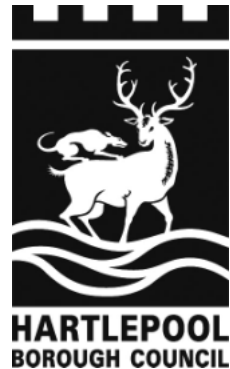


# **CHILDREN'S SERVICES PORTFOLIO**

## **DECISION SCHEDULE**



**Tuesday 19 April 2011**

**at 10.00 am**

**in Committee Room B, Civic Centre, Hartlepool**

Councillor C Hill, Cabinet Member responsible for Children's Services will consider the following items.

### **1. KEY DECISIONS**

- 1.1 Schools Capital Works Programme 2011/12 – *Director of Child and Adult Services*

### **2. OTHER ITEMS REQUIRING DECISION**

- 2.1 Expression Of Interest Raising Participation Age (RPA) Trials – *Director of Child and Adult Services*
- 2.2 Foster Carer Progression Payment Scheme – *Director of Child and Adult Services*
- 2.3 National Citizen Service Pilots – *Director of Child and Adult Services*
- 2.4 West Park Primary School – Consultation Regarding Conversion To Academy Status – *Director of Child and Adult Services*

### **3. ITEMS FOR INFORMATION**

- 3.1 The Implementation And Development Of The Common Assessment Framework (CAF) Within Hartlepool – *Director of Child and Adult Services*

## **CHILDREN'S SERVICES PORTFOLIO**

Report to Portfolio Holder

19 April 2011



**Report of:** Director of Child and Adult Services

**Subject:** SCHOOLS CAPITAL WORKS PROGRAMME  
2011/12

---

### **SUMMARY**

#### **1. PURPOSE OF REPORT**

To seek approval to the formation of a Schools Capital Works Programme for 2011/12.

#### **2. SUMMARY OF CONTENTS**

- Report requiring decision
- Information relating to the funding available
- Information describing the collaborative approach by which capital priorities have been determined
- The proposed capitalised condition programme of works for 2011/12

#### **3. RELEVANCE TO PORTFOLIO MEMBER**

The Portfolio Holder for Children's Services has responsibility for all matters relating to Children's Services.

#### **4. TYPE OF DECISION**

Key decision, test 1 and 2 apply. Forward plan reference: CAS 90/11

#### **5. DECISION MAKING ROUTE**

Children's Services Portfolio Holder meeting on 12 April 2011.

#### **6. DECISION(S) REQUIRED**

Approval to the proposals for the 2011/12 Schools Capital Works Programme.

**Report of:** Director of Child and Adults Services

**Subject:** SCHOOLS CAPITAL WORKS PROGRAMME  
2011/12

---

## **1. PURPOSE OF REPORT**

To seek Portfolio Holder approval to the formation of a Schools Capital Works Programme for 2011/12.

## **2. BACKGROUND**

2.1 As part of the Comprehensive Spending review, the Government announced in December 2010 the capital allocations relating to the school estate in Hartlepool. Only a one year allocation has been provided as the Government has yet to confirm future planning approaches until the outcomes of the James Review are agreed. The funding available is identified in Table 1, with the 2010/11 figures included for comparison.

### **2.2 Building Schools for the Future (BSF)**

In July 2010, the government announced the Building Schools for the Future (BSF) programme would be cancelled. In anticipation of BSF, no secondary schools received Local Authority (LA) funding towards capital works during the financial year 2010/11 meaning that all of the available capital funding was used for the primary sector. However, funding of £12.4 million was secured to significantly remodel Dyke House Sports and Technology College and this project is due to be completed in December 2011. Funding of £975,000 was also secured to provide ICT infrastructure for the secondary “non-sample” schools.

Procurement for infrastructure works at non sample schools is scheduled to begin in April. It is anticipated that all works will be completed during the summer break.

Following the cancellation of BSF, the secondary sector are once again eligible for mainline capital funding and are included in the 2011/12 capital programme proposals.

### **2.3 Primary Capital Programme (PCP)**

The LA secured funding of £8.4 million as part of the Government's PCP initiative. The two schools to benefit from PCP funding are Jesmond Road Primary School, a complete new build on a new site at Jesmond Gardens, and Rossmere Primary School, their project being the creation of a new Foundation Unit. Both of these schemes are progressing well

and are expected to be complete by July 2011 and June 2011, respectively. However, as a result of Government spending cuts, the LA is not expected to receive any further Primary Capital Programme funding and awaits the Government's review on future capital funding.

### 3. FUNDING

#### 2011/12 Capital Allocations

<b>Table 1 - Capital Funding</b>	<b>2010/11 £</b>	<b>2011/12 £</b>	<b>Increase / (Reduction) £</b>
Basic Need	274,862	1,098,506	823,644
Modernisation	984,508	0	-984,508
Schools Access	158,682	0	-158,682
Capital Maintenance	0	1,350,496	1,350,496
Extended Schools	96,383	0	-96,383
<b>TOTAL LOCAL AUTHORITY (LA)</b>	<b>1,514,435</b>	<b>2,449,002</b>	<b>934,567</b>
Devolved Formula Capital (DFC) #	1,344,664	244,986	-1,099,678
<b>Total LA - Schools</b>	<b>1,344,664</b>	<b>244,986</b>	<b>-1,099,678</b>
Locally Controlled Voluntary Aided Programme (LCVAP)	726,994	624,062	-102,932
Voluntary Aided DFC #	555,354	122,607	-432,747
<b>TOTAL VOLUNTARY AIDED</b>	<b>1,282,348</b>	<b>746,669</b>	<b>-535,679</b>
Children's Centre	36,553	0	-36,553
ChildCare	351,807	0	-351,807
Aiming High Disabled Children	125,100	0	-125,100
<b>Sure Start &amp; Early Years</b>	<b>513,460</b>	<b>0</b>	<b>-513,460</b>
<b>Total Hartlepool DfE</b>	<b>4,654,907</b>	<b>3,440,657</b>	<b>-1,214,250</b>
Revenue Contribution to Capital Outlay (RCCO)	660,000	628,000	-32,000
<b>TOTAL</b>	<b>5,314,907</b>	<b>4,068,657</b>	<b>-1,246,250</b>

# - This shows the 2010/11 actual allocation however owing to the previous Government's 'Fiscal Stimulus' a proportion of this funding was brought forward into 2009/10.

- 3.1 The Basic Need funding has been provided according to relative need or new places and all taxpayer-funded schools within each LA will be eligible for this funding, including voluntary-aided schools.
- 3.2 For the 2011/12 year, there are sufficient places in Hartlepool schools to support forecast pupil numbers in the community, voluntary-aided and foundation sectors. There are no schemes required to address places shortfalls planned in the capital programme, therefore this funding is available to support schemes in the capital condition and transformational programmes.

- 3.3 As in previous years, the LA can allocate a proportion of its share of the Dedicated Schools Grant (DSG) - (£660,000 in 2010/11) - as a Revenue Contribution to Capital Outlay (RCCO) contribution towards the schools capital programme. The LA has again contributed a share of its DSG towards the 2011/12 schools capital programme and the value has been confirmed as £628,000.
- 3.4 Schools receive their own Devolved Formula Capital (DFC) funding and the Dioceses receive their own Government funding in the form of the Locally Co-ordinated Voluntary Aided Programme (LCVAP). This year (2011/12) there has been a significant decrease (approx 80%) in schools' DFC allocations. Given these reductions, the LA recognises schools may find it difficult to meet the previously agreed 10% contribution towards capital schemes, without detriment to the school revenue budget. However, as a result of discussions with the Schools Capital Sub Group the LA will continue to work on the agreed 10% basis for funding purposes but has been asked to take a reasonable approach with schools where a major contribution could cause financial difficulties.

#### **4. DIOCESE COLLABORATION**

- 4.1 Meetings with representatives from Hexham & Newcastle and Durham & Newcastle Dioceses have taken place and a consistent approach to capital schemes has been agreed. Schedules of high priority condition items recommended by the LA have been forwarded to the two Dioceses for their consideration in order to aid their preparations for the LCVAP Programme for 2011/12.
- 4.2 It is worth noting that whilst neither Diocese came forward with proposals for the 11/12 year with regard to the provision of school places, they are drawing up their programmes on the basis that there is some sharing of Basic Need funding to be made available in line with national guidance around their eligibility.

#### **5. CHILDREN'S CENTRES**

- 5.1 In previous years the LA has received a dedicated Children's Centre's capital allocation. This funding stream will no longer exist and for the 2011/12 financial year, the LA is expected to maintain Children's Centre's utilising the Capital Maintenance allocations shown in Table 1.
- 5.2 Following meetings with Children's Centre's managers it has been established that there are no immediate high priority capital works required for the 2011/12 programme.

## 6. PROPOSED PROGRAMME OF WORKS 2011/12

### 6.1 Condition Priorities

The schedule of condition priorities in **Appendix 1** is derived from the most recent Condition Surveys (carried out late 2010). The Council's technical staff highlighted priorities across a wide range of issues with the highest priority areas categorised as "D2". These schemes have been provisionally costed and due to the availability of funds, it is also possible to carry out some further works falling under the higher element category "C2" as shown in **Appendix 2**. An explanation of prioritisation categories is shown below:

- |           |   |  |
|-----------|---|--|
| <b>D2</b> | D | Life Expired – Exhibits major deterioration. Serious risk of imminent breakdown or is a health and safety hazard   |
|           | 2 | Essential – Prevent serious deterioration of the fabric or service / address medium risk of H&S of occupants / remedy less serious breach of legislation |
| <b>C2</b> | C | Poor – Exhibits various defects, each of which might not be significant in itself but together need attention on a planned basis                         |
|           | 2 | Essential – Prevent serious deterioration of the fabric or service / address medium risk of H&S of occupants / remedy less serious breach of legislation |

### 6.2 Fire Safety

During 2010/11, the LA's Senior Health & Safety Officer (Fire Safety) carried out Fire Safety inspections of all schools. A subsequent action plan was sent to schools highlighting various works to be addressed. In conjunction with the Fire Safety Officer, the action points have been prioritised and it is recommended that the LA carry out essential works in twelve schools.

### 6.3 Special Educational Needs (SEN)

In previous years the LA has received a dedicated Access funding allocation. This funding has been directed at providing disabled toilets/shower facilities, ramps and modifications to school buildings, specifically to meet the needs of targeted SEN children, either groups or individuals.

For 2011/12, this funding has been withdrawn. However the SEN team continue to be consulted to identify priority schemes. The SEN Manager has identified Manor College of Technology, Autistic Spectrum Disorder (ASD) Unit as requiring some adaptations as well as some minor adaptations at St Helen's Primary School.

## 6.4 Transformational Schemes

The 2010/11 Schools Capital Programme included a number of schemes that were considered to be 'transformational' in nature, the term being used for schemes that would “...*enhance, develop, transform or improve the suitability of school premises and have the biggest positive impact on teaching and learning.*”

There are a number of schemes remaining from the bidding process adopted as a strategy for developing this element of the 2010/11 programme. There are 18 schemes in total with cost estimates over the £2m mark. Schemes carried forward for possible consideration for the 11/12 year and beyond were only for the primary sector as the secondary sector were, at the time, expecting that the BSF programme would deal with their needs and aspirations.

There was a consensus at the Capital Sub-Group, endorsed by the Schools Forum, that there should still be 'Transformational' projects in the 11/12 year given that there are capital funds available to support such a programme whilst accepting that the years beyond are still unknown as far as this type of work is concerned.

Taking into account the capital condition programme mentioned earlier and the continuation of a contingency fund (£200,000) and as yet unknown proposals from the Roman Catholic and Church of England Dioceses, it is estimated that a 'Transformational' programme fund in the region of £1.2m - £1.3m is feasible.

In order to make progress on the development of the 11/12 schools capital programme, it is proposed that the capital condition phase is progressed for approval to the Portfolio Holder for Children's Services.

The strategy for developing the next 'Transformational' phase of the programme will be developed by the Capital Sub-Group at its next meeting. This will include a re-examination of those schemes that were part of the bidding process mentioned earlier and did not receive funding in the 2010/11 year's programme.

- 6.5 Based on the above assumptions the costs for the proposed programmes of works can be summarised as follows:

<b>Table 2 - 2011/12 Summary</b>	<b>Estimated Costs £</b>	<b>Schools Contributions based @ 10%</b>	<b>Total LA Funding Required £</b>
LA Capital Condition Items	1,380,000	138,000	1,242,000
Fire Safety/ SEN Modifications	180,000	18,000	162,000
Transformational Schemes	1,300,000	130,000	1,170,000
Dioceses Allocation of Basic Need Funding	300,000	-	300,000
Contingency	200,000	-	200,000
<b>Totals</b>	<b>3,360,000</b>	<b>286,000</b>	<b>3,074,000</b>
	-	-	<b>LA Funding Available £3,077,002</b>

## 7. PROCUREMENT

- 7.1 The procurement route for schemes identified will be through the LA Condition, Planned Maintenance and Minor Building Works Partnership Contract.
- 7.2 This contract is used to procure all building construction work of a non-specialised nature, below an estimated construction value of £100,000. The building works will be procured through the in-house Facilities Management Section plus two external contractors, using a partnering approach.
- 7.3 Works excluded from the partnership are :
- when the estimated contract value exceeds £100,000,
  - work is of a specialist nature i.e. CCTV, Alarm Systems, and Soft Landscaping
  - funding condition states that competitive quotes/tenders are required
- 7.4 To provide best value for the limited resources available to the LA, a competitive tender process will be adopted for construction works estimated to be £100,000 and over. This will provide a coordinated and efficient procurement best value principle.

## 8. RISK IMPLICATIONS

- 8.1 The report is concerned with the condition, protection and development of Council assets ie school buildings and children's centres.



- 8.2 The proposed programme of works has been compiled on the basis of those areas/sections of school buildings which are showing clear sign of failure together with aspects of the building which have the potential to improve teaching and learning.

## 9. MONITORING AND UPDATING THE PROGRAMME

- 9.1 The Schools Capital Sub Group meets on a termly basis and will review and monitor progress on the 2011/12 Capital Works Programme and at the same time develop plans for future programmes. Cabinet will be kept up to date during the year on progress and developments to the programme via quarterly monitoring reports produced by the Authority's Corporate Finance team. In addition there will be direct reports to the Portfolio Holder for Children's Services as required.

## 10. RECOMMENDATIONS

It is recommended that:

- The schedule of 2011/12 capital condition items is approved as summarised at **Appendix 1 & 2**, subject to the LA agreeing contributions from schools towards individual schemes in line with the shared funding principles established by the Schools Forum.
- The schedule of Fire Safety and Special Educational Needs scheme is approved as summarised at **Appendix 2**, subject to the LA agreeing contributions from schools towards individual schemes in line with the shared funding principles established by the Schools Forum.
- Approval is granted to the principle of developing a 'Transformational' programme in the region of £1.2-1.3m subject to the LA agreeing contributions from schools towards individual schemes in line with shared funding principles established by the Schools Forum.
- Portfolio Holder to note the ICT Infrastructure programme is ongoing and works are anticipated to be complete in 2011/12 financial year.
- The Child and Adult Services Department be allowed dispensation and discretion to authorise works where a significant health and safety risk is exposed in advance of formal approval by the Portfolio Holder for Children's Services.

## 11. BACKGROUND PAPERS

Report to the Schools Forum Capital Sub Group on 16 February 2011 and Schools Forum on 10 March 2011.

## 12. CONTACT OFFICERS

Peter McIntosh  
Head of Planning and Development  
Level 4, Civic Centre, Victoria Road, Hartlepool, TS24 8AY

Telephone 01429 523754  
E-mail: [peter.mcintosh@hartlepool.gov.uk](mailto:peter.mcintosh@hartlepool.gov.uk)

Julie Reed  
Project Officer  
Schools Transformation Team  
Level 4, Civic Centre, Victoria Road, Hartlepool, TS24 8AY

Telephone 01429 284063  
E-mail: [julie.reed@hartlepool.gov.uk](mailto:julie.reed@hartlepool.gov.uk)

## Appendix 1

**CAPITAL CONDITION (PRIORITY D2)**

School		Estimated Costs £
Barnard Grove Primary	Heating Distribution	21,000
Barnard Grove Primary	Hot And Cold Water Distribution	13,000
Eldon Grove Primary	Pitched Coverings and Insulation	20,000
Clavering Primary	Heating Distribution	59,000
Clavering Primary	Hot and Cold Water Distribution	16,000
Fens Primary	Ventilation	10,000
Golden Flatts Primary	Heating distribution phase 2a	50,000
Rift House Primary	Heat Source and Equipment (Block D)	32,500
Rossmere Primary	Heating Distribution	6,500
Ward Jackson Primary	Rewire/distribution boards phase 1	70,000
West View Primary	Heating Distribution (Blocks A & B)	133,000
West View Primary	Hot and Cold Water Distribution	15,000
West View Primary	Gas Distribution	8,000
High Tunstall College of Science	Lighting Fittings / Wiring	15,000
High Tunstall College of Science	Heat Source and Equipment	9,000
Manor College of Technology	Lighting / Wiring	70,000
Manor College of Technology	Floor Screed & Finish	50,000
Manor College of Technology	Gas Distribution (Blocks A & C)	10,000
Manor College of Technology	Heating Distribution	189,000
Manor College of Technology	Hot and Cold Water Distribution / Storage (Block A)	37,000
Manor College of Technology	Ventilation	10,000
Manor College of Technology	Flat Coverings and Insulation	65,000
Manor College of Technology	Lighting Wring	15,000
Manor College of Technology	Toilet Modifications	24,000
Catcote Business & Enterprise College	Windows and Door Framing	72,000
	<b>Total</b>	1,020,000

## Appendix 2

**CAPITAL CONDITION (HIGH C2 PRIORTIES)**

Barnard Grove Primary	Structural Modifications (Blocks A B)		
High Tunstall College of Science	Roofing Modifications		
High Tunstall College of Science	Heating Distribution		
Manor College of Technology	Heating Controls		
Manor College of Technology	Electrical Services		
	Estimated Costs		£360,000

**FIRE SAFETY / SPECIAL EDUCATIONAL NEEDS**

Brougham Primary	Fire Safety Modifications	
Golden Flatts Primary	Fire Safety Modifications	
Greatham Primary	Fire Safety Modifications	
Kingsley Primary	Fire Safety Modifications	
Lynnfield Primary	Fire Safety Modifications	
Rift House Primary	Fire Safety Modifications	
Rossmere Primary	Fire Safety Modifications	
Stranton Primary	Fire Safety Modifications	
Ward Jackson Primary	Fire Safety Modifications	
West Park Primary	Fire Safety Modifications	
Manor College of Technology	Fire Safety Modifications	
Seaton Carew Nursery	Fire Safety Modifications	
St Helen's Primary	Modifications to KS2 building to provide hygiene area	
Manor College of Technology	Modifications to Autistic Spectrum Disorder (ASD) Unit	
	Estimated Costs	£180,000

**TRANSFORMATIONAL SCHEMES**

Various Schools	Provisional Budget Allocation	£1.2 -1.3 m
-----------------	-------------------------------	-------------

## **CHILDREN'S SERVICES PORTFOLIO**

Report to Portfolio Holder

19 April 2011



**Report of:** Director of Child and Adult Services

**Subject:** EXPRESSION OF INTEREST RAISING  
PARTICIPATION AGE (RPA) TRIALS

---

### **SUMMARY**

#### **1. PURPOSE OF REPORT**

The purpose of this report is to update the Portfolio Holder on the background to the Raising Participation Age Trial programme and to request permission to submit an expression of interest to the Department for Education to be part of the pilot programme.

#### **2. SUMMARY OF CONTENTS**

The report outlines how the Education and Skills Act 2008 places a new duty on all young people to participate in education or training until their 18<sup>th</sup> birthday, which does not necessarily mean staying in school as young people will be able to choose how they participate, which could be in:

- full-time education, such as a school or college
- work-based learning, such as an apprenticeship
- part-time education and training, if they are employed or volunteering more than 20 hours a week.

and how local authorities can apply for additional funding to be part of the Raising Participation Age trial programme which will look at ways of successfully implementing the 2008 act.

#### **3. RELEVANCE TO PORTFOLIO MEMBER**

The Portfolio Holder has responsibility for Child and Adult Services information, advice and guidance for young people aged 14-19.

**4. TYPE OF DECISION**

Non key.

**5. DECISION MAKING ROUTE**

Child and Adult Services Portfolio Holder meeting 19<sup>th</sup> April 2011.

**6. DECISION(S) REQUIRED**

To approve submission of an expression of interest to be part of the RPA trial process.

**Report of:** Director of Child and Adult Services

**Subject:** EXPRESSION OF INTEREST RPA TRIALS

---

## 1. PURPOSE OF REPORT

The purpose of this report is to update the Portfolio Holder on the background to the Raising Participation Age Trial programme and to request permission to submit an expression of interest to the Department for Education to be part of the pilot programme.

## 2. BACKGROUND

Expressions of interest are invited from local authorities and other organisations interested in taking part in a new phase of locally-led Raising the Participation Age (RPA) delivery projects running from April 2011 to 31 March 2012. These will investigate the local arrangements that need to be in place to successfully deliver the increase in the participation age to 17 in 2013 and 18 in 2015.

Strong partnerships between a range of local organisations, including local authorities and the voluntary and community sector will be key to delivering RPA. For this new phase of locally-led projects, therefore, the Department for education (DfE) will welcome applications from local authorities on their own, and local authorities working in partnership with other local organisations

Expressions of interest should be no more than 2 pages setting out:

- ♦ Context:
  - Why the area is well placed to deliver a project.
  - The identified local challenges and barriers to implementation of RPA that the project would help to overcome.
- ♦ Content and outcomes:
  - The specific approaches and arrangements to be tested.
  - How this would be approached in the local area – the key activities.
  - How these would be additional to current practice and services.
  - How the funding will be used.
  - How learning will be shared locally.
  - (If applicable) How the partnership will be managed.
  - Specific intended project outcomes by September 2011 and March 2012 and how these will be measured.

The Education and Skills Act 2008 places a new duty on all young people to participate in education or training until their 18<sup>th</sup> birthday. This does not necessarily mean staying in school. Young people will be able to choose how they participate, which could be in:

- full-time education, such as a school or college
- work-based learning, such as an Apprenticeship
- part-time education and training, if they are employed or volunteering more than 20 hours a week.

The participation age will be increased in two stages; to 17 in 2013 and to 18 in 2015. In 2015 young people will continue in education or training to 18 (or until completion of a full level 3 programme, whichever is sooner). The first cohort to be affected by RPA are currently in Year 9 and the first cohort to all stay on until 18 are in Year 7. We need to be preparing now to ensure that they, and the cohorts following them, successfully transition to further education or training post-16.

There have been two previous phases of local trials. The DfE are now looking to expand the programme to include more areas (to approximately 35 areas in total), each focusing on a project relevant to their local circumstances.

### ***Purpose and focus of the locally-led projects***

The key purpose of these locally-led projects is for the areas involved to identify their most important challenges, to develop and test specific approaches to address those challenges, and to support local preparations for 2013/15 in the context of an area-wide RPA plan. The projects should build on existing planning and good practice in their own areas and learning from other local authorities' work and will need to be able to demonstrate measurable progress and be prepared to share their learning with and support others.

The DfE emphasis will be on local determination of the challenges to be addressed and the approaches to be tested. A list of factors that areas may want to consider in developing their proposals and aspects that the Department is particularly keen for some projects to investigate is set out in Annex A but this is not prescriptive. There will also be a small number of general expectations that all projects will be expected to meet in order to ensure the effectiveness of the programme as a whole. These are also set out in Annex A. The trial areas will work in close collaboration with the department and also support each other through regular attendance at workshops and sharing of learning.

The DfE plan to devolve approximately an additional £2.48 million of funding in total for these projects over the 2011-12 financial year, among a number of local areas. In the past individual projects have received



around £70,000 on average, and anticipate that the allocations for this year will be broadly in line with that. Hartlepool proposes to submit a proposal for approximately £100,000. The funding will not be used to pay for learning provision but to fund a small increase or to sustain capacity within the authority to plan and deliver the elements to be focused on.

The DfE also plan to identify a small 'vanguard' of previous trial areas that have been particularly successful to take on a greater role in leadership of the programme and support to new areas, beyond the general dissemination of learning and peer support, which will of course be expected of all projects.

### **Selection criteria**

Key selection criteria will include that each area:

- ♦ has a clear rationale for why they wish to take part, the outcomes they will focus on and how success will be measured;
- ♦ will be able to develop a clear plan for the implementation of RPA by the end of the project, including having identified key challenges and opportunities ahead;
- ♦ is clear how any work undertaken as part of the trial can be made sustainable;
- ♦ has the capacity and commitment to take on the trial, make progress quickly, share learning with others (both those running projects and other local areas); and
- ♦ is able to demonstrate a clear understanding of their baseline data.

Once selected, local areas will be required, with support from the DfE, to set out in a short planning document what they plan to deliver through the project and how they will work in partnership with others to ensure that outcomes are achieved.

## **3. RISK IMPLICATIONS**

Should the local authority decide not submit an expression of interest it will not be able to access additional resources, to support the implementation of Raising the Participation Age for 17 year old young people by 2013 and 18 year old young people by 2015 from the RPA trial programme.

## **4. LEGAL AND FINANCIAL CONSIDERATIONS**

Should the submission of interest be successful the legal and financial implications will be to meet the condition of the funding secured from the DfE and meet criteria set out in the grant letter.

**5. RECOMMENDATIONS**

Portfolio Holder should approve the submission of an expression of interest to the DfE to be part of the Raising the Participation Age trail.

**6. REASONS FOR RECOMMENDATIONS**

Should the submission of interest be successful the local authority will receive additional funding to enable it to build capacity to deliver information advice and guidance to allow the delivery of the Raising Participation Age for 17 year old young people by 2013 and for 18 year old young people by 2015.

**7. BACKGROUND PAPERS**

**Appendix 1** - Annex A from the DfE

**8. CONTACT OFFICER**

Author Tom Argument  
11-19 Adviser  
Email [tom.argument@hartlepool.gov.uk](mailto:tom.argument@hartlepool.gov.uk)  
Telephone 01429 287366

### **ANNEX: FACTORS TO CONSIDER AND GENERAL EXPECTATIONS OF ALL AREAS**

All selected areas will be expected to:

- ♦ have in place a comprehensive and strategic RPA plan by the end of the period
- ♦ develop and demonstrate a thorough understanding of their data and the relevant cohorts
- ♦ develop clear participation trajectories to 2013/15 as part of their RPA plan
- ♦ contribute to sharing good practice from their activities
- ♦ demonstrate quantifiable impact of trial activity by September and March
- ♦ participate in a national evaluation.

Factors to consider (not requirements):

- ♦ The first two cohorts affected by RPA.
- ♦ Raising expectations of providers where post-16 progression of pupils is not excellent.
- ♦ Innovative practice to support transitions at 11, 14, 16 and 18.
- ♦ Support to those not in mainstream education settings.
- ♦ A forensic use of local data to identify and focus on key groups of young people who may have specific barriers to participation and are locally significant according to the data.
- ♦ Early identification of young people at risk of not participating and interventions to assure they are progressing toward suitable outcomes.
- ♦ Providers' pastoral systems to support young people identified as being at risk of dropping out.
- ♦ Local protocols and arrangements to support young people at risk of dropping out into alternative options or notify the local authority that they have dropped out.
- ♦ Information sharing between providers and local authorities that helps to bridge transitions at 16.
- ♦ Increasing employment opportunities, and testing messages/approaches to employers.
- ♦ Working out roles and responsibilities within and outside the local authority.
- ♦ Effective use of local targeted support services to support young people to progress in learning, mapping effective service delivery models.
- ♦ How local authorities can plan and deliver a system that effectively picks up and re-engages those 16 and 17 year-olds that disengage with learning through the year.
- ♦ Working with schools as they prepare for their new duty to secure access to independent, impartial careers guidance for students aged 13-16.
- ♦ Measureable outcomes to show the impact of the trial.

## **CHILDREN'S SERVICES PORTFOLIO**

Report to Portfolio Holder

19 April 2011



**Report of:** Director of Child and Adult Services

**Subject:** FOSTER CARER PROGRESSION PAYMENT  
SCHEME

---

### **SUMMARY**

#### **1. PURPOSE OF REPORT**

To seek approval of the Portfolio Holder for the implementation of a revised Foster Carer Progression Payments Scheme.

#### **2. BACKGROUND INFORMATION**

The current Foster Carer Banded Payments Scheme was implemented in November 2005. Since its implementation there have been several key developments both with regards to the training, support and development of Foster Carers and an increasing national looked after population that has created a need to review the arrangements. This scheme aims to build on existing provision and provide additional flexibility to match the skills, experience and knowledge of carers with the assessed needs of an individual child or sibling groups.

#### **3. RELEVANCE TO PORTFOLIO MEMBER**

Effective provision of foster care is a critical resource in meeting the Local Authority statutory responsibilities to looked after children and young people and therefore any proposals in relation to this resource must be agreed by the appropriate Portfolio Holder.

#### **4. TYPE OF DECISION**

Non key

**5. DECISION MAKING ROUTE**

Children's Portfolio Holder – 19 April 2011.

**6. DECISION(S) REQUIRED**

That the Portfolio Holder agree to the implementation of the revised scheme from 1 May 2011.

**Report of:** Director of Child and Adult Services

**Subject:** PROPOSALS FOR FOSTER CARER PAYMENT PROGRESSION SCHEME

---

## **1. PURPOSE OF REPORT**

To seek approval of the Portfolio Holder for the implementation of a revised Foster Carer Progression Payments Scheme. **Appendix 1** outlines the proposed amendments to the current scheme which are designed to allow maximum flexibility and targeting of existing resources.

## **2. BACKGROUND**

- 2.1 The changes proposed are designed to allow the fostering service as a whole maximise the resources available and to reduce the need to commission placements from independent providers. The key change contained within the proposal is the replacement of the Band 5 carer scheme with a specialist scheme. The specialist scheme is based on matching the carers' skills, experience and abilities with the assessed needs of a child and sibling group allowing for greater flexibility across the service.
- 2.2 A consultation event was held with the foster care workforce to discuss the proposal and as a consequence some amendments have been included in the proposal. The current cohort of Band 5 carers are those who are to be the most effected by the changes, discussions have taken place between those carers and their Supervising Social Workers within the fostering team. It has been identified that the needs of the children and young people currently placed with a Band 5 carer and the skills of the carers are such that the placements should fit with the remit of the specialist scheme. Therefore the placement should convert to the Specialist Scheme. The payment associated with holiday, respite, and sickness entitlement will no longer be part of the scheme, however, we are proposing a transitional arrangement for the next 12 months in that the carer receives half the allowance for holidays and respite so as to allow Band 5 carers some time to adjust to the new scheme.

### **3. RISK IMPLICATIONS**

- 3.1 There is a risk that some carers particularly those currently on Band 5 will resign and / or move to another authority or independent fostering agency. However, the motivators to fostering are not through financial remuneration alone and feedback from many carers is that they can see the benefits of the new scheme in terms of the service as a whole and that it is particularly important that carers receive appropriate support, training and supervision. We are therefore confident that we can minimise any risk through ensuring that our support and training continues to be robust and the additional transitional financial arrangements put in place for those affected the most. In addition the authority has maintained its commitment to set its fostering allowances in line with Fostering Network recommended rate for 2011/12 which will see an increase in allowances beyond current rates of inflation this year. This does represent a significant financial commitment to the fostering service.

### **4. LEGAL AND FINANCIAL CONSIDERATIONS**

- 4.1 There are no legal considerations to note in this report.
- 4.2 It is anticipated that the proposal will achieve greater flexibility to maximise resources within the existing budget available.

### **5. RECOMMENDATIONS**

- 5.1 The Portfolio holder agrees to the implementation of the Foster Carer Payment Progression Scheme

### **6. REASONS FOR RECOMMENDATIONS**

- 6.1 This payment scheme aims at maximising the opportunities to match the skills, experience and knowledge of the carer with the complex needs of children and young people whilst working within the current financial commitment.

### **7. BACKGROUND PAPERS**

- 7.1 None.

### **8. CONTACT OFFICER**

Jane Young  
Head of Business Unit (Resources & Specialist Services)  
Tel : 275144



**HARTLEPOOL BOROUGH COUNCIL**

**FAMILY PLACEMENT TEAM**

**CARERS PROGRESSION PAYMENT  
SCHEME**

**DRAFT**



## **CARERS PROGRESSION PAYMENT SCHEME**

### **Background to the Scheme & Proposals for revision**

In November 2005 Hartlepool Borough Council introduced the Carers Progression Payment Scheme (CPPS). For the very first time foster carers approved by Hartlepool Borough Council received payment linked to their skills and experience. This was part of the overall retention strategy in an attempt to encourage foster carers to remain with the council and assist the authority in recruiting new carers.

Since the implementation of the scheme, the majority of existing carers have chosen to progress through the scheme with very few carers leaving the council to foster independently.

April 2008 saw the introduction of the Standards for Training, Support and Development for Foster Care. The Standards build on the CWDC Induction Standards for staff who work in children's social care and have been adapted to meet the needs of Foster Carers, and to reflect their unique position of looking after children in their own homes.

Hartlepool has an increasing numbers of looked after children, which is reflective of the national picture. There are increasing demands upon the service particularly within a challenging financial climate. Therefore it is essential that we are able to target resources to those situations of greatest need and that resources are flexible enough to respond to individual need.

Introducing a specialist scheme will provide the flexibility to match the skills, experience and knowledge of the carers with the assessed, often, complex needs of a child/children. An additional payment will be made in recognition of not only the skills and experience of the carer but also the significant time, commitment, patience, resilience, flexibility, 'stickability' and versatility needed to care for children with complex needs. Placement within the Specialist will only be considered for new placements post April 2011 with the exception of transitional arrangement for Band 5 carers.

### **Impact on current foster carers**

It is proposed that we will reduce the current banded payments scheme from 5 Bands to 4 Band and introduce a Specialist Scheme. Bands 1 to 3 remain the same and additional expectations have been added to the progression criteria for Band 4 and we will no longer operate a Band 5.

Our current band 5 carers are likely to be providing placement that would fit the criteria for a specialist placement therefore those carers will not be affected whilst those children and young people remain in placement. For those carers not currently caring for children and young people meeting the

criteria for specialist placement individual discussions will be undertaken and where the carers want to be considered for such placement this will be facilitated. If a carer does not want to be considered or where the current needs of the child or young person do not meet the criteria the carer will revert to Band 4 at an agreed time.

### **Proposed Fostering Schemes**

- **Mainstream carers**- carers will be assessed by fostering service and will have the opportunity to progress through the payments band commensurate with their skills, competencies and experience.
- **Specialist fostering scheme** – aimed at offering the flexibility to match the skills, competence, knowledge and experience of the carers with the assessed individual and complex needs of a child or children
- **Sharing the Caring Scheme** – will receive an allowance based around the number of hours caring for a child and banded payment will be paid pro- rata for the time spent caring for a child.
- **Carers providing respite** - the mainstream carers who only provide respite care to children who do not have disabilities, will be subject to the same payment system as mainstream and payments will be made pro-rata for the time spent caring for a child.
- **Friends and Family/Kinship Carers** – will continue to receive the full age-related fostering allowances, including birthday, holiday and Christmas allowances. Friends and Family/ Kinship Carers are not included in the Carers progression Payment Scheme.

The payment levels for each band are as follows (as of April 2011):

Band One	£0.00 per week + age related allowance
Band Two	£76.00 per week + age related allowance
Band Three	£151.00 per week + age related allowance
Band Four	£226.00 per week + age related allowance
Specialist Scheme	£350.00 per week + age related allowance

The local authority will pay all foster carers at the casual car users allowance when using their vehicle for approved council business. (See Foster Carers handbook – Travel Expenses)

### **Carers Progression Payment Scheme**

#### **Band One**

(Working towards meeting the standards for the Training, Support and Development for Foster Care and completing this qualification within 12 months of approval)

With the exception of Family & Friends Carers all foster carers must have attended a Preparation Programme and have demonstrated the following;

- Understanding the role of a foster carer
- Understanding how children become looked after
- Understanding working together
- Understanding of safe care
- Understanding child protection at a foundation level
- Understanding attachment and loss
- Understanding basic child development
- Understanding basic record keeping
- Understanding of the standards
- Maintain an accurate and up to date log of all training attended

#### **Band Two**

A certificate from CWDC to demonstrate they have met the Standards for the Training, Support and Development for Foster Care.

In addition foster carers need to demonstrate with examples that they have:

- An ability to provide a good standard of care to other people's children, which promotes healthy emotional, physical and sexual development as well as their health and emotional achievement.
- An ability to accept the child as they are.
- An ability to work with all other persons who are important figures in the child's life.
- An ability to set appropriate boundaries and manage the child's conduct without the use of physical punishment or other inappropriate sanctions.
- Have knowledge of child development and have an ability to interact with children as appropriate to their age and understanding.
- An ability to develop a young person in preparation for adulthood.
- An ability to provide a home environment that ensures children are safe from harm and abuse.
- An ability to assist children in keeping themselves safe from harm or abuse and know what to do if this safety becomes jeopardised.
- An ability to recognise the particular vulnerability to abuse and discrimination of disabled children.

- An ability to work with professionals and contribute to the Department's planning for the child/young person.
- An ability to communicate effectively.
- An ability to keep information confidential.
- An ability to promote equality and diversity at all times.
- An ability to develop supportive links with the wider community.
- An ability to use training opportunities provided (as per personal development plan) and meet Standards to receive Certificate from CWDC.
- An ability to sustain positive relationships and maintain effective functioning through periods of stress.
- Take measures within the home environment to maximise the educational achievement of every child placed, participate in the Personal Education Plan as appropriate and be able to demonstrate positive links with the school.
- Maintain an accurate and up to date log of all training attended

### Band Three

- Undertake regular training as per a personal development plan (attendance of a minimum of five training modules per year).
- Understand the issues involved with child protection and to recognise Departmental responsibilities.
- Implement policies and procedures and keep accurate records.
- Act as an advocate for the child or young person.
- Work in conjunction with those with parental responsibility for the child (and any significant others) to achieve the best outcomes for the child.
- Help children develop positive futures by understanding themselves and their past.
- Develop coping strategies for dealing with problem behaviour that are commensurate with the child's needs.
- Work in a non-judgemental manner, to keep children in contact with their natural families as specified in the child's care plan and placement agreement.
- Assist children experiencing emotional difficulties as a result of separation from their family or placement move.
- Assist with transport and/or accompany the child when necessary as agreed in the placement agreement.
- Participate and take an active part in supervision sessions organised by the department.
- To have an understanding of life story work and the important role of a foster carer has to play in this.
- Where appropriate and agreed to, accompany children to appointments and meetings with other related professionals. (E.g. Health appointments, meetings at school).
- Maintain an accurate and up to date log of all training attended

### Band Four

- Undertake regular training as per a personal development plan (attendance of a minimum of eight training modules per year).
- Contribute appropriately to assessments on children and their families if asked to do so by the department.
- Keep a personal portfolio detailing all training undertaken and other aspects of personal development.
- Actively participate in the recruitment and/or mentoring of new foster carers.
- Provide accurate detailed records on children in your care that can be used by the department for formal purposes, such as reviews.
- Have a working understanding of Child Protection issues.
- Maintain an accurate and up to date log of all training attended
- Attend departmental training on the most difficult aspects of caring and share knowledge base with other carers.
- Work closely with staff from the Placement Support Centre to meet diverse needs of children in local authority care.
- Where appropriate participate in therapy sessions for children requiring therapeutic intervention.
- Maintain an accurate and up to date log of all training attended
- Provide mentoring and support to other carers.

**Specialist Fostering Scheme**

The Specialist Fostering Scheme recognises that some carers have specific specialist skills that can meet the needs of complex children and young people. Many of those young people are being placed with agency carers and we believe could be cared for as effectively within 'in house' provision. The remit of the scheme is as follows;

- Provide placements for children and young people aged 12 years plus.
- Provide task centred placement for children with complex learning or physical disabilities
- Provide placement for sibling group of 3 or more children
- Provide permanent placements for children assessed as having complex needs.
- Provide placements for children who have had multiple placement breakdowns.
- Provide placement for children with complex behaviours i.e. offending, self-harming, perpetrators of abuse, a child who requires a solo placement.
- The specialist scheme will operate for the life of the placement for a specific child.
- If a child is in a specialist placement and receives respite from another carer the specialist payment will move with the child.

**Criteria for the specialist fostering scheme**

- Normally carers will be current Band 4 carers.
- Ability to evidence skills and knowledge in working with children and young people and their families.
- At least one carer available 24/7 for the fostering task to work.
- To demonstrate a capacity to work positively and proactively with the 'care team' to progress plans for any child/children in placement.

**Progression/ Reviews**

Progression through the different bands will be dependent on a carer's ability and willingness to demonstrate that they meet the progression criteria specified for each band. Supervising Social Workers complete an assessment of each carer, usually at the time of their annual review, to evaluate whether they should progress to the next band. It should be noted that carers may also move to a lower band if they cannot continue to demonstrate that they meet the necessary criteria to remain at their existing banding level. The recommendation for progression to a higher band will be incorporated in to the Annual Review of the foster carer and be considered by Panel.

To recognise that each foster carer is an individual with individual skills, knowledge and experience there is the option of “fast tracking” a carer's progression. At the point of approval the assessing social worker should have made recommendations to the fostering panel that includes the banding level the carer should start at, for the majority it is likely to be at band level 1. For some who have professional/personal experiences that are evidenced and meet a higher banding criteria consideration should be given within the assessment recommendations to propose a higher level. Within this the foster carer must have provided sufficient evidence that they meet the Standards for Training, Support and Development for Foster Care, (Certificate can be applied for) which will be the minimum criteria for progressing beyond band level 1.

In addition to this all carers will be expected to keep a detailed and up to date log of all training attended.

The following is a guideline for foster carers to determine their progression through the bands. It has been based on the UK National Standards for Foster Care. It is important to view the following as a guideline and not an exhaustive or definitive list of the department's expectations for foster carers.

The SSW report for the review will outline the carers commitment to training ensuring that the minimum amount of training has been undertaken, reports from placing social workers and /or relevant professionals and will contain any complaints and/or compliments that have been received. Carers will be:

- Encouraged to maintain a personal development plan, plus any evidence towards this.
- Maintain details of all training undertaken, plus any certificates received.

The progress of this will be discussed during supervision sessions, which will provide evidence for the annual review documentation.

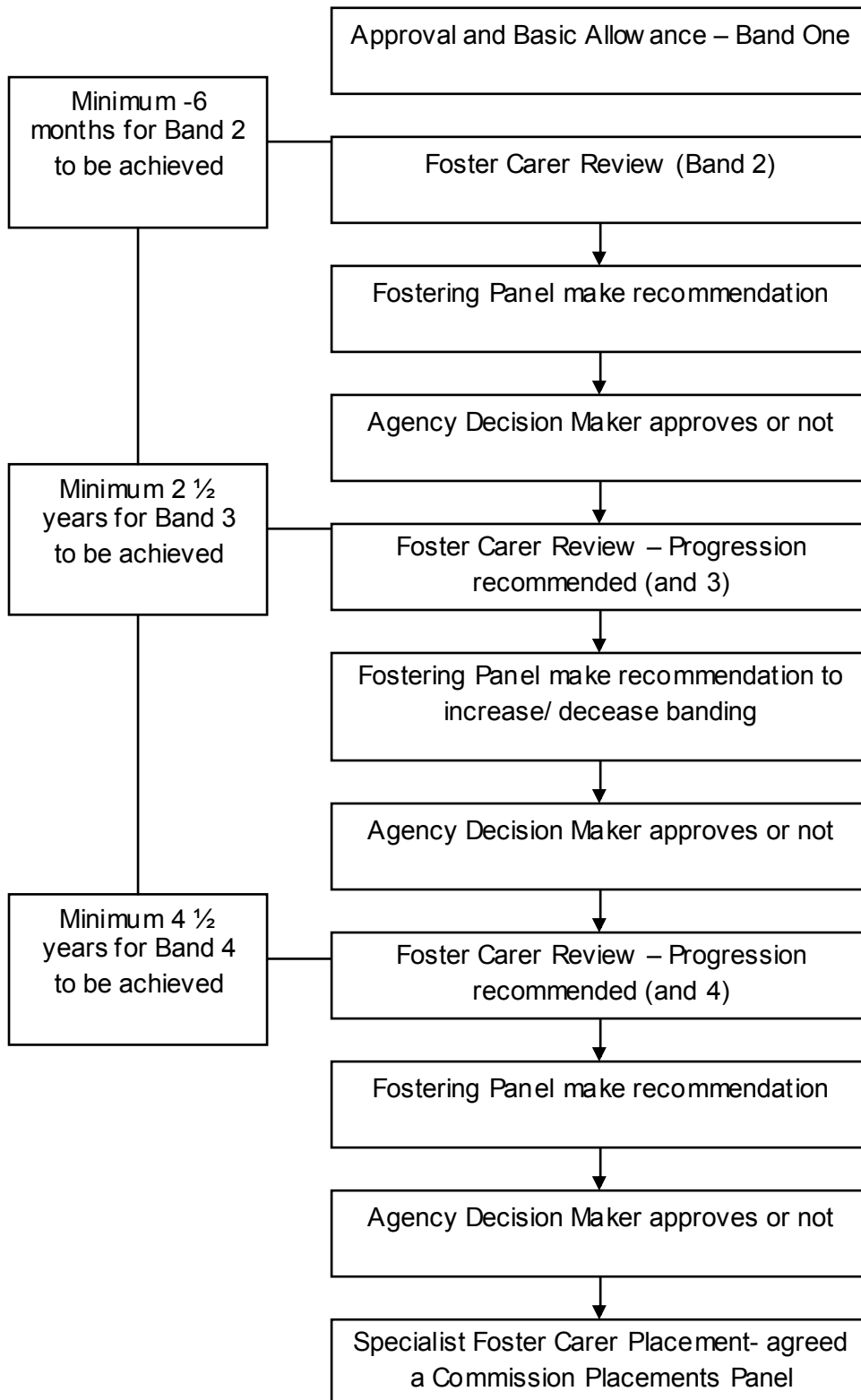
The SSW will make recommendations within the report regarding whether:

- a) the current banding level is appropriate;
- b) whether a higher banding level is appropriate, giving evidence for this;
- c) whether a lower banding level should be considered, giving reasons for this.

An independent reviewing officer will chair the meeting, make a recommendation based on the ssw report, carers report and review discussion. The IRO will provide a report for Fostering Panel evidencing the recommendation.

It will be the decision of Panel to decide whether the banding level is being met and or maintained. Fostering Panel will then make a further recommendation for ratification by the Agency Decision Maker.

### Flow Chart





## **CHILDREN'S SERVICES PORTFOLIO**

Report to Portfolio Holder

19 April 2011



**Report of:** Director of Child and Adult Services

**Subject:** NATIONAL CITIZEN SERVICE PILOTS

---

### **SUMMARY**

#### **1. PURPOSE OF REPORT**

The purpose of this report is to provide a background to the National Citizen Service (NCS) Pilot and to seek approval from the Portfolio Holder to submit an expression of interest to deliver a Hartlepool based programme.

#### **2. BACKGROUND INFORMATION**

The Office for Civil Society (OCS), part of the Cabinet Office, working jointly with the Department for Education and other central Government departments, is running a two year programme of pilots to test the NCS model.

#### **3. RELEVANCE TO PORTFOLIO MEMBER**

Economic Well-being falls within the Child and Adult Services Portfolio.

#### **4. TYPE OF DECISION**

Non-key decision.

#### **5. DECISION MAKING ROUTE**

To be considered by the Children's Services Portfolio Holder in the first instance.

#### **6. DECISION(S) REQUIRED**

For the Portfolio Holder to note the contents of this report and approve that an expression of interest be submitted to the Department of Education.

**Report of:** Director of Child and Adult Services

**Subject:** NATIONAL CITIZEN SERVICE PILOTS

---

## **1. PURPOSE OF REPORT**

- 1.1 The purpose of this report is to provide a background to the National Citizen Service (NCS) Pilot and to seek approval from the Portfolio Holder to submit an expression of interest to deliver a Hartlepool based programme.

## **2. BACKGROUND**

- 2.1 NCS supports the Government's vision for building a *Big Society*. It will act as a gateway to the Big Society for many young people by supporting them to develop the skills and attitudes they need to become more engaged with their communities and become active and responsible citizens. NCS will make a positive contribution to local communities, requiring close working with schools, local authorities, businesses and other neighbourhood groups to create a more cohesive, responsible and engaged society.

- 2.2 NCS is a voluntary eight-week summer programme for 16-year-olds that will promote:

- A more cohesive society by mixing participants of different backgrounds;
- A more responsible society by supporting the transition into adulthood for young people; and;
- A more engaged society by enabling young people to work together to create social action projects in their local communities.

- 2.3 NCS is available to young people of all backgrounds. Giving young people the opportunity to mix with others from different backgrounds is a fundamental objective of the programme.

- 2.4 The Office for Civil Society (OCS), part of the Cabinet Office, working jointly with the Department for Education and other central Government departments, is running a two year programme of pilots to test the NCS model. The first NCS pilots take place in summer 2011, with over 11,000 places available to young people in England. The Government has announced its intention to make 30,000 NCS places available in England in summer 2012. In the longer term, the Government aims to role the NCS programme out for the 600,000 young people leaving school each year.

- 2.5 On Thursday 10<sup>th</sup> March 2011, the Government launched a competitive commissioning process for the delivery of National Citizen Service pilots in summer 2012.

### 3. KEY POINTS OF PROGRAMME

- 3.1 There are five key phases to the programme as shown below:

- **Phase 1** – Introductory Phase
- **Phase 2** – Full-time Residential Phase based away from participants local community (lasting four nights)
- **Phase 3** – Full-time Residential Phase based in the participant's local community (lasting four nights)
- **Phase 4** – Participants to Design a Social Action Project working within the local community
- **Phase 5** – Ongoing Support including: -
  - Minimum 30 hours volunteering on a part time basis
  - Fair / Event to encourage participants to continue social projects or volunteering
  - Large Celebration / Graduation Event

### 4. PILOT CATEGORY AREA

- 4.1 For 2012, the Government is seeking proposals for NCS pilots in five categories, as shown below (In total, 22 grants will be approved nationally):
- **Pilot Category 1** – Work with 100 to 1,000 participants across a “single geographical area” which is classed as one local authority or a number of neighbouring local authorities. **This category will fund no more than 8 grants.**
  - **Pilot Category 2** – Work with 1,001 to 3,000 participants across a “single geographical area” which is classed as one local authority or a number of neighbouring local authorities. **This category will fund no more than 6 grants.**
  - **Pilot Category 3** – Work with 3,001+ participants across a “single geographical area” which is classed as one local authority or a number of neighbouring local authorities. **This category will fund no more than 2 grants.**

- **Pilot Category 4** – Work with 501 to 3,000 participants across “multiple geographical areas” which is classed as multiple local authority areas which are spread geographically and are not neighbouring. **This category will fund no more than 4 grants.**
- **Pilot Category 5** – Work with 3,001+ participants across “multiple geographical areas” which is classed as multiple local authority areas which are spread geographically and are not neighbouring. **This category will fund no more than 2 grants.**

## 5. CURRENT POSITION

- 5.1 Currently, Safer in Tees Valley is the accountable body for a Tees Valley wide NCS pilot for 2011. Hartlepool's Integrated Youth Support Service (IYSS) is delivering this area's NCS activity in 2011 in partnership with other statutory agencies and third sector groups.
- 5.2 Following the announcement that further NCS pilots would occur in 2012 and onwards, an initial meeting was held with representatives from CAS and Economic Development to debate the feasibility of progressing a Hartlepool NCS bid or Tees Valley wide bid (with Hartlepool as the lead accountable body).
- 5.3 Careful consideration of key aspects of delivery of a pilot including capacity of partners; financial viability and whether Hartlepool Council is best placed to deliver a local or sub-regional pilot were undertaken within subsequent meetings. Representatives from both departments felt that due to the timescales, it would be beneficial to deliver a Hartlepool wide pilot only. The main purpose for Hartlepool Council to bid to become the managing agent, in partnership with the private and third sector, was due to its track record of successfully delivering large scale and high quality programmes for young people.

## 6. PROPOSED BIDDING MODEL

- 6.1 It is proposed that an initial expression of interest is submitted which states that Hartlepool Council; in partnership with other statutory agencies; third sector groups and supported by the business community deliver;
  - A pilot for the Hartlepool area only for 250 young people aged 16 years (Under Pilot Category 1) and;
  - That if other local authorities in Tees Valley are interested in being involved in this partnership, then this should also be considered.

## 7. TIMETABLE FOR THE COMMISSIONING PROCESS

7.1 The following timetable is provisional and may be subject to change.

- **March 2011** – Commissioning launched. Organisations invited to develop an initial proposal for the delivery of NCS summer 2012 pilots;
- **5th May 2011** – Deadline for submission of initial proposals (12:00 noon). Officials will then undertake an assessment of initial proposals;
- Week commencing, **23rd May 2011** – Organisations notified of the outcome of the initial proposal process; shortlisted bidders invited to submit full proposals;
- **15th July 2011** – Deadline for full proposals (12:00 noon). Officials will then undertake an assessment of full proposals;
- **Early August 2011** – Organisations notified of the outcome of their proposals; and;
- By week commencing, **5th September 2011**, Grant Agreements signed and NCS summer 2012 providers in place.

## 8 RISK IMPLICATIONS

8.1 There are three main risk implications for a proposed NCS pilot being delivered in Hartlepool including:

- **That the model is only just being tested and the programme activity has not been fully implemented. Therefore, at this stage it is unclear whether young people will retain on the programme for all five phases.** However, the IYSS Team and partners have made significant efforts to develop an attractive NCS programme and it is felt that young people will remain on the programme.
- **That the proposed funding model is financially challenging (with OCS looking for significant match funding or contributions from lead organisations).** The above commissioning timescales enables Hartlepool Council to investigate what financial support could be offered by providers; and;
- **Whether there is the capacity to facilitate residential activities for 250 young people?** Representatives from CAS believe that it is feasible to deliver residential activities for 250 young people in 2012 by maximising sites such as Summerhill and Carlton Outdoor Centre.

## **9. FINANCIAL CONSIDERATIONS**

- 9.1 Central Government will provide grants to support the delivery of NCS. Funding will be given to selected pilot providers on a grant per participant basis. The Government is seeking proposals from bidders who can offer match funding which is in addition to the central Government grant. Therefore, any financially viable bid will require partners to show what in-kind and cash contributions will be available.
- 9.2 It is worth highlighting that the successful partners who are delivering the NCS pilots in 2011 have been awarded contracts as they have secured in-kind and financial contributions from statutory agencies, third sector groups and the business community. This contribution will need to continue for any future pilots.

## **10 NEXT STEPS**

- 10.1 As the initial expression of interest does not require a detailed financial breakdown or to name partner organisations at this stage, if agreed by the Portfolio Holder, there is an opportunity to submit a robust proposal.
- 10.2 If the initial proposal is successful and Hartlepool Council is invited to submit a full application, it will provide representatives from CAS and Economic Development with sufficient time to work with partners across Hartlepool to develop a strong financial and delivery model.
- 10.3 Within this next step process, Hartlepool Council will invite partner organisations to be involved with a Hartlepool wide NCS pilot for 2012. The overall contract value of the proposed pilot is expected to be above £100,000 and therefore may need to be approved by Cabinet in the future.

## **11. RECOMMENDATIONS**

- 11.1 It is recommended that the Portfolio Holder approves that representatives from CAS and Economic Development submit an initial expression of interest by 5<sup>th</sup> May 2011 to deliver a NCS pilot in 2012.
- 11.2 If other local authorities across Tees Valley are interested in being a partner within Hartlepool's bid, this should be considered (with approval by the Portfolio Holder).

## **12. REASONS FOR RECOMMENDATIONS**

Hartlepool's IYSS are already successfully delivering the NCS pilot -in partnership with key stakeholders across Hartlepool – and there is a delivery structure in place to continue this pilot in 2012. Any funding secured through the NCS pilot could:

- Provide revenue for Summerhill and Carlton Outdoor Centre;

- Contribute to staff costs for third sector groups; and;
- Compliment existing services offered through IYSS and NEET reduction programmes including '*Going Forward Together*'.

### 13. BACKGROUND PAPERS

Further information on the NCS pilot can be found on:

<http://www.education.gov.uk/childrenandyoungpeople/youngpeople>

### 14. CONTACT OFFICER

Patrick Wilson  
Employment Development Officer  
Bryan Hanson House  
Hanson Square  
Hartlepool  
TS24 7BT  
Tel: 01429-523517  
[Patrick.wilson@hartlepool.gov.uk](mailto:Patrick.wilson@hartlepool.gov.uk)

## **CHILDREN'S SERVICES PORTFOLIO**

Report to Portfolio Holder

19 April 2011



**Report of:** Director of Child and Adult Services

**Subject:** WEST PARK PRIMARY SCHOOL –  
CONSULTATION REGARDING CONVERSION  
TO ACADEMY STATUS

---

### **SUMMARY**

#### **1. PURPOSE OF REPORT**

The purpose of this report is to inform the portfolio holder of the notification from the governing body of West Park Primary School of their indication that they are currently consultation stakeholders around their intention to convert to Academy status with effect from either 1 August or 1<sup>st</sup> September 2011. This is the first notification of this type from any school in Hartlepool. There are very few primary schools in the North East of England considering a conversion to Academy Status at this time.

#### **2. BACKGROUND INFORMATION**

The coalition government announced its intention to establish hundreds of additional academies shortly after being returned to power with the publication of its white paper 'The Importance of Teaching' in late 2010. As a result the Academy Act 2010 was passed to facilitate this change in school status. It was intended all outstanding schools would be invited to 'convert' to academy status. However, the take up disappointed the government so the invitation was extended to all schools in the country.

#### **3. RELEVANCE TO PORTFOLIO MEMBER**

The Portfolio Holder has responsibility for Children's Services issues.

#### **4. TYPE OF DECISION**

Non key decision.



**5. DECISION MAKING ROUTE**

Children's Services Portfolio meeting 19<sup>th</sup> April 2011.

**6. DECISION(S) REQUIRED**

- The Council is requested to respond to the Governing Body of West Park Primary School by 11<sup>th</sup> April 2011.
- It is recommended that the portfolio holder authorises the relevant Council officers to respond to the current consultation outlining the Council's concerns regarding the risks of one school converting to academy status but indicating that whether or not the school converts in future the Council is committed to work in partnership with the school to help the school provide the very best education for its pupils.

**Report of:** Director of Child and Adult Services

**Subject:** WEST PARK PRIMARY SCHOOL –  
CONSULTATION REGARDING CONVERSION  
TO ACADEMY STATUS

---

## **1. PURPOSE OF REPORT**

The purpose of this report is to inform the portfolio holder of the notification from the governing body of West Park Primary School of their indication that they are currently consultation stakeholders around their intention to convert to Academy status with effect from either 1 August or 1<sup>st</sup> September 2011. This is the first notification of this type from any school in Hartlepool. There are very few primary schools in the North East of England considering a conversion to Academy Status at this time.

## **2. BACKGROUND**

The coalition government announced its intention to establish hundreds of additional academies shortly after being returned to power with the publication of its white paper 'The Importance of Teaching' in late 2010. As a result the Academy Act 2010 was passed to facilitate this change in school status. It was intended all outstanding schools would be invited to 'convert' to academy status. However, the take up disappointed the government so the invitation was extended to all schools in the country.

## **3. RISK IMPLICATIONS**

The main risk to the Council is that of loss of income both from central government and from Service Level Agreements which currently exist with the school.

There is also a strong feeling within the educational community that the 'family' of Hartlepool schools will be lost as schools break ties with the Local Authority. Some other schools' governing bodies and Council officers perceive the move to academy status to be divisive and has the potential to create a 2 tier school system in Hartlepool.

#### 4. LEGAL AND FINANCIAL CONSIDERATIONS

Academies are not funded through the Local Authority but receive their funding direct from the government through the YPLA at present. Therefore any school converting to academy status will result in funding being 'lost' to the Council.

Academies have the freedom to adopt their own conditions of service for staff and are not subject to the existing pay and conditions regulations. Therefore, some staff currently employed by the school may be disadvantaged in future.

All staff currently employed would need to transfer to the employment of the school under a TUPE agreement to the school.

##### The Legislation

The Academies Act 2010 is the principal legislation governing the establishment of Academies. The Act enables any local authority maintained school to apply to the Secretary of State for conversion to an Academy.

Academies are free from local authority control, giving them the freedom to change the length of terms and school days, set their own pay and conditions for staff and how they deliver the national curriculum. However, schools wishing to convert to Academy status will still have to deal with their local authority in relation to a number of issues, such as:

- Negotiating the model transfer agreement with the local authority on the establishment of an Academy under the Academies Act 2010.
- Transferring other property, rights or liabilities under a property transfer scheme.
- Dealings with the transfer of land, including the drafting of conveyancing documents associated with a land scheme.
- Negotiating the acquisition of assets owned by the predecessor school and obtaining the benefit of any necessary contracts before conversion and the assigning of some assets or contracts from the local authority.
- Where the local authority has arrangements with the school for the provision of services, such as IT support, grounds maintenance and school dinners prior to conversion.
- Determination by the local authority of the balance of the budget of a maintained school at the date immediately before the conversion date.

##### **Land & Property Issues – Schedule 1 of the Act**

As a Community School West Park is built on land owned by the Authority and therefore upon acquiring Academy status the Local

Authority can grant a 'long' lease to the Academy. A model lease long term lease has been issued by the DFE for use in these circumstances. The lease should be granted for 125 years. A transfer document will also have to be signed by both parties.

Property (other than land) can be transferred to the Academy in accordance with Section 8 of the Act under a 'Property Transfer Scheme.' This can cover things like tables, chairs etc.

### **Commercial Issues - Assets and Contracts**

In transferring operation of the school from the Council's control to an Academy, the Academy will need to acquire the assets of the existing school and obtain the benefit of any necessary contracts before conversion. In most cases these will be held by the school itself, having been purchased or procured using devolved budgets. However, some assets or contracts may rest with the local authority or be third party owned assets, used through leasing arrangements.

The DFE has published a model commercial transfer agreement for use in documenting the transfer of the assets of a maintained school to an Academy where a local authority or trust owns those assets. The model commercial transfer agreement is intended to ensure:

Information on transferring staff is recorded and transferred to the Academy Trust to ensure appropriate arrangements can be made for payment of:

- salaries;
- pension contributions; and
- other benefits.
- Assets and contracts needed following conversion to an Academy are identified.

### **Finance**

A local authority is obliged to determine the balance of the budget of a maintained school at the date immediately before the conversion date. Although the obligation is to determine the amount of any surplus, by default, the calculation will provide the amount of a deficit if the school does not have a surplus. A local authority is obliged to pay any surplus identified to the Academy under section 7(3), Academies Act 2010.

Any dispute as to the surplus calculation must be resolved in accordance with the Academy Conversions (Transfer of School Surpluses) Regulations 2010.

Should West Park School have a budget deficit, the Authority must notify the Secretary of State of the amount of the deficit, which is subject to a validation and agreement process.

The school currently has a 'healthy' budget.

## 5. RECOMMENDATIONS

The Council is requested to respond to the Governing Body of West Park Primary School by **11<sup>th</sup> April 2011**.

It is recommended that the portfolio holder authorises the relevant Council officers to respond to the current consultation outlining the Council's concerns regarding the risks of one school converting to academy status but indicating that whether or not the school converts in future there is a commitment of the Council to work in partnership with the school to help the school provide the very best education for its pupils.

## 6. REASONS FOR RECOMMENDATIONS

It is likely the school will convert to academy status, regardless of the views of the local authority. Therefore in the interests of all learners it is recommended that the Council continues to work in partnership for the benefit of that group of Hartlepool children.

The Local Authority will continue to have a range of functions to fulfil, including admission arrangements for pupils, so will need to and want to work in partnership with the school in future in order to fulfil those remaining duties for the benefit of all learners.

## 7. BACKGROUND PAPERS

- Academies Act 2010
- West Park Primary School – Should it become an Academy? Consultation paper (attached as **Appendix 1**)
- Relationship between the Academy and the local authority (summary attached as **Appendix 2**)

## 8. CONTACT OFFICER

**Caroline O'Neill, Assistant Director, Performance and Achievement**

WEST PARK PRIMARY SCHOOL

Coniscliffe Road, Hartlepool, TS26 OBU. Telephone/Fax: (01429) – 282090



Headteacher: Mr M. A Parry B.Ed.

# ***West Park Primary School***

## ***Should It Become an Academy?***

**CONSULTATION**

*The Department for Education (DfE) has offered schools in England and Wales the opportunity to join the new academies programme. It says that becoming an academy would “give schools the freedoms and flexibilities to continue to drive up standards”. As a school judged outstanding in its most recent Ofsted Inspection (January 2009), West Park Primary School can make a fast-track application to the DfE. Having carefully considered the issues, the Governing Body believes that becoming an academy may now be in the best interests of the school, its children and the local community. Governors wish to start consulting over whether to become an academy school or not; therefore, they need to know what you think.*

*So that you can find out more about the academies programme, the reasons why the Governing Body are considering a change in status and some of the common concerns about academies, governors have produced this Consultation Document.*

*We hope it will help you to develop your own view on this important issue. It has been organised under the topics that governors think will be the most important factors in helping you to form your opinion. The document has been subdivided into the following sections:*

1. *The Consultation Process; how you can have your say.*
2. *The main reasons for the Governing Body's proposal.*
3. *Considerations about becoming an academy school.*
4. *Information about the academies programme, including:*
  - *Finance*
  - *Special Educational Needs (SEN)*
  - *Admissions and Term Dates*
  - *Governance*
  - *Building and Emergency Contingency Plans*

***If you need any help understanding this document, then please contact the school office where we will make arrangements to help you.***

***The Consultation Process – how to have your say***

*The consultation process, agreed by the Governing Body, has been designed to gather as wide a range of views as possible. It is important you have your say, as your views will influence:*

1. *The Governing Body's decision as to whether or not West Park Primary School becomes an academy.*
2. *How the academy will be set up should the decision be taken to convert.*

***Who we will consult with?***

*The Governing Body will seek the views of:*

- *Pupils*
- *Parents/carers*
- *Staff and their union representatives*
- *Local Hartlepool schools*
- *The Local Authority*
- *Local councillors*

- Local community groups
- Any other interested parties

***How can I share my views?***

*Governors are happy to receive correspondence in any form. Emails should be addressed to:*

[admin.westpark@school.hartlepool.gov.uk](mailto:admin.westpark@school.hartlepool.gov.uk)

*Letters should be marked "Private and Confidential - Academy Proposal" so they can be quickly forwarded on.*

*During the next two weeks, governors also plan to hold meetings with staff and union representatives. Consultation documentation and links to useful websites will be posted on the school website:*

[www.westpark.hartlepool.sch.uk](http://www.westpark.hartlepool.sch.uk)

***When will the final decision be taken on whether or not to become an academy school?***

*The public consultation period begins immediately. The Governing Body will reconvene when the consultation is over to make a final decision on whether or not to become an academy school.*

*A Consultation Summary Document will be released following the meeting, summarising the outcome of the process. If the decision is taken to proceed with the conversion process, West Park Primary School is likely to become an academy on 1<sup>st</sup> September 2011*

*Yours sincerely,  
Ray Priestman  
Chair of Governors*



**APPENDIX 1****West Park Primary School - Should It Become an Academy?****Main reasons for the Governing Body's proposal**

*The Governing Body's primary function is to ensure that West Park Primary School delivers the best possible education for its pupils and their families. Governors also take very seriously their responsibility to serve the local community. After much thought and discussion, governors now believe the new academies programme may offer a number of significant benefits which could further support the school's drive for continuous improvement. These include:*

***Extending Our Freedom***

*Becoming an academy would allow our school leaders greater freedom to innovate. For example, free from the requirement to follow the National Curriculum, the school would be empowered to develop a dynamic curriculum designed to meet the needs of its own pupils.*

***Enjoying greater flexibility to purchase services***

*As an academy, West Park Primary School would receive resources previously retained by the Local Authority to run its services – about 10% of its overall budget. Although the school would still need to purchase a number of services, governors would welcome the freedom to “shop around” further to achieve best value.*

***Developing a different relationship with the Local Authority(LA)***

*The Governing Body views the Academies programme as an opportunity to enter into a new relationship with the LA. Although working independently, the school would still seek to work in partnership with the LA.*

***Accessing potential capital funding streams***

*West Park Primary School's building condition is a major concern. Hartlepool Borough Council's capital building programme does not include West Park Primary School and the Governing Body must seek alternative funding streams. Academy schools may, in time, have their own capital programme and this may represent a potential capital investment opportunity.*

***Developing Partnerships***

*As part of the academy process West Park Primary has an obligation to work in partnership with another school. Whilst the Governing Body recognises its first responsibility is to provide the best possible education for its own pupils, there is also a strong belief that West Park Primary School can assist, through its expertise, in promoting the development of other schools.*

*Becoming an academy would give the school additional resources to develop this work, potentially benefiting more children and their families. Such developments could also generate significant additional funding which could then be used to improve the quality of the education offered at West Park Primary School.*

**APPENDIX 1**

*By becoming an Academy, West Park Primary School would have the potential to develop lasting partnerships with other schools.*

**Being proactive**

*It is likely that a large number of schools will become academies over the coming months. The Governing Body believes it is in the school's interests to be proactive and shape the new academy programme to meet the needs of our school community.*

**Considerations about becoming an academy school**

*When academies were first set up under the previous government, they were almost always replacements for schools which were deemed to be failing. These original academies had private sponsors, sometimes religious groups, and they required the closing down of an old school, usually the appointment of a new headteacher, often a series of permanent exclusions of children and frequently significant capital investment. The original academies were usually in areas of social deprivation and often opened in controversial circumstances, with job losses and disruption in the community. The outcome, however, was often a better equipped and higher achieving school; and there is a growing evidence base to demonstrate this; but not always. It should be noted that some of the original academies have struggled, sometimes because of issues with the private sponsor and sometimes because of ongoing social problems. Understandably the trade unions, which school staff belong to, have been very concerned about the set-up of these academies because of the negative impact on many of their members.*

*New academies, as West Park would become are outstanding schools and good schools with outstanding features. These schools are given the same freedoms as the original academies, but do not have the same issues as the old-style academies. However, many people still have a number of concerns. These include:*

**Potential changes to staff conditions**

*Generally, unions remain against the programme because they fear the freedoms given to academies could impact on school staff in the longer term. They also worry that if hundreds of schools become academies, there will be less opportunity for collective negotiations to secure the best working conditions and pay scales for school workers.*

*Although academies do have the freedom to adopt their own conditions of service for staff, the Governing Body of West Park School is committed to maintaining existing pay and conditions for all its staff..*

**Two-tier school system**

*Another concern that some people have is that more academies will create a potentially divisive two- tier schools system. It is thought that if hundreds of schools become academies, they will be seen as more attractive schools than non-academy schools and, therefore, become more popular with parents and possibly receive better funding from Government. An argument in favour of all schools remaining within their local authorities is that the LA can ensure schools are equally well supported and fairly funded. However, governors and parents of West Park Primary have felt, over time, that the school has not been fairly funded in relation to other schools in the Borough.*

**Increased risks**

Governors do acknowledge that there are risks associated with becoming an academy:

- *Change of this nature will occupy the governors and leadership team of West Park Primary School for some time. If we are not careful, there is a danger of everyone "taking their eye off the ball" as the school converts. However, the school has a good track record of managing change and governors are confident that the conversion process would be effectively managed by school leaders. Governors will also carry out a full impact assessment so that they can quickly respond to any potential difficulties resulting from academy conversion.*
- *The school will be directly responsible for its own future and will not have the LA to fall back on for support. The DfE would provide this assistance but on a more "arm's length" basis. Whilst the Governing Body acknowledges there are increased risks, it would ensure the school is adequately insured to meet the risks that were previously covered by the local authority's insurance..*
- *Some staff may feel unsettled by this process of change and seek jobs elsewhere. However, governors believe this risk would be offset by the increased professional development opportunities for staff, and also the additional funding will hopefully help protect jobs in times of budget uncertainty.*

**Information about the Academies Programme****Finance****What happens now?**

Central Government, through the DfE provides Local Authorities (LA) with a sum of money each year known as the Dedicated Schools Grant (DSG). The LA uses this grant to:

- *Fund nursery provision in their area*
- *Fund individual school budgets*
- *Provide a range of services for schools such as free school meals entitlement, education welfare services and special educational needs services.*
- *The LA also tops up the funding for its centrally provided services through the Council Tax. The Borough Council is responsible for setting its own formula for determining each school's fair share of the total money delegated to schools.*  
*After the LA has taken some of the money, the remainder is given to the school to be spent on things such as staff salaries, computer equipment, books, heating, building maintenance and cleaning. The DfE also provides a range of grants to Local Authorities, some of which are for the LA to spend on services that support education and some of which are to be passed on to schools for them to decide how best to spend it. The LA also funds the additional support required for children with particular special educational needs. Although West Park Primary School has full use of its premises, the*

**APPENDIX 1**

*LA owns all of the schools buildings and the land that surrounds it. The money paid to the school is accounted for in a set of accounts prepared by the school. A special committee of the Governing Body, called the Finance and General Purposes Committee, is accountable for how the money is spent and for making sure that the accounts are accurate. The school's accounts can be inspected by the LA at any time.*

***What would happen if West Park Primary School were to become an academy?***

*Academies are funded by the DfE through the Young People's Learning Agency (YPLA). If West Park Primary School were to become an Academy, the YPLA would provide it with a General Allocation Grant (GAG) made up of two components:*

- Core funding which is exactly the same as the school would have received from the LA using its funding formula.*
- Local Authority Central Spend Equivalent Grant (LACSEG) which would be West Park Primary School's share of the money, based on pupil numbers, which the LA currently spends centrally on those services that the academy would now be responsible for.*  
*The LACSEG is the additional money that West Park Primary School would receive in comparison to a LA maintained school. On receipt of this money, West Park Primary School would need to decide how and where to buy the services that it needs and which are currently supplied by the LA. The school may be able to get those services that the LA currently provides at a better rate, or it may have to pay more for them. Because the school would be buying services directly, the quality of the services it receives could improve.*

*Using the DfE calculator on the internet, the school has calculated that it would receive a substantial additional sum in LACSEG funding if it becomes an academy. However, it should not be the only factor considered when making the judgement on whether or not West Park Primary School should convert to an academy. The LA would continue to commission nursery places and so would fund West Park Nursery in the same manner as other nurseries according to the local formula.*

*The Local Authority should also continue to fund support for children with additional Special Educational Needs.*

*The Local Authority would no longer have the right to inspect the school's accounts at any time. Instead, the school would need to have its accounts audited by a firm of accountants at least yearly.*

*If West Park Primary School becomes an academy, the Governing Body would undertake to ensure that the terms and conditions for all existing staff remain at least as good as those for staff in equivalent posts in schools which are still bound by national and local agreements.*

*The school buildings and equipment would be owned by a special type of charity called a trust. A trust is described in the Governance section of this document.*

***Things to think about***

- Does it concern me that the LA would have less money to spend on providing shared services to a smaller number of schools in the borough?*

**APPENDIX 1**

- *Do I trust the Governing Body to continue to look after the school's money and to make sure that it is used for the benefit of the children if West Park Primary School becomes an academy?*
- *Is the school big enough to be able to work economically as an academy and to get good value services for the money it spends?*

**Special Educational Needs (SEN)*****What happens now?***

*The LA has responsibility for assessing pupils and maintaining their Statements of SEN. The Special Educational Needs Co-ordinator (SENCO) of the school has a responsibility to identify pupils that might need additional help and then work with a range of school staff and outside agencies to develop an individual education programme that will help. The LA has responsibility for pupils with Statements. They have to:*

- *Ensure that pupils are appropriately assessed and statemented where necessary;*
- *Fund any individually assigned SEN resources;*
- *Monitor arrangements for SEN pupils in academies;*
- *Conduct reviews of the Statements of children in academies at least annually. The school has to comply with the Admissions Code and any SEN obligations set by the LA.*

***What would happen if West Park Primary School were to become an academy?***

*The school would still have to comply with the Admissions Code of Practice and any SEN obligations. The LA would retain responsibility for pupils with Statements in an academy on the same basis as for statemented pupils in maintained schools. They would still have to:*

- *Ensure that academy pupils are appropriately assessed and statemented where necessary;*
- *Consider parents' representations for an academy to be named on a Statement and act reasonably in considering those representations;*
- *Fund any individually assigned SEN resources;*
- *Monitor arrangements for SEN pupils in academies;*
- *Conduct reviews of the Statements of children in academies at least annually;*
- *Monitor SEN provision and educational psychology services in the school;*
- *Fund pupil referral units;*
- *Fund education out of schools;*
- *Fund education for excluded pupils.*

*If it converted into an academy, West Park Primary School would receive a share of funding for other provision in relation to SEN including: behaviour support services; licences and subscriptions (for instance for software); therapies and other, health related, education and welfare services.*

*There are obligations on schools which convert to academies; these are equivalent to those placed on maintained schools. In practical terms, this would require new academies to:*

## APPENDIX 1

- *Inform parents that their child has SEN and of the special educational provision being made;*
- *An unqualified obligation to admit a child to the school if the school is named in the Statement;*
- *Appoint a qualified teacher as SEN coordinator (SENCO) and ensure that any new SENCO would undertake prescribed training.*

*As academies are classed as state-funded schools, the LA should consider representations to attend the school from parents/carers of SEN children, just as it would for any other maintained school.*

*Academies are required by their funding agreements to consent to being named in a child's statement unless they can demonstrate that admitting the child would be incompatible with the efficient education of other children and that there are no reasonable steps they could take, together with the LA, to prevent that incompatibility.*

*If West Park Primary School becomes an academy, the Governing Body would retain the ethos of inclusion through which there is a commitment to providing the best possible education for the young people of all abilities and backgrounds from our community.*

### **Things to think about**

*Do I believe that if West Park Primary School converts to an academy, it would continue to provide SEN services for our children and the community?  
Would Academy status enable access to more specialist support for our children?*

### **Admissions and Term Dates**

#### **What happens now?**

*Admissions criteria and catchment areas are set by the LA. The Hartlepool criteria for allocating school places where there are more applicants than places available in a school are currently:*

***In the first instance, places will be awarded to those pupils with a statement of special educational needs where the school is named in the statement. The remaining places will be awarded in the following priority order:***

- 1. Those children who are in the care of the local authority;***
- 2. Those children who live in the school's admission zone;***
- 3. Those children who have older brothers and/or sisters who will be attending the school in September 2011;***
- 4. Those children who are distinguished from the great majority of other applicants whether on medical grounds or by other exceptional circumstances and who would suffer significant hardship if they were unable to attend the school;***
- 5. Those children who live closest to the school as determined by the shortest suitable walking distance.***

***Should it prove necessary to distinguish between children in **criteria 2**, priority will be given to those with siblings attending the school, followed by those who live nearest the school.***

***Should it prove necessary to distinguish between children in any other criteria, priority will be given to those living nearest the school***

*Term dates are set centrally by the LA. Schools have little or no discretion in changing those dates.*

***What would happen if West Park Primary School were to become an academy?***

*If West Park Primary School were to become an academy it would continue to be bound by the National Admissions Code of Practice.*

*The academy would have the power to set its own term dates if it chose to do so; however, if West Park Primary School became an academy, it is highly unlikely that governors would choose to set term dates which did not match local schools. Should the Governing Body wish to deviate from LA term dates in the future, it would undertake a full consultation process prior to any change.*

***Things to think about***

- *Are you happy that the Governors can determine the school's admission arrangements in consultation with parents and the LA?*

*Are you happy for governors to have the power, following consultation, to alter term dates?*

**Governance**

*Governance is about how the school operates and ensures a good quality of education for all its pupils, including those with special needs.*

***What happens now?***

*School governors bring a range of experience and interests from many walks of life. They work closely with others to make good decisions about school aims and policies. Governors work as a team of volunteers who are responsible for making sure the school provides a good quality of education. They do this together with the headteacher, who is responsible for the day-to-day management of the school.*

*Every school has a Governing Body. It should include:*

- *Parents elected by other parents in the school;*
- *Staff governors elected by the teaching and non-teaching staff;*
- *Local Authority governors;*
- *Community governors appointed by other members of the Governing Body;*
- *The headteacher.*

*The number of governors may vary depending on the school's type or size. Governor appointments are for up to four years.*

***What would happen if West Park Primary School were to become an academy?***

*The Governing Body would be responsible for establishing an Academy Trust. The Academy Trust (a charitable company limited by guarantee) would then enter into a*

## APPENDIX 1

*funding agreement with the Secretary of State for the running of the academy. The Academy Trust has a strategic role in running the academy and would be responsible for appointing the governors to the Governing Body.*

*The key responsibilities are to:*

- *Ensure the quality of educational provision;*
- *Challenge and monitor the performance of the academy;*
- *Manage the Academy Trust's finances and property;*
- *Employ staff.*

*It would be for the members of the Governing Body of the school to decide and agree, in discussion with the Secretary of State, who among them would wish to be members of the Academy Trust and which of them would wish to be governors of the Academy Trust. It is possible to be both a member and a governor.*

*Academy governing bodies become the direct employers of staff, have direct health and safety responsibilities, are the school's admission authority and are responsible for ensuring that the school undergoes an external financial audit.*

*The DfE model Articles of Association have set a minimum of three members, but not a maximum, appointed by the Academy Trust. The basic governance model envisioned by the DfE includes: one LA governor, a minimum of two elected parent governors and optional staff governors appointed by the Academy Trust. There may also be up to three co-opted governors appointed by the Governing Body. The Secretary of State may also appoint additional governors in certain circumstances. There is no requirement for academy schools to have an external sponsor e.g. from outside business, but this is a possibility. Where this is the case, the DfE expect the majority of governors to be appointed by the sponsor.*

*It is likely that the make-up of the Governing Body would be slightly different once converted to academy status. It may be that many of the same people would be members of the academy Governing Body. The make-up of the Governing Body of an academy is determined by its Articles of Association. As the Academy Trust is a charitable company, the Governors would also be directors and charitable Trustees, and would therefore need to comply with obligations under company and charity law.*

### **Things to think about:**

- *Would academy governance arrangements be more or less effective than the current arrangements?*

### **Building and Emergency Contingency Plans**

***What effects would West Park Primary School becoming an academy have on the building?***

*The Academy Trust would enter into a lease agreement with the freeholder, the LA; this agreement is usually for 125 years.*

***What happens if something happens to the building if we become an Academy?***

*There would be a General Annual Grant that would be paid by the Government to the Academy Trust. This would cover the normal running costs of the academy including:*



**APPENDIX 1**

*repairs; servicing and maintenance of buildings (including redecoration, heating, plumbing, lighting etc); maintenance of grounds (including boundary fences and walls); cleaning materials and contract cleaning; water and sewage; fuel and light (including fuel oil, solid and other fuel, electricity and gas); rents and rates; purchase, maintenance, repairs and replacement of furniture and fittings; and insurance.*

*If the academy building suffers damage which means that it cannot be used as a school, the LA would be required to provide facilities for the children to continue their education. This is the same requirement that the LA currently has because its duty is to provide for the children and not the Academy Trust.*

**Would there be a specific insurance grant to cover for emergencies?**

*Academies are required to cover insurance at specified minimum levels of cover. They are also eligible to seek an Earmarked Annual Grant from the YPLA (Young People's Learning Agency) for emergencies, in the same way that a LA can pay a maintained school a contingency payment.*

**By becoming an Academy, would West Park Primary School's building be more or less likely to be upgraded?**

*In the same way that LAs have a capital building programme, so there will be an academies building programme. If West Park Primary School's need for capital investment was prioritised and met agreed criteria, it could be earmarked for investment. However, becoming an academy would not guarantee capital investment.*

**School Name and Uniform**

*Discussions regarding a possible change to the school name have yet to take place, however it is highly unlikely there will any changes to school uniform in the short term.*

*In order to make an informed decision, there are many factors to be considered. However, we hope the information provided has given you a summary of the Governing Body's position and a useful overview of the key issues. For more information visit*

*:*

*<http://www.education.gov.uk/schools/leadership/typesofschools/academies>*

*If you do have queries that have not been answered here or on the website above, then please raise them by:*

- *Emailing the school at: [admin.westpark@school.hartlepool.gov.uk](mailto:admin.westpark@school.hartlepool.gov.uk)*

*Mark your email, "Academies Question" and someone will respond to your query.*

- *Visit one of the drop-in sessions listed below :*

*Thursday 10<sup>th</sup> March 3.30 until 5.00*

*Monday 14<sup>th</sup> March 3.30 until 5.00*

*Thursday 17<sup>th</sup> March 3.30 until 5.00*

## **Relationship between the Academy and the local authority**

### **Consultation with the local authority**

It will be important to consult with the local authority which maintains a school applying to be converted, as the local authority plays a key role in the following issues :

- TUPE consultation, where the local authority is an employer.
- Calculation of the LGPS surplus or deficit of a maintained school.
- Transfer of land, assets and contracts, which will need to be used by the Academy.
- Provision of services by the local authority.
- SEN provision.
- Ongoing relationship as part of community involvement initiatives and support and collaboration networks with schools continuing in the maintained sector.

### **Transfer of other property**

Section 8 of the Academies Act 2010 gives the Secretary of State a discretionary power to make a property transfer scheme (PTS) on "property, rights or liabilities" held for the purposes of the maintained school (whether these are held by the local authority or governing body). A PTS intends to simplify the procedure for transferring property other than surpluses. Section 8 enables, but does not compel, the transfer of personal property (such as tables, chairs and electronic hardware) to the Academy and also means that cleaning and catering contracts may be transferred to the Academy without the need for an express novation of the particular contract.

A PTS will not cover:

- Land, or rights or liabilities concerning land, which are covered by Schedule 1 to the Academies Act 2010
- Transfer of school surpluses under section 7 of the Academies Act 2010

A PTS may:

- Create rights or impose liabilities, concerning property, rights or liabilities transferred by virtue of the PTS (*section 8(5)(a), Academies Act 2010*).

- Provide that anything done by the current owner in connection with any transferred property, rights or liabilities is treated as done or continued by the Academy (*section 8(5)(b)*).
- Apportion property, rights and liabilities (*section 8(5)(c)*).
- Provide for the continuation of legal proceedings.
- Cover the transfer of property, rights and liabilities that could not otherwise be transferred or property acquired and rights and liabilities arising, after making a PTS.

The PTS:

- Does not affect the validity of acts taken by the current owner before the transfer takes effect.
- May include any incidental, consequential, supplemental and transitional provisions.
- Binds all parties, despite the fact that a party's consent would otherwise be required (*section 8(10)*).

In principle, an existing contract or particular property owned by the maintained school that an Academy does not want to have transferred to it, can be omitted from the transfer arrangements. However, even if, for example, the catering contract under which catering staff were employed at the maintained school was terminated at the time of the transfer, or frustrated because the contracting party (the maintained school) ceased to exist, the employment of the employees will transfer to the new Academy or to any new contractor appointed by virtue of TUPE

## **Land**

Schedule 1 to the Academies Act 2010 concerns land issues, with a discretionary power granted to the Secretary of State to make a transfer scheme (land scheme) to facilitate the transfer of land and buildings from the legal ownership of the local authority to the Academy Trust if the parties are unable to reach agreement on the land transfer arrangements although the Secretary of State cannot direct the transfer of the freehold of trustees' land with wholly private value against their will.

A land scheme must:

- Provide for a transfer of land or a part of land.
- State the nature of the interest in land being transferred to the Academy Trust, that is:

- a freehold transfer;
  - a leasehold transfer; or
  - the grant of a long lease.
- State the land will be transferred to a person concerned with running the Academy.
- If it relates to the establishment of a new school, it must have been specified in the invitation for proposal for establishing a new school under section 7 of EIA 2006.
- Set out any rights and liabilities of the local authority as holder of the land or part of the land (including the rights of a trustee, but not a liability under the terms of a loan).

*(Paragraph 3, Schedule 1, Academies Act 2010.)*

A land scheme must come into force on a specified date, which may be the date of the land scheme or a date in the future, at which point the transfer of land is to be effective.

A land scheme can be made by the Secretary of State where:

- Land is owned by a local authority and has (within the eight years before the making of the land scheme) been used wholly or mainly for the purposes of a maintained school but is no longer being used for these purposes or this use is about to discontinue.
- Land is owned by a local authority and has been specified in a notice under section 7 of the EIA 2006 as being a potential site for a new school.
- An Academy order is made for a foundation or voluntary school and land is held by:
  - the governing body;
  - foundation body; or
  - trustees of the school.
- An already established Academy ceases to be an Academy.

A land scheme binds all third parties, even if the consent of the third party was required.

The Academies Act 2010 considers where a land scheme can be created by the Secretary of State and sets out the requirements to be met before a land scheme can come into being.

Early indications suggest that the transfer of publicly funded land held by a local authority to the Academy Trust will be by a grant of a 125-year lease. This is the same position as under the Partnerships for Schools and BSF scheme. While the DfE guidance suggests the land transaction will be determined by agreement between the local authority and the Academy Trust, the Secretary of State has the power to step in and make a direction. In terms of mixed land ownership, the DfE guidance again implies that land transactions should be structured by agreements between the:

- Local authority.
- Private landowner (if applicable).
- Relevant body holding the land (again, if applicable).
- Academy Trust.

The Secretary of State will retain step-in powers to make a direction if these arrangements cannot be determined through negotiation. How easy this will be and how this will delay the conversion timetable in practice (presumably with the possibility of challenge by an aggrieved party) remains to be seen. The DfE guidance suggests a long leasehold interest should be considered, rather than a transfer of freehold. The land issues must be resolved and an agreement entered into before the school opening as an Academy.

Schedule 13 of the Education Bill, if it becomes law, will replace Schedule 1 of the Academies Act 2001 and will re-enact and extend the existing legislation.

## **Supporting documents**

Proper conveyancing documents must be used in a land scheme and the parties must enter into all documents, as if they were transferring land in a private transfer or granting a lease. Paragraph 10 of Schedule 1 to the Academies Act 2010 overcomes the need to comply with specific statutory provisions, such as the:

- Restrictions against disposing of playing fields (under section 77 of the Schools Standards and Frameworks Act 1998 (SSFA 1998)).
- Disposal of land by principal councils (under section 123 of the Local Government Act 1972).

Paragraph 4(3) of Schedule 1 to the Academies Act 2010 provides for compensation to be paid to private land owners for the loss of their interest in land under a land scheme. This provision mirrors powers under Schedule 22 to the SSFA 1998. However, under paragraph

4(3), the Secretary of State has a discretion on what compensation should be awarded, if any.

The DfE has published new standard form documents that should be used when establishing an Academy under the Academies Act 2010 which include a model lease for church schools to use when converting to an Academy.

Model documentation has also been developed for converting PFI schools to Academy status. These standard forms ensure the obligations under the PFI contract are retained by a former PFI school after its conversion to Academy status. The DfE guidance suggests the conversion timescales for PFI schools will be longer than the three months intended transfer period for conversion and may also be an "exceptional reason" for refusing to approve an application for conversion to Academy status by an Ofsted outstanding school.

### **Assets and contracts**

In transferring operation of a school from the control of an local authority to an Academy Trust, the Academy will need to acquire the assets of the existing school and obtain the benefit of any necessary contracts before conversion. In most cases these will be held by the school itself, having been purchased or procured using devolved budgets. However, some assets or contracts may rest with the local authority or be third party owned assets, used through leasing arrangements.

In addition to the DfE guidance, the DfE published model documents for use in the conversion of maintained schools to Academies under the Academies Act 2010. In particular, there is a commercial transfer agreement for use in documenting the transfer of the assets of a maintained school to an Academy where a local authority or trust owns those assets.

The model commercial transfer agreement is intended to ensure:

- Information on transferring staff is recorded and transferred to the Academy Trust to ensure appropriate arrangements can be made for payment of:
  - salaries;
  - pension contributions; and
  - other benefits.
- Assets and contracts needed following conversion to an Academy are identified.

The treatment of assets and contracts must be agreed at an early stage so the appropriate work can be undertaken by the:

- Local authority.

- School.
- Academy Trust.

By dealing with issues early in the process, the local authority and predecessor school will have time to undertake any necessary actions requested by the Academy Trust in terms of due diligence of the assets and contracts.

The Academy Trust needs to ensure it is able to operate the Academy with all substantial or key assets and contracts being available to it before conversion.

For more information on the commercial transfer agreement.

## **Services**

Before conversion, it is likely the local authority will have arrangements in place with its schools for a number of services. These might include:

- Estates management.
- Grounds maintenance.
- Human resources, payroll and pensions support.
- Legal advice.
- Staff training and development.
- Waste collection and disposal.

These services can be distinguished from those provided by a third party under a contract procured by the local authority. They will be provided by the local authority's in-house departments.

If a PTS is proposed by the Secretary of State, a local authority will need time to:

- Identify the relevant contracts to be transferred.
- Ensure it undertakes due diligence to ascertain the consequences of any transfer and follows due process.

Following establishment of the Academy, the Academy Trust may want to approach the local authority to seek to obtain services for the Academy Trust, perhaps for a temporary period until the Academy Trust is established, settled and able to procure those services elsewhere.

Although many of these arrangements may cease on transfer (indeed it may be inappropriate for these arrangements to continue, for example, legal services support), the

provision of some services will assist in the smooth transfer of provision from the maintained school to the Academy Trust.

Where arrangements for the provision of some services are to remain post-conversion, the parties should seek to set out the terms of the service provision within a formal document. This document need not be complex or large, but should seek to protect the local authority's position. Although a number of terms can be implied (whether by course of dealings or statutory provision) a number of others cannot or will not be implied. It is these provisions which should be included within any agreement. The document may, for example, provide details of the:

- Scope of services (level of provision, expectations).
- Price to be paid.
- Circumstances for termination.
- Cap on the local authority's liability.

The parties may want to annex the terms of their arrangements to the commercial transfer agreement or enter into a separate contract (whether in agreement or letter form).

### **Budget: surplus or deficit**

A local authority is obliged to determine the balance of the budget of a maintained school at the date immediately before the conversion date. Although the obligation is to determine the amount of any surplus, by default, the calculation will provide the amount of a deficit if the school does not have a surplus.

A local authority is obliged to pay any surplus identified to the Academy proprietor (*section 7(3), Academies Act 2010*).

The detail of the calculation of the surplus and a review procedure where an Academy Trust disputes the calculation, is contained in the Academy Conversions (Transfer of School Surpluses) Regulations 2010 (*SI 2010/1938*) (Surpluses Regulations 2010)

The Surpluses Regulations 2010 place a duty on the local authority to determine the level of a surplus within three months after the date of conversion of the school to an Academy and to inform the Academy of its determination.

As a predecessor school would maintain its own financial records, the Academy Trust should support the local authority's accounts closure process to ensure the timescale can be met.



Where an Academy proprietor disagrees with a local authority's determination, it may apply to the Secretary of State for a review of the determination (*regulation 4, Surpluses Regulations 2010*) within one month of being informed of the determination. The Academy proprietor must include the reasons for seeking a review in its application for review. The Secretary of State then has three months to review the determination and either confirm the determination or substitute its own decision. The Secretary of State must provide its reasons for doing so in confirming or substituting a determination.

Payment of a surplus by the local authority to the Academy proprietor must be made within one month of the earlier of the date:

- The Academy proprietor informs the local authority it agrees with the determination.
- The expiry of the period within which an Academy proprietor may apply for a review.

Where a review by the Secretary of State is undertaken, the local authority must pay the surplus to the Academy within one month of the date the local authority is informed of the outcome of the review by the Secretary of State.

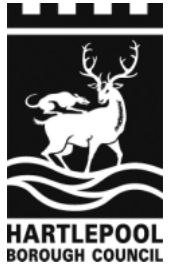
Where a maintained school has a budget deficit, a local authority must notify the Secretary of State of the amount of the deficit, which is subject to a validation and agreement process. When the figure is agreed, the Secretary of State will make a payment to the local authority to cover the deficit and the payment will be recovered from the Academy proprietor. Recovery of the deficit must be by deduction by the YPLA of the deficit from the payment of the Academy's GAG. In determining the period for recovering the deficit, the YPLA will make an assessment based on the size of the deficit and the need to avoid significant adverse impact on pupil education.

If a maintained school has a substantial deficit, it may be an exceptional factor which results in the Secretary of State not making an Academy order.

## **CHILDREN'S SERVICES PORTFOLIO**

Report to Portfolio Holder

19 April 2011



**Report of:** Director of Child & Adult Services

**Subject:** THE IMPLEMENTATION AND DEVELOPMENT  
OF THE COMMON ASSESSMENT  
FRAMEWORK (CAF) WITHIN HARTLEPOOL

---

### **SUMMARY**

#### **1. PURPOSE OF REPORT**

The purpose of this report is to notify the Portfolio Holder of the developments in relation to the Common Assessment Framework (CAF) within Hartlepool.

#### **2. SUMMARY OF CONTENTS**

The report examines current practice issues and themes in relation to the role of CAF in Hartlepool.

#### **3. RELEVANCE TO PORTFOLIO MEMBER**

The Portfolio Holder has responsibility for Child and Adult Services issues.

#### **4. TYPE OF DECISION**

Non Key.

#### **5. DECISION MAKING ROUTE**

Children's Services Portfolio 19<sup>th</sup> April 2011.

#### **6. DECISION(S) REQUIRED**

The Portfolio Holder is asked to note the areas of development in relation to the use of CAF by services within Hartlepool.

**Report of:** Director of Child and Adult Services

**Subject:** THE IMPLEMENTATION AND DEVELOPMENT  
OF THE COMMON ASSESSMENT  
FRAMEWORK (CAF) WITHIN HARTLEPOOL

---

**1. PURPOSE OF REPORT**

- 1.1 The purpose of this report is to notify the Portfolio Holder of current themes, issues and areas of development for Common Assessment Framework (CAF) within Hartlepool.

**2. BACKGROUND**

- 2.1 CAF was originally introduced to Hartlepool in mid 2006 as a six month pilot, and as part of the previous Integrated Working and Information Sharing Programme (IWISP). IWISP introduced Hartlepool to the CAF and Lead Practitioner models of working. This formed the start of a concerted drive towards integrated services, early intervention and effective information sharing. All of which, formed part of a broader push on changing working practice in order to incorporate CAF and the Lead Practitioner within their provision of services.
- 2.2 The processes within Hartlepool are commonly referred to as the 'Team Around', which includes, Team Around the Child (TAC), Team Around the Children Centre (TACC), Team the Primary School (TAPS) and Team Around the Secondary School (TASS).

**3. CURRENT PRACTICE**

- 3.1 The CAF for children and young people should be one of the contributory elements to the delivery of integrated frontline services. This is outlined in the statutory guidance supporting Section 10 (interagency co-operation) and Section 11 (safeguarding and promoting the welfare of children) of the Children Act 2004. All authorities and relevant partners have to take account of this guidance.
- 3.2 In the last 12 months 312 common assessments have been logged as providing support to children and families in Hartlepool. The positive outcomes achieved range from extra support for parents with their children's behavioural and emotional difficulties, to supporting children's transition from primary to secondary education. Children with complex needs have been supported through the use of CAF, Care Co-ordination and Team Around the Child meetings.

- 3.3 Although we have some real strengths in the relation to CAF we also have some real issues to address. Currently the CAF system in Hartlepool is disjointed. There is an issue with services and workers under reporting the use of CAF's. This is where services/workers are providing support to children/families with additional needs. The needs are low level and sit outside of statutory support, the service(s) / worker(s) are providing support to children with additional needs, but this is not recorded through the completion of a CAF and not logged with the CAF register.
- 3.4 The other form of under reporting is whereby services have completed a CAF and are supporting children/families in-house or through the use of the 'Team Around' model, but this work was not logged with the CAF register. This area of under reporting first came to light during the CAF audit; roughly 25% of the CAF's submitted for audit had not been logged. It appears that there are still a large number of CAF's that are 'live' and have not been logged. Work with services and practitioners is currently being undertaken to promote the correct process for logging CAF's at the point practitioners start a CAF with a child/family.
- 3.5 In relation to the early level, preventative work offered through universal services in Hartlepool, some services have developed a culture of working in isolation from the CAF process, this is despite the fact that CAF was endorsed by both the Children's Trust Board / Executive and the Hartlepool Safeguarding Children Board (HSCB) (April 2010) as the primary system/process for all services to use in identifying and meeting additional need(s) (who sit outside of a specialist services / assessments).
- 3.6 Frontline Health Visitor's as a professional group have expressed their reluctance to use the CAF process in Hartlepool to evidence the additional support they put in place for children / families at an early level. The explanation for this range from capacity issues through to a lack of understanding for when a CAF needs to be undertaken.
- 3.7 TASS have an inconsistent approach to the use of CAF with only one of the secondary school's (High Tunstall) using the CAF system fully, ensuring that before anyone receives support through TASS they have a fully completed CAF in place and this is logged onto the register.
- 3.8 Our research into current operations shows that under reporting is a problem and that the knock on effect of under reporting and services working in isolation are that the CAF log does not represent a true reflection on the numbers of children/families who receive support at an early level. The number of CAF's logged as being started during 2010 is approximately 270, almost 25% down on the previous year. The CAF Co-ordinator is now aware of a large number of CAF's that

should have been logged during 2010, work is currently being undertaken to rectify this, but this means that instead of showing a 25% drop the CAF log should have recorded a +50% increase on the previous year. If we include the numbers of children being supported where no CAF exist the number could more than likely double again. This under reporting shows that individual staff and their managers across services are not following the systems that have been put in place, even after they have attended training.

- 3.9 A recent unannounced OfSTED Inspection (Feb 2011) of Children's Safeguarding Services identified CAF as an area for development noting that CAF activity is underdeveloped and there is a high number of referrals to children's social care who have not previously received coordinated support from preventative services or where the CAF was ineffective in meeting their needs. Prior to the unannounced inspection Child and Adult Services already recognised the areas for development and had started to put plans in place to address this. One key aspect is the need for a greater range of services to take more ownership of CAF and to have greater influence on how it looks and works within Hartlepool.

#### **4. CAF STEERING GROUP**

- 4.1 The HSCB have expressed concern regarding the universal uptake of the CAF and have asked that partners commit staff to participate in a short term Task and Finish Group to identify and overcome the barriers to an efficient CAF process. The group has strategic and operational leads from all key sectors and includes representatives from children's social care, children's centres, prevention services, targeted youth support, attendance team, community nursing, probation, school improvement advisors, secondary schools, primary schools, Harbour and Manor Residents. The group total 18 and is Chaired by the Parent Commissioner and will report back to HSCB. It is expected that once the task is completed this group will become the CAF Steering Group and will report to the board on a six monthly cycle.
- 4.2 The group is tasked with examining the current process, understanding what the barriers are to its effective use and what changes need to be made in order to increase the use of by services. The steering group has had one meeting to date and the following themes were identified during the meeting:-
- Lead Practitioner
  - Information giving and getting
  - Advice and guidance
  - Documentation – who's assessment
  - Consent and agreement

The group will now form into smaller working parties to undertake work and address issues within the identified themes.

- 4.3 The overall focus of the CAF steering group is to overcome the current issues that need addressed within the CAF system. To ensure any plans or development have been agreed and will be implemented by all key partners.

## **5. CAF AUDIT**

- 5.1 The CAF audit was undertaken during August / September 2010 and was the first time CAF was audited in Hartlepool. The audit followed the previous Department for Children, Schools and Families (DCSF), now Department for Education (DFE) national guidance on a quality assurance framework for CAF.

- 5.2 Common assessments collated for the audit covered the last three years, although the majority of these had been completed within the last 18 months. In total, 92 CAF's went through the audit tool, which was almost 1/7 of the overall numbers of CAF's recorded on the Hartlepool CAF log. The audit process included two main sections.

- 5.3 The sections examined quality in relation to the information contained within the recordings, such as:

- Identifying details
- Assessment Information
- CAF Assessment and Summary: Strengths and Needs
- Conclusion, Solution and Action
- Delivery Plan and Reviews.

- 5.4 The findings from this highlighted the quality of CAF's varied greatly but overall the vast majority of CAF's could be described as being satisfactory. A common trend could be found in the CAF's that flagged as lower in quality, which were:-

- Incomplete recording of identifying details
- Lack of assessment information
- Lack of CAF assessment summary: strengths and needs
- Lack of conclusion, solution and actions
- Limited links between assessment, delivery plan(s) and review(s).

- 5.5 A CAF audit report and action plan was submitted to HSCB (Jan 2011). The action plan includes key changes to how CAF is quality assured, all new CAF's are shared with the CAF co-ordinator, and bench marked. CAF's that require more information/details are returned to the author with appropriate guidance. The CAF training has also been adjusted to include a greater emphasis on what constitutes best practice when completing CAF's.

## 6. DEVELOPMENTS

- 6.1 The TAPS service will be reconfigured in the near future. TAPS have been in place for two years, during this time each worker has offered three tiers of service, these are, advice and guidance – direct short / long term intervention through CAF and Team Around the Child meetings – support for complex cases through the Family Intervention Project (FIP) model.
- 6.2 The learning gained during the last two years has prompted the realignment of the service into three separate teams that will cover provide a graded response to need and will focus on sound assessment processes based on the CAF.
- 6.3 The first unit, the Pathways Service, Tier 1, will act as an early intervention, providing consultation to families and professionals. The team will have a major role in supporting universal services develop their assessment processes through the use of the CAF. In addition, the unit will support the set up of 'Team Around the Child/Family' meetings and support partners to develop their capacity to adopt the Lead Practitioner role for families. It is expected that this unit will provide a key link to support the role of the Social Care Duty Team and will develop into the first line of consultation for staff who have identified a vulnerable child but it does not meet the criteria for a Child in Need (sec 17 – 1989 Children Act) or a Child Protection (sec 47 – 1989 Children Act) referral. This team will be led by the CAF Co-ordinator and will include qualified practitioners.
- 6.4 Tier 2, will provide families with primary school aged children, longer-term, direct interventions, the workers will in the main, but not exclusively take on the role of the lead practitioner in these cases.
- 6.5 Tier 3, FIP support, will be offered through the third unit, the focus of which will be complex / cusp of care support.
- 6.6 The vision is to offer three separate, or if needed, inter-linked Tiers of support to families, that have a clear and defined role. It is felt that by making these adjustments capacity will be freed up at both the complex and the early stages of support. Work is currently under way with the team to prepare for changes to service delivery.

## **7. RECOMMENDATIONS**

- 7.1 The Portfolio Holder is asked to note the areas of development in relation to the use of CAF by services within Hartlepool.

## **8. REASONS FOR RECOMMENDATIONS**

- 8.1 The further development of the CAF is vital if services are to be targeted families for early intervention effectively.

## **9. BACKGROUND PAPERS**

**Appendix A** - HSCB update report September 2010

**Appendix B** – HSCB CAF audit report December 2010

## **10. CONTACT OFFICER**

Paul Kelly  
Common Assessment Framework Co-ordinator  
01429 284337  
[paul.kelly@hartlepool.gov.uk](mailto:paul.kelly@hartlepool.gov.uk)

or

John Robinson  
Parent Commissioner  
01429 523348  
[John.robinson@hartlepool.gov.uk](mailto:John.robinson@hartlepool.gov.uk)





**SUBJECT : Common Assessment Framework (CAF)**

**PURPOSE: Update Report**

---

**1. BACKGROUND**

- 1.1 CAF was originally introduced to Hartlepool in mid 2006 as a six month pilot, and as part of the previous Integrated Working and Information Sharing Programme (IWISP). IWISP introduced Hartlepool to the Common Assessment Framework and Lead Practitioner models of working. This formed the start of a concerted drive towards integrated services, early intervention and effective information sharing. All of which, formed part of a broader push on all sectors changing working practice in order to incorporate CAF and the Lead Practitioner within their provision of services.
- 1.2 The purpose of this report is to present Hartlepool Safeguarding Children Board with an overview of the Common Assessment Framework (CAF), its integration within the children's workforce to date, future development plans, and any pertinent points of interest in relation to CAF. This report is one part of a cycle of reports submitted to the Safeguarding Board on a 6 monthly basis.

**2. SUMMARY**

- 2.1 The CAF for children and young people is one of the contributory elements to the delivery of integrated frontline services. This is outlined in the statutory guidance supporting section 10 (interagency co-operation) and section 11 (safeguarding and promoting the welfare of children) of the Children Act 2004. All authorities and relevant partners have to take account of this guidance.
- 2.2 The aim of CAF is to help early identification of need and co-ordinate service provision. In terms of targeted support, the CAF process can contribute to preventing the needs of vulnerable children and young people becoming complex or acute. Therefore CAF can be seen as part of preventative/targeted service that identifies needs early, assesses those needs and co-ordinates the delivering of integrated services and reviews progress.

**3. TRAINING**

- 3.1 To date 185 practitioners have attended formal, full day, multi-agency CAF training. The training is co-ordinated through the local authority, child and adult workforce development team and is accessible to staff from all sectors. The programme commenced January 2010 and is scheduled to run until the end of

**APPENDIX A**

2011. Due to the increased demand additional dates have been organised and added to the programme. CAF training will be delivered twice a month from September 2010 through to March 2011. The timetable below :-

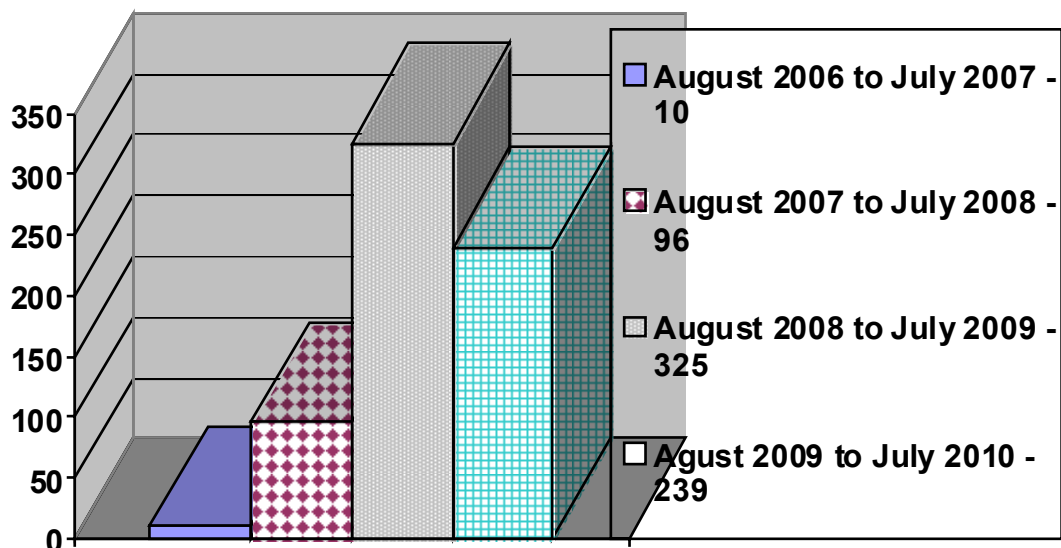
2010			
September 15 <sup>th</sup>	September 29 <sup>th</sup>	October 13 <sup>th</sup>	October 28 <sup>th</sup>
November 11 <sup>th</sup>	November 23 <sup>rd</sup>	December 16 <sup>th</sup>	
2011			
January 19 <sup>th</sup>	February 17 <sup>th</sup>	February 25 <sup>th</sup>	March 16 <sup>th</sup>
March 30 <sup>th</sup>	June 15 <sup>th</sup>	September 14 <sup>th</sup>	December 8 <sup>th</sup>

- 3.2 In addition to the formal, full day training offered, sessions have been arranged to suit individual workers and their organisations training / awareness needs for CAF. It has proven to be beneficial for agencies whose staff work outside of core hours or due to staffing size, struggle to attend full day training courses. To date, 179 staff from a variety of services received this support (please see **Annex A** for more information).

#### 4. **COMMON ASSESSMENTS**

- 4.1.1 During the last 12 months (Aug 2009 to July 2010) the total number of common assessments undertaken and logged with the CAF Co-ordinator has dropped 26% (down 86), compared to the previous year.

Numbers of CAF's undertaken:-



During the reporting period 45 organisations / agencies within Hartlepool undertook 239 common assessments. Only four of the organisations / agencies undertook and logged 10 or more common assessment during the 12month period (please see **Annex B + C** for more information). The Team Around the Primary School are the team that produced the most common assessments (84), which means 35% of the overall numbers came directly from this team. Currently, whilst we have no clear understanding of why the numbers have fallen, we are able to identify that the vast majority of services that have direct contact with children and families in Hartlepool undertake 4 or less common assessment every year. It is my personal view that although children / families may receive

## APPENDIX A

the support they require to meet their additional need, this is not recorded formally on a CAF and logged with the Co-ordinator.

### 5. **ANNOUNCED INSPECTION**

- 5.1 The role of CAF within Hartlepool was examined as part of a recent Ofsted announced inspection of safeguarding and looked after children services. The inspection took place during a two week period (7<sup>th</sup> / 18<sup>th</sup> June). CAF was graded as adequate (Level 3) – (a service that meets the minimum requirement). The inspectors raised the issue that in their view the uptake in CAF was low and the pathway surrounding CAF – 'Team Around' processes was not sufficiently clear. These points are being addressed through a set of new practice guidance / pathway plan and the CAF quality assurance exercise which is currently being undertaken (more detail below)

### 6. **ECAF**

- 6.1 The eCAF system was recently tested by group of 10 staff based within the Team around the Primary School. The feed back was extremely positive and we are now having some minor changes made to this system. This will bring the electronic version in line with local practice. Once the changes have been made we will then be in a position to load eCAF with the necessary data prior to it going live. We will then be in a position to training the 1<sup>st</sup> cohort of users. It is anticipated that this will take place late 2010 / early 2011.

### 7. **PRACTICE GUIDANCE**

- 7.1 A new set of practice guides and a pathway plan are currently being written. The guide will assist practitioners to fully understand the way in which CAF, Lead Practitioner and the 'Team Around' processes are delivered within Hartlepool. The guide and pathway plan will be ready at the end of August 2010. Currently all supporting CAF material and associated documents can be down loaded from Hartlepool Borough Council web and intranet sites. A new version of the pre-assessment checklist and CAF form came out July 2010. Agencies are asked to replace all previous versions.

### 8. **DUTY SYSTEM AND CAF**

- 8.1 A previous unannounced safeguarding inspection flagged up an issue that too few referrals into the duty system are supported with a CAF. The figure quoted was during a period where duty received 600 contacts, less than 5% of these had a CAF currently or previously in place. What this equates to in practice is that children or their families have not had their needs formally assessed or addressed at an earlier, lower level, prior to the point of access to the duty team. The joint work currently undertaken with the duty team involves direct advice and support to team members, highlighting specific cases where a CAF is absent and should be in place, and looking at ways in the CAF process can be implemented by the agencies involved. Agencies can also access one-to-one support from the CAF Co-ordinator in relation to any areas or practical advice, hand's on support and guidance in any aspect of the CAF, Lead Practitioner and 'Team Around' processes.

**9. CHILDREN'S TRUST**

9.1 April 2010, a CAF report went to the Children's Trust Board identifying key areas of the CAF process that need addressing in order to promote the best possible outcome for both the Children's Trust Board/Executive and the children, young people and families it represents within Hartlepool, who have additional unmet needs. It proposed a set of recommendations to address key areas within CAF and its associated processes. All recommendations were accepted:-

- The Children's Board/Executive formally state their commitment to the CAF, 'Team Around' meetings and the lead practitioner process as the recognised model of identifying and addressing the unmet needs of children, young people and families outside of specialist services.
- CAF training requirements for all Children's Trust workforce.
- Members and representatives within the Children's Trust Board/Executive are requested to direct managers as part of their supervision process, to use the set of common core skills with staff as part of a learning and development plan that can identify strengths and areas of development in order to push forward and drive up the minimum skill base of the Trust's workforce in relation to undertaking CAF's and performing the role of a lead practitioner.
- All new front-line posts within the Children's Trust arena clearly include the requirement to undertake common assessments and undertake the role of a lead professional as an expectation within the job description.
- The Board/Executive monitor on a quarterly basis the numbers of children referred to the duty system who have already received support via a common assessment / TAC and those who have not, with a random sample drill-down exercise to examine if an opportunity for earlier intervention was missed.
- The Children's Trust Board/Executive agreed to implement and support the use of a Trust wide Quality Assurance Framework for CAF and that agencies take action on any subsequent findings.
- The Children's Trust Board/Executive direct members and partner to use the CAF pages located within Hartlepool Borough Council's internet site ([www.hartlepool.gov.uk](http://www.hartlepool.gov.uk)) as the main reference point for locating CAF documents, guidance and training programme details for the local workforce.

**10. QUALITY ASSURANCE**

10.1 An audit is currently being undertaken to examine the overall quality of CAF's within Hartlepool. The audit will cover both past and present assessments, to date approximately 200 CAF's have been gathered, the audit and analysis of the data will be completed by the end of August 2010.

10.2 Alongside the audit exercise the CAF Co-ordinator will be contacting organisations individually, to discuss what systems they have in place to identify

## **APPENDIX A**

any additional needs their children / families may have and to see if they require further one-to-one practical support to improve these arrangements. All future CAF's will be audited as soon as they are received and feed back will be given to the author with regards to the overall quality of the assessment and delivery of the support offered. The overall focus of the quality assurance work will be to improve the role of CAF within Hartlepool from 'adequate' to 'good'.

### **11. CONTACT OFFICER**

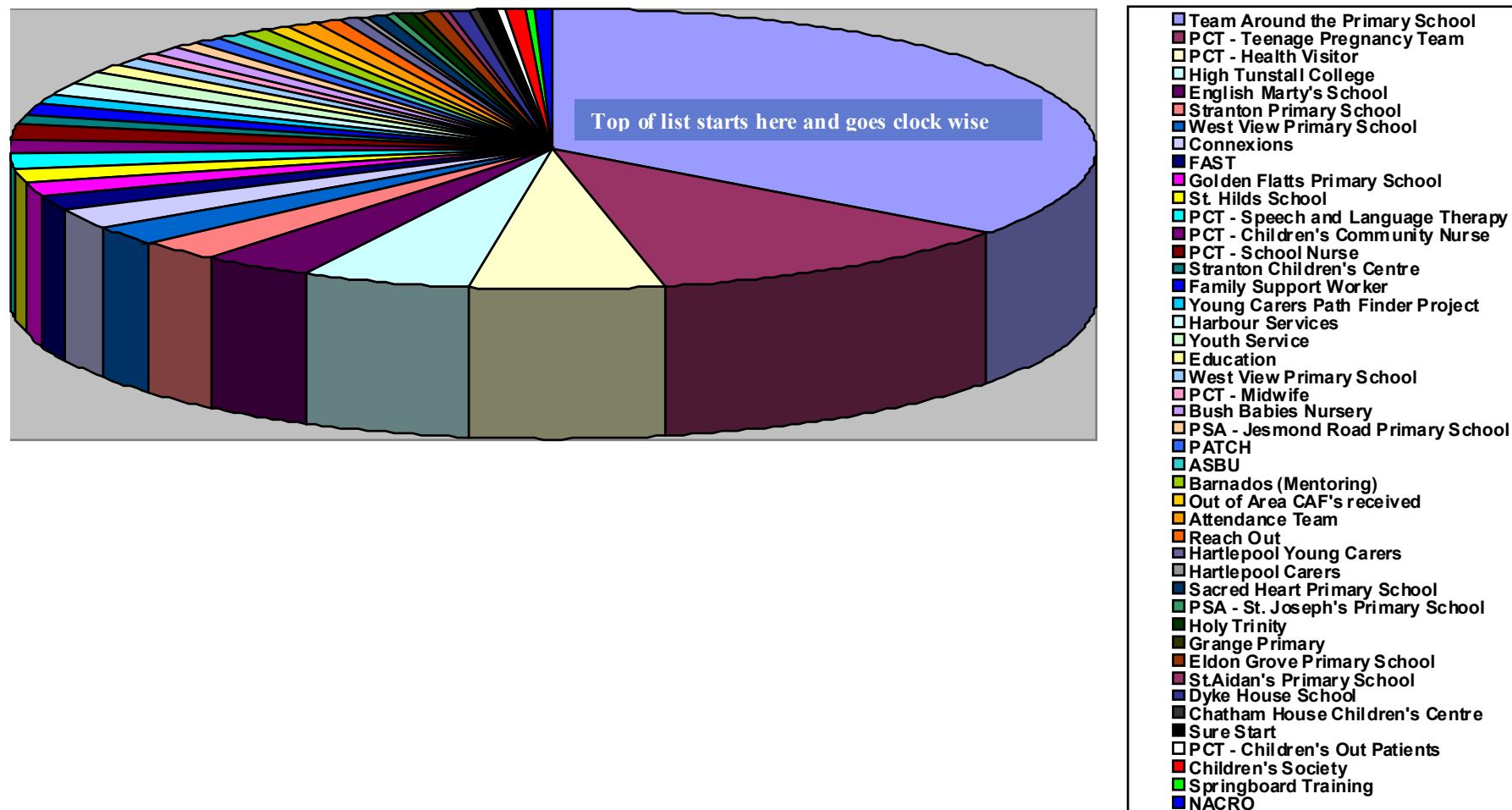
Paul Kelly  
Common Assessment Framework Co-ordinator  
01429 284337  
[paul.kelly@hartlepool.gov.uk](mailto:paul.kelly@hartlepool.gov.uk)

<b>Date</b>	<b>Description</b>	<b>Attendees</b>
07/10/09	Parent Support Advisor and Team Around Primary Schools – Half day training session	38
15/10/09	PATCH - Half day training session	8
28/10/09	Barnardos – Half day training session	20
04/11/09	High Tunstall College of Science – 4 x 1 hrs blocks	20
17/11/09	Manor College TASS – 1hr	15
18/11/09	High Tunstall College of Science – 4 x 1hrs awareness raising session	20
19/01/10	Sacred Heart Primary School – 2 hr awareness raising session	20
20/01/10	Multi-agency CAF training – Full day training session	15
02/02/10	Senco Forum – 1hr awareness raising session	15
09/03/10	English Martyrs – 1hr awareness raising session	15
16/03/10	Multi-agency CAF training – Full day training session	25
01/04/10	Care Co-ordination key worker training – 2hr support session	8
15/04/10	Multi-agency CAF training – Full day training session	20
28/04/10	West View Advice Project – Full day training session	8
11/05/10	Multi-agency CAF training – Full day training session	23
12/05/10	Multi-agency CAF training – Full day training session	7
13/05/10	Multi-agency CAF training – Full day training session	28
14/05/10	Multi-agency CAF training – Full day training session	14
16/06/10	Multi-agency CAF training – Full day training session	20
22/06/10	Multi-agency CAF training – Full day training session	8
25/06/10	Employment Training Education Providers – Full day training session	25
06/11/09	11 million day - Dyke House Comprehensive School – Involving young people in evaluating the CAF process	50
	Total number of staff that have attended an agency specific learning session	179
	Total number of staff that have attended multi-agency full day core training	185

**Agencies undertaking Common Assessments August 2009 to July 2010**

Team Around The Primary Schools	84	Golden Flatts Primary School	4	Youth Service	3	Out of Area CAF's received	2	Eldon Grove Primary School	1
PCT – Teenage Pregnancy Team	27	St. Hilds School	4	Education	3	Attendance Team	2	St. Aidan's Primary School	1
PCT – Health Visitor	14	PCT - Speech and Language Therapy	4	West View Primary	2	Reach Out	2	Dyke House School	1
High Tunstall College	12	PCT – Children's Community Nurse	4	PCT – Midwife	2	H/pool Young Carers	1	Chatham House Children Centre	1
English Marty's School	8	PCT – School Nurse	4	Bush Babies Nursery	2	H/pool Carers	1	Sure Start	1
Stranton Primary School	6	Stranton Children's Centre	3	PSA - Jesmond Road Primary	2	Sacred Heart Primary School	1	PCT – Children's Out Patients	1
West View Primary School	5	Family Support Worker	3	PATCH	2	PSA – St. Joseph's Primary School	1	Children's Society	1
Connexions	5	Young Carers Path Finder Project	3	ASBU	2	Holy Trinity	1	Springboard Training	1
FAST	4	Harbour Services	3	Barnados(Mentoring)	2	Grange Primary School	1	NACRO	1
<b>Total Number</b>								<b>239</b>	

# Agencies undertaking Common Assessments August 2009 to July 2010







## **Common Assessment Framework Audit Covering Report**

**Paul Kelly**



**SUBJECT:** Common Assessment Framework Audit Report

---

**1. SUMMARY**

- 1.1 The Common Assessment Framework audit was undertaken during August/September 2010 and this is the first time CAF has been audited. The audit followed the previous Department for Children, Schools and Families (DCSF), now Department for Education (DFE) national guidance on a quality assurance framework and CAF.
- 1.2 The Common Assessments collated for the audit covered the last 3 years and the majority of these had completed within the last 18 months. In total 92 CAF's went through the audit tool, which is almost 1/7 of the overall numbers of CAF's logged onto the Hartlepool system. The audit process included two main sections, Section 1 – Recording of CAF Process and Section 2 – In Depth Review. Each CAF was subject to an audit of both of the sections.

**2. SECTION 1 – RECORDING OF CAF PROCESS**

- 2.1 Section 1 examined the following broader headings

- **Identifying details**
- **Assessment information**
- **CAF Assessment Summary: Strengths and Needs**
- **Conclusion, Solutions and Actions**
- **Delivery Plan(s) and Reviews**

(\*Annex A illustrates the overall grading CAF's received within section 1)

2.2 The findings from this section 1

The quality of CAF's varied greatly but overall CAF's could be described as being satisfactory. A common trend could be found in the CAF's that flagged as lower in quality, which are:-

- **Incomplete recording of identifying details**
- **Lack of assessment information**
- **Lack of CAF assessment summary: strengths and needs**
- **Lack of conclusion, solution and actions**
- **Limited links between Assessment, delivery plan(s) and review(s)**

**3. SECTION 2 – IN DEPTH REVIEW**

3.1 Section 2 of the audit tool examined the following areas:-

- **CAF Purpose, Analysis, Delivery, Planning and Review**
- **Domain Completion**
- **Analysis**
- **Every Child Matters Outcomes**

(\*Annex B illustrates the overall grading CAF's received within section 1)

3.2 The findings from section 2

A higher number of CAF's audited within this section had little evidence or recordings to support the assessment or analysis, and the delivery planning and review stages. In the main these CAF's appeared to be little more than a brief referral tool for support by other services. Almost 10% of the CAF's audited fell into this category. Another prominent feature within this section was a lack of sequential working and recording through the process. In general terms the early stages (assessment) are completed more thoroughly with some clear links into the analysis stages, this becomes less well documented as we look at planning and delivery and we have almost no information that related to co-ordinated multi-agency work (team around), and there are limited reference to the goals or outcomes in terms of the every child matters outcome.

**4. CONCLUSION**

4.1 Organisations are still not embedding CAF as part of their working practice and there appears to be a lack of management support/understanding of the potential of CAFs. This has resulted in the continued use of CAF as a referral tool and the resulting assessments when audited do not reflect an analysis of need but a statement of concern. This approach to a whole family assessment is not good enough and does not reflect the assessment skills seen during CAF training or team around meetings when staff are given the opportunity to give their views. This suggests that as a partnership we may not be given the commitment to whole family assessment that is required if we are to intervene early and effectively. The Common Assessment Framework, Lead Practitioner and Team Around processes require more specific guidance that is used by Managers to support their staff. A clear system should be in place and understood, in order to improve the overall quality of work delivered and the outcomes achieved by children, young people and families. A new set of guidance and the managerial commitment to use it needs to be in place alongside several key changes, which are:-

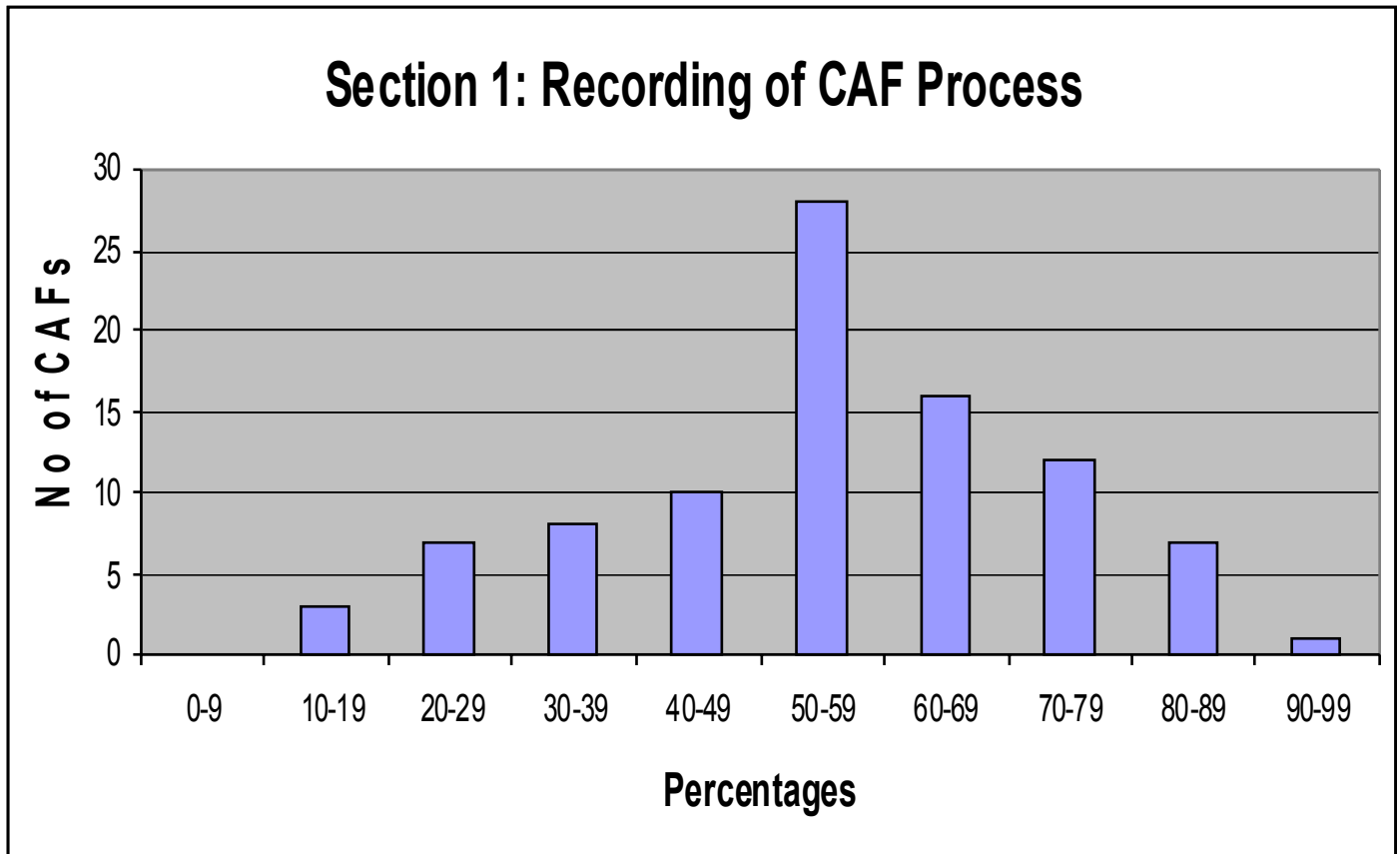
- All partners re-establish their commitment to whole family assessment in general and CAF in particular.

**Appendix B**

- Multi-agency CAF working party to work through key challenges for CAF, its use and continued integration within the provision available for unmet need.
- All Managers should audit the CAF's completed by their team on a monthly basis to ensure quantity and quality.
- A copy of all CAF's to be sent to the CAF Co-ordinator and Quality Assured.
- Each completed CAF that is audited will be returned to the author with clear guidance on areas of that the assessment can be improved.
- CAF training to incorporate key learning from the audit in relation to good quality CAF's and the need to evidence Team Around processes and outcomes.
- Self Assessment tool available for practitioners to use prior to submitting CAF's to the Co-ordinator.
- Improved management oversight of CAF's undertaken by workers within their own organisations.
- Improved recording of cases involved in Team Around process within the CAF log and a closer monitoring of the meeting on a monthly basis by the CAF Co-ordinator.
- All closed cases to include a request for evidence of outcomes for children, young people and families as standard.
- A full CAF file audit to be undertaken with the host organisation with selected closed cases involving Team Around support. In order to fill current void in evidence.
- All of the above points will be pulled together and included in a revised CAF action plan that will cover the next 6 and 12 months.

**Paul Kelly**  
**CAF Co-ordinator**

\*Annex A



\*Annex B

