

HARINGEY COUNCIL

PROJECT INITIATION DOCUMENT

ALTERNATIVE PROVISION TRANSFORMATION PROJECT

Date: APRIL 2013

Project Name:	ALTERNATIVE PROVISION TRANSFORMATION PROJECT
Project Sponsor:	JAN DOUST
Project Manager:	PAUL SENIOR
Project Start Date:	April 2013
Project Completion Date:	TBC

DOCUMENT CONTROL

Revision History

Version	Revision Date	Status	Author(s)	Summary of Changes
V1	7 May 2013	Draft	Paul Senior	Draft document

Reviewers

Name/ Group	Job/ Role Title	Project Role	Date
Jan Doust	Deputy Director – Children and Young People Services	Project Sponsor	9 May 2013
Paul Senior	Consultant – Children and Young People Services	Project Manager	9 May 2013
?????	Project Lead Haringey 54k	Haringey 54K Programme	TBC
EIG	Executive Interim Group	PRU Governance	7 May 2013
Other ?			

1. EXECUTIVE SUMMARY

- 1.1 In April 2013, Haringey Council commissioned a strategic review of the delivery of alternative provision and education otherwise than at school (EOTAS) services in Haringey. The objective was to consider how the existing service, systems, policies and processes could be re-configured to build on existing good practice, respond to local needs and meet the requirement to provide suitable full time suitable educational provision to all pupils needing to be educated otherwise than at school. This objective will be required whilst taking account of the changing national policy landscape for the EOTAS agenda, local needs and national funding changes from April 2013. The outcomes from this work stream will help to shape and progress the proposals identified in this project implementation document.
- 1.2 The overall objective of this Project is to scope, create and design a, modernised, flexible, cost effective Alternative Provision Service that has coherence structurally and operationally, which meets the diverse needs of local schools and partner agencies to enable them to more effectively meet the diverse needs of children and young people at risk of social and educational exclusion, through high quality early help and interventions, working in close partnership with local schools, families and other agencies. The Project will consist of three key targeted strands of work which are service transformation – redesign; consultation and stakeholder engagement; and service design - implementation:
- 1.3 **Service transformation:** this strand will focus on the development of a new Alternative Provision and EOTAS delivery model which reflects good practice, addresses wider changes to the funding framework and operating context, minimises duplication of activity, and fills gaps in provision. Existing services to be considered in developing the new model include: the Local Authority's Alternative Provision Service, including Pupil Referral Units (PRUs), Haringey Education Tuition Service, Looked After Children Education Team, Educational Welfare Service and Virtual School Role Officer together with other support provided through the work of local alternative provision providers and the Targeted Youth Support Service functions from the LA Youth, Community and Participation Service.
- 1.4 **Communications and stakeholder engagement:** it is essential that this strand aligns with both the service design and implementation strands and seeks to build widespread ownership and support for the new model among all key stakeholders, including councillors, mainstream schools, service users (children and parents) and existing services working with excluded pupils and/or those at risk of social and educational exclusion. It will also ensure that the new model is informed by a wide range of experience and expertise and that consultation with employee representatives is effectively managed. The full range of communication activity will be set out in a detailed Communication Strategy, with activity closely aligned with key service design and implementation milestones, including formal consultation processes.
- 1.5 **Service redesign – implementation:** this strand will focus on implementation of the new service model. It will include detailed work to assimilate/ and or recruit staff to roles in the new service; and, to assess and define accommodation needs to ensure that the new Service is delivered in the most cost effective way.

1.6 The outcome of this project reflects specific alignments to the Council's strategic objectives and will deliver:

- An integrated and co-ordinated approach to the procurement, commissioning and quality assurance of alternative providers from the private, voluntary, community and faith sectors on behalf of schools partner agencies and the Local Authority;
- Increased reductions in the number of fixed term and permanent exclusions;
- Strong links between the Alternative Provision Service, the Additional Educational Needs/Disability Service and the YCP Service and Early Help Family Support Service (tbc) through either hub and spoke arrangements or co-location of services;
- Improved integrated specialist assessment, pupil respite and targeted support for particular groups of vulnerable pupils, those at risk of poor outcomes and those newly arrived in order to prevent an escalation of difficulties and to avoid high-cost Borough specialist placements.
- A more cost efficient and focused model of service delivery thereby reducing the planned place costs of Pupil Referral Units alongside increased devolution of funding to schools;
- An extended remit for the Pupil Referral Units which includes a strong core offer of outreach to mainstream schools, dual registration, pre-exclusion/ behavioural, attendance and multi-agency work.

1.7 Operational and strategic risks that may be associated with the project work stream and supporting activity, along with mitigating actions have been set out in this paper. However, the work will be undertaken in a climate of uncertainty, given the rapidly changing policy and funding context facing the alternative education sector and mainstream schools. This equally underlines the need to ensure that existing services are more strongly positioned to respond to new strategic, financial and operational demand.

1.1 Strategic Review of Alternative Education Services and Challenges

1.1.1 In April 2013, the Children and Young People Directorate commissioned a strategic review of the delivery of alternative education services in Haringey. The objective was to consider how the existing range of alternative provision and EOTAS services could be re-configured to build on existing good practice, to meet the requirement to provide full time education to all pupils out of school whilst taking account of falling permanent exclusions locally, national policy and required funding changes from April 2013, which will be further informed by the work of the existing DFE Exclusions pilot. The strategic review identified a number of key themes:

- **The need to develop a more needs - led, proactive, preventative model** - Schools are the main education provision for the majority of pupils. Evidence suggests that life chances are significantly reduced for pupils who spend a significant amount of time out of school and whose education is thereby disrupted. An increased emphasis on preventative and short term work is required involving a changed pattern of resourcing, improved joined up working between agencies and much greater collaboration and ownership from schools.
- **An evidenced lack of effective extended support for excluded pupils** - some key services – such as the Virtual School Role Project - are highly valued by schools, reflected in the level of take up. However, the current structure of PRUs is based on a traditional schools model, with few non-teaching resources, such as parent mentors, and limited access to CAMHS, social workers and educational psychologists.
- **Responding to the changing funding framework** - The Alternative Education Service is a high cost service. Under new funding reforms Pupil Referral Units now receive delegated budgets and control over staffing (from April 2013) with the base funding set at £8,000 per place. On current estimates some PRU places in Haringey, owing to low attendance numbers at the Octagen PRU, some places for alternative provision locally cost in excess of £30,000 (**needs to be confirmed**). Developing proposals to redirect resources to fund a mixed model of support focused on early help, improved partnership working and better commissioning arrangements may lead to more cost effective provision.
- **The need for cultural and structural change** - the core objective for the work of the Alternative Provision Service and Pupil Referral Units in Haringey is primarily to provide alternative provision for permanently excluded pupils and children unable to attend mainstream school settings for reasons of health, behaviour and/ or other as defined in the section 19 duties for education otherwise than at school. Owing to the changing landscape nationally for the work of PRUs and alternative provision providers, cultural and structural change is required to take account of new national policy directions and provide extended and individualised learning opportunities for some of the most vulnerable pupils within the Authority.

- **The need to respond to new service trends and demographic pressures** - Population growth and pupil mobility, causing pressure on secondary school places, has meant that it has become increasingly difficult to reintegrate pupils who have been out of school for any length of time. In the future it will be important locally to drive down permanent exclusions, to enable the freeing up of space in the Pupil Referral Units to consider new ways of working and address any gaps in specialist support and provision for vulnerable pupils. Increasingly the DfE will be scrutinising throughput within place-plus funded schools and questioning the need for provision with consistently high vacancy levels.
- **Accommodation issues** – Local PRU and alternative provision provider sites differ in size and the quality of accommodation; some have potential for greater utilisation but accommodation at some sites is unsatisfactory or inadequate. In some cases buildings constrain effective working practice in terms of curriculum, deployment of staff and pupil groupings.

Options for Change

1.1.2 A number of options for change will need to be considered. These are likely to include:

- **Option 1:** Maintenance of the status quo
- **Option 2:** Redesign of the existing service, systems and processes to create a unified approach
- **Option 3:** The existing Pupil Referral Units to become Alternative Provision Academies
- **Option 4:** The direct outsourcing of alternative provision and supporting services.

1.1.3 While the current Project will therefore focus on developing and implementing a new service model, it is recognised that changes to existing services may be radical and are likely to provide a springboard for a more mixed market approach, with a wider range of colleges and other providers commissioned to provide services. There would also remain longer-term options for local schools and PRUs to elect to go down the Academy route following modernisation and potential rationalisation of the service.

1.2 Project Description

The overall objective of this Project is to provide a, modernised, flexible, cost effective Alternative Provision Service that has coherence structurally and operationally, which meets the diverse needs of children and young people at risk of social and educational exclusion through high quality early help and interventions, working in close partnership with schools, families and other agencies. The Project consists of three key targeted strands of work which are service transformation – redesign; consultation and stakeholder engagement; and service design - implementation:

1.2.1 **Service transformation -re-design stage** – this strand will focus on the development of a new Alternative Provision Service model which reflects good practice, addresses wider changes to the funding framework and operating context, minimises duplication of activity, and fills gaps in provision. Existing services to be considered in developing the new model include: the Local

Authority's Alternative Education Service, including Pupil Referral Units (PRUs), Haringey Education Tuition Service (HETs) and Looked After Children Education Team, Pre- and Virtual School Role Officers together with other support provided through the Targeted Youth Support element of the Youth, Community and Participation Service.

- 1.2.2 **Communications and stakeholder engagement** - this strand will run in parallel to both the service design and implementation strands and seek to build widespread ownership and support for the new model among all key stakeholders, including councillors, mainstream schools and existing services working with excluded pupils and/or those at risk of exclusion. The full range of communication activity will be set out in a detailed Communication Strategy, with activity closely aligned with key service design and implementation milestones, including formal consultation processes.
- 1.2.3 **Service redesign – implementation** – this strand will focus on implementation of the new service model. It will include detailed work: to fully clarify roles and responsibilities in the new structure; to assimilate/ and or recruit staff to roles in the new service; and, to assess and define accommodation needs to ensure that the new Service is delivered in the most cost effective way.

1.3 **Project Objectives**

1.3.1 Specific project objectives are to achieve:

- An integrated and co-ordinated approach to the procurement, commissioning and quality assurance of alternative providers from the private, voluntary, community and faith sectors on behalf of schools partner agencies and the Local Authority;
- Increased reductions in the number of fixed term and permanent exclusions;
- Strong links between the Alternative Provision Service, the Additional Educational Needs/Disability Service and the YCP Service and Early Help Family Support Service (tbc) through either hub and spoke arrangements or co-location of services;
- Improved integrated specialist assessment, pupil respite and targeted support for particular groups of vulnerable pupils, those at risk of poor outcomes and those newly arrived in order to prevent an escalation of difficulties and to avoid high-cost Borough specialist placements.
- A more cost efficient and focused model of service delivery thereby reducing the planned place costs of Pupil Referral Units alongside increased devolution of funding to schools.
- An extended remit for the Pupil Referral Units which includes a strong core offer of outreach to mainstream schools, dual registration, pre-exclusion/ behavioural, attendance and multi-agency work.

1.4 Key Milestones

Milestone (proposed)	Planned Date	Notes
PRU staffing model option paper for September 2013	7 th May 2013	Recommended PRU management and staffing model for September 2013 drafted
Outline proposals for future of PRUs and Alternative Provision in Haringey published for consultation	w/c 13 th May 2013	Outline proposals published and shared with stakeholders
Consultation on new service structure/funding model with Schools Forum	23 rd May 2013	
Informal staff/trade union consultation on draft proposals	tbc	
Phase one (September 2013) proposals confirmed and circulated to staff	???? May 2013	
New Executive Head/ AP Commissioner (or equivalent) Post Advertised	c 3 rd June 2013	Aspiration to have post-holder in place by September 2013
New Executive Head/ AP Commissioner (or equivalent) Post short listing and interviews	wc 24 th June 2013	Aspiration to have post-holder in place by September 2013
PRU staffing model option paper for January and September 2014	10 th June 2013	Recommended PRU management and staffing model for January and September 2014 drafted
Phase two and three (January and April 2014) proposals confirmed and circulated to staff	???? June 2013	
Formal staff consultation on phase two and three proposals begins	??? June 2013	
Internal consultation and formal processes take place regarding staff model proposal for September 2013	10 th June – 19 th July 2013	Formal HR and statutory processes adhered to
Contract end for interim Head of Octagon PRU	19 July 2013	
New structure goes live	April 2014	Will need to be transitional arrangements in place of pupils and staff. These will be addressed in the formal consultation document

Communications Requirements	
Requirement	Support Service Owner
Ad hoc communication advice will be required to meet the change management process.	Corporate Communications – resources to be identified as required.

2. BUSINESS CASE

2.1 Risks and Issues

2.1.1 Based on the assumed delivery of Option 2 and the three related work streams, the key risks associated with this Project and related mitigating actions are set out below:

Risk No.	Risk Description	Probability (H/M/L)	Impact (H/M/L)	Mitigation	Risk Owner
1	Head of Alternative Education Service leaves role	H	H	Appoint interim or appoint substantive Head of Service	Paul Senior
2	Failure to secure Member support for the restructuring proposals and other difficult decisions Potential impact – slower project delivery	M	H	Lead and other relevant Members brought into the project at early stage – including early soundings on proposals	Jan Doust
3	Staff/union opposition to restructuring and/or revised working practices Potential impact – reduced staff morale, poorer business performance, slower project delivery	M	H	Early engagement and involvement with staff to build understanding and support for proposed approach. Early and consistent HR advice and assistance	Paul Senior/ Jan Doust
4	Schools fail to engage with proposals to redevelop the Alternative Provision Service	M	H	Stress mutual benefits of cooperation and engage in face to face discussions, especially with head teachers through all possible meetings/groupings	Paul Senior/ Jan Doust
5	Wider stakeholder opposition to plans and proposals	L	H	Clear communications and engagement strategy for different aspects of project development and delivery	Paul Senior
6	New policy changes/guidance from central government during project delivery	M	H	Early identification of changes in wider policy environment and impact assessment	Paul Senior
7	Options for change trigger AP Academy proposals	H	H	Provide flexible and scalable options. Ensure existing service continues to be of high quality with good pupil outcomes	Paul Senior
8	Expansion of Academies and other types of schools leads to a reduced demand for LA provided alternative provision	M	H	Ensure partnership working and engagement, as far as possible ensure that new arrangements have	Paul Senior

Risk No.	Risk Description	Probability (H/M/L)	Impact (H/M/L)	Mitigation	Risk Owner
				degree of flexibility	
9	National funding framework increases complexities at local level	M	H	Ensure Schools Forum is fully informed of national funding changes, particularly those which impact on the AP formula	Paul Senior
10	Uncertainty at Council level about accommodation utilisation for PRUs and uncertainty about funding of improvements	M	M	Ensure synergy with LA Capital Strategy and liaise with	Paul Senior
11	Ofsted inspection of LA AP, EOTAS and PRU services	H	H	Reputational risk mitigated by Council establishing credibility in commissioning transformation programme in response to evidenced performance gaps	Paul Senior

2.2 Financials – Costs

PROJECT COSTS

All project costs will be met within the central element of the Schools Budget.

Project Delivery Costs	2013/14 £'000s	Total (current & future) £'000s	Notes
Specialist Project Management Costs	TBC	TBC	To support development of financial model and other service design work
Project Management Costs	TBC	TBC	Full time project management support until end of August 2013.
Total Project Delivery Costs	TBC	TBC	
Funded from service/other budgets			
OC Project Delivery Costs			

Redundancy Costs	Current year £'000s	Future years £'000s	Total (current & future) £'000s	Notes
Statutory redundancy - one-off	TBC	TBC	TBC	Final post reductions and resulting costs will be estimated at the end of the service design stage.

Additional voluntary severance payment - one-off	TBC	TBC	TBC	
Total one-off (met from central redundancy provision)				
Actuarial strain on pension fund/capitalisation (early retirement cases) - met from service budgets	TBC	TBC	TBC	
Redundancy Costs (redundancy, severance and actuarial strain)	TBC	TBC	TBC	

Capital Costs	Current year £'000s	Future years £'000s	Total (current & future) £'000s	Notes
Capital cost	N/A	N/A	N/A	
Total Capital Costs	N/A	N/A	N/A	
Capital receipts (arising directly from the project)	N/A	N/A	N/A	
Net capital costs (capital costs less capital receipts)	N/A	N/A	N/A	

2.3 Financials – Benefits

Financial benefits will help to address the historic deficit in the Schools Budget.

Net Operational Savings (gross budget savings less additional operational costs)	2013/14 £'000s	2014/15 £'000s	2015/16 £'000s	Notes
<Gross budget saving A>	TBC	TBC	TBC	The level of savings will be confirmed at the end of the service design stage. Additional costs are not anticipated.
<Gross budget saving B>	TBC	TBC	TBC	
<Gross budget saving C>	TBC	TBC	TBC	
Total Budget Saving	TBC	TBC	TBC	
<Additional operational cost A>	None	None	None	Assume nil additional costs but will confirm at end of service design stage.
<Additional operational cost B>	None	None	None	
Total Additional Operating Costs	None	None	None	
NET BUDGET SAVING (budget saving less additional operational cost)	TBC	TBC	TBC	

2.4 Non-financial Benefits

Benefit Description	Baseline Measure	Target Measure	Estimated period of realisation	Notes
Improved access for schools to targeted respite provision for vulnerable pupils	TBC	TBC	12 months	Data available
Reduction in number of permanent exclusions	TBC	TBC	12 months	Data available
Reduction in number of fixed term exclusions	TBC	TBC	12 months	Data available
Improvement in attendance levels and days of education lost	TBC	TBC	12 months	Data available
Improvement in information sharing/sharing of expertise between PRUs and mainstream schools	TBC	TBC	12 months	Feedback from PRUs, School's Forum and Head Teacher's Forums
Integrated strategic and operational approach from LA services such as AP and SEN to interface with schools	TBC	TBC	12 months	Data available
Wider range of providers offer personalised programmes for individual pupils at risk of poor outcomes	TBC	TBC	12 months	Data count
Commissioned alternative provision providers receive capacity building challenge and support to being optimally Ofsted ready	TBC	TBC	12 months	Data available
Easier access to related support services, such as behaviour support, CAMHS, Youth, Community and Participation Service, family support and educational psychologists and improved multi-disciplinary working	TBC	TBC	12 months	Feedback from PRUs, School's Forum and Head Teacher's Forums and other stakeholders
Greater career opportunities for staff	TBC	TBC	12 months	Feedback from service managers and staff
Increased work with families around behaviour and attendance	TBC	TBC	12months	Feedback from service managers and staff.

2.5 Staff/Post Reductions – FTE Numbers

Post Deletions	2013/14 FTE	Total FTE (current & future years)	Notes
Vacant posts deleted (FTE)	TBC	TBC	To be confirmed at the end of the service design stage.

Redundancies (FTE)	TBC	TBC	
Total posts reduced (vacancies and redundancies FTE)	TBC	TBC	

3. PROJECT ORGANISATION

3.1 Project Organisation Structure

3.1.1 A Project Board, chaired by the Deputy Director, Children and Young People Services (tbc), will be responsible for the strategic lead and oversight of the Project and will meet on a monthly basis between April 2013 and August 2013 to oversee progress, with additional meetings as required. The Board will take key decisions related to the Project and sign off Project Status Reports prepared for the Haringey 54k Programme. The Board may invite additional members, including HR and Finance Managers, on an ad hoc basis as required.

Project Board Members	Roles	Key responsibilities
Jan Doust	Deputy Director and Project Sponsor and Chair	<ul style="list-style-type: none"> • Chair meeting • QA of deliverables • Accountability for overall delivery and direction of project • Identifying and managing interdependencies
Paul Senior	Project Manager	<ul style="list-style-type: none"> • Present update reports
Kathy o' Sullivan (proposed)	Nominated Primary School Headteacher	<ul style="list-style-type: none"> • Provide challenge, updates and input
Tony Hartney (proposed/unconfirmed)	Nominated Secondary School Headteacher	<ul style="list-style-type: none"> • Provide challenge, updates and input
Martin Doyle	Nominated Special Heads Headteacher	<ul style="list-style-type: none"> • Provides challenge, updates an input
Andy Beckett	Chair EIG	<ul style="list-style-type: none"> • Provides challenge, updates an input
Phil DiLeo	Head of SEN/ Additional Need Services	<ul style="list-style-type: none"> • Ensure that this work joins up with the approach to SEN and wider inclusion
Helen Gaffney	HR Services Manager, Haringey Council	<ul style="list-style-type: none"> • Ensure HR and change management processes are robust
Wendy Sagar	Strategic Finance lead, Children and Young People	<ul style="list-style-type: none"> • Ensure financial modelling for new service is robust.

3.1.2 A Project Group, chaired by the commissioned Consultant leading the process, will be responsible for the operational lead of the Project and will meet on a monthly basis between April 2013 and August 2013 to update on progress, with additional meetings as required. The Group will take key decisions related to the Project and prepare project update reports prepared for the Project

Board. The Project Group may invite additional members, including HR and Finance representatives, on an ad hoc basis as required.

Project Group Members	Roles	Key responsibilities
Paul Senior	Chair	<ul style="list-style-type: none"> • Chair meeting • QA of deliverables • Accountability for overall delivery and reporting of project • Identifying and managing interdependencies
Deborah Tucker	Virtual School Role lead/ AP Commissioner focus	<ul style="list-style-type: none"> • Provide challenge, updates and input
Kirstie Watkins	AP SIP focus	<ul style="list-style-type: none"> • Provide challenge, updates and input
Sharon Rossi	Finance rep	<ul style="list-style-type: none"> • Provides challenge, updates an input
TBC	HR rep	<ul style="list-style-type: none"> • Provide challenge, updates and input

4. PROJECT CONTROLS

4.1 Risk Management

4.1.1 Risks will be logged through Project Status Reports and managed through the Project Team and Project Board meeting.

4.2 Quality Management

4.2.1 The project will conform to the following quality standards:

- The project will follow the Haringey 54k approach to quality management.
- All outputs/deliverables produced will be internally reviewed by the Project Manager to ensure they are of the acceptable quality and cover the relevant content required to enable the Project Sponsor and Project Board to make a decision.
- In situations where outputs/deliverables are not of an appropriate standard, this will be fed back to the Project Sponsor and, where appropriate, the Project Board.
- Restructure plans and related options and financial appraisals will be subject to challenge and scrutiny by Project Delivery Team and Board.
- Project status reports will be submitted to the Haringey 54k Programme Management Office as required.

4.3 Equality Impact Analysis

4.3.1 Groups with protected characteristics are significantly represented within the client base of Alternative Provision Services. A predictive equality impact assessment will be undertaken at an early stage in the project process.

5. COMMUNICATIONS AND STAKEHOLDERS

5.1 Main stakeholder and communication and engagement methods are set out below. A more detailed communications strategy for the project is currently in development and will be used to ensure effective delivery of Work Stream 3.

KEY STAKEHOLDERS (R – Responsible, A – Accountable, C – Consulted, I – Informed)		
Stakeholder(s)	RACI	Project Communication / Interaction and methods to be used
Lead Member / Council Executive	A	Regular updates from the Project Sponsor
CYP DMT	R	Regular updates from Project Sponsor and Project Manager as required.
Performance Team	R	Submission of regular stats reports and ad hoc meetings with Project Manager
Alternative Provision and other CYP departmental staff	C	Engagement in project delivery structures, team briefings and regular project briefings
PRU EIG Management Committee	C	Updates at EIG meetings
Schools /Head Teachers	C	Engagement in project delivery structures, and via key education forums, the Head Teachers' Bulletin and Schools' Intranet
Other external stakeholders, including CAMHS, YCP, YOS and other potential /existing service providers	C	1:1 direct engagement and via consultation on new structure
Alternative Provision pupils and their parents	C	Focus groups to support project design