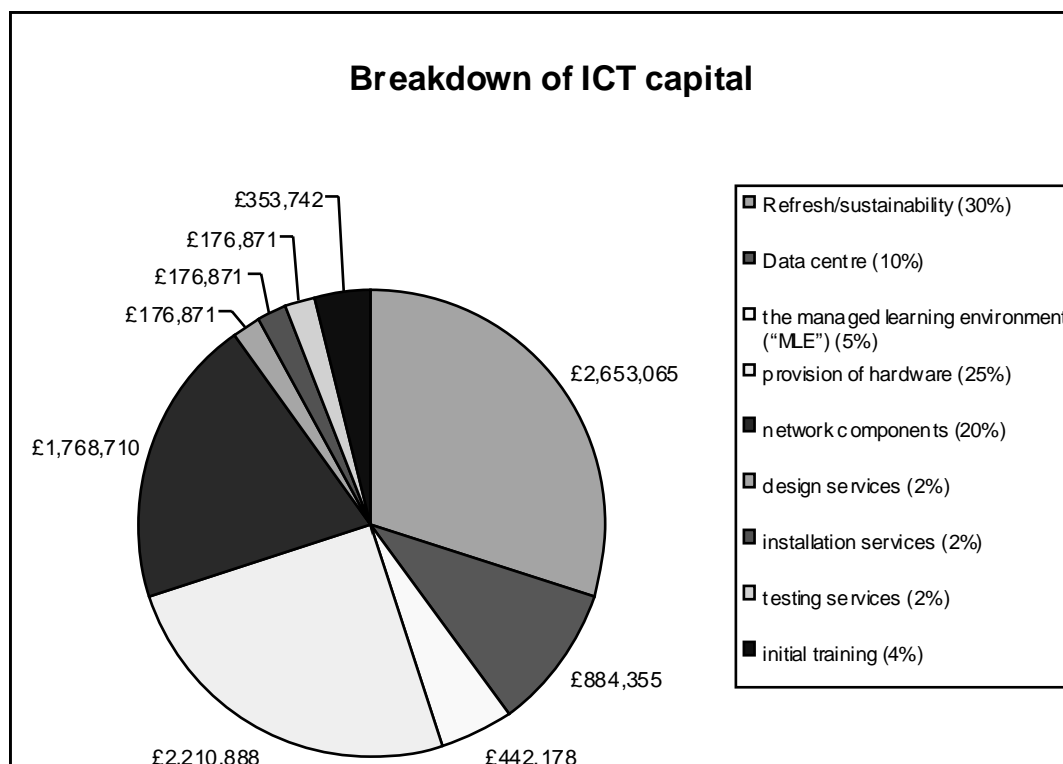
Capital Expenditure

Capital Funding will be £1,450 per pupil giving an overall amount of £8.9 million and it is anticipated that the preferred solution can be delivered within this envelope. The LA has modelled the capital spend on ICT on a percentage basis in light of advice from consultants and external soft market testing. This is due to our requirements being expressed functionally in the ICT output specification documentation, as opposed to a prescribed (and therefore firmly costed) solution. We recognise that this is a high level view of potential capital allocations and will use the dialogue process to further develop our thinking in this regard. Our assumptions in respect of how this capital funding will be allocated are detailed below:

		Total
<i>Pupil numbers</i>		6,099
<i>Initial expenditure</i>		
Data Centre	10%	884,355
Managed Learning Environment	5%	442,178
<i>Across schools</i>		
hardware	25%	2,210,888
network components	20%	1,768,710
design services	2%	176,871
installation services	2%	176,871
testing services	2%	176,871
initial training	4%	353,742
Retained for refresh	30%	2,653,065
		8,843,550

The overall capital value of the ICT contract is $6099 \times £1450 = £8,843,550$

Appendix A



It is currently assumed that no affordability gap exists in relation to ICT capital funding.

Interim service

In order to ensure that the fully-managed service is available for the sample school (Dyke House) upon completion of its building programme in September 2012, the Authority will require the service provider to have the necessary infrastructure in place by that date. In order to facilitate this, the Authority will seek permission to draw down the capital funding detailed above for the establishment of the data centre and integrated learning environment (incorporating MIS, Learning Platform and core content as specified in the ICT Output Specification) by this date.

In addition, it is expected that all schools would have access to the catalogue of resources and equipment [to support purchases] prior to their entry into the fully-managed service. Schools have agreed to contribute approximately £20 per pupil per annum during this interim period in order to fund the costs of this core service.

		Total
<i>Pupil numbers</i>		6,099
<i>Interim managed service</i>		
£20 per pupil per annum		£121,980

This annual amount will reduce proportionately as the schools take up the full managed service detailed below .

Appendix A

Full managed service

The ongoing operational costs of supporting the ICT managed service are calculated as follows

		Annual Total
<i>Pupil numbers</i>		<i>6,099</i>
<i>Schools contributions</i>		
£120 per pupil per annum		731,880
Harnessing Technology Grant		131,439
5% Schools development Grant		o/s
10% Devolved Formula Capital		o/s

The funding above will be allocated across the schools on a per pupil basis.

It is currently assumed that no affordability gap exists in relation to the ICT managed service as it is considered that the preferred solution can be delivered using the revenue funding detailed above.

£20 per pupil per annum of the above would be for the “virtual services” element; that is to say the Central Data Centre and the Learning Platform.

The full ICT cost model is included at Appendix 5A.

TUPE

Most schools have agreed to the transfer of their technical staff under TUPE regulations with two wishing to explore possible additions / amendments to this. The Authority will invite bidders' views on the timing of such transfers and, in particular, how to ensure equity of service provision and equity of access for technical staff transferred having due regard to the need for a fair and equitable balance of costs and risks. This will be clarified throughout the competitive dialogue process. The above proposals have been fully discussed with PfS' Education ICT Adviser, Jill Collison.

5.3 Affordability – Concluding Summary

The Authority has assessed the affordability of the Project as a whole. It has evaluated the costs of the Design and Build and ICT procurement.

Based on the analysis conducted above, the Authority is aware of its financial obligations and has assessed the overall level of funding available. Having made this assessment, the Authority is confident any capital or revenue funding gaps can be filled and that the project as a whole is affordable.

Formal member reports covering the assessment of affordability and resolutions approving the budget strategy are included at Appendix 6 of the OBC. The Cabinet minute included within Appendix 6 approves the overall affordability of the project, with some flexibility allowed. The full S151 Officer letter is set out at Appendix 6

6 READINESS TO DELIVER

6.1 Project Management

6.1.1 Introduction

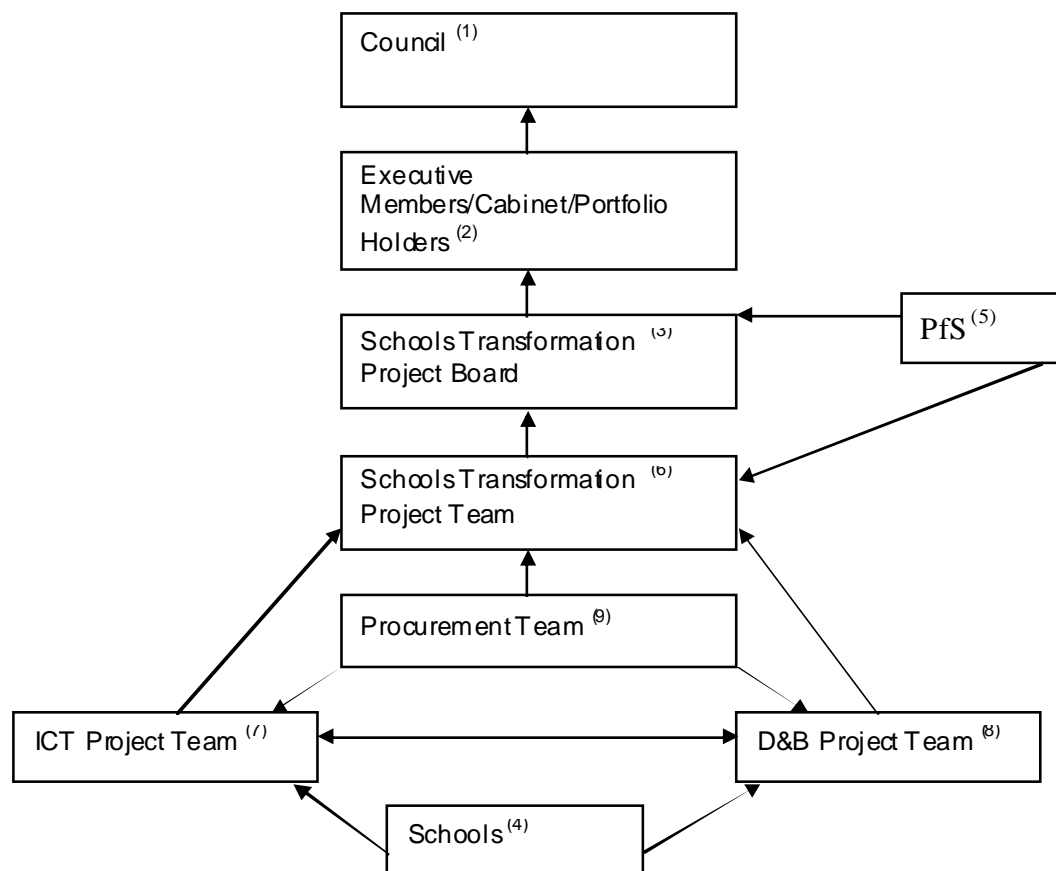
To ensure the successful delivery of the BSF programme in Hartlepool, we have established a Schools Transformation Project Board and Project Team to be responsible for delivering the scheme. All key stakeholders are involved in the process as the project develops, please see structure charts detailed below.

There will be a particular focus on the establishment of effective project and change management protocols in order to ensure the control of risks that will avoid impacting on the performance of schools experiencing potential disruption, decant or co-location. Throughout the life of the project to date there have been a number of successful project and change management practices in place and it is our intention to continue and develop these further. The following are identified as key to ensuring excellence in project management post-OBC approval:

- Clarity and scoping around intended outcomes
- Well organised and effective reporting and decision making arrangements
- Ownership and senior management commitment
- Specific management arrangements accepting responsibility for the BSF project
- Appropriately skilled Project Team and Manager with clearly defined and active management
- Well structured and sufficient resources plan
- Effective change management processes to manage overall project scope and variations
- Pro-active and well understood systems of communication both with schools and stakeholders across the Borough
- The results of a 4ps Skills Audit, see Section 6.1.4.2
- Lessons learnt from other BSF Project Teams
- Lessons learnt and implementing guidance from Gateway Reviews

The Council's proposed structure and approach for taking the Project forward post-OBC is as follows:

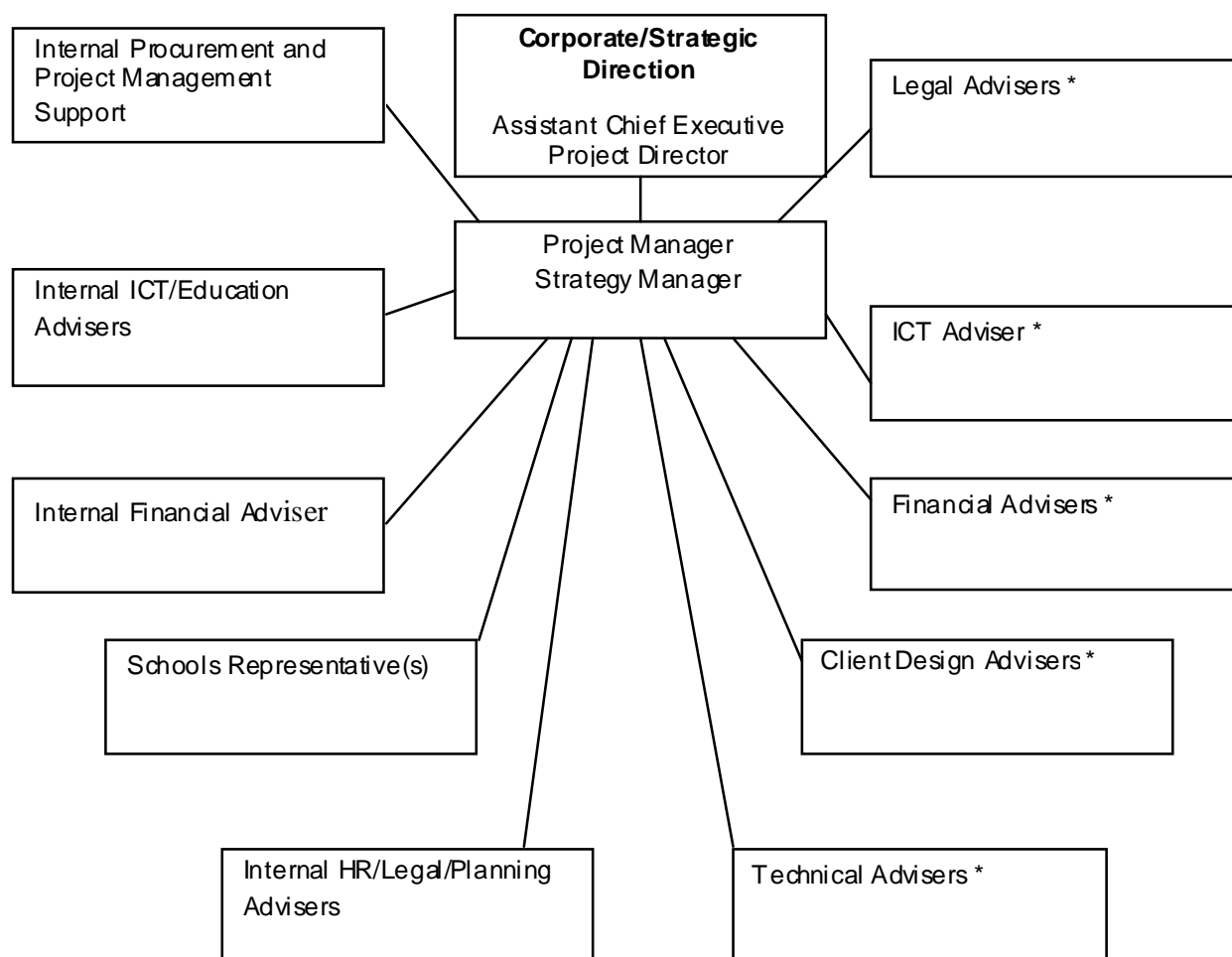
Overall Project Strategy/Direction



1. The Council will have ultimate decision making authority on funding issues concerning the BSF Project.
2. Cabinet/Portfolio Holders will receive regular informal progress reports, provide direction and decision making for strategic direction of the Project and will be key in directing and responding to national strategy including guidance from PfS.
3. The Schools Transformation Project Board is the Council/Cabinet's co-ordination and management driver for the Project. Its role is to ensure that senior representation from all core inputting departments of the Council and stakeholders are brought together to give direction and emphasis to the Project, ensuring all parties' interests are considered and addressed in the most appropriate way. It will have the ability to make decisions relating to the Project where a consensus is achieved and the Portfolio Holder accepts that this is the case. It will have a high level liaison role with PfS.
4. The Schools and their governing bodies will provide input into the Project through the Schools Transformation Project Board to assist at a strategic level, and then with the Schools Transformation Project Team, ICT and D&B Project Teams to assist on a day to day basis, on design, evaluation and value for money level.

Appendix A

5. PfS will interface at Project Board (specific strategy and direction) and Project Team (day to day guidance and project management support) levels. PfS will also be responsible for receiving the Stage 0 Business Cases and Full Business Case in due course.
6. The Schools Transformation Project Team is the key vehicle for successful delivery of the scheme going forward. It will be reshaped to incorporate external advisers and it will be made up of the following:



* All advisers offer significant experience of delivering BSF and ICT competitive dialogue procurements and are members of the BSF Adviser Panels where appropriate.

Its tasks will be to:

- Project manage the delivery of the scheme
- Set/determine timetables for each element of the scheme
- Manage the programme
- Co-ordination and integration of ICT and D&B
- Establish and manage sub-groups to deliver on key tasks for the scheme
- Decision make on a day to day basis
- Liaison with and updating of stakeholders including governors
- Identify emerging issues and address them

Appendix A

- Liaise with PfS
- Application of good practice
- Application of and adherence to national guidance
- Manage and deliver an effective ICT solution and appoint an experienced and capable ICT provider
- Manage and deliver an effective set of D&B solutions and appoint an experienced and capable D&B provider
- Manage procurement processes, carry out open, fair and transparent competitions and involve all key stakeholders (as appropriate) in evaluation and selection
- Negotiate with ICT and D&B providers to ensure robust and comprehensive contracting arrangements.
- Deliver successful FBCs, Stage 0 Business Cases and all necessary documentation.
- Consider adequacy of resource at sub-team level

7. The ICT Project Team shall:

- Prepare an appropriate output specification
- Prepare OJEU advertisement
- Prepare tailored contract documents
- Be responsible for day to day running of the competitive dialogue process
- Be responsible for contract and solution negotiation
- Apply best practice
- Provide a solution which integrates with the D&B solution
- Deliver all of the above to agreed timescales
- Be responsive to direction from the Schools Transformation Project Board and Project Team
- Provide input into FBC preparation and completion

Its members are detailed in Appendix??

8. The D&B Project Team shall:

- Prepare an appropriate output specification for each school
- Manage the selection of a contractor in accordance with the Academies framework parameters
- Prepare tailored contract documents
- Be responsible for day to day running of the appointment process
- Be responsible for contract and solution negotiation
- Apply best practice
- Provide solutions which integrate with the ICT managed services solution
- Deliver all of the above to agreed timescales
- Provide input into FBC preparation and completion

Its members are detailed in Appendix??

9. The Procurement Team shall:

- Evaluate PQQ responses
- Provide specific procurement related advice
- Provide advice and management of the procurement process.

Its team members are detailed in Appendix??

Appendix A

Each of the above will be adequately resourced with increased resource being made available from the OBC stage as follows:

<i>Internal Support</i>	<i>Procurement Finance Property Services/Project Management</i>
<i>External Support</i>	<i>Legal – Increased support on procurement. Increased support on ICT contract negotiation/document preparation. Increased support on D&B contract negotiation/document preparation</i>
	<i>Financial – Advice and evaluation of financial proposals and continued assessment of affordability and FM</i>
	<i>Technical – Increased support on procurement.</i>
	<i>Estate – Increased support on advice and evaluation of estate options and integration between ICT and Design and Build</i>
	<i>Design – Increased support on advice and evaluation of design options, liaison with school teams, CABE and DQI facilitator.</i>
	<i>ICT – Increased support on advice and evaluation of managed service options, liaison with school teams, ICT integration</i>

As a minimum:

- Cabinet/Portfolio Holder will consider progress of the scheme on a formal/informal basis at least fortnightly
- Schools Transformation Project Board will meet monthly
- Schools Transformation Project Team will meet weekly
- ICT Project Team will meet and review as necessary
- D&B Project Team will meet and review as necessary

Stakeholder engagement is key to delivery of any scheme of this nature. Involvement will be as determined above and through the following mechanisms:

- Head Teachers' forum –
 - updated monthly
 - Engagement at Project Team level through representatives
 - Engagement in evaluation
 - Engagement in design consideration
 - One to one engagement as necessary
- Governors' Forum
 -
 - updated quarterly or more frequently
 - Informed decision making
 - Individual contract discussions for each D&B solution

There will be a particular focus on the establishment of effective project and change management protocols in order to ensure the control of risks that will avoid impacting on the performance of schools experiencing disruption, decant or co-location.

6.1.2 Project Governance

The Council has managed the BSF Project by means of the following key governance groupings:

Council's Cabinet: to provide the full executive sponsorship, authorisation and approval of the project from initiation and at major milestones.

Schools Transformation Project Board: responsible for the overall direction and management of the project and for effective management of key stakeholder engagement.

6.1.2.1 Schools Transformation Project Board

Subject to the overall strategy for Building Schools for the Future being determined by Cabinet, most decisions relating to BSF are made at Project Board level through authority specifically delegated from Cabinet.

The role of Project Board throughout the procurement phase will be to exercise leadership and management of:

- the delivery of the project in line with the Council's BSF Schools Transformation vision and objectives
- partnership working with key stakeholders represented on the Project Board
- outcomes that are affordable to the Council and schools
- project development at key milestones, ensuring that approvals required by Cabinet and other parties are addressed.

The Project Board meets on a monthly basis and is chaired by the Portfolio Holder for Children's Services. Membership and Terms of Reference of the Schools Transformation Project Board can be found in Appendix 23

6.1.2.2 Schools Transformation Stakeholder Board

The main purpose of the Stakeholder Board is to provide a forum for wide ranging discussion on all aspects of the Schools Transformation Programme. Views expressed at Stakeholder Board meetings inform project planning and the drafting of key documents. Membership and Terms of Reference of the Schools Transformation Stakeholder Board can be found in Appendix 23

6.1.3 Schools Transformation Project Team

6.1.3.1 Project Owner

The Project Owner is the Director of Children's Services, Adrienne Simcock. Ms Simcock is the senior officer who offers support to the Project Director and is responsible for the promotion of the project with members, stakeholders and external bodies and within the Council's Corporate Management Team.

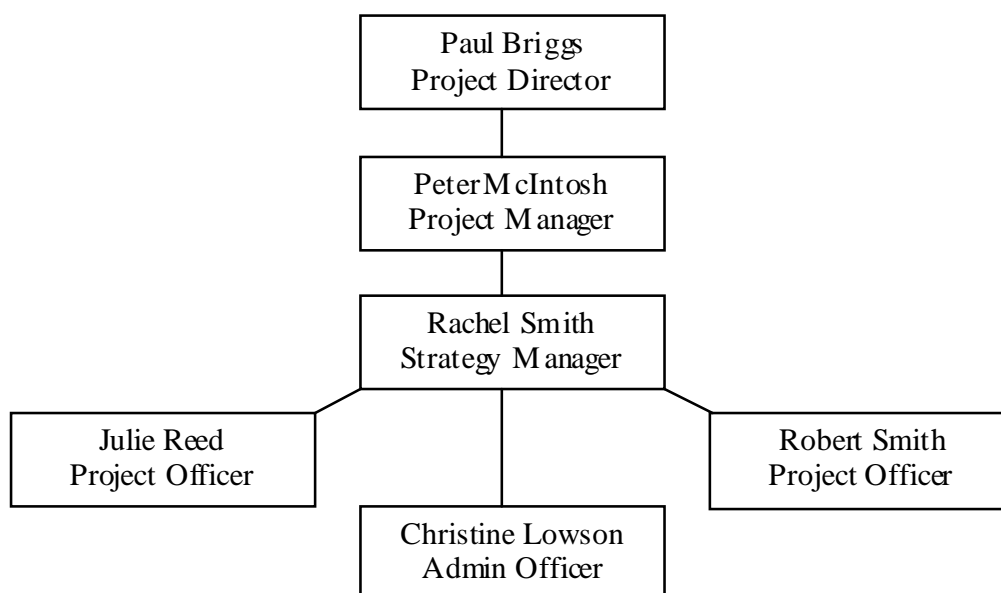
6.1.3.2 Project Director

The Project Director is Paul Briggs. Mr Briggs is also Assistant Director for Resources and Support Services and has a background in Education Strategic Planning. He was a Secondary Headteacher in Northumberland, Diocesan Director of Schools and an Education consultant. His role sits within the Children's Services Department's Senior Management Structure and acts as the interface between the Project Board and Corporate Management.

The Project Director is responsible to the Project Owner, the elected Mayor and the Chief Executive on all matters relating to BSF and will see the project through the development, procurement and delivery phases.

6.1.3.3 Core Project Team

The BSF Core Project Team was established in May 2007 and is made up of a Project Director, Project Manager, Strategy Manager, two Project Officers and an Administrative Assistant. The team is accountable directly to the Project Director who receives updates on all areas of project progress and development weekly or more often as required.



Appendix A

6.1.3.4 Extended Project Team

The core team is supported by a cross – Council group of Senior Officers who add dedicated and specialist support to the Project Director and Manager. The team is made up of:

Sue Johnson	-	Assistant Director CSD Planning & Service Integration
Caroline O'Neill	-	Assistant Director CSD Performance & Achievement
Andrew Atkin	-	Assistant Chief Executive
Peter Devlin	-	Chief Solicitor
Alison Swann	-	Human Resources Adviser
Alison Oxley	-	Human Resources Manager
David Ward	-	Group Accountant
Graham Frankland	-	Head of Procurement, Property Services and Public Protection
Denise Ogden	-	Head of Neighbourhood Management
Alastair Smith	-	Head of Technical Services
Derek Reynolds	-	Project Manager Procurement & Property Services
Alan Coulson	-	Engineering Manager
Pat Usher	-	Sports & Recreational Manager
Colin Scott	-	Strategic Director of E-Learning
Geraldine Martin	-	Head of Social Work/Social Care
Stuart Green	-	Assistant Director Planning & Economic Development
Sylvia Burn	-	Regeneration Team Leader
Alastair Rae	-	Public Relations Manager
John Leach	-	Senior Adviser Workforce Development
Maggie Heaps	-	Adult Education Co-ordinator
Danielle Swainston	-	Surestart, Extended Services & Early Years Manager
Penny Thompson	-	Children's Centre & Childcare Co-ordinator
Gemma Clough	-	Principal Regeneration Officer
Alan Kell	-	Asset Manager
Martin Robson	-	Education Consultant

6.1.3.5 External Advisers

The Schools Transformation Project Team is supplemented by external advisers as required. The Council's external Advisers are all suitably experienced and qualified in BSF project work and are listed below :

- Technical – Gleeds
- Legal – Ward Hadaway
- Finance – BDO Stoy Hayward
- ICT/Education – Tribal
- Client Design Adviser – GWK Architects

Appendix A

All external advisers are managed by the Schools Transformation Project Manager and liaise with the relevant workstream lead officer to take full advantage of the knowledge, skill and process transfer. This knowledge transfer will enable Council officers to take leading roles as the project progresses.

In addition, the Council has received assistance and advice from 4ps, and has undertaken key modules offered as part of the 4ps training programme. The Council has also worked with the CABA enabler and Client Design Adviser as part of the OBC preparation. Our Design Champion, Cllr Peter Jackson, has visited all Hartlepool schools receiving capital funding under BSF, and has also visited a BSF School in Bristol, to further understand how transformational buildings can support transformational learning.

6.1.4 Project Management

6.1.4.1 Gateway Review 1

Hartlepool's Gateway 1 review took place between 17th and 19th November 2008. The first paragraph of the conclusion to the Gateway team's report sets the tone for the very positive feedback we received. 'The Review Team was impressed by the degree of clarity of the vision for future secondary education provision in Hartlepool which will be developed and delivered through the BSF programme and by the widespread commitment to achievement of the vision which exists within the authority, its schools and within the partner organisations and external stakeholders interviewed during the review.'

The Gateway report included 4 recommendations which involve:

1. Completing the OBC and resolving any affordability issues;
2. Reviewing the risk management processes;
3. Reviewing programme governance arrangements;
4. Reviewing programme resource requirements for the procurement phase of the BSF programme.

We have addressed the first 3 recommendations prior to submission of OBC and the fourth recommendation will be addressed following the outcomes of the review of skills and capacity that will take place between submission of the OBC and its formal approval.

6.1.4.2 Skills/Resources Audit

As we approach the submission of our OBC, the focus of the Schools Transformation Project Team is shifting from consultation and development of strategic documentation to procurement processes and procedures. As part of our continuing monitoring and evaluating role we have planned a Skills and Resources review under the 4ps framework for 16th & 17th December 2008. This review will offer an external view of the current & proposed arrangements to progress our BSF development with continued success. The proposed scope of the review will cover the following areas:

- Corporate Governance and Overall Management
- Project Leadership
- Project Management
- Workstreams / Task Groups / Structures (roles and responsibilities etc)
- Workload and Capacity
- Team Working and Communications
- Training
- External Advisers

6.1.4.3 Project Budget

The BSF Project budget is monitored and reviewed on a monthly basis by the Schools Transformation Project Manager and officers from Children's Services Finance Team. The outcomes are reported to the Chief Financial Officer and fed into the Cabinet's quarterly monitoring reports. The Schools Transformation Team structure, see Section 6.1.3.3, is fully funded through the resources identified in the Project budget, see Appendix 24.

The Schools Transformation Project Manager is responsible for controlling expenditure on the project team and external adviser costs, reporting as necessary to the Schools Transformation Project Director. The Council has a robust system of monitoring and controlling budgets which means that there are early warnings of any projected overspends or under spends. The Schools Transformation Project Manager works closely with all external advisers, managing the relationship for each contract in order to ensure that all work completed by advisers is in line with Council requirements, deadlines and budget provision.

6.1.5 Risk Management

The BSF risk register utilises the Council's corporate risk management web based system. The risk process identifies risks, quantifies the likelihood and impact of the risk occurring to establish an overall risk score, ascertains the owner of the risk and lists any mitigating/control measures that have been put in place.

A risk management workshop was held in July 2007 for the Schools Transformation Extended Project Team which further developed the risk management process and identified key personnel as risk owners. The web based risk management system also allows access for our External Advisers, who are able to update and amend the register as appropriate.

The Schools Transformation Project Board reviews the risks identified as 'red risks' on a monthly basis. The Schools Transformation Project Team evaluates the risk register on a weekly basis, monitoring and identifying new risks as the programme progresses. Each workstream also considers the relevant risks as a standing item on meeting agendas, the outcome of which is reported back to the Schools Transformation Extended Project Team.

As part of the BSF School Team meetings, a risk management session was held to support schools in developing their own risk registers, see Appendix 3. Key processes for the development and review of the registers has been implemented, and schools report updates to the Schools Transformation Project Team on a regular basis in addition to their own BSF management structures.

The Council considers risk management as an important process which is both structured and dynamic. Risk Management will next be formally considered in early January and will be considered at least monthly at Project Team level, with any specific risk issues considered weekly if necessary.

6.2 Procurement Process

6.2.1 Introduction

It has been agreed by PfS that we will follow a Design and Build (D&B) route in the delivery of our BSF programme. Our proposals on how we will achieve our aims and objectives through a D&B procurement can be found in our Procurement Business Case, which has been approved by Partnerships for Schools (see Appendix 25)

We will procure our BSF programme through the National Framework for Design and Build and the following PfS standard documentation will be used;

- PITT
- ITT including building contract.

6.2.2 Key Documentation & Procurement Plan

Below is a table outlining the procurement process for the refurbishment of the Sample School together with an outline of the ICT procurement process. Due to the nature of the Academies Framework and the fact that there is only one sample school, the Authority cannot be certain of the exact procurement timeframes for all schools at this stage. However, based on information gathered so far we have endeavoured to include an initial outline of anticipated milestones for the remaining schools.

Design & Build	ICT	Anticipated Dates	Resource
Outline Business Case Submission	Outline Business Case Submission	December 2008	
	Issue PIN and host Bidder Open Day.	November/ December 2008	
	Draft ICT PQQ of Descriptive Document and IPD	November/ December 2008	ICT Project Team
	Draft ICT OJEU Notice	November/ December 2008	ICT Project Team
	Submit ICT PQQ, Descriptive Document and IPD to PfS	January 2009	ICT Project Team
	Circulate ICT procurement documents to HBC Executive / members for approval.	January/ February 2009	ICT Project Team
	Publish OJEU Notice with Descriptive Document.	16/02/09	ICT Project Team
	Issue PQQ to all parties expressing an interest. Finalise IPD in accordance with comments from PfS (if any).	16/02/09 – 30/03/09	ICT Project Team
	Evaluate PQQ responses to take	30/03/09 – 08/04/09	Procurement Team

Appendix A

	Design & Build	ICT	Anticipated Dates	Resource
		forward to IPD. Inform all bidders of the outcome of PQQ Evaluation. Release IPD to 3 highest scoring bidders.	09/04/09	Procurement Team ICT Project Team
		IPD Stage 1 complete (submission, evaluation and reduction to 2 bidders)	29/06/09	ICT Project Team
		IPD Stage 2 complete and select Selected Bidder	31/08/09	ICT Project Team Project Team Project Board Executive Members School Governors Council
	Prepare and finalise PITT		01/07/09	D&B Project Team
	HBC writes to all Panel Members to invite them to confirm whether it is their intention to bid		05/07/09	D&B Project Team Project Team
	HBC forwards PITT to all interested bidders		22/07/09	D&B Project Team
	PfS to review completed ITT. Confirmation that HBC can proceed with ITT.		29/07/09	D&B Project Team Project Team
	HBC carries out a selection process to establish a shortlist of 2 bidders		08/09/09	D&B Project Team Procurement Team
	HBC issues ITT to two short-listed bidders		13/10/09	D&B Project Team
		ICT Financial Close	30/11/09	ICT Project Team Project Board Executive Members School Governors Council
	HBC works with both short-listed bidders		13/10/09 – 08/01/10	D&B Project Team
	ITT Submission Date		08/01/10	D&B Project Team
	HBC evaluates ITT responses		08/01/10 – 12/02/10	D&B Project Team Project Team
	Select D&B contractor (Selected Bidder)		12/02/10	D&B Project Team Project Team Project Board Executive Members Relevant School Governors Council
	Final Business Case			D&B Project Team

Appendix A

	Design & Build	ICT	Anticipated Dates	Resource
	submission			Project Team
	Financial Close	Financial Close	14/05/10	Project Team Procurement Team
	Alcatel 10 day standstill period	Alcatel 10 day standstill period	24/05/10	Procurement Team
		Contract Award Notice issued in the Official Journal of the European Union	Within 48 days of Financial Close	Procurement Team
	Work Commences on Sample School		August 2010	ICT Project Team
	Key Milestones: Non-Sample Schools			
	Sketch Design of Manor		April – May 2010	D&B Project Team Project Board Executive Members School Governors Council
	Sketch Design of Catcote		April – May 2010	D&B Project Team Project Board Executive Members School Governors Council
	Sketch Design of High Tunstall		October – November 2010	D&B Project Team Project Board Executive Members School Governors Council
	Sketch Design of English Martyrs		April – May 2011	D&B Project Team Project Board Executive Members School Governors Council

6.2.3 Procuring through the Academies Framework

Through using the Academies Framework it is anticipated that the procurement of the Design and Build Contractor will take approximately 36-40 weeks from OBC approval. The outline above anticipates that following the Alcatel Standstill period, work will start on the sample school by August 2010, with Future School Commencement Notices being issued for the 4 non-sample schools soon afterwards. It will not be necessary to publish a Contract Award Notice in the Official Journal of the European Union for the Design and Build Contract because of use of the Framework, however it will be necessary to publish an Award Notice in respect of the ICT procurement as detailed in the above table.

Throughout the Procurement Process the Project Team will adhere to all applicable guidance and standard documentation published by Partnership for Schools in relation to procuring both the sample and non-sample schools. The Authority intends to use the Target Cost Option (Batched) Design and

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Build Contract for the Sample School and will assess the type of contract needed for each of the non-sample schools on a case by case basis.

The Authority is fully aware that a period for judicial review will commence immediately after the Design and Build Contract has been awarded. There is a risk that any planning permission granted in respect of the sample school may be challenged, however in order to prevent any delay to the construction programme, it is anticipated that work will commence during this judicial review period. Such a decision will be subject to Cabinet / Authority approval prior to commencement of any works.

6.2.4 Evaluation Criteria and Weightings:

Evaluation will need to be carried out at the following stages:-

6.2.4.1 Education/ICT

- Following submission of responses to the Pre-Qualification Questionnaire during the ICT Procurement Process;
- Following submission of initial responses to the Invitation to Participate in Dialogue the Authority will select 2 of the 3 bidders to take forward.
- Selection of Selected Bidder.

6.2.4.2 Design & Build

- Evaluation of responses to the Preliminary Invitation to Tender from the interested panel members in order to select the two short-listed bidders with whom the Authority / the Project Team wish to continue dialogue;
- Following dialogue with the two short-listed bidders the Authority will evaluate the final Invitation to Tender responses and select the Selected D&B Bidder.

It is anticipated that members of the relevant Project Team will recommend a candidate for consideration to Project Board, Executive Members and the Council (if appropriate). The evaluation criteria used will be established in advance of initiating the procurements. Criteria used will, at a minimum, assess the following:

- Commitment to educational transformation;
- Previous Experience;
- Financial standing of the Bidders;
- Innovation;
- Solutions offered;
- Best Value;
- Working in partnership
- Resource
- Team
- Meeting timescales
- Quality (Standing & Approach)
- Deliverability
- Design
- Technical Ability

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The Authority's external Advisers will provide advice and assistance at all stages of each evaluation process, particularly in respect of the need to publish weightings and sub-criteria following decisions made in recent case law .

6.3 Consultation and Statutory Approvals

6.3.1 Statutory School Organisation Approvals

In preparation for the BSF Project, the Council has already completed a borough-wide review of its future secondary school needs and during the autumn term of 2007 concluded the statutory processes necessary to close Brierton Secondary School and review the capacity of the remaining schools.

6.3.2 Planning Approvals

The feasibility study and design work undertaken to date has been informed by informal engagement with the Council's planning service since before the submission of Strategy for Change (Part Two).

The Council encourages pre-planning application discussions on all development proposals. A "one stop shop" service provides a coordinated response to all submitted proposals, taking account of the full range of statutory consents and the views of all relevant Council departments and such other agencies as the Police and Fire Authority. This approach facilitates the consideration of formal planning applications and can often serve to secure improved development proposals.

The Councils' Statement of Community Involvement also promotes pre-application public consultation on major schemes, again with a view to facilitating progress and potentially improving the development proposal.

The proposal for the Sample School, Dyke House has been progressed through these pre-application stages, before the submission of an outline planning application on 9th October 2008. Outline planning permission was granted, subject to conditions on 26th November 2008; a copy of the planning permission is attached as Appendix 6

The current draft proposals for the other school sites have all been considered via the Council's one stop shop. In summary, all proposals are considered acceptable in principle in terms of planning policy and the other material planning considerations which can be assessed at this stage; copies of letters from the Council's Assistant Director (Planning and Economic Development) relating to each site are attached as Appendix 6

6.3.3 Governor Agreements

The Council has fully engaged and consulted with all school governing bodies in relation to the procurement of an ICT Managed Service Provider, on the delivery of FM services and in relation to the school specific Control Option Drawings produced by SMC Parr, architects to Gleeds. All schools have signed letters of commitment expressing their support of the above, copies of these approvals can be found in Appendix 6

6.3.4 Diocesan Approvals

One of the schools subject to BSF D&B capital investment is sited on land owned by the Diocese of Hexham and Newcastle. Confirmation of support for the proposed BSF investment is outlined in a letter provided by the Diocese. A copy of the letter can be found in Appendix 6.

6.4 Sponsor and School Commitment

6.4.1 Corporate Commitment

Hartlepool Borough Council is committed to successfully delivering the BSF programme. BSF is fully embedded within the Council's strategic planning and is seen as a corporate priority. The Schools Transformation Project Director attends Corporate Management Team meetings, Cabinet meetings and Mayor's briefing to ensure that BSF remains high on the local agenda. The Schools Transformation Project Board includes the Portfolio Holder for Children's Services, the elected Mayor, Deputy Mayor and other elected members, Chief Officers from Children's Services, Corporate Finance, Neighbourhood Services, Chief Executives Department and Regeneration & Planning. This demonstrates a high level of corporate commitment to the programme and ensures that BSF feeds into all other corporate initiatives.

6.4.2 Stakeholder Engagement

The Council prides itself on extensive stakeholder engagement in every area of development and we recognise the importance of ensuring stakeholder commitment to guarantee the successful implementation and integration of our Schools Transformation programme with other corporate initiatives. The Council is aware that to continue the current stakeholder interest and involvement requires planned events and activities for information sharing and feedback.

Examples of activities undertaken include:

- governor briefings outlining OBC requirements, with specific meetings in each school in relation to governor commitments;
- a series of School Strategy for Change meetings held with individual schools to support the development of school visions, change management plans and self evaluation;
- information stands and activities during CYPP consultations;
- engagement with pupils through the Sorrell Foundation workshops and additional support from key participation workers;
- briefings at the Neighbourhood Forums in the town;
- consultation events in each school aimed at their local community;
- consultation event for local businesses and employers;
- Change Management event for all schools;
- Change Management sessions held with individual schools to support progress and provide clear links to the LA Change Management plan;
- weekly Schools Transformation bulletin to schools outlining current progress;
- fortnightly meetings with School BSF Teams to address key issues and share information;
- dedicated website pages, e-mail address;
- regular articles and progress updates in 'Hartbeat', the Council's magazine;
- regular progress updates in the Children's Services staff newsletter;
- presentations to elected members at each key stage of the programme;
- regular presentations to Council managers.

Sport England is represented on our PE and Sport Stakeholder Group and has been fully involved in our Schools Transformation Programme from its inception. All plans and outline planning applications have been shared with Sport England and have received approval (Appendix 6). The Council has continued dialogue with National Governing Bodies of Sport following an initial consultation event at the beginning of the year, and is exploring how we can attract additional funding to supplement our BSF investment. All schools have been fully involved in the process to ensure that new school developments are considered alongside the current and anticipated sporting needs of the local community. More detailed information relating to our PE and Sport Strategy can be found in Appendix 26

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In addition, our Extended Services workstream meets on a regular basis with representatives from other departments within the Council, and a range of external partners e.g. Police and PCT.

Regular formal meetings with the Dioceses provide the Schools Transformation Project Director with an opportunity to communicate on strategic BSF issues. In addition, the Director of Education, Diocese of Durham and the Director of Education Services, Diocese of Hexham and Newcastle are both members of the Schools Transformation Project Board and have been key participants throughout the BSF project. Letters of approval from the Dioceses can be found in Appendix 6

Every school has established a BSF Team to support the transformation and delivery of the BSF programme. These teams meet with the School Transformation Team on a fortnightly basis to provide an opportunity for discussion, feedback and progress sharing. These meetings are facilitated by the Schools Transformation Project Manager.

A programme of targeted workshops has taken place with all schools in the development of the Control Option Drawings. Schools have been extensively consulted as part of this process and have approved the site development options attached as Appendix 1A

In addition, a BSF ICT Steering Group has been established with senior representatives from each school. This group has worked on the development of the ICT output specification with support from our ICT Education Advisers, Tribal. The ICT output specification has now been approved by all schools.

6.4.3 Communications Strategy

The Council recognises the importance of consulting and communicating with all stakeholders to ensure that we achieve transformational learning opportunities for all the young people in Hartlepool. We also aspire to engage local communities in the development of our programme to guarantee innovative solutions to allow the wider community use of facilities and resources within a learning environment. Our Communications Strategy outlines how we will continue to achieve this objective throughout the procurement period. The Communications Strategy continues to evolve as we progress through the BSF programme, and an updated copy of the document can be found in Appendix 17

Examples of communication developments/activities planned throughout the procurement and delivery phases include:

- the development of an interactive Schools Transformation website, providing key information for stakeholders and an opportunity for young people and the wider community to feedback ideas and suggestions in a user friendly environment
- the use of E Box as a web based information sharing platform and virtual data room to provide a shared work area and support the facilitation of effective communications within the wider team and with potential bidders
- relevant and timely workshops, briefings, events for pupils, schools, elected members and the wider community will continue to be delivered throughout all key stages of the programme. Expertise and experience will be drawn from Council officers and external partners to ensure that best outcomes are achieved.

7 LEADING AND MANAGING CHANGE

7.1 Introduction

Change management will enable us to achieve the innovative and ambitious plans we have for transformation in Hartlepool. We recognise that, to deliver a transformation in learning outcomes, we need to transform the way our schools work and how learning is delivered. We recognise that this means challenging long held assumptions that lie at the heart of current educational organisation and delivery but we are confident that the LA is well placed to support the change that these transformational challenges will bring.

Hartlepool has a consistently strong record of successfully addressing the challenges posed by the relentless pace of educational change seen over the last 10 years and improving outcomes during this period. This success is largely due to way in which we have worked closely with our schools and other stakeholders in order to develop collaborative solutions to the challenges we have faced.

Our strategic approach to the management of change has involved a range of initiatives that have enabled us to be proactive and link change to the wider Hartlepool agenda. These have included:

- Working closely with the National Remodelling Team and the TDA on change processes and workforce reform and modernisation in schools that have consistently been graded 'green' under the monitoring traffic light system
- Taking the lead on the current TDA CPD Leadership project for the North-East region
- Entering into joint working arrangements with neighbouring local authorities to develop a Higher Level Teaching Assistant programme and other programmes for support staff in schools
- Instigating a local programme for delivery of the Certificate in School Business Management by the NCSL
- Initiating a coaching and mentoring project for secondary schools in conjunction with the Centre for Research and Excellence in Education
- Establishing networks of school CPD leaders to raise the profile of CPD and promote collaboration and dissemination of effective practice
- Working with the Durham Postgraduate Professional Team to encourage Masters level progression for teachers
- Providing bespoke CPD to schools to train mentors in ITT and NQT processes
- Providing every NQT with local authority termly classroom observation and feedback
- Establishing a succession planning group of head teachers and local authority officers to work in liaison with NCSL
- Developing a successful local social partnership with unions and staff associations that supports and challenges the implementation of workforce reforms in schools
- Establishing a LA School Transformation Team (STT) to support BSF and PCP capital programmes to ensure a seamless approach to change

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- Developing school transformation teams in each secondary school to address all aspects of BSF

The STT has worked closely with colleagues from the Children's Services department and with other departments across the Council to ensure that a coherent change management strategy and implementation plan has been developed. The STT team has used the forum of our Project Board to ensure that all partners – both internal and external – are fully aware of our strategy in order to maximise the opportunities to be gained from the BSF programme. STT team will continue to work closely with senior managers in the local authority to ensure that our BSF Change Management Strategy and associated Change Plan are reflected in the Children's and Young People's Plan for 2009 – 2012.

The Change Process in Hartlepool

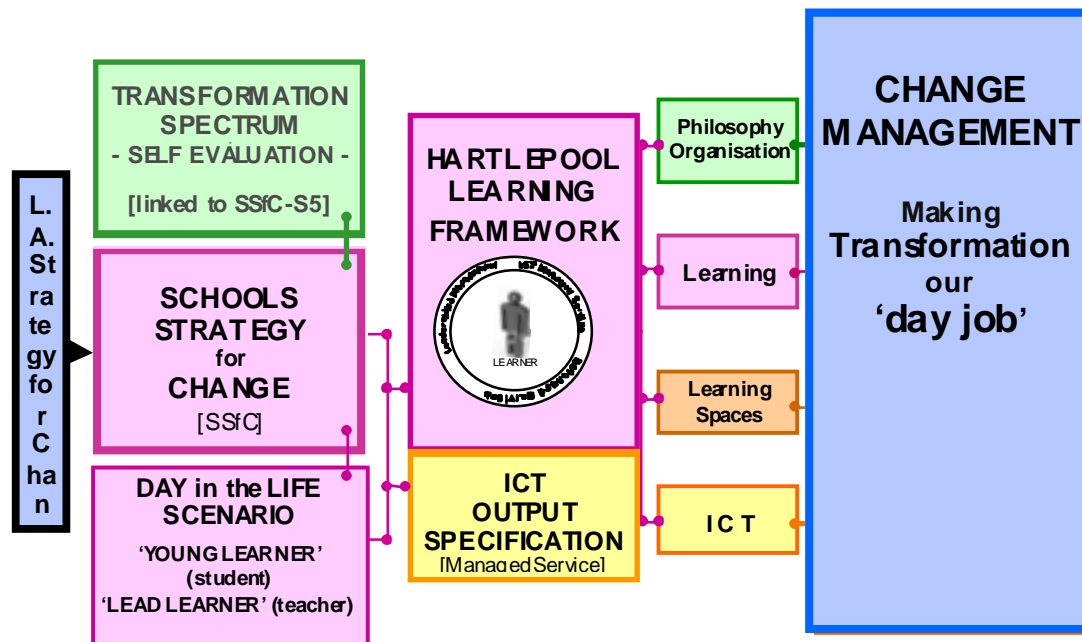
In our Strategy for Change Part Two we identified how, through our Change Management Strategy, we would respond to the challenges and opportunities posed by our transformational agenda. It identified target areas for support and intervention and was based on the needs identified throughout SfC2. Our strategy will enable us to effect both the organisational and cultural change necessary if change is to be successfully managed.

Our strategy will support us by:

- Acknowledging that change is a journey and not a destination – our plans will change as we evaluate our progress
- Building capacity in our schools and at a local authority level to support transformation
- Providing a clear change framework to support the work of all stakeholders
- Making clear what we need to do to transform rather than extend what we currently do
- Empowering those who are leading change to be innovative and radical
- Developing the necessary skills, knowledge and attitudes that will support us in new ways of working
- Enabling the innovative use of new technologies
- Ensuring that schools and the local authority are expert clients in the transformation process
- Helping us to manage the emotional journey that transformation will require
- Making links between the various performance regimes to ensure that we can make judgements about the progress we are making against the milestones we have identified

Supporting this strategy, we have developed a local authority change management plan, supported by individual school change plans, which show how we will achieve this transformational change over time. Our local authority plan builds upon and extends the expectations in the PfS guidance *Change Management Plans within Strategy for Change*.

Hartlepool Learning Community



If we are to be successful in meeting our aspirations for the future, we will need to ensure that change is managed effectively. We believe that the following actions are key in enabling successful change:

- Recognising that change has already started
- providing a clear, agreed model of the future – Hartlepool Learning Framework – that will inform stakeholders of the change required
- ensuring that schools' own strategy for change (SSfC) and related change plans reflect the aspirations agreed by all stakeholders in our overarching Strategy for Change 1
- ensuring that the change process is understood, and owned, by all stakeholders and resources are aligned wherever possible
- identifying clear outcomes that can be regularly reviewed to inform the rate of progress
- developing opportunities for students to be involved in the process of change
- identifying and mitigating "change" risk on an ongoing basis
- supporting school-based change programmes as well as those programmes that are local authority based
- using of a range of resources and expertise to ensure the highest quality and best value support

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In order to bring about transformation through our BSF programme, our change management programme will seek to address not only what we do – structural and organisational change – but how we do it – behavioural and cultural change – at both school level and local authority level. The objective is not merely to encourage change as part of the BSF programme but to embed and deepen the capability of the local authority and schools to structure and manage innovation and educational transformation leadership in the longer-term.

The importance that Hartlepool attaches to the change management process is demonstrated through the variety of interactions with schools to support change management:

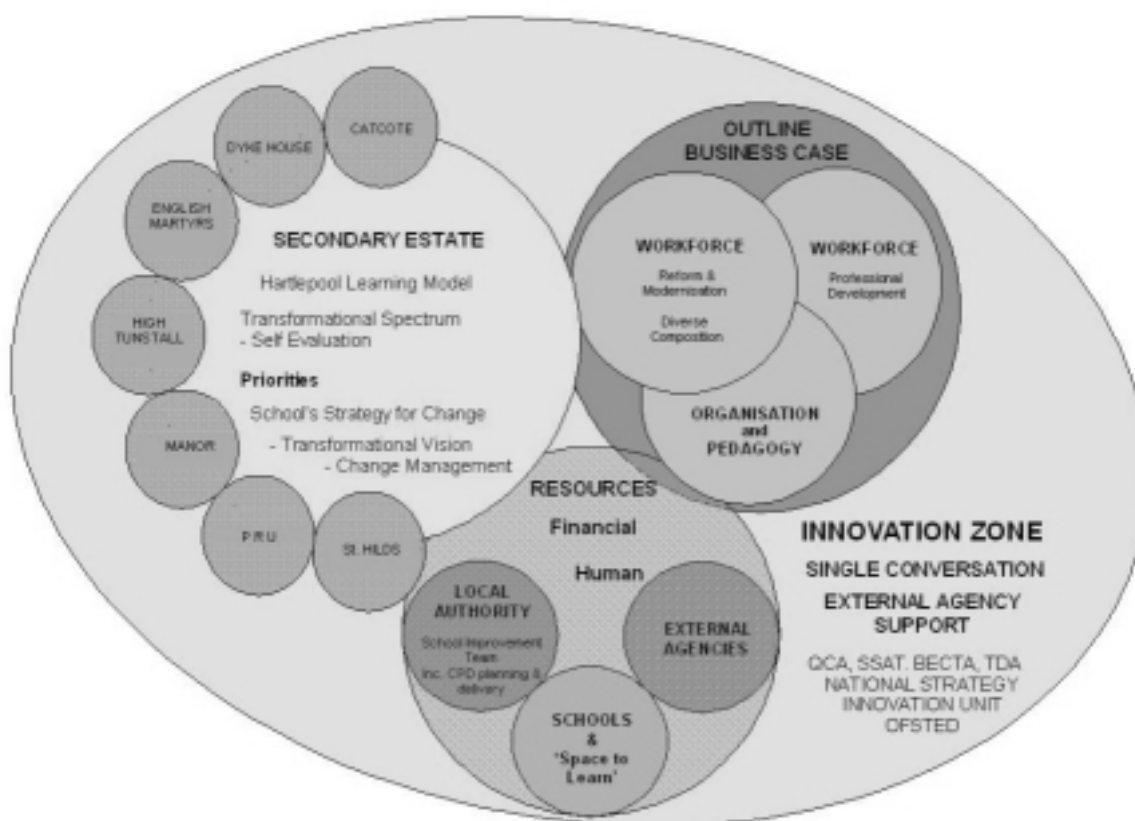
- On 12 June a conference was held for all schools – primary, secondary and special – to outline the change management process and share with schools the key milestones in the development of the local authority Change Plan. The meeting was cross-phase as the change process is designed to support transformational change across Hartlepool and not just change related to BSF
- Schools have received regular feedback on their own change plans that are being developed as part of the SSfC process. This has involved feedback from a range of local authority officers representing the relevant policy areas – Workforce Reform, 14-19, Extended Schools etc
- The STT has regular meetings with schools' BSF teams and these meetings are used to update schools on developments within the change management process.

Hartlepool has also recognised the importance of working closely with those external partner organisations that support teaching and learning in Hartlepool – National Strategies, BECTA, Specialist Schools and Academies Trust, Teacher Development Agency, Qualifications & Curriculum Authority, Government Office North East, National College for School Leadership – and has begun the process of aligning current support from these partners to Hartlepool's Learning Framework for the future. Our intention is to embed innovation in our work and thus develop a Hartlepool Innovation Zone. The first round-table meeting for these external partners was held on 22 October and this meeting identified a number of ways in which our partners could begin to align their resources to our Change Plan, thus supporting our transformational change agenda.

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Hartlepool Change Management Model

BSF involves a process of sustained change over a significant period of time. This intensity of change will make considerable demands of all stakeholders. Our journey is informed by our agreed model of learning and our change management model makes clear the relationships involved whilst making this journey. The uncertainty of change can be unsettling so our intention in developing our framework is to make clear the various change relationships so all stakeholders can be clear about their place in our transformational journey.



Workforce Management

The LA has in place a Children's Services Workforce Development Team that takes a strategic lead on the Children's Workforce Strategy and the Children's Plan Workforce Action Plan. This incorporates workforce reform and modernisation of the whole school workforce, in respect of which we have a strong record of supporting and challenging schools. We also have a strong record of working in partnership with external agencies such as the TDA to support this. Our local authority change plan supports workforce reform and modernisation by:

- Placing change at the heart of our transformation process
- Providing a framework for partnership working with other agencies and organisations, such as the TDA, NCSL, diocesan authorities and unions, to secure the supply of the school workforce, support workforce reform and modernisation, and identify, develop and promote effective practice in whole school workforce development.

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- Improving workforce development across the whole school workforce by renewed focus on the leadership of CPD, personalisation of training and development activities, quality of provision, and robust impact evaluation.
- Promoting safer workforce measures.
- Supporting the development of integrated working to strengthen safeguarding, help target support for early and effective interventions, and ensure that every learner has an individual pathway available to them.
- Promoting drives to strengthen standards of leadership, management and supervision.
- Establishing sustainable succession planning in schools to recruit, develop and retain high calibre school leaders.
- Working with the TDA, NCSL and other partners on specific national and local priorities on pedagogy i.e. behaviour management, subject knowledge, supporting curriculum change, personalisation, school leadership and working with other professionals.

This will support the overarching Government vision that the people in the children's workforce:

- Are competent, confident and safe to work with children and young people;
- Aspire to be part of and want to remain in it, where they can develop their skills and build satisfying and rewarding careers;
- Are trusted and respected by parents, carers and children and young people.

We will ensure that individuals feel competent, confident and capable to realign their beliefs and practices to effectively manage change and embrace the opportunities presented by it.

The school workforce will be professional leaders of learning and will be involved in new coaching initiatives, taking advantage of platforms of learning and skills escalators that provide and encourage infusion and blended learning.

This vision is and will continue to become reality through effective responses to local and national priorities and expectations, collaboration and joint working between schools and the Local Authority and with partners and external agencies, and effective monitoring and evaluation of operational and improvement plans in the local authority and schools.

Local Authority Change Plan

Our local authority change plan retains the key elements that were identified in our SfC2. These elements have now been aligned with the Hartlepool Learning Framework under the following four thematic headings:

- Learning Culture
- Learning Spaces
- ICT
- Philosophy and Organisation

For each theme we have identified clear objectives with associated actions and resources that will enable change in the short to medium term. Progress will be regularly reviewed through the identification of

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related performance indicators. This plan reflects and was informed by schools' own change plans. This process has ensured that schools are supporting the delivery of the local authority's key objectives identified in our Strategy for Change whilst our own change plan takes into account the needs of schools to enable them to do this.

For the longer term, and following consultation with Partnership for Schools, we have identified a range of outcomes that will be subject to more detailed planning in the light of progress against the current objectives in the plan.

An outline of each key theme, with recent activity and future intentions, is as follows:

- Learning Culture (SfC2 - Teaching and Learning)

It is a priority to continue to develop high quality teaching and learning in every school as part of the BSF process. Those with leadership responsibility to ensure that all staff are developed will take part in CPD leadership development programmes and they will ensure that impact evaluation of CPD across the whole school workforce is embedded and robust.

Schools will be encouraged to develop effective transfer of learning from new initiatives and scaling up of effective practice from data, using KS2 data and education research, for example from the Centre for the Use of Research and Evidence in Education (CUREE) with which Hartlepool has a partnership arrangement to deliver a coaching and mentoring programme for schools.

- Information and Communications Technology (ICT)

ICT is seen as a key enabler of mobile and personalised teaching and learning that cuts across all elements of our transformational agenda. As staff development impacts upon pupil development via teaching and learning, a key theme for CPD must be new ways of learning and the use of ICT in pedagogy. This will include both adult learners' own CPD and pupils' learning.

Hartlepool has in place an ICT Teaching and Learning Strategy Team whose remit includes ways of enhancing teaching and learning through innovative use of technologies. We also have in development a learning and classroom for the future facility designed to contribute to change management of teaching and learning through show-casing and providing facilities for schools to develop their ideas.

The Council and its schools' aspirations for the transformation of education are articulated in the KPIs included in SfC1 and SfC2 and will be carried forward to the Collective Partnership Targets. These documents also recognise the importance of raising educational standards and increasing the opportunities available to all the learning community.

Through effective early consultation and on-going dialogue with schools and other stakeholders, a secure consensus has been achieved on the aims, aspirations and strategies for ICT within BSF. Hartlepool's secondary headteachers have been central to the development of the ICT programme alongside their primary school colleagues. The commitment of the Headteachers to the process is evidenced through the dedicated meeting time and through their streamlined decision making processes to facilitate BSF. These are major factors in ensuring that the project remains coherent and enjoys stakeholder engagement.

A key element of our change management strategy is to utilise existing expertise, capacity and funding opportunities to support the BSF transformation. To this end we are securing agreement from the Schools' Forum to allow "other ICT" funding to enhance connectivity. Similarly we are working to ensure a single, Authority-wide change plan is developed to encompass all of the strands relating to the development of pedagogy and infrastructure i.e. responding to ECM, implementation of the 14-19

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diplomas, personalisation of the curriculum, development of pedagogy and exploiting the opportunities offered by ICT.

The ICT element of our local authority change plan has been developed from an analysis of the local authority's key objectives as identified in Strategy for Change and those identified by schools in their own SSfCs. Our ongoing dialogue with schools has highlighted the following key areas for all schools:

- Personalised learning
- Achieving universal access at home
- Responding to preferred learning styles of pupils
- Providing professional tools for teachers
- Networking leaders to drive the dissemination of effective practice and innovation
- Developing thinking skills
- Implement 14-19 diplomas
- Supporting the integration of personal devices within school environments
- Delivery of functional skills
- Assessment for Learning
- Development of pupil voice
- Developing the use of Learning Platforms
- Transition to new management systems and processes e.g. new MIS/LP

Local professional development opportunities will be developed to meet these specific areas for development. The CLC priority programme has been agreed with Becta and the local Partnership and also reflects this prioritisation of BSF development.

Where BSF generates additional training requirements - e.g. ICT Managed Service or Learning Platform services - the local authority will expect the service provider to engage with existing delivery mechanisms and to provide training in such a way as to increase the residual capacity of the system and which significantly enhances the opportunities available locally e.g. by adopting a "train the trainers" approach.

A number of pilot and development projects are already underway to facilitate the move towards the full ICT managed service. Currently the local authority has a number of pilots in this area to aid the decision-making process being led by the Strategic ICT Team and the City Learning Centre. These include:

- "Space to Learn" (in conjunction with the local authority and Diocese) – the development of a new CLC with the latest possible teaching technologies
- PDA mobile technologies in Geography and Mathematics
- "Box of Tricks" project assessing how young people use modern technologies
- Studyplus project using tablet PCs to enhance learning in numeracy and literacy

The Council will continue to support schools through the implementation of BSF by ensuring that the key educational drivers are the basis on which design options are developed and evaluated. To support this, a summary of key educational drivers will be prepared for each school and based upon their SSfC. The design and ICT implications of these drivers will then be extracted for designers.

- Philosophy & Organisation (SfC2 - Workforce Reform and Modernisation & Leadership & Succession Planning)

It is through our people that we will transform outcomes and increase participation in Hartlepool. The investment we make in our people will directly affect the impact of our plans. The importance of this investment is already recognised in our planning for the future.

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The implementation of reforms such as the national agreement 'Raising Standards and Tackling Workload', the Every Child Matters agenda, the 14-19 Strategy, and Extended Services require a whole school approach to change management and to the development and deployment of staff.

Modernisation is a continuing process that should address emerging community needs and lead to a culture of continuous improvement. In continuing to address reforms to teachers' contracts and working arrangements, personalised learning, greater specialisation, choice for parents and pupils and an increased range of services schools will further develop the skills of the whole school workforce through a range of measures and participation in national, regional and local development opportunities.

Innovative forms of leadership such as executive and co-headships, sharing effective practice and pooling resources through networks and cluster arrangements are all ways in which we will continue to explore with schools ways of effectively addressing the reform and modernisation agenda.

The Council will continue to work closely and collaboratively with national organisations and with other local authorities in the region, with which we have strong collaborative arrangements that are sponsored in part by the TDA, to develop systems, processes and programmes to support schools to evaluate their capability to change, introduce performance management for support staff, manage under-performance of staff, and take advantage of opportunities presented by national and local development programmes such as HLTA, SWiS, CSBM, TLA.

We have a local social partnership that monitors and provides effective support and challenge to the implementation of reform and modernisation and we will continue to develop, implement and monitor implementation of national workforce priorities and local strategies for sustainability, including renewing schools' capacity and capability to lead and manage change.

We have recently invested in a Local Authority wide approach for coaching and mentoring in partnership with CUREE to create a coaching culture. All secondary schools have signed up to the project which will cover the whole school workforce. Initially up to three members of staff from each school will work with Local Authority advisers and CUREE to develop a bespoke plan for Hartlepool to explore new ways of adult learning for the schools of the future and to ensure that benefits of learning are effectively evaluated and disseminated. The programme will offer professional development to encourage leaders of learning to unleash their potential and for learners to unleash theirs in parallel. Schools will create their own vision of learning via co-coaching, peer mentoring and personalised opportunities to build capacity and capability for whole school improvement.

Co-coaching will be promoted and schools will be encouraged to include this in their strategy for change. The programme with CUREE will include co-construction, specialist instruction, dissemination, networking and collaborative activities and the sustained collaborative process will include demonstration and modelling, experimentation, observation, reflective activity and structured dialogue. Success criteria for the project will include exploration of beliefs, internalisation of practices, and rationale of approaches. National Strategies will, therefore, be supported by leading teachers and support staff to review their pedagogical practice and how they work with others in focused areas in line with schools' priorities.

Hartlepool is also taking the lead in establishing a regional project with the TDA on the leadership of CPD in schools, which will also include development programmes on coaching and on impact evaluation for leaders of CPD.

CPD will be appropriate, relevant and accessible to all staff in schools. A robust process of impact evaluation will be developed in collaboration with the TDA and other local authorities in the region under a TDA-sponsored regional project, building on the regional project on the leadership of CPD in schools.

The Local Authority will continue to address national and local priorities and support schools by ensuring national priorities are contextualised locally, funding streams and opportunities for collaborative working

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with external partners and other local authorities are maximised to benefit schools and opportunities are taken to develop the whole school workforce.

We have in place a dedicated post of school workforce adviser established through TDA grant funding, and among other things the post holder brings coherence to the CPD agenda across all phases in Hartlepool, working closely with colleagues with responsibility for subject and phase and the National Strategies and with the established secondary and primary network groups of school CPD leaders.

The number of NQTs coming into Hartlepool schools is consistently high and we are proud of our induction programme. We recognise that NQTs infuse the workplace with new skills and expertise (for example in the use of ICT) and an energised vigour to meet targets and required outcomes on both personal and professional levels. We will revise our successful induction programme for this workforce of the future to support schools by incorporating for NQTs and NQT mentors relevant aspects of our transforming schools vision and plans, offering bespoke training and development for NQTs on transforming teaching and learning and on working with support staff. Working closely with national and regional partners and colleagues we will promote the role, potential impact and benefits of NQTs being actively involved in the transforming schools programme.

Freeing up teachers to focus on teaching by deploying a wide range of support staff to work with teachers to improve outcomes for children and young people is a key concept which Hartlepool schools have embraced through the development of new higher level and specialist roles. Support staff in Hartlepool play an essential role in school improvement, making schools more efficient, enriching experiences for children and strengthening teaching and learning.

Reforms require training and development activities and performance management for all staff to be integrated into long-term strategic planning and we are developing performance management arrangements for support staff in conjunction with other local authorities in the region.

Support staff will continue to develop and achieve a more professional status and we will continue to work with national partner organisations to develop clearer career pathways within schools and across the wider children's workforce. We will further develop our work with organisations such as the TDA, NCSL, National Strategies, ASE and DATA, NAA, CoVE and SSAT, and local and regional partnerships, on targeting development opportunities for support staff to support schools to extend opportunities for and to develop new ways of training and deploying support staff to address national and local priorities.

We will also establish support staff CPD network groups in Hartlepool to work under the auspices of the established groups of CPD leaders in the primary and secondary sectors.

We are working in partnership with the NCSL on leadership succession and a strategy for succession planning is in preparation. This work involves liaison with other partners such as the TDA, SSAT, YST, dioceses, professional associations and governors to maximise coherence and impact of the range of support and grants available.

We will build upon the strong history of collaboration with the local authority and across schools and review and bring further coherence to the various ways the leadership learning is identified and disseminated across the authority, examples of which are our networked learning communities, national strategies learning networks and consultant leaders drawn from schools. A structured leadership programme will be developed that contains diagnostic tools and addresses local priorities including attracting and retaining talented leaders, identify potential school leaders, the leadership of CPD, revised induction and mentoring arrangements and managing and supporting careers.

Our intention is to build capacity in schools that will enable them to address the short term programmed demands of BSF but also to meet the longer term demands of innovation and transformational leadership that BSF investment will generate. This strand of our change plan is specifically designed to

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support our senior leaders in schools through this process. We are confident that this will ensure that schools are prepared for change and do not suffer any blight in performance due to the BSF process.

- Learning Spaces

Transformation will be enabled through the development of innovative and flexible learning spaces. As part of our support for changing how space is used in our schools, and in advance of BSF investment, we will develop, in collaboration with schools and the Dioceses, a Space to Learn initiative at St Hild's C of E School. Using existing LA, school and voluntary aided capital funding streams, we intend to create a suite of learning spaces that can be flexibly reconfigured, where staff and pupils can experience working in an environment that will enable and support a range of different teaching and learning styles. The facility will be equipped with a full range of the latest technologies. Leading practitioners and expert consultants will help us to design, develop and maintain this facility and it will become a test-bed for developing future practice. We have selected St Hild's to host our Space for Learn initiative because it does not require significant new build or remodel and this means that the facility can be operational by January 2010.

This initiative will enable us to begin the process of changing how teaching and learning takes place in our schools and thus ensure that we get maximum value from our BSF investment by enabling staff and pupils to experience the future in a supported and supportive environment.

Local Authority Learning Framework

The local authority has worked with all stakeholders to develop an agreed framework for learning post BSF. This model demonstrates the movement from a subject delivery model of learning to a new model based on student access. The framework is based on a series of domains – Learning, ICT, Learning Spaces and Philosophy and Organisation – and each domain identifies the key indicators of transformation. Our local authority change plan ensures that this transformational model is supported through the appropriate change management activities.

Appendix A

Hartlepool Learning Framework (outline)

Philosophy & Organisation <ul style="list-style-type: none"> ❖ All who are part of the Learning Community are 'Learners' ❖ Develop global learners/citizens ❖ All schools will develop a unique learning ethos ❖ Establish centres of excellence which reflect their 'specialism' ❖ Organisation: 'Small learning communities' (multi-age learning) ❖ Learning relevant to the local community-supporting economic regeneration. ❖ Flexible Day, Staff conditions of service, timetable. 	ICT <ul style="list-style-type: none"> ❖ Learners have their own e-device with wireless access to seamless network ❖ Learners work 'anywhere anytime' accessing ILP, content and assessments ❖ Elements of 14-19 Diplomas delivered via the Learning Platform & or V.C. ❖ Each Learner co-constructs their Individual Learning Plan (ILP) with Mentors
Learning Spaces <ul style="list-style-type: none"> ❖ Learning, Social & Assembly spaces facilitating 'small learning communities' ❖ Learners work in specialised vocational areas (14-19) ❖ Specialist areas enabling high quality learning ❖ Spaces facilitate 'Lead Lessons', individual & Group work ❖ Staff & students share cohesive indoor & outdoor social areas ❖ Space for learners to work independently and with mentors ❖ Specialist learning environment for ASD & LDD learners ❖ Access to Adult Education, Multi-agencies, sport & leisure 	Learning <ul style="list-style-type: none"> ❖ Learning will be 'Personalised' for all learners ❖ Learners will at times work independently & take responsibility for their learning and that of others ❖ Greater emphasis on research and project-based learning ❖ Learners will experience Lead Lesson & Group work ❖ Learners access group activities catering for all learning styles ❖ Face to Face and On-Line - mentoring (Learning & Pastoral) ❖ Staff and students share indoor and outdoor social areas supporting mentoring & coaching interaction

School Change Plans

As well as the development of a local authority Change Management Strategy and associated plan, each school is also developing a Change Plan as part of its School Strategy for Change (SSfC). The SSfCs are aligned with the local authority's Strategy for Change (SfC) to ensure the local delivery of the local authority's strategy across the various policy areas. The SSfC key performance indicators (KPIs) are linked to the local authority's KPIs and the schools' change plans are linked to the delivery of the respective KPIs, thus enabling the local authority to monitor and evaluate the impact of its BSF investment.

The schools' Change Plans are aligned with the local authority's Change Management strategy and plan and show how, at an individual school level, the vision for the future will be turned into reality. They have, in turn, informed the local authority's Change Plan. Each school has established a transformation team to address this process and schools have been supported in this through the deployment of additional local authority resources. Schools are using existing funding streams and development opportunities to align with the BSF process.

Appendix A

Development of School Strategies for Change

The School Transformation Team (STT) has implemented a robust programme of support and challenge to help and enable each school to complete its School Strategy for Change (SSfC) and associated change plan. The local authority seconded an experienced deputy headteacher to the STT to support schools in the SSfC process. Schools were initially involved in the formulation of the SSfC format which was referenced to the local authority's own SfC1 to ensure that schools were planning against the overarching objectives previously agreed. Schools received regular feedback on their developing SSfCs from a range of local authority policy officers and external partners - including CDA, Pfs Education Director and Pfs ICT Adviser. All schools had additional support from the workforce development team to help them to complete their change plans. All schools have developed robust SfCs that articulate how new ways of learning, design and ICT will help deliver transformational outcomes in Hartlepool.

In addition to working closely with each school's transformation team, the STT team regularly met with governors at individual governing body meetings, and at Governor forum meetings. Governors have been kept up to date with developments, and in addition to signing off the FM and ICT output specifications and commitments, governing bodies have also approved individual School Strategy for Change.

Schools will use the SSfC to inform their annual development planning and this will ensure that the transformational aspirations within SSfCs are made real through the work of each school. Local authority School Improvement Officers and policy area officers, members of the Workforce Development Team and the SIPS allocated to secondary schools have been involved in supporting and challenging schools in the development of their SSfCs, and these colleagues will continue to challenge and support schools throughout the design, build and implementation phases of the BSF programme.

Individual schools have engaged staff, pupils, parents, governors and other stakeholders in the development of their School Strategy for Change. All schools have established a Transformation Team and have a dedicated point of contact for BSF.

Education Risk Management

Maximising attainment and avoiding educational blight is at the heart of the local authority Change Management Strategy and associated Change Plan. Each school is acutely aware of the particular issues they will face at critical times and has developed a risk matrix that identifies school specific risks. The local authority risk matrix reflects these risks and the local authority will work with each school to mitigate the specific risks identified at the appropriate time. As the project moves forward, the work of the School Improvement Team, SIPS and other departments will focus more to support schools through their times of change and disruption. LA plans with schools will reflect the particular needs of individual schools, and provide additional support for schools to manage change and maintain, and continue to improve, standard during periods of disruption.

The School Transformation Team has regular risk sessions which focus on the updating of the overarching risk register or drill down into key aspects of the programme. The team has identified key risks for impact on education and school performance at both local authority and individual school level. Educational risks are identified as a central element of the risk management strategy. Risks to the project are regularly discussed at regular project team meetings and monthly Project Board meetings.

The Hartlepool BSF team is working very closely with all stakeholders to ensure ownership of the individual projects and the programme as a whole. Members of the School Transformation Team meet regularly with Head teachers, governors, local authority officers, elected members and other partners such as Health, to maximise their involvement, ownership and understanding of the programme, and to minimise any potential stakeholder disagreements. The team has a very strong reputation for positive stakeholder engagement and a comprehensive communication and engagement plan.

Adrienne Simcock
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Our Ref:

Your Ref:

Contact Officer:

E-Mail:

Private and Confidential

Partnerships for Schools
Fifth Floor
8 - 10 Great George Street
London
SW1P 3AE

27 November 2008

Our ref: LB/S151 letter

Dear

Section 151 letter at Outline Business Case

I have reviewed the contents of the Outline Business Case (OBC), and in particular, the assumptions on which the Affordability position and the Value for Money section have been calculated. I have also reviewed the decisions made by the Council to manage and meet the potential affordability gap associated with the Building Schools for the Future project and can confirm that the contributions required to be made by the Council are as set out below.

Capital Affordability

Initial Capital expenditure – Design & Build

The OBC requires an additional capital contribution of £1.4 million for the design and build of the Hartlepool schools programme. The Council has proposed a strategy for funding £0.9m towards this shortfall including the use of Capital Receipts and Prudential Borrowing. The balance will be funded using a contribution from Schools where appropriate...

The details are set out in the following tables:

Schools	D&B Construction costs (£'000)
Dyke House	13,374
English Martyrs	21,282
High Tunstall	22,671
Catcote	12,249
Manor	24,708
PRU	811
St Hilda's	194
	95,289

Funding	D&B Construction costs (£'000)
FAM	93,918
Schools contribution	478
Council contribution	893
	95,289

Schools Contribution

The schools contributions will be met by

- The following schools to contribute a one off amount of £100,000 each from future DFC allocations to meet the cost of new furniture and equipment:
 - Dyke House
 - English Martyrs
 - High Tunstall
 - Manor
- St Hilda's will contribute £78,000 towards the cost of installing the ICT infrastructure;

Council Contribution

The Council has approved the following principles for funding the Authority's contribution to the BSF project. The funding resources are shown in the order they will be used:-

- Capital receipts generated from the sales of surplus school assets arising from the implementation of BSF;
- Capital receipts generated from the sale of other Children's Services assets;
- Prudential borrowing funded by secondary schools (subject to Schools Forum and DCFS approval);
- Prudential borrowing funded from the Council's own budget

Initial Capital expenditure – ICT

It is currently assumed that no affordability gap exists in relation to ICT capital funding. Funding will be £1,450 per pupil giving an overall amount of £8.9 million and it is anticipated that the preferred solution can be delivered within this envelope.

Annual Lifecycle Capital Expenditure

The following tables show the expected lifecycle costs over the 30 years following the modernisation:

APPENDIX B

Schools	Lifecycle costs (£m)
Dyke House	6.57
High Tunstall	7.75
English Martyrs	7.64
Manor	8.29
Catcote	3.55
St Hilds	3.90
	37.7

These costs will be funded as follows:

Funding	Lifecycle costs (£m)
FAM	-
Schools contribution	16.9
Council contribution	20.8
	37.7

The Council contribution to Lifecycle costs comprises of Modernisation grant and Revenue Contribution to Capital Outlay (RCCO) from the Dedicated Schools Grant (DSG). The schools contribution will include 80% of the relevant reduced Devolved Formula Capital following the modernisation. The funding currently applicable to Brierton School will also be allocated across the modernised schools following its closure. The Council will commit to ring fence these funding streams for BSF and to fund any shortfall that may arise.

Revenue Affordability

The OBC identifies an annual revenue affordability gap of £X at [2008] prices. The affordability position has been arrived at after deducting the estimated schools contributions, as shown in the tables below:

Schools	Annual FM costs (£'000)
Dyke House	134
High Tunstall	129
English Martyrs	177
Manor	131
Catcote	50
St Hilds	
	621

Funding	
FAM	-
Schools contribution	
LA contribution	

Annual FM Costs comprise:

- Building Maintenance and Hard FM; and
- Lifecycle.

The Council aims for these costs to fall totally within the scope of existing delegations and therefore funded with the DSG. The Council however recognises its need to underwrite the commitment to fund any shortfall that may arise in relation to annual FM costs.

ICT

It is currently assumed that no affordability gap exists in relation to ICT revenue funding as it is considered that

the preferred solution can be delivered through a combination of a school contribution of £120 per pupil per year, supplemented by

- the schools 'Harnessing Technology Grant',
- 5% of the 'Schools Development Grant' and
- 10% of the reduced Devolved Formula Capital following the modernisation.

The Council again recognises the need to underwrite these contributions and will ensure that sufficient funding is in place to meet these commitments for the life of the project including at St Hilda's School.

Unspent BSF funding

Any BSF funding that remains unspent by the Council, will be returned within 12 months of the completion of the project.

Project resourcing

As set out in section 6 of the OBC, it is confirmed that the Council has identified sufficient resources to deliver the BSF project up to Financial Close, and that appropriate budget provision is in place.

Cabinet Approval

The Cabinet considered and approved the affordability of the OBC (subject to final approval of funding from Partnerships for Schools) at its meeting on [8 December 2008].

School Contributions

In accordance with PFS requirements, commitment letters in respect of contributions that will be required once the schools are operational have been supplied by the relevant governing bodies. The governing bodies are fully aware of the methodology used by the Council to develop the estimated schools contributions. The contributions are based on estimates provided by the Council's technical advisers, Gleeds. The Council is satisfied that the Schools understand the minimum contribution levels required and the Council commits to underwrite any shortfall that cannot be obtained from additional school contributions above this amount.

Conclusion

Whilst the Council has relied heavily upon the advice, guidance, information and assumptions made by its advisers, it understands and accepts responsibility for the information and assumptions used in developing the OBC.

It is confirmed that the Council commits to managing and meeting any affordability gap and the expected commitments required from the Council are being factored into the Council's medium and long term financial strategy, where applicable.

Yours sincerely

CABINET REPORT

8th December 2008



Report of: Director of Adult and Community Services and
Director of Neighbourhood Services

Subject: FORMER ELDON GROVE SPORTS CENTRE

SUMMARY

1. PURPOSE OF REPORT

To advise Cabinet on the progress that has been made in the proposed granting of a lease to Eldon Grove Tennis Club and to seek a decision around some proposed changes to the agreed terms for occupation.

2. SUMMARY OF CONTENTS

The report outlines progress that has been made since Cabinet decided to approve terms for the granting of a lease to the tennis club, including a change to the proposed development.

In light of the change to the development, proposed amendments to the original terms are proposed for Cabinet to consider.

3. RELEVANCE TO CABINET

The Eldon Grove site has been declared a surplus asset, but with potential to provide key contribution to community sports provision.

4. TYPE OF DECISION

Non key.

5. DECISION MAKING ROUTE

Cabinet on 8th December 2008.

6. DECISION(S) REQUIRED

That Cabinet consider the proposals put forward.

Report of: Director of Adult and Community Services and
Director of Neighbourhood Services

Subject: FORMER ELDON GROVE SPORTS CENTRE

1. PURPOSE OF REPORT

- 1.1 To advise Cabinet on the progress that has been made in the proposed granting of a lease to Eldon Grove Tennis Club and to seek a decision around some proposed changes to the agreed terms for occupation.

2. BACKGROUND

- 2.1 Members will recall that at the Cabinet meeting on 28th August 2007, terms were approved for the granting of a lease to Eldon Grove Tennis Club at the Eldon Grove Sports Centre site. A copy of the report is attached to this report at **Appendix 1**.
- 2.2 At this time, approval was also given for the demolition of the former sports centre building. The demolition of the building was completed on the 14th June 2008, with a delay being caused due to an issue with bats.
- 2.3 The proposed lease to Eldon Grove Tennis Club had been approved on a 'subject to planning' basis. In November 2007, Eldon Grove submitted a planning application to develop 2 indoor tennis courts. A report went to Planning Committee with a recommendation to approve the proposal but the Committee resolved to refuse permission for the development.
- 2.4 The Tennis Club decided to review their plans for the site and in July this year they submitted a planning application for the provision of 2 outdoor all weather surface courts and the erection of a changing/toilet facility. This received planning permission on 17th October 2008 and at this time, the tennis club approached the Council requesting that the transaction to lease the land be resumed.
- 2.5 The Council's Legal Section have reopened their file on the matter and have made approaches to the tennis club's legal team but officers have noted that there may be some changes to the terms that had previously been agreed. This report therefore details where possible changes are proposed.

3. PROPOSALS

- 3.1 The proposals for this transaction are contained within the confidential **Appendix 2** of this report. **This item contains exempt information under Schedule 12A of the Local Government Act 1972, (as amended by the Local Government (Access to Information)(Variation) Order 2006) namely,(para 3) Information relating to the financial or business affairs of any particular person (including the authority holding that information).**

4. RECOMMENDATIONS

- 4.1 That Cabinet consider the proposals put forward.

5. REASONS FOR RECOMMENDATIONS

- 5.1 The proposed development has changed since the original terms were agreed.

6. CONTACT OFFICER

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APPENDIX 1

CABINET REPORT **28th August 2007**



Report of: Director of Neighbourhood Services and Director of Adult and Community Services

Subject: ELDON GROVE SPORTS CENTRE,
HARTLEPOOL

SUMMARY

1.0 PURPOSE OF REPORT

To advise Cabinet on the progress that has been made in negotiations with Eldon Grove Tennis Club.

2.0 SUMMARY OF CONTENTS

The report outlines the discussions that have taken place with the Tennis Club with regard to the proposed demolition of the sports centre and development of the land as a Tennis Academy. It outlines the proposed lease terms that have been proposed and agreed by the Tennis Club. The report also looks at a proposed change to the area to be leased to accommodate a change in the car parking arrangements serving Eldon Grove Primary School.

3.0 RELEVANCE TO CABINET

It is an executive decision

4.0 TYPE OF DECISION

Non-key

5.0 DECISION MAKING ROUTE

Cabinet only

6.0 DECISION(S) REQUIRED

That Cabinet:

1. Agree to demolition and future development being carried out using the suggested approach.
2. Approve terms for the granting of a lease to Eldon Grove Tennis Club
3. Approve the proposed change in the area to be leased to accommodate a new car park at Eldon Grove Primary School.

Report of: Director of Neighbourhood Services and Director of Adult and Community Services

Subject: ELDON GROVE SPORTS CENTRE,
HARTLEPOOL

1. PURPOSE OF REPORT

- 1.1 To advise Cabinet on the progress that has been made in negotiations with Eldon Grove Tennis Club.

2. BACKGROUND

- 2.1 The Joint Culture, Leisure and Tourism and Finance and Efficiency Portfolio Holders met on 13th June 2007 and provided a recommendation to Cabinet on 25th June 2007 that the proposal submitted as Bid Number 2 be explored further. The Cabinet approved further discussions with the Tennis Club as preferred bidder.
- 2.2 Since this time, Cabinet and Council Officers have met with the Eldon Grove Tennis Club to try to pursue their bid to create a Tennis Academy on this site. The Tennis Club have managed to progress their enquiries with regard to the planning process, the terms for the lease of the building and also the actual mechanism for the development of the academy. A plan of the area is included at **Appendix 1**.
- 2.3 This has enabled a clearer indication to the Council of the timescales involved in this development, and in the shorter term, how quickly the demolition of the former sports centre can be progressed.

3. FINANCIAL IMPLICATIONS

- 3.1 The financial implications of the proposed transaction can be found in the attached confidential **Appendix 2**. **This item contains exempt information under Schedule 12A of the Local Government Act 1972, (as amended by the Local Government (Access to Information)(Variation) Order 2006) namely, (para 3) Information relating to the financial or business affairs of any particular person (including the authority holding that information).**

4. RECOMMENDATIONS

That Cabinet:

1. Agree to demolition and future development being carried out using the suggested approach.
2. Approve terms for the granting of a lease to Eldon Grove Tennis Club.
3. Approve the proposed change in the area to be leased to accommodate a new car park at Eldon Grove Primary School.

Proposed Lease Plan



CABINET REPORT

8 December 2008



Report of: Assistant Chief Executive

Subject: Local Area Agreement Reward Element (Local Public Service Agreement Round 2) – 30 Month Monitoring Report

SUMMARY

1. PURPOSE OF REPORT

To report progress to Cabinet on the targets included in the Local Area Agreement (LAA) Reward Element, formerly known as the Local Public Service Agreement Round 2 (LPSA2) for the period up to and including 30 September 2008.

2. SUMMARY OF CONTENTS

This report details the progress made in the first 30 months of the LPSA2 period, from 1 April 2006 to 30 September 2008. The LPSA2 period ends on 31 March 2009.

3. RELEVANCE TO CABINET

This is a national initiative with relevance to major executive functions and financial arrangements

4. TYPE OF DECISION

Non-key decision

5. DECISION MAKING ROUTE

Cabinet 8th December 2008.

6. DECISION(S) REQUIRED

Cabinet is asked to: -

- Note the position of the LAA Reward Element targets as at 30 September 2008

Report of: Assistant Chief Executive

Subject: Local Area Agreement Reward Element (Local Public Service Agreement Round 2 – 30 Month monitoring report)

1 PURPOSE OF REPORT

- 1.1 To report progress to Cabinet on the targets included in the Local Area Agreement (LAA) Reward Element, formerly known as the Local Public Service Agreement Round 2 (LPSA2) for the period up to and including 30 September 2008.

2 BACKGROUND

- 2.1 A total of 10 targets were included in the Reward Element part of the LAA which was agreed with Government Office North East (GONE) in February 2006. Those 10 targets consisted of 20 Performance Indicators (PIs), all of which will potentially qualify for a proportion of Performance Reward Grant upon completion of the three year period over which the Reward Element aspect of the LAA is monitored.
- 2.2 It was agreed at Cabinet on 4 February 2008 that regular monitoring reports be presented to future Cabinet meetings, detailing progress to date, together with a judgement of whether the indicator is on target to meet the overall 'stretch' target as agreed with GONE. This report details the 30 month stage of the LPSA, up to and including 30 September 2008.

3 Analysis

- 3.1 Of the 20 targets, 4 (20%) have already been achieved. Two of these (CEDFI P009 – Council Tax disabled reliefs & CEDFI P011 – Council Tax Severely Mentally Impaired reductions) are measured as at the 31 March 2009, so a downturn in performance could see the target being missed. However, it is considered unlikely to happen.
- 3.2 A further 8 (40%) of targets have been assessed as being on target and for 2 (RPD P037 and RPD P038 – Place Survey Indicators) a judgement can not be made at this point, due to the outcome being directly linked to the Place Survey, which is currently being conducted. The results of the Place Survey will be known early in 2009.
- 3.3 Two further indicators (RPD P045 – Employment Rate and ACS P034 – GP Referrals) have been assessed as 'Unsure'. The employment rate indicator is dependent on a number of external factors and can not be predicted with the 2008/09 figure being published by the end of 2008.

The GP Referral indicator is dependent on take up which fluctuates throughout the year and is therefore not known at this stage if the target will be met.

- 3.4 However, there are 3 targets (15%) that have been assessed as being not on target at this stage, and extremely unlikely to be achieved. All of these targets have involved close working with Partner Organisations and whilst being unlikely to achieve the target work will continue to support their achievement. These targets can be seen in more detail in **Appendix A**.

4 PERFORMANCE REWARD GRANT

- 4.1 As previously reported there is a Performance Reward Grant (PRG) available should targets be achieved. A total potential grant of £3,065,775 is available, split equally between the ten target areas. Each target will therefore potentially qualify for £306,577.50. Where targets have more than one indicator the amount of PRG allocated to each indicator has been agreed with Government Office.
- 4.2 The amount of PRG actually awarded will depend on the amount of 'stretch' that has been achieved. If less than 60% of the stretch has been achieved then no PRG will be payable. If 60% or above has been achieved then the amount of PRG will be the equivalent percentage. For example if 75% of the stretch has been achieved then 75% of the potential PRG will be paid.
- 4.3 Based on the judgements that have been made, and the analysis shown above, the projected amount of PRG that the Council will be received is £2,023,411 (up from £1,737,273 when assessed at the 24 month stage), which may rise to £2,605,909 (no change) should the four 'unsure' indicators be achieved. The table below details how this figure has been calculated.

Indicator Assessment	Number of PIs		Potential PRG (Sept 08)
	Apr 08	Sept 08	
Already Achieved	3	4	£327,016
On Target (full 100% stretch target)	8	9	£1,696,395
Unsure	6	4	£582,497
Not On Target	3	3	£459,866
Total (Achieved or on target)	11	13	£2,023,411

5 NEXT STEPS

- 5.1 Detailed analysis of all LAA Reward Element targets will continue to be conducted on a quarterly basis for the remainder of 2008/09 and will be reported to CMT and Cabinet.

6 RECOMMENDATION

6.1 Cabinet is asked to: -

- Note the position of the LAA Reward Element targets as at 30 September 2008

APPENDIX A

LPSA2 – Outturn information for period up to 30 December 2007

Target 1 Reducing burglary and car crime across Hartlepool.
Lead Officer: Alison Mawson

Ref	Description	Target		Current Outturn	On Target	PRG Split
		Figure	Detail			
RPD P029	The number of domestic burglaries	2099	3 Year cumulative	1370	Yes	50%
RPD P030	Vehicle crime (theft of and theft from a motor vehicle)	3298	3 Year cumulative	2169	Yes	50%

Target 2 Providing training and improved employment prospects.
Lead Officer: Alison Mawson

Ref	Description	Target		Current Outturn	On Target	PRG Split
		Figure	Detail			
RPD P058	Numbers of drug users given structured work experience / employment opportunities of at least 13 weeks	127	3 Year cumulative	59	Yes	33.3%
RPD P059	Number of offenders from Hartlepool being helped into employment with the assistance of HBC and being sustained in the job for a minimum of 4 weeks for a minimum of 16 hours per week.	75	3 Year cumulative	161	Achieved	33.3%
RPD P060	Number of offenders that have gained basic skills at entry level 3, 2 and 1 and level 1 or level 2	79	3 Year cumulative	164	Achieved	33.3%

Target 3 Reduce the number of young people, who as a result of under-age drinking, commit Anti-social behaviour in Hartlepool. Lead Officer: Alison Mawson

Ref	Description	Target		Current Outturn	On Target	PRG Split
		Figure	Detail			
RPD P037	Residents stating that "Teenagers hanging around on the streets" is a problem	61%	Place Survey 2008/09	64%	Unsure	50%
RPD P038	Residents stating that "People being drunk or rowdy in public places" is a problem	52%	Place Survey 2008/09	36%	Unsure	50%

Target 4 Reduce the incidents of local violence (common assault and wounding) in Hartlepool. Lead Officer: Alison Mawson

Ref	Description	Target		Current Outturn	On Target	PRG Split
		Figure	Detail			
RPD P031	Number of incidents of Local Violence in Hartlepool as recorded by the Police	5300	3 Year cumulative	3915	Yes	100%

Target 5 Reduce the incidents of domestic violence in Hartlepool. Lead Officer: Sheila O'Connor

Ref	Description	Target		Current Outturn	On Target	PRG Split
		Figure	Detail			
CSD P010	Number of repeat referrals to the police for incidences of domestic violence	1531	Final Year (2008/09)	614	Yes	50%
CSD P011	Number of perpetrators attending a perpetrator programme not re-offending within 6 months of completing the programme	45	Final Year (2008/09)	3	No	50%

Target 6 Increasing financial resources within family environments to provide improved lifestyle opportunities
Lead Officer: John Morton

Ref	Description	Target		Current Outturn	On Target	PRG Split
		Figure	Detail			
CEDFI P009	Number of Council Tax Disabled Reliefs	268	As at 31/3/09	300	Achieved	20%
CEDFI P010	Number of Council Tax Carer Reductions	157	As at 31/3/09	153	Yes	60%
CEDFI P011	Number of Severely Mentally Impaired (SMI) Reductions	112	As at 31/3/09	145	Achieved	20%

Target 7 Improving training and employment prospects for carers
Lead Officer: Patrick Wilson

Ref	Description	Target		Current Outturn	On Target	PRG Split
		Figure	Detail			
RPD P056	Number of Carers completing education or training and achieving NVQ Level 2 or equivalent qualification, or higher	120	3 Year cumulative	17	No	50%
RPD P057	Number of Carers remaining in employment for a minimum of 16 hours per week, and for at least 32 weeks in the year	149	3 Year cumulative	19	No	50%

Target 8 Improving Quality of Life and preventing homelessness through secure tenancies and sustainable employment
Lead Officer: Patrick Wilson

Ref	Description	Target		Current Outturn	On Target	PRG Split
		Figure	Detail			
RPD P046	Number of failed tenancies	183	3 Year Cumulative	121	Yes	50%
RPD P045	Employment Rate (16-24)	53.8%	Final Year (2008/09)	51.6%	Unsure	50%

Target 9 To improve the health and well-being of patients referred by health practitioners via a GP referral scheme by increasing patients levels of participation in physical activities
Lead Officer: John Mennear

Ref	Description	Target		Current Outturn	On Target	PRG Split
		Figure	Detail			
ACS P034	Number of patients completing a 10 week programme of referred activity as a result of health practitioner recommendation	1350	3 Year Cumulative	936	Unsure	40%
ACS P035	Of those completing 10 week programme, the percentage going onto mainstream activity	50% (subject to minimum of 600)	3 Year cumulative	53%	Yes	60%

Target 10 Promoting healthy life chances through the achievement of the Healthy Schools Status across Hartlepool
Lead Officer: Sandra Saint

Ref	Description	Target		Current Outturn	On Target	PRG Split
		Figure	Detail			
CSD P012	Number of schools achieving the new Healthy Schools Status	36	As at 31/8/09	28	Yes	100%

CABINET REPORT

8 December 2008



Report of: Director of Adult and Community Services

Subject: CARE SUPPORT INDEPENDENCE: THINKING ABOUT A NEW CARE AND SUPPORT SYSTEM

SUMMARY

1. PURPOSE OF REPORT

To provide members with a briefing regarding the planned Green Paper which will look at future funding of the care system.

2. SUMMARY OF CONTENTS

The report summarises the information issued to date, to inform the pre-consultation.

3. RELEVANCE TO CABINET

The Green Paper is due to be published early in 2009, with a formal consultation planned to consider the proposed way forward. If proposals are agreed a new system of funding for care and support is likely to be introduced from 2010 onwards.

4. TYPE OF DECISION

Non Key

5. DECISION MAKING ROUTE

Cabinet – 8 December 2008

6. DECISION(S) REQUIRED

Members are asked to note the contents of this report and the proposed Green Paper and consultation expected early in 2009.

Report of: Director of Adult and Community Services

Subject: CARE SUPPORT AND INDEPENDENCE: THINKING ABOUT A NEW CARE AND SUPPORT SYSTEM

1. PURPOSE OF REPORT

- 1.1 This report aims to provide members with information regarding the Government's consultation on how care and support will be funded in the future.

2. BACKGROUND

- 2.1 In May the Government launched a consultation, "Care, Support, Independence," which asked how a new care and support system should work and be funded.

- 2.2 Several key reasons were given for undertaking the consultation:

- In 20 years time there will be twice as many people in England aged over 85 and four times as many people aged over 100.
- In 2007, there were 5.7 million disabled adults. In 2041, it is expected that there will be 8.6 million disabled adults.
- The current system cannot meet this demand.
- In 20 years' time government would need an extra £6 billion a year just to provide the same level of social care as today and the cost of disability benefits is expected to increase by 50%.

- 2.3 Previous consultations have indicated that the current care and support system is unfair and hard to understand. Some people who live in different places may receive different support and others think the system is unfair to people who have worked hard and saved some money. Many people don't understand the care and funding system and find it hard to get the advice they need.

- 2.4 In the consultation the government described care and support as services and activities that help people to live independent, active and healthy lives and to be part of the community. A lot of these services and activities are to help older or disabled people. The main reasons why people might need care and support are identified as accidents, long-term illness, being disabled and getting older. The main sources of care and support are seen as:

- family and friends

- government (local and national)
- charities and the 3rd sector
- care and support businesses.

2.5 Care and support is provided by several different parts of government:

- Social care services; such as meals provision, care homes, day care, care at home, Direct Payments and support for carers
- Housing support services for older people and disabled people such as Supporting People and Housing Improvement Agencies
- Services such as Disabled Facility Grants that pay for things house adaptations such as walk-in showers which help people live at home safely and support disabled people to be independent
- Benefits that help older people and people with disabilities with the extra costs of disability
- Primary and Secondary Health services that play an important role in helping people to live independent, active and healthy lives.

2.6 The Government has indicated that a new care and support system must ensure people get the care and support they need. Many key changes in society mean that the current care and support system will not work in the future. People's expectations are changing, there are more older people and disabled people are living longer. This means that more people need care and support. People are now spending more of their lives in retirement and also want to have more say in the care and support they get.

2.7 The government has identified that, to counter these pressures, there are also many opportunities that may help to create a new care and support system.

- More people have jobs; over 2.8 million more people are in employment now than in 1997. Whilst the economic downturn may affect this in the short term, the long term trend remains upward.
- Older people today often have more money than older people had in the past; in 2005, an average 70-year-old had illiquid assets (e.g. housing) of £215,000 compared with £88,000 in 1995; in 2004, people aged 60 or over owned about £932 billion in equity in their homes.
- New technology can now help people stay safe and live in their own homes for longer.

2.8 There are also economic changes that will impact on a new care and support system. Pressures and opportunities therefore offer the other possible options to the current system.

3. VISION

3.1 The Government's stated vision for a new care and support system is that people should be able to live independently, have as much control over their own lives as possible, live with or look after their family, participate as active and equal citizens and have the best possible quality of life. People should

also be able to stay healthy and recover quickly from illness. They should get the care and support they need, but government funding is targeted to those who need it most. The new care and support system must be affordable for the government, individuals and families in the long term.

4. FUNDING

4.1 Currently, care and support is funded from three sources:

- **Individuals** may pay some or the full amount for services this is subject to a means test. Individuals currently pay about £2 billion a year to local authorities in contributions.
- **Family** and friends provide care and support themselves. One in ten people in England and Wales is a carer. Nationally, one-third of people receiving local authority funding also receive top-ups from third parties including family and friends. Locally this proportion is considerable lower, less than 1%.
- **Government**
 - *National government* uses taxation to pay for some aspects of care and support such as benefits.
 - *Local government* uses national taxation and council tax to pay for services for those with low incomes. Over two-thirds of people in care homes are funded partly or fully by taxation.

4.2 In the recent consultation the Government sought ideas about new ways to pay for care and support. Key principles were that they must be:

- affordable to people who need care, their families and government
- fair for everyone
- sustainable, so that it works well now and in the future

4.3 It is estimated that around a quarter of the population will need residential or nursing care at some point in their lives. Older People's residential care currently costs £23,000 per year on average. Even with the advent of schemes such as extra care this will remain a significant figure

4.4 Other countries pay for care and support in different ways. In Japan, many people get care and support through organised services. People aged 40 or more pay more of the costs. In Germany, families are supported to provide care. Everyone who is in work pays for the costs. In France, everyone who is in work contributes towards the cost of care and support. The people with the lowest income and assets have all of their costs covered, those with more income and assets pay for some of the costs themselves. Some people buy private insurance to do this.

4.5 The government has sought a clear steer from people about how the responsibility for care and support should be shared and who should contribute more in the future?

5. SETTING CLEAR, FAIR RULES FOR GOVERNMENT'S CONTRIBUTION

- 5.1 Today, local authorities decide how to spend money on care and support. This means that local people can decide what is best for their area. But it also means that there are differences in care and support in different areas of England. Delivery can always be locally led; this is about who decides how much government money somebody gets for the care and support they need.
- 5.2 The Government has posed some key questions:
- Should central or local government decide who is entitled to help and what they are entitled to?
 - Should we give more support to those with low incomes and assets? Some people do not have enough money to get the support they need.
 - Some people think it is unfair not to help people who have worked hard and saved some money.
- 5.3 The intention is to find a way for government to support people that is fair. In the future, should the same help be given to everyone who needs it or should government give more help to people who have low income and assets?
- 5.4 It has been suggested that treating people "equally" does not necessarily mean treating people the "same." People's needs are very varied:
- some disabled people need a lot of care and support
 - as people get older, they sometimes need extra help
- 5.5 The Government has committed to bring forward a Green Paper early in 2009 with proposals to change the care and support system in England. There will be formal consultation on the proposals in the Green Paper. If approved, the Government intends to gradually implement a new system from 2010 onwards.

6. RECOMMENDATIONS

Members are asked to note the contents of this report and the proposed Green Paper and consultation expected early in 2009.

CABINET REPORT

8 December 2008



Report of: Director of Adult and Community Services

Subject: INTEGRATED COMMISSIONING AND PROVISION
OF SERVICES FOR ADULTS

SUMMARY

1. PURPOSE OF REPORT

To update members on the integrated commissioning and provision of social care and health services for adults.

2. SUMMARY OF CONTENTS

The report provides an update on progress made to date in terms of integrated locality teams, providing social care and health services and the establishment of a joint strategic commissioning team, both of which will be overseen by a new Adult Management Board.

3. RELEVANCE TO CABINET

Cabinet has previously supported the principle of integrating provision and commissioning of adults services. This report provides an update on how implementation has progressed.

4. TYPE OF DECISION

Non Key

5. DECISION MAKING ROUTE

Cabinet – 8 December 2008

6. DECISION(S) REQUIRED

For information only

Report of: Director of Adult and Community Services

Subject: INTEGRATED COMMISSIONING AND PROVISION
OF SERVICES FOR ADULTS

1. PURPOSE OF REPORT

- 1.1 The purpose of this report is to provide a comprehensive update on the progress made regarding Integrated Commissioning and Provision of Health and Social Care Services for Adults

2. BACKGROUND

- 2.1 Hartlepool's 'Vision for Care' was developed jointly by the PCT and Hartlepool Borough Council's Adult & Community Services Department and proposed the development of multi-disciplinary, multi-agency teams working together, focusing on a person's whole needs, sharing information, managing aligned budgets and using the same systems and procedures. This ensures that services are increasingly patient centred / service user focussed and would be mirrored by an integrated approach to commissioning of services with strategic commissioners jointly appointed to work on behalf of both organisations.
- 2.2 The 'Vision for Care' was endorsed by the PCT Board, Hartlepool Borough Council's Cabinet and the Hartlepool Partnership. The original agreement to work towards integrated provision and commissioning was made by the Joint Forum in 2004 and the direction of travel has continued to be supported by the partner organisations.
- 2.3 A Steering Group was established comprising representatives of the PCT, Adult and Community Services and North Tees and Hartlepool NHS Trust to manage the process in relation to integrated provision. A series of workshops were held with staff from all three organisations in order to engage with key stakeholders and to involve the staff in developing the key objectives and it was agreed that the integrated teams be developed in three localities on the basis of the Adult and Community Services Teams.

3. PROGRESS – PROVISION OF SERVICES

3.1 Integrated Services Operations Group

3.1.1 The Integrated Services Operations Group replaced the original Steering Group and reports to Joint Directorate. A number of key work streams have been meeting for some months now to progress the work set out by the original Steering Group:

- Information & Performance Management and Technology
- Workforce
- Single Point of Access
- Caseload/GP Alignment
- Locality Working & Business Planning

3.2 Information & Performance Management and Technology

3.2.1 The objective of this group is to develop a system which provides access for members of the Integrated Teams to appropriate information in order to facilitate the delivery of their duties, performance management, information governance and the overall Integrated Services Vision.

3.2.2 The group continues to meet on a monthly basis with some clear actions being moved forward specifically around connectivity, and Tees Information Management Services are currently supporting the work around N3 connections within the locality bases.

3.3 Workforce

3.3.1 This work stream co-ordinates the provision of workforce data and training to enable integrated teams to develop effectively.

3.3.2 The representation within this work stream will be expanded to ensure that key issues arising with the implementation of the new structure can be addressed with representation from both organisations.

3.4 Single Point of Access

3.4.1 The objective of this work stream is to develop and implement a model for a single point of access for Health & Social Care.

3.4.2 The work continues to develop the model with representation from GP Practice Managers to ensure that the primary care perspective is taken into account.

3.5 Caseload/GP Alignment

- 3.5.1 The objective of this work stream was to develop locality based caseloads for the District Nursing service across Hartlepool.
- 3.5.2 Teams have carried out two data collection exercise to look at current caseloads whilst also identifying the potential impact of transferring the caseloads to localities. With Practice Manager representation the group developed a staged approach to the transfer of patients between localities. Documentation to support this process was also developed by the group to support a seamless approach and all patients have now transferred to the appropriate locality team.

3.6 Locality Working

- 3.6.1 The objective of this work stream is to define and develop a system for the continuous collection and analysis of data and information related to defining and quantifying the health and social care needs of individuals, groups and communities within each locality. This information will then be used to support the teams to design and deliver services which most effectively meet these needs and respond quickly to changes in need, within the context of robust business planning and effective use of resources

3.7 Accommodation

- 3.7.1 North Team Base - The Phoenix Centre was identified as the location for this team and refurbishment work was carried out during May and June 2007. The District Nursing Team moved into the property in July followed by Adult and Community Services staff in September.
- 3.7.2 Central Team Base - The Central Team have now been co-located within Greenbank for over a year. Although this provides the team with the opportunity to work well together a number of concerns have been raised with regard to the car parking facilities for this building.
- 3.7.3 South Team Base - A base has been identified for this team but we have faced a number of issues with regard to the purchase of the Masefield Road building, resulting in a considerable delay. It has now been agreed that Masefield Road will become the base for both the Central and South teams, which will alleviate the parking issues faced at Greenbank. It is anticipated that this building will be ready for occupation early in 2009, following refurbishment.

3.8 Integrated Operational Management Structure

- 3.8.1 The development of an integrated management structure has always been an identified integral part of the integrated services development. The PCT reconfiguration did impact upon this work but a workshop held in February 2007 reaffirmed the commitment to this approach from both organisations.
- 3.8.2 A draft structure was finalised early in 2008 and a consultation process undertaken with the people affected by the changes. The jointly appointed Head of Adult posts were recruited to in July 2008 with all Locality Team Managers recruited the following month. It has been agreed that the structure will be in place in shadow form from October with a transitional period until January 2009. It has also been agreed that senior managers within the integrated provision structure will be based at Mandale House, and moves are planned for November 2008.
- 3.8.3 A development programme for the Locality Team Managers has been created which took place during October with a three month action plan being produced as a result. The Locality Team Managers will now link into the Joint North of Tees programme which is currently being developed after securing Strategic Health Authority Funding.
- 3.8.4 An Acting Joint Assistant Director of Adult Services was appointed in October 2008 on an interim basis while the substantive post holder is acting into the role of Director of Clinical Services.

4. **PROGRESS – COMMISSIONING OF SERVICES**

4.1 Integrated Commissioning Structure

- 4.1.1 An integrated structure for commissioning across both agencies was agreed in the summer of 2008 and a Joint Assistant Director of Adults Commissioning appointed from 1 July. This post is initially accountable to the Borough Council only, but from 1 January 2009 becomes a joint appointment with responsibility for commissioning across both the Council and the PCT.
- 4.1.2 The integrated commissioning structure includes joint strategic commissioners for Older People, Working Age Adults (including learning disabilities and physical disabilities) and Mental Health, as well as Practice Based Commissioning and Continuing Healthcare.
- 4.1.3 Appointments to the posts for Older People and Working Age Adults were made in October 2008.

4.2 Accommodation

- 4.2.1 The integrated commissioning team will be based in the Civic Centre along with a range of other adult and community services. This will be beneficial in terms of developing links across areas and will facilitate closer working. The moves will be completed early in January 2009.

4.3 Modernisation Team

- 4.3.1 The integrated commissioning team and the integrated management structure for service provision will be supported by a Modernisation Team made up of staff previously undertaking Planning and Implementation Officer and similar roles. It is expected that the team members will retain a lead role within their areas of expertise (including Older People, Mental Health, Disabilities and Carers) as well as maintaining and further developing generic skills in relation to policy, project management and service reform.
- 4.3.2 Some protected development time has been identified for the team to explore in further detail their current roles and how they can work together more effectively in the future.
- 4.3.3 The Modernisation Team will be co-located with the integrated commissioning team in the Civic Centre but their work programme will be agreed through the Adult Management Board.

4.4 Personalisation Team

- 4.4.1 Within the new structures a virtual personalisation team has also been established to support taking forward the Putting People First agenda. Three existing staff will take lead roles in relation to personalisation in addition to their current roles, with focused areas including resources, operations and policy. As with the Modernisation Team, this team will be based in the Civic Centre, but its work will be directed via the Adult Management Board.

5. **MANAGEMENT AND GOVERNANCE ARRANGEMENTS**

5.1 Partnership Agreements

- 5.1.1 Two partnership agreements (one for provision and one for commissioning) are currently being finalised which set out the purpose of the partnerships, how integrated services will be managed, performance management arrangements and resolution of disputes.

5.1.2 The partnership agreement for provider services will be between HBC and North Tees & Hartlepool Foundation Trust due to the transfer of PCT provider services to the Trust with effect from 1 November 2008. This transfer is part of the externalisation agenda which will see the PCT become focussed purely on commissioning of services. This has been agreed for a seventeen month period, during which time service reviews will be undertaken to inform a future tendering exercise.

5.1.3 The partnership agreement for the commissioning of services will be agreed by HBC and HPCT.

5.2 Governance Arrangements

5.2.1 An Adult Management Board has been established to manage the commissioning and development of adult services across health and social care. Meetings are scheduled for 2009 and draft Terms of Reference have been produced.

6. CONCLUSION

6.1 As this paper demonstrates, a substantial amount of work has been undertaken to develop the infrastructure required to achieve the full development of this agenda.

6.2 It is expected that the new structures will be fully operational from January 2009.

7. RECOMMENDATION

7.1 It is recommended that progress to date is noted, and that support for the integration of adult services is maintained.

CABINET REPORT

8 December 2008



Report of: Director of Adult and Community Services

Subject: ANNUAL REVIEW OF PERFORMANCE FOR ADULT SOCIAL CARE

SUMMARY

1. PURPOSE OF REPORT

To present the annual performance rating for Adults Social Care, provided by the Commission for Social Care Inspection (CSCI).

2. SUMMARY OF CONTENTS

The Council has improved on last years judgement of two stars and has been awarded a three star rating for Adult Social Care and is judged to be delivering good outcomes, with an excellent capacity for improvement.

Specific areas for improvement are covered in this report.

3. RELEVANCE TO CABINET

The CSCI performance assessment is a key judgement on Council performance, and forms part of the annual CPA rating. It must be reported to an appropriate public meeting of the Council.

4. TYPE OF DECISION

Non key – for information

5. DECISION MAKING ROUTE

Cabinet – 8 December 2008

6. DECISION(S) REQUIRED

To note the contents of the report

Report of: Director of Adult and Community Services

Subject: ANNUAL REVIEW OF PERFORMANCE FOR ADULT SOCIAL CARE

1. PURPOSE OF REPORT

- 1.1 To present the annual performance rating for Adult Social Care, provided by the Commission for Social Care Inspection (CSCI).

2. PERFORMANCE APPRAISAL SYSTEM

- 2.1 There is an extensive system of monitoring by the Inspectorate, including inspections, monitoring visits, returns, and performance indicators. This array of qualitative and quantitative data is used by CSCI to produce a view on our performance for the past year, and areas to improve for the year ahead.
- 2.2 National results were published on the CSCI website on 27 November, and details of Hartlepool's own appraisal have been made available to the Council.

3. RESULTS FOR 2008

- 3.1 Hartlepool is judged to be delivering **good** outcomes for people and to have an **excellent** capacity for improvement, which equates to a **3 star** rating, an improvement on previous years' ratings and the maximum rating possible.
- 3.2 The suite of performance indicators shows continued good results, with most indicators banded as stable or improving, and 91% rated "acceptable" (●●●) or better (**Appendix 1**). Of the 24 banded indicators, 13 achieved the top band, and 2 were not banded because the figures were too small to be regarded as statistically significant.
- 3.3 Comparative analysis with other authorities will be available at the meeting.

4. KEY STRENGTHS AND AREAS FOR IMPROVEMENT

- 4.1 A summary of the Key Strengths and Areas for Improvement has been compiled as follows:

Key Strengths	Key areas for improvement
All people using services	
<ul style="list-style-type: none"> • Working with partners to give people information about well-being • Staff encourage people to lead healthy and active lives • Network of support for people with lower care needs • Involving people in projects in the community • Everyone is invited to undertake a self assessment and offered an individual budget rather than a service • Seeking people's views about services • Enabling people to shape developments • Assessments are undertaken promptly • Well established complaints system • Assessments are undertaken regardless of people's ability to pay for support • People from diverse communities are consulted about developments • Partnership approach towards financial advice and benefit maximisation • Clear vision about the future of adult social care • Politicians and senior managers embrace new ideas • Plans and strategies are well linked across organisations • High level of partnership working • Achieved Investors In People status • Contingency plans in place to fund the introduction of new initiatives • More people now design their own care • Good relationship with local service providers 	<ul style="list-style-type: none"> • Achieve further levels of the local government equality standards.
Older people	
<ul style="list-style-type: none"> • People do not spend more time in hospital than is necessary • High number of people are helped to live at home • A major extra care development has opened 	

People with learning disabilities	
<ul style="list-style-type: none"> • High number of people are helped to live at home • People with profound disabilities increasingly use community-based support 	<ul style="list-style-type: none"> • Help people move out of NHS campus accommodation
People with mental health problems	
<ul style="list-style-type: none"> • High number of people are helped to live at home 	
People with physical and sensory disabilities	
<ul style="list-style-type: none"> • High number of people are helped to live at home • Equipment and adaptations are provided promptly 	
Carers	
<ul style="list-style-type: none"> • High number of carers receive services 	<ul style="list-style-type: none"> • Introduce the emergency respite service for carers

5. ACTION PLANS

- 5.1 Action plans are already in place in respect of all areas for improvement noted by the Commission, and these will be monitored throughout the year via their monitoring visits.

6. RECOMMENDATIONS

- 6.1 That the performance assessment be noted.

Summary of Performance Assessment Indicators

111	Hartlepool														
Adults	Changes in Definition		PAF											2008 SAS	
			1999-00	2000-01	2001-02	2002-03*	2003-04*	2004-05*	2005-06*	2006-07*	2006-07 (revised) ⁺	2007-08 (1st Cut)	2007-08 (2nd Cut)	2007-08 Outturn	2008-09 Plan
AO/A60		Participation in drug treatment programmes (BVPI 198)						42 - L							
AO/A80		Drug misusers sustained in treatment (old definition)								111	111	106	106		
AO/A80	New	Drug misusers sustained in treatment (new definition)										109	109	109	
AO/B11	2003-04	Intensive home care as a percentage of intensive home and residential care				32	30	26 - L	28	27 - L	27 - L	26 - L	26 - L	26 - L	26
AO/B12	2003-04	Cost of intensive social care for adults and older people (BVPI 52)					354	352	390	458 - H	458 - H	474 - H	474 - H	477 - H	470
AO/B17	2000-01 **	Unit cost of home care for adults and older people		7.9	9.5	9.7	12.1	13.0 - H	15.0 - H	15.5 - H	15.5 - H	15.6 - H	15.6 - H	15.6 - H	16.2
AO/C26	2000-01	Admissions of supported residents aged 65 or over to residential/nursing care (KT)		119 - H	100	128 - H	54 - L	21 - L	-						
AO/C72		Older people aged 65 or over admitted on a permanent basis in the year to residential or nursing care							57	76	76	84	84	84	88
AO/C27	2000-01	Admissions of supported residents aged 18-64 to residential/nursing care		4.5 - H	2.2	2.4	1.9 - L	2.0	-						
AO/C73		Adults aged 18-64 admitted on a permanent basis in the year to residential or nursing care							-	1.1	1.1	1.6 - H	1.6 - H	1.6 - H	1.5 - H
AO/C28		Intensive home care (BVPI 53) (KT)	11.9 - L	16.3	17.6	18.7	17.1	15.2 - L	15.7 - L	14.4 - L	14.4 - L	13.0 - L	13.0 - L	13.0 - L	12.0 - L
AO/C29		Adults with physical disabilities helped to live at home		14.0	10.4	10.3	10.0	9.6	9.8	9.8	9.8	10.1	10.1	10.3	11.0
AO/C30		Adults with learning disabilities helped to live at home		3.8	3.7	3.1	3.4	3.4	3.6	3.6	3.6	3.8	3.8	3.9	4.0
AO/C31		Adults with mental health problems helped to live at home		1.1 - L	4.0	4.1	4.1	3.3	2.9	10.4	10.4	2.5	2.5	5.5	5.5
AO/C32		Older people helped to live at home (BVPI 54)		120	124	122	123	119	122	121	121	122	122	122	122
AO/C51		Direct payments (BVPI 201) (KT)				-	24 - L	45 - L	55 - L	298	298	439	439	437	500
AO/C62		Services for Carers						3.8	9.0 - L	9.2 - L	9.2 - L	12.3	12.3	12.3	14.0
AO/D37		Availability of single rooms	100	100	100	100	100	100	100	100	100	100	100	100	100
AO/D39		Percentage of people receiving a statement of their needs and how they will be met	83 - L	84 - L	97 - L	99 - L	93 - L	97 - L	100	100	100	100	100	100	100
AO/D40	2003-04	Clients receiving a review					59 - L	63	74	67	67	77	77	77	77
AO/D41		Delayed transfers of care				14	11	12	5	5	5	6	6	6	
AO/D54		Percentage of items of equipment and adaptations delivered within 7 working days (BVPI 56) (KT)					77 - L	74 - L	80 - L	84 - L	84 - L	90	90	90	91
AO/D55		Acceptable waiting times for assessments (BVPI 195) (old definition)					56 - L	76 - L							
AO/D55 (pt 1)		Percentage of contacts where assessments started within 48 hours (old definition)													
AO/D55 (pt 2)		Percentage of assessments completed within 4 weeks (old definition)													
AO/D55	2005-06	Acceptable waiting times for assessments (BVPI 195) (KT) (new definition)							83 - L	88 - L	88 - L	93	93	93	93
AO/D55 (pt 1)	2005-06	Percentage of contacts where assessments started within 48 hours (new definition)							100	100	100	100	100	100	100

111	Hartlepool														
Adults	Changes in Definition		PAF											2008 SAS	
			1999-00	2000-01	2001-02	2002-03*	2003-04*	2004-05*	2005-06*	2006-07*	2006-07 (revised) +	2007-08 (1st Cut)	2007-08 (2nd Cut)	2007-08 Outturn	2008-09 Plan
AO/D55 (pt 2)	2005-06	Percentage of assessments completed within 4 weeks (new definition)							66	77	77	85	85	85	85
AO/D56		Acceptable waiting times for care packages (BVPI 196) (KT)					81 - L	70 - L	81 - L	82 - L	82 - L	89 - L	89 - L	89 - L	90
AO/E47	2001-02	Ethnicity of older people receiving assessment (old definition)			1.25	1.20	0.80 - L	0.63 - L							
AO/E47	2005-06	Ethnicity of older people receiving assessment (new definition)							0.86 - L	-	-	-	-	0.17 - L	1.00
AO/E48	2003-04	Ethnicity of older people receiving services following an assessment (old definition)					-	-							
AO/E48	2005-06	Ethnicity of older people receiving services following an assessment (new definition)							-	-	-	-	-	1.34 - H	1.00
AO/E50	2003-04	Assessments of adults and older people leading to provision of service (old definition)					45	32							
AO/E82	2005-06	Assessments of adults and older people leading to provision of service (new definition)							55	64 - L	64 - L	70	70	70	70
AO/D59		Practice learning (adults element) (old definition)													
AO/D75	2005-06	Practice learning (adults element) (new definition)					25.0	6.2	12.0 - L	16.4 - L	16.4 - L	17.1	17.1	17.1	17.1

Colour Key	
	Band ●
	Band ●●
	Band ●●●
	Band ●●●●
	Band ●●●●●

Notes:
General **The banding may appear to be incorrect due to rounding of PI values. Councils should check the precise value of the PI against the published bandings.**

Comparator information is based on the average of indicators and not calculated as a PI based on the numerator and denominators for the constituent organisations

- suppressed published data (numerator 1-5, denominator 1-10, or data quality)

.. information is not available

Missing information is not available (SAS/APA data)

* In 2007 the Office of National Statistics issued revised mid-year population estimates for years 2002-03 through to 2006-07. Those data shown in this document for 2002-03 to 2006-07 are based on new calculations reflecting the revised mid-year population

+ Data labelled '2006-07(revised)' is those published during the 07/08 APA process using the revised methodology MYE2006 populations.

** Unit costs data before 2001-02 is not banded as ACA banding is only available from 2001-02 onwards.

++ Indicator D83 is not banded in 2007-08.

CABINET REPORT

8TH DECEMBER 2008



Report of: Head of Community Safety & Prevention

Subject: OPERATION OF THE GOOD TENANT SCHEME

SUMMARY

1. PURPOSE OF REPORT

To update Cabinet on the progress of the Tenant Referencing (Good Tenant) Scheme.

2. SUMMARY OF CONTENTS

Over view of the first six months operation of the scheme including:

- Application process & assessment for membership
- Results of assessments
- Links to other services.

3. RELEVANCE TO CABINET

Community Safety and Housing Issue.

4. TYPE OF DECISION

Non Key.

5. DECISION MAKING ROUTE

Cabinet.

6. DECISION(S) REQUIRED

Note the progress being made.

Report of: Head of Community Safety & Prevention

Subject: OPERATION OF THE GOOD TENANT SCHEME

1. PURPOSE OF REPORT

- 1.1 To update Cabinet on the progress of the Tenant Referencing (Good Tenant) Scheme.

2. BACKGROUND

- 2.1 Following the approval of the scheme by Cabinet on 8th March 2008, the Tenant Referencing (Good Tenant) Scheme was launched in May 2008. The scheme is a long term project that aims to reduce anti-social behaviour and neighbourhood nuisance from tenants in the Private Rented Sector.
- 2.2 The Good Tenant Scheme is one element of a coordinated approach to reducing anti-social behaviour and is linked to the proposed introduction of Selective Licensing of Private Landlords; the provision of support through the Vulnerable Person's Panel and the management of cases of Anti-social Behaviour in the Anti-social Behaviour Unit.
- 2.3 The Scheme is voluntary and free to use, and it is intended that use by landlords will become a condition of licensing in those areas designated for Selective Licensing.

3. OPERATION

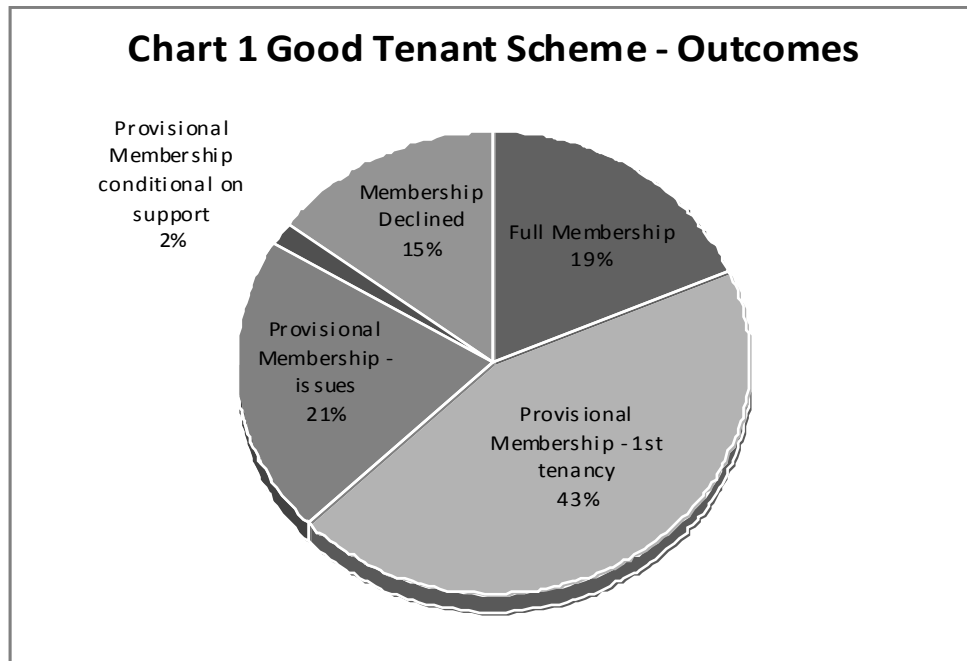
- 3.1 The Scheme grants membership to applicants based on the "passport" model. Applicants are assessed on information provided by Local Authority, and other agencies, including, where possible, the Police and previous landlords. This information is then used to make a judgement of how the applicant has behaved in previous tenancies, and their likelihood of becoming a good tenant and good neighbour. Members are issued with a photo ID card to allow them to prove to any prospective landlord that they have been checked by the scheme. The membership cards are colour coded on the "traffic light" system, with those individuals having no issues being granted a green (Full Membership) card, those with some issues but who are working with support are granted yellow (Provisional Membership) cards, and those whose behaviour has been unacceptable have their membership declined. Applicants with no previous tenancy history are given yellow cards (Provisional Membership) to allow them an opportunity to prove they can manage a tenancy. Each member will have their membership formally reviewed on a six monthly basis.

- 3.2 Landlords are encouraged to only offer tenancies to members of the scheme. Membership status can be reviewed more regularly than every six months, particularly if there is a change of circumstances or new information is received about the member. Members are advised on how they can improve their status. Applicants in need of support are referred to appropriate agencies through the Vulnerable Persons Panel.
- 3.3 The Scheme aims to process applications within fourteen days but can fast – track the application process in three days where an offer of accommodation is pending or the applicant is threatened with homelessness.
- 3.4 The Good Tenant Scheme requests all applicants to sign an Informed Consent Form on application. This allows (where appropriate) the sharing of information between Local Authority services and other partner agencies.
- 3.5 The scheme incorporates a three stage review and appeal procedure, with final appeals being dealt with by an independent panel of 3 members. To date, no appeals have been received.
- 3.6 Applications may be made by post, at the Anti-social Behaviour Unit in Jutland Road, through the Housing Advice Team at the Civic Centre, Citizens Advice Bureau and at the York Road Community Safety Office. Applications are also available at many of the larger property management agencies throughout the town.
- 3.7 It is intended that the service will also be available at a Community Safety Office in the North area of town in the near future, and that the application process will be made available on line.

4. RESULTS TO DATE

- 4.1 The Good Tenant Scheme received 298 applications between 1st May 2008 and 1st November 2008. This is an average of 11.5 applications per week, which is lower than the 15 per week that had been forecast, based on the experience of operating the TIES (Tenant Information Exchange Service). TIES was a precursor to the Good Tenant Scheme, operating in areas with high levels of anti-social behaviour, but which only considered records from the Anti-Social Behaviour Unit.
- 4.2 68 cases have been closed due to the failure of applicants to respond to requests for information. However the rate of application is increasing.

4.3 The chart below shows the categories of all applicants processed.



- 4.4 One Provisional member has had their membership withdrawn due to anti social behaviour. One applicant who was initially declined has engaged with support and as a result has been granted Provisional Membership conditional on continued engagement.
- 4.5 Rejections, at 15%, are 50% higher than the original forecast of 10% based on the experience of the TIES scheme. This is attributed to the more thorough checking process involved in the Good Tenant Scheme.

5. PARTNERSHIP WORKING

- 5.1 Where applications are declined, the applicant is advised of the reasons for this decision and how they can improve their status by not causing further anti-social behaviour. Applicants can also be referred to the Vulnerable Persons' Panel for support in achieving this aim. The Good Tenant Scheme also works closely with Police and other agencies to follow up cases where membership has been declined or where tenancy issues have arisen. This can include follow up visits by the Police or Anti social behaviour officers, and advice to landlords on dealing with anti-social behaviour including advice and assistance to terminate tenancies. Where checks indicate outstanding rent arrears with previous landlords, applicants are advised to contact those landlords and make mutually acceptable arrangements to repay any money they owe.

Impact on homelessness and those seeking accommodation

There are no indications that the Scheme has to date had an impact on homelessness. In cases where applicants have been threatened with homelessness the scheme has fast tracked their applications.

Impact on Providers of Support Service

The Scheme has made 15 referrals to the Vulnerable Persons Panel. Whilst there is no indication that these referrals have placed additional burden on support providers, the Scheme could impact on support providers, by creating a potential barrier to move-on accommodation, where clients are continuing to cause anti social behaviour. Where clients are engaging with support offered, and there is an expectation that this will reduce anti social behaviour and nuisance, provisional membership can be offered. Support providers are advised to be proactive in encouraging their clients to apply for membership early so as not to delay their re-housing.

Choice Based Lettings.

The Good Tenant Scheme is designed to be compatible with the introduction of Choice Based Lettings (CBL) and shares the same exclusion conditions. Prior to the introduction of CBL the requirements for membership of the Good Tenant Scheme will be reviewed to ensure that they do not conflict with the inclusion conditions of CBL so as to present a uniform approach to lettings and exclusions.

Selective Licensing

The Good Tenant Scheme has been introduced in anticipation of the implementation of Selective Licensing of private landlords under the Housing Act 2004. An application has been submitted to the Department of Communities and Local Government and approval is awaited. The submission document requires landlords to use the Good Tenant Scheme as part of their licence conditions.

6. EVALUATION

- 6.1 The Good Tenant Scheme is intended to bring about a reduction in anti-social behaviour in the private rented sector. We intend to monitor the number of applicants who progress from provisional to full membership, and those who may have been declined but who subsequently accept a support package, as evidence of success. However, because formal reviews are made on a six monthly basis, there is no assessment that can yet be made of this.
- 6.2 The Scheme is designed around members of the public requesting membership, rather than landlords requesting references, so it will not be statistically possible to assess the take up levels from landlords or the impact on anti-social behaviour, until the scheme is fully matured and Selective Licensing of private landlords has been introduced. Anecdotal evidence provided through the Landlord Forum, Landlord Association, local Residents Associations, and comments by individual landlords, is that the Scheme is well received and is helping landlords to make better informed choices as to

whom they rent their property. It is proposed to research the impact of the Scheme on both landlords and tenants in the next six months, including further investigation into the reasons why some applicants do not complete the application process. This will allow better comparison of Scheme outcomes both within and outside of the areas designated for Selective licensing of private landlords.

7. CONCLUSION

- 7.1 The Tenant Referencing Scheme has now been operating for six months. The Scheme was designed to have a long term impact on reduction of anti-social behaviour in the private rented sector, and as such it is too early to judge the success or otherwise of the Scheme. However, initial indications are that the Scheme is operating broadly as expected and that, with the introduction of Selective Licensing it will contribute to a reduction in anti social behaviour.

8. RECOMMENDATIONS

- 8.1 Members are recommended to note the report

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BACKGROUND PAPERS

Cabinet Report 3rd March 2008 Introduction of Tenant Referencing

Application for Selective Licensing Powers in Hartlepool