

# Nottingham City Council

## Business Case

**Project Title: Proposals to deliver the schools' 2022/2023 capital maintenance programme.**

**Lead Department: Children and Adults**



Safer, cleaner, ambitious  
**Nottingham**  
A city we're all proud of



**Nottingham**  
City Council

## DOCUMENT CONTROL

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*This document defines the project's Business Case and provides the baseline against which the project is continually assessed. NB: For support in completing the following financial sections either contact your financial representative or refer to the 'Project Appraisal Handbook'.*

*This first section should act as a statement that reflects how the Business Case will be used.*

This document sets out the business case and proposed draft strategy for delivering the capital maintenance programme 2022/23 for Nottingham City schools.

It will provide evidence for the need of this project and set out how the proposal links to the outcomes of the Council Plan 2021-23 and the how the project will be delivered.

Approval is sought for the following:

- To note the proposed draft strategy for delivering the capital maintenance programme for Nottingham schools (Appendix 1)
- To progress the proposed capital maintenance programme for 2022/23 to Executive Board in December 2021, utilising the uncommitted balance of £1.4m from the 2021/22 grant allocation. The 1.4m is funding we have already received which gives us the opportunity to plan and prioritise our programme for 2022/23 at a much earlier stage than has been possible for previous years' programmes.

## **2.0 Executive Summary**

*Briefly state the purpose of the project, what the project sets out to achieve and when. This section should be a short summary of the project and is often best completed last!*

All local authorities receive an annual allocation of grant funding to support maintained schools with managing the condition and health and safety of their school buildings. This funding is known as the capital maintenance grant. The funding is typically a formulaic calculation determined by the Education and Skills Funding Agency (ESFA), who then confirm allocations to local authorities on an annual basis.

For 2021/22 the grant allocation was above expectation and has allowed Major Projects to deliver all the priority schemes in the 2021/22 programme, leaving approximately £1.4m unspent. This has given Major Projects the opportunity to begin the process of scoping and recommending the priority schemes for the proposed 2022/23 programme.

This business case sets out the proposed draft strategy and process to deliver the recommended programme for 2022/23.

Approval is sought to take forward this programme to Executive Board in December 2021 and for the works to be included in the capital programme.

### 3.0 Strategic Fit (Strategic Case)

#### 3.1 Strategic Overview

*Explain the context of the project and the reason why it is needed now – the business need. This should be at an organisational level – i.e. to support the transformation of the City centre, to ensure there are sufficient school places available.*

*Reference to any existing documents, approvals or publications can be summarised here and attached as an appendix to the Business Case.*

*This section should demonstrate that a change is required.*

The City has over the years taken a long term approach in prioritising and addressing capital maintenance issues at schools using the yearly grant funding. The focus of this project is to achieve the outcomes of keeping pupils safe and schools warm and dry to mitigate the need for school closure and a resultant loss of learning. As school budgets become increasingly stretched it is not possible for schools to afford to address major issues such as for example safeguarding, health and safety works and heating failures.

To support the prioritisation process, the Major Projects team previously completed an Estate Review Plan (ERP) for each Local Authority maintained school. The purpose of this exercise was to understand how schools' operate within the existing buildings, manage building issues and how they deliver learning outcomes to children.

A focus of the ERP was to capture the known condition issues at schools and understand how these are managed given the increased austerity schools are facing and the very low level of direct funding they receive to maintain buildings. This exercise served to reinforce that schools cannot afford to address significant maintenance and capital issues themselves. The impact of issues such as leaking roofs and temperamental / aging heating systems were a constant risk to schools and have to be managed on a day to day basis. The concern and risk around the potential of school closure and loss of learning days due to maintenance problems and failures was echoed by all schools.

To support the ERP, a programme of condition surveys was commissioned to review the site and buildings of each school. Within these surveys attention was paid to the building fabric and mechanical and electrical elements of each school. Using these surveys is assisting the Major Projects team to form a longer term strategic plan identifying potential programmes of work over future years and how they will be managed.

At the time of writing this report the ESFA have also commissioned a five year programme to carry out independent condition surveys for locally maintained schools. All schools will be surveyed between 2021 and 2026. Condition survey reports will be issued directly to schools. Major Projects will continue to build on the excellent

relationships it has with schools in order to access the reports and collate the information along with all the information they already hold on the NCC school estate.

The business need for this project links directly to outcomes specified in the Council Plan 2021-23 and is explored below. Pupils need to continue to be kept safe, warm and dry so they can learn and continue to grow and thrive in the school environment

### 3.2 Links to Strategic Objectives

*State how the project will contribute to the Council Plan, national policy or a Department's objectives and priorities.*

<http://intranet.nottinghamcity.gov.uk/news/council-plan-2019-2023>

*Also state the final outcomes expected.*

*This section must include a statement about how the project will support the objective of becoming a Carbon Neutral city by 2028.*

<https://www.nottinghamcity.gov.uk/media/2620252/nottinghams-2028-carbon-neutral-charter-3.pdf>

<https://www.nottinghamcity.gov.uk/cn2028>

This project links to the following outcomes in the Council Plan 2021-2023 :

- Safer Nottingham
- Clean and Connected Communities
- Keeping Nottingham Working
- Carbon Neutral by 2028
- Child Friendly Nottingham
- Healthy and Inclusive
- Financial Stability

#### **Safer Nottingham**

We will contribute to providing safe and secure school buildings. We will prioritise works that mean children and staff feel safe in their environment. These works will be safeguarding interventions to the building and grounds to ensure intruder risk is removed. Other examples of priority works could be the removal or making safe and management of asbestos, structural repairs either to the frame or to the façade of the building, the provision of automatic fire alarms, fire strategy management and safe evacuation and provision of intruder alarms.

It is paramount that children are safe and parents and carers know their children are being taught in an environment that is both safe and secure.

Health and Safety and Safeguarding are one of the areas in a school that an OFSTED inspection will investigate and report on impacting on the final grade the school will get. We will work to prioritise schemes where safety or security measures are identified to support the outcome that children will be taught in schools that are good or outstanding

in line with the Children and Young Peoples plan 2021-23.

### **Clean and Connected Communities**

We will contribute to keeping communities clean. We will carry out interventions where appropriate to improve the air quality of school buildings. For example we will review and improve ventilation when replacing or repairing windows. We are fully aware of the impact of Covid 19 and the necessity to create appropriate ventilation to reduce the risk of germ spread. We are also aware that we need to consider the concentration of CO<sub>2</sub> in rooms and will install where possible automatic window openings to mitigate the impact of CO<sub>2</sub>.

We will address where possible the impact of vehicular transport and emissions. For example we will consider tree planting options as part of safeguarding/security interventions as this will also serve mitigate the impact of fumes created by traffic.

### **Keeping Nottingham Working**

We will contribute to keep Nottingham working by assessing as to whether schemes can be delivered with in house resource.

If we enter into contract with a contractor from the SCAPE regional framework for any of the schemes we will monitor the contractual commitment to deliver the NCC KPIs that focus on local spend, local employment and local apprenticeship targets. We will collaborate with Nottingham Growth Hub to establish if there are any opportunities for Nottingham citizens or local SMEs to be engaged in employment.

If we go forward with tendering options we will work with colleagues in NCC Procurement to ensure that local employment targets are incorporated into the tender packages and ask prospective contractors how they will achieve this outcome.

### **Carbon Neutral by 2028**

We will contribute to making Nottingham carbon neutral by 2028.

We will support this outcome by ensuring that the schemes that are proposed for the 2022/23 programme will, at the design development stage, consider where possible interventions to reduce carbon emission. Environmentally sympathetic construction options will be considered to increase sustainability where budget and design permits. All planning and building control regulations now take account of environmental and sustainability considerations and these will need to be adhered to in the design process

We will work with colleagues in NCC Energy Services to undertake school energy surveys where appropriate and assess the viability of introducing energy saving interventions where the business model stacks up. This could be for example by the introduction of photovoltaic panels or added insulation on roofing projects.

If we remove asbestos or install new fire alarm systems consequential works tend to be

having to replace existing ceilings and lighting. When this opportunity presents we will install LED lighting

We have reviewed taking forward carbon reducing heating interventions. However at the time of writing this report we are not in a position to be able to implement this for heating works that will be included in the 2022/23 programme. The cost of sourcing alternatives to gas boilers is extremely high and the efficiency of any low carbon heating source relies on additional works to the fabric of buildings, for example increasing insulation. This is to ensure the full benefit of the lower carbon heating intervention comes to fruition. A recent desktop study completed by the Department for Business, Energy and Industrial Strategy for the Nottingham City school sector recommended that a whole school approach should be taken when addressing decarbonisation of heating systems. Going forward we will look to future planning of replacement heating systems that incorporates improvements to the fabric of the building to ensure maximum efficiency and benefit.

We will however ensure that where possible that we will introduce smart heating controls to enable end users to monitor energy usage and become more aware of energy management.

### **Child friendly Nottingham**

We will ensure that any safeguarding or health and safety schemes that are prioritised will be taken forward for approval. Children will be protected and feel safe in their school environment. Children will have an environment where they can learn safely and thrive. The emotional and physical well-being of children will be at the forefront of any such schemes. By maintaining and where possible improving school buildings we aim to give every child in Nottingham the best start in life.

### **Healthy and Inclusive Nottingham**

The Executive Board report presented in December 2021 will be supported by an equality impact assessment which will take account of any schemes that will impact on buildings and ensure that accessibility adheres to building control standards.

This is specifically pertinent to any schemes that involve works or adaptations to the building for example safeguarding or other health and safety schemes. The detailed design stage will develop any proposal to ensure that that all works meet building regulations and ensure that buildings are accessible for all.

### **Financial Stability**

The condition liability of Nottingham City schools is estimated at £24m. The yearly grant is limited and does not allow us to address all condition liability issues for Nottingham schools. The 2021/22 grant was however more than anticipated and has enabled Major Projects to deliver all the schemes in the 2021/22 programme and has given us the opportunity to use this funding already received to put together a proposed programme for 2022/23.

Due to the limitations of the grant in comparison to the condition liability of Nottingham City schools we have to be confident that we prioritise the right schemes and that the selected method of procurement and delivery ensures the best value for money is completed by the most appropriate contractor.

The proposed programme includes estimated costs identified for each scheme. These budget costs in the majority of schemes have been put together based on feasibility estimates already received last year for the schemes with contingency amounts to allow for added uplifts for inflation and market trends. The contingency amounts on each scheme is 15%.

We will work with the selected contractor on each scheme to refine and develop these costs to enable us to be confident that we are working with robust costings with allowances made for risk, contingency, market trends and pricing fluctuations. We will monitor the spend on the budgets throughout the schemes development and work with the relevant contractors to challenge where necessary and ensure we are receiving best value.

We will work to ensure that the final accounts on all of the schemes will be in line with the anticipated costs and we will as always ensure sufficient contingencies are in place to cover unknowns. We will ensure that the overall programme costs are managed within the allocated grant funding of £1.4m.

## 4.0 Project Information and Business Case

### 4.1 Background to the Project

*Provide any information relevant to understand the background to the project. This should be at a project level and might include information about what already exists.*

The annual capital maintenance grant allocation for 2021/22 from the Department for Education (DfE) was in excess of expectations. This meant that the 2021/22 programme could be successfully delivered and leave an uncommitted balance of £1.4m, this funding has already been received.

The grant is to improve the condition of school buildings maintained by Nottingham City Council. The highest priorities for approval relate to health and safety requirements, for example ensuring the safeguarding of pupils within a school site, ensuring buildings are structurally sound and the safe evacuation of a school building in the event of an emergency.

The next priorities are those condition issues that mean school buildings are not weather proof or that they are not warm in winter which could lead to schools closing temporarily and a loss of learning. This could include schools that require roof replacement, new windows or repair to existing, boilers, heating pipes and electrical infrastructure.

The overall condition liability for schools in the City is significantly greater than funding available and there is insufficient funding to complete all works. We therefore have to ensure that the priority schemes are borne of these two categories listed.

## 4.2 Scope

*Provide details of what this project will deliver (in-scope) and what it will not deliver (out of scope) and why these decisions have been made.*

The programme will deliver schemes that keep Nottingham pupils safe and secure and/or mitigate the risk of school's closing (for example through heating failure) which would result in loss of learning to pupils. These are the conditions of the grant funding. The funding will not be used for general repair and maintenance work.

Major Projects team have carried out a prioritisation process towards making the final recommendations for the 2022/23 programme of works. This process is articulated in Appendix 2 attached to this report. We have worked with colleagues in Building Services and Health and Safety teams respectively to ensure we have all the relevant information to enable us to prioritise appropriately. Both teams are supportive of our priorities.

Some of the proposed schemes in the 2022/23 programme will be a continuation of works already commenced in previous years' programmes. These are mainly heating works. Due to the complexity of the schemes, limited grant funding and the duration of the school summer holidays it has not been possible to complete all the heating works in a single phase so the works have to be spread over years.

The proposed programme of works for 2022/23 comprises of the following schemes:

### Berridge Primary school (final phase of heating works)

Due to the complexity, size of school and content of the works required this scheme has been phased over three years, with phase 1 and 2 being completed in 2020/21 and 2021/22 respectively. We are now in a position where we have one final phase to complete which is proposed for 2022/23. We will then have completed a total refurbishment of the heating system for Berridge Primary school (Brushfield's site). This final phase will install new boilers to the school which will connect to the new piping infrastructure and emitters that have been installed in 2021/22.

### Seely Primary school ( phase 2 heating works)

In 2021/22 the boilers to one of the plant rooms were replaced as priority mechanical work. The school have two further plant rooms which contain failing boilers that could not be replaced in the 2021/22 programme due to time and available budget. We are therefore proposing that we complete these works in the 2022/23 programme.

### Nottingham Nursery School and Training Centre (heating works)

The Nottingham Nursery School and Training Centre has recently had two of its three boilers condemned. The parts needed to repair the boilers are now obsolete. The school is now surviving on one boiler which is both heating and providing hot water to the school. This is putting immense pressure on the existing system with a risk that if the remaining boiler fails the school will have no heating or hot water. We therefore need to replace the condemned boilers and bring the system heating system back up to capacity.

#### Walter Halls Primary (leak investigation and repairs)

Water ingress has been presenting into the Early Years Centre for some months. We have carried out various investigations to try and establish the cause of the water ingress. It is a very complex issue and has been a process of elimination. We now need to carry out further investigate work to come to a conclusion and carry out remedial works.

#### Haydn Primary school (roofing repairs)

The roof to the main school building is leaking and currently being managed as best possible by the school. The school have obtained quotes for remedial repairs. The condition survey for the school identified problems to the roof and recommended that it is repaired or replaced. Colleagues in Nottingham City Homes have recently inspected the roof and have concurred with this view. We now need to prioritise the areas of the roof that are the worst and carry out works.

#### Southwold Primary school (asbestos removal)

In the 2021/22 programme we carried out heating and fire alarm works at Southwold school. We were aware of the asbestos present and carried out works safely and in conjunction with asbestos removal specialists. There is, however, a significant amount of asbestos debris above some of the ceiling areas. The school cannot access these areas for maintenance if required. We therefore propose to carry out works to remove this debris from some of these areas to support our ongoing commitment to remove asbestos.

#### Claremont Primary school (phase 3 window repairs)

Phase 1 and phase 2 of the window repair scheme at Claremont primary has been completed as part of the 2020/21 and 2021/22 capital maintenance programmes respectively. The highest priority windows have been repaired but we have evidence to suggest that more windows will have deteriorated further and will be in need of repair in the next year. The proposed works will address these window repairs and also improve the ventilation of the school building and classrooms. Please note because the building is listed we cannot replace the windows.

#### Haydn Primary (major water supply issues)

Haydn Primary school is having serious issues with its water supply to school. There

have been several leaks over a period of time which the school has funded. On one occasion the school was without hot water for four days. The water pipes are old and corroded and it is expected that further leaks will occur. The water pipes are located in ducts that contain asbestos. We would like to support the school and investigate this further and carry out works to rectify the issue.

#### Berridge Primary ( new fire alarm system)

Berridge Primary school (Brushfields site) has a fire alarm that is failing. This was initially considered as a scheme for the 2021/22 capital maintenance programme but was not judged as high a priority as some other schools' fire alarms. This has now become a priority and we would like to replace it.

#### Hempshill Hall Primary (fire management works for the Key stage 1 area)

The design of Hempshill Primary is partly open plan. We have been asked by the NCC schools' Health and Safety Manager to carry out investigations into one particular area of the school to determine how we can improve the fire management of the area.

### **4.3 Constraints**

*Provide details of any constraints (e.g. resources, legal and operational). What must be taken into account and/or cannot be ignored? This section may also include the parameters of the project.*

*This section might also cover the requirements from any statutory consultees, such as Planning, the outcome of any consultation, the conditions of any grant funding, site constraints.*

#### **Programme**

The schemes proposed in the 2022/23 programme have to be delivered in the main during the school summer holidays 2022. Dependant on the nature of the works and length of programme there may be a need to start some works prior to the summer holidays or complete into the new academic year. In previous years when this has happened Major Projects have collaborated with schools to ensure that this is carried out safely. Works are programmed accordingly to minimise disruption on site and there is always robust demarcation between the construction works and the school.

Schools have always worked with Major Projects positively to offer flexibility in such instances in order for the outcome to be delivered.

#### **Legal/ regulations or requirements**

If a contractor from the SCAPE framework is selected to deliver any of the schemes and/or technical services we will require resource support from internal colleagues in Legal Services and Procurement respectively to support us to enter into contract with

the framework contractor.

### **Planning and Building Control statutory Authorities**

We will require the support of these authorities to advise us on aspects of the design and to confirm that we are meeting our statutory obligations for relevant schemes.

### **Operational**

If any of the schemes in the programme have to start or complete on site during term time the project team will ensure that a robust management plan is agreed between the school and contractor to ensure that the site will function as normal and safely. The successful contractor will be responsible for providing a construction management plan which will include risk and method statements for the safe delivery of the projects on site. All documentation will be subject to the approval of the NCC CDM and Health and Safety Manager. Any impact that may affect the day to day running of the school will be discussed well in advance with individual schools and subject to their agreement.

Delivery times will be agreed and formalised in the construction management plan. The working day will generally start at 8am and finish at 5pm to mitigate any impact on local residents by, for example, deliveries to site.

During the summer holiday period access is provided to site by individual school site managers. There will always be a period when this is not possible due to annual leave commitments. In these cases alternative arrangements will need to be made.

### **Financial**

Approximately £1.4m of grant funding received for 2021/22 is at this time uncommitted due to the level of grant funding for 2021/22 being higher than was anticipated. We wish to use this £1.4m already received to deliver the proposed programme for 2022/23.

At the time of writing this report the impact of Brexit and Covid is apparent on the construction industry supply chain. Material prices have increased above and beyond inflation rates and lead in times for delivery of materials are unpredictable and have in some cases increased dramatically - currently construction inflation is estimated at 10%. This market position has been taken into account going forward with the 2022/23 programme by assuring that budget costings are robust and take account of current circumstances. A contingency of 15% has been allowed for each scheme to allow for the current market position and mitigate for any further potential increase in the coming months. At the feasibility stage the importance of a cost break down and the inclusion of a risk register with costs is essential. This will enable Major Projects to manage any changes due to increased costs and changes in material lead times.

The rapid increase of costs in the construction industry has dealt a level of uncertainty for future costs. In order to plan works for the 2022/23 programme and longer term we have used the current construction industry position plus an additional percentage allowance for any potential market fluctuations or increases.

Please note that there are no revenue implications to Nottingham City Council for the delivery of this programme of capital works. Any ongoing costs which arise after the completion of capital works will need to be managed and funded from individual school budgets.

#### **4.4 Dependencies**

*Provide details of any dependencies that are outside the control of the project that would or could impact on successful delivery.*

*This might be understood through a PESTLE or risk analysis, as well as identifying any projects or activity that has interdependencies with this project.*

*This might include:*

- *Consultation outcomes*
- *Land ownership/ legal issues*
- *Formal processes – planning, for example*

#### **Approval from NCC Capital Board**

Developing this project towards submission to Executive Board December 2021 is dependent on approval from NCC Capital Board in November 2021.

#### **NCC Legal and Procurement services**

Resource is required from NCC legal colleagues to support contractual matters to be determined with appointed contractors if appropriate.

#### **Planning and Building Control**

The programme will be dependent on any relevant planning permissions and building control approvals being applied for and granted by Nottingham City Council. Experience from previous years has illustrated that early discussions with both the NCC Planning and Building Control colleagues is prudent.

#### **Robust cost management**

Robust cost management will be dependent on support from quantity surveying services, whereby the person appointed to work with the project team is confident to challenge contractors, advise Major Projects accordingly and be fully aware of market /industry circumstances and be able to both anticipate and forecast going forward.

#### **Support from schools and governing bodies**

Delivering the proposed programme of works will be in conjunction with individual schools and governing bodies. Major Projects will continue to build on the existing positive relationships with the Nottingham Schools' Trust and the schools themselves to

ensure the works are delivered collaboratively to the outcomes required.

#### **4.5 Key Risks**

*Provide details of key risks to the Council and the project. How are risks managed? This section should act as a summary of the risk register. The top 5 risks may be outlined below. The table can be used to provide information if helpful.*

The key risks are as follows:

Risk Number	Risk Description	Likelihood Rating	Impact Rating	RAG Rating	Risk Response
1	Capital Board do not approve the 2022/23 programme to be taken forward to December 2021 Executive Board.	Possible	Major		Ensure the risk to not prioritising works that fall into the two priority categories (keeping schools safe and warm and dry) are clearly identified and by not doing these works the impact this will have on delivering the statutory requirement for children to be taught.
2	Market costs remain at a high level for goods and materials	Likely	Major		Appoint robust quantity surveying services to ensure costing of all schemes takes this into account and allowances / contingencies are allowed for to reflect the increase in market costs that are currently prevalent and any potential further rises. An allowance of 15% has been made on each scheme for this.
3	Funding is insufficient to carry out all the priority schemes identified	Likely	Moderate	Amber	The £1.4m uncommitted balance from the 2021/22 grant allocation is grant funding already received. It is acknowledged that there is a risk that not all schemes will be able to be taken forward. Major Projects have carried out a robust prioritisation exercise to enable the most urgent schemes to be taken forward that will ensure schools are safe and warm and dry. Any schemes not taken forward will be reassessed in the future. Major Projects will contact the schools where schemes have not been taken forward to explain why and offer support as to how any issues can be managed in the interim.
4	Managing any unknown urgent health and safety issues that may arise later in the financial year.	Possible	Moderate	Amber	Major Projects will retain a contingency amount from the £1.4m already received that will allow for any urgent issues that arise to be reviewed and addressed accordingly. Such issues will be subject to the approval of the Corporate Director for People as outlined in the governance model and in the recommendations sought for approval in the Executive

					Board proposed for December 2021.
5	Works cannot be completed during the limited summer holiday period	Possible	Moderate	Amber	There is always the risk that on some of the projects the scope of works may not be able to be fully delivered within the school summer holiday period. Previous experience has suggested that schools are very flexible in working with Major Projects to carry out some works prior to or post the summer holiday period. Robust plans and practices are mutually agreed to ensure the safety of all concerns and any impact on school's operation is minimal.
6	Unknown longer term impact of Covid 19 infection on labour resource and supply	Possible	Moderate	Amber	This needs to be monitored in the longer term. The vaccine roll out plus the booster vaccine should mitigate towards the lowering of number of infected people. This along with the encouragement for people to take regular lateral flow tests and to continue with frequent handwashing and the wearing of face masks where appropriate should provide further mitigation. We will continue to monitor government directives. Major Projects will continue to have a standard agenda item at project meetings to gain assurance from contractors of labour resource and request mitigations in the event of a threat to project delivery due to operative absences through illness or isolating.



#### 4.6 Assumptions

*Set out any assumptions that have been made. For example, it is assumed that the client will be responsible for managing the relationship with their Portfolio Holder, or it is assumed that the timescales of one development facilitate this project.*

It is assumed that the NCC Project Assurance Group will have sufficient evidence and justification to provide gate approval for the project to progress (with any recommendations) going forward to NCC Capital Board in November 2021.

It is assumed that NCC Capital Board will have sufficient evidence and assurance to support and approve this business case and programme of works for 2022/23 to progress further through the governance process towards approval at Executive Board in December 2021.

It is assumed that the support will be available from internal colleagues (for example Legal and Procurement teams respectively) to work with Major Projects towards the delivery of the approved schemes 2022/23.

It is assumed that Major Projects will continue to build on the good relationship it has with the Nottingham School Trust and Nottingham City schools and governing bodies to successfully deliver works.

#### 4.7 Success criteria

*Outline the success criteria for the project. How will you know it has been a success? These should be end points, not a measure of progress and act as Key Performance Indicators for the project. These may contribute to the benefits, but it is expected that benefits will take a longer period to be realised and the success criteria should reflect the preferred position when the project completes.*

We will know the programme has been a success because we will have delivered works that meet our two specific criteria to keep schools safe and warm and dry.

Schools will tell us that they now feel safe and secure in their premises when they complete the Major Projects' end user client feedback form.

Schools will be able to access areas safely for maintenance needs.

Major Projects will receive reduced communications from schools reporting heating issues or leaks to roofs. They will no longer contact us to say they are concerned about their ability to fund constant repairs to heating systems or roofs that are failing.

Any loss of learning days through school closure (anecdotally mainly due to heating breakdown) will be mitigated.

#### **4.8 Impact on Business as Usual**

*Clarify what disruption this project may have on existing operations, including the impact on stakeholders. This might be restricting access to an area for a period of time or might affect the flow of traffic whilst some works are completed.*

In general terms works are normally carried out during the school holidays which mitigates the disruption to school operation. However some schemes may have to start or finish outside of the parameters of the school holiday period. If this is the case then Major Projects have always worked with schools positively and schools have been flexible with such requests. Health and Safety plans, risk and method statements are developed in conjunction with the school, contractor and the NCC CDM Manager and agreed prior to commencement. There is always a clear demarcation between the works the contractor is carrying out and the operational school.

There are times during the summer holiday period when the school site manager is not available due to annual leave commitments. Schools have always worked with us to make alternative arrangements and organise any communication with, for example, alarm monitoring stations to ensure all the necessary bodies are aware that the site is being managed by the contractor with an appointed contractor site manager present.

#### **4.9 Benefits realisation plan**

*Provide details of the benefits that are expected to be realised in terms of efficiencies, improvements, compliance, etc. - both financial and non-financial. Are the benefits identified SMART- Specific, Measurable, Achievable, Realistic, Timely)?  
The table below may help set out the benefits.*

Benefit	Measure	How it will be assessed	Strategic fit	Timescale
Reducing the condition liability of Nottingham City schools.	The value of the works will be omitted from the overall condition liability value of schools.	The reduction in the liability will feed into overall condition liability costs directly reported to the DFE.	Review of days lost through closure.	Reduction in condition liability value will be seen immediately.
Support where possible the Council's ambition to become a carbon neutral city by 2028	Measurement of energy consumption from relevant interventions to show heating systems are more efficient and utility bills are reduced for schools.	Review of cost of energy bills over a period of time by schools.	Council Plan commitment to reduce carbon emissions 2028.	The works will be generally be completed in summer 2022. Relevant schools will monitor their energy bills for the following months
Reducing spending on general repairs and maintenance by schools.	Reduction in maintenance bills eg. for addressing boiler failure issues, repairs to roofs, repairs to water pipes and fire alarms.	Review of school expenditure	To promote healthy living and children to learn and thrive in a safe, warm and drive environment.	Review over a specified period of time eg. a financial year. Major Projects to link directly with school business managers.
Schools do not have to close because of, for example, heating failure.	Keeping schools warm and dry and therefore not subject to closure due to heating failure or mechanical issues.	Review of days lost through closure.	Minimising days lost so pupils can learn and thrive at school.	Collected by NCC colleagues to the established timeline.
Keeping schools' safe.	Children and staff will feel safe and secure in their school environment.	Schools will tell us this in their client feedback reviews.  Schools will not fail their OFSTED inspection due to safeguarding concerns.	Council Plan commitment for a safer Nottingham.	Immediate and ongoing linking to Ofsted inspection outcomes.

#### 4.10 Environmental impact assessment

*Outline the impact of this project on the environment. This might include a summary of any surveys undertaken, any sustainable measures include and reference to the Carbon Neutral 2028 ambition in more detail. There may be no impact on the environment, in which case this should be noted as not applicable.*

As articulated in section 3.2 above and in the draft strategy document (appendix A) we will include where possible interventions that contribute to making Nottingham carbon neutral by 2028.

We will review how we can improve insulation when we are carrying out roofing projects and we will work with colleagues in NCC Energy Services to establish whether there would be value in installing photovoltaic panels.

We will consider where possible the installation of smart meter controls to any new boiler systems which will make the end user more aware of the energy they are using. We will help them become more aware and manage this in a better way.

We will ensure when we carry out works to windows that we will not only repair the windows and make them safe we will improve the ventilation where at all possible.

#### 4.11 Data Protection Impact Assessment

*Identify if there is any impact on how data is collected, stored or used and how this will be managed. If required, summarise the Data Protection Impact Assessment and include the document as an appendix.*

From project conception through to handover and closure, data pertaining to the programme will be managed and stored by the project manager. It is not anticipated that generally there will be any personal information held. Contact numbers will be work business mobiles and will be stored on a project directory. The project directory has to be available to all members of the team.

The only circumstance where personal data could be held is if a Headteacher issues their personal phone number for contact during the school holidays to the project manager. This will not be stored on the project directory. The project manager will be the only person who holds this contact number and will not issue to any other members of the project team or third parties.

All schools now have electronic visitor systems which means that there is no visible exposure of a person's details as was in previous times when signing in books were common. It is the responsibility of individual schools to manage the electronic storage of this data in line with Data Protection legislation.

Whilst the works are on site the contractor will have their own signing in process for operatives and visitors. It is the duty of the main contractor to manage this information in line with Data Protection legislation.

#### 4.12 Equality Impact Assessment

*Outline the impact of this project on equality referencing the Equality, Diversity and Inclusion strategy 2020-2023, where appropriate:*

*<http://intranet.nottinghamcity.gov.uk/human-resources/equality-diversity-and-inclusion/equality-diversity-and-inclusion-at-ncc/>*

*Our Equality Objectives*

- 1. Make sure that our workforce will reflect the citizens we serve*
- 2. Create economic growth for the benefit of all communities*
- 3. Provide inclusive and accessible services for our citizens*
- 4. Lead the city in tackling discrimination and promoting equality*

*Confirm if an Equality Impact Assessment is required and how/ when this will be done. Can be attached as an appendix (usually a requirement of a report).*

The works will impact on young people and we will improve the safety, condition and longevity of school buildings focussing on keeping children safe and warm and dry. The latter mitigating the impact of potential loss of learning days. We will help children to be taught in an environment that will enable them to both learn and thrive.

An equality impact assessment will be submitted as an appendix to the Executive Board report December 2021 for approval.

#### 5.0 Options Appraisal (Economic Case)

*This section should be a narrative that summarises any formal options appraisal. A template for options appraisals is included in the folder. This section should demonstrate that chosen option demonstrates value for money, that a range of options have been considered and that this option is the best balance of cost, benefits and risk.*

*If the project has included some element of design, the design team may wish to comment on this section, and a feasibility may be added as an appendix.*

*Provide details of the options that have been considered, including 'do nothing', and state clearly the preferred option. The details of each option should include:*

- Outputs*
- Benefits*
- Outline Costs*
- Timescale*
- Risk*
- Deliverability*
- Innovation and Collaborations*

Major Projects have carried out a thorough prioritisation process before making the recommendations for the 2022/23 programme of works, as follows:

- The first step was to reconfirm the definition of the highest priority works – keeping schools safe followed by keeping schools warm and dry to negate the loss of learning time.

- The second step was to review schemes from 2021/22 that were not prioritised and to review their current status (ie. any further deterioration) of these items. This information was sought from the relevant technical parties and cross referenced with condition survey information. Information obtained from the Estate Review Plans carried out by Major Projects was also reviewed.
- The third step was to consider the schemes that had only been partially completed in 2021/22 (or prior to this) due to phasing needs (eg. heating schemes).
- The fourth step was to draw on local information received from schools in the last year where they had highlighted any costly condition issues they were managing and the associated risk and threat to loss of learning. This was cross referenced with evidence from relevant technical parties in NCC and condition survey information.
- The fifth step was to meet with the NCC Schools' Health and Safety Manager to discuss the list and confirm that he was in agreement with the proposed programme for 2022/23 and also ascertain as to whether there were any further issues he was aware of that needed to be brought to the table.

## 6.0 COMMERCIAL ASPECTS (Commercial Case)

*Procurement colleagues may support with completing this section.*

*This section should demonstrate that the proposed option is viable.*

*This section should outline why the procurement and contractual route has been chosen and what other options were considered. This should cover any aspects of the project that are being procured, whether services or products.*

*Provide details of the contract and procurement strategy including:*

- Requirements
- Supplier Options
- Form of Contract (terms, duration, payment mechanism and performance incentives)
- Risk allocation and transfer
- Timetable/ Value for Money
- Quality implications
- Personnel implications (eg TUPE)
- State Aid
- Charging mechanism or funding strategy
- Procurement method
- Procurement risks/benefits
- Contract type

Following on from the prioritisation of works we have taken the opportunity to review each project individually and decide on the best procurement route at an individual scheme level. This approach has been taken as there are multiple factors for each scheme which have to be considered to guide us to the most suitable procurement route. The options for procurement are:

- SCAPE Framework Agreement, employing Lindum Construction as the Principal Contractor who will obtain a minimum of three quotes for all sub-contractor and specialist contractor works. The SCAPE Framework Agreement allows for early contractor involvement and an opportunity for collaborative working, free feasibility cost estimates, design and build option, limited lead-in times for firm price quotation, building on-going working relationships and understanding of NCC standards and requirements. The above are all well suited to the compressed programmes and challenging site environments of Schools Condition Works.
- In house Building Services, who will design M&E schemes for renewal of boiler and heating systems also renewal / installation of fire alarm systems, emergency lighting and lighting replacement schemes. They will carry out a combination of works themselves and tendering from a select list of contractors to achieve best value. Building Services carry out routine maintenance and servicing of schools' M&E plant and equipment and so have a good knowledge of requirements.
- Tendering projects will allow us to obtain the most competitive price for schemes and so maximise budget potential. This method could be used with a package of works either for one year or for a number of years. This method can be used if early budget approval is obtained and the lead time is available for specifications to be produced and procurement procedures to be followed. The competitive prices will need to be balanced against potential contractors unfamiliar with schools work and potential unknown quality of work. A variation on this would be to set up a roofing framework by tender a particular job but indicating that it would feed into a longer term programme possible 3-4 years with a minimum value of works.

For the 2022/23 programme we propose to use a combination of the above, as follows:

#### Berridge Primary school (final phase of heating works)

If approved this will be the final stage of heating works to Berridge Primary school. Previous phases of the works have been delivered by colleagues in NCC Building Services. Building Services have built a very successful relationship with the school and are very familiar with the heating system and complexities. The school have openly praised the work that has been carried out to include the management of the site, information sharing and general communication.

If the final phase of works was carried out by a different contractor there could be a continuity risk. Also there is a potential risk, in the event of any system failure, that there could be dispute over where responsibility lies with regard to guarantees and warranties and how different phases of work may overlap.

We would recommend therefore that these works are completed by NCC Building Services.

#### Berridge Primary (new fire alarm system)

In 2019/20 Building Services carried out a feasibility study and provided costs to replace the new fire alarm at the school. This was not taken forward at the time. Building Services are therefore very familiar with the requirements and are aware of the issues that have been prevalent with regard to the functioning of the alarm.

In addition to this, if Building Services are to carry out the final phase of heating works at the school then the fire alarm works could be jointly managed. If we were to have a separate contractor carrying out the works then this would lead to more complexities around CDM regulations and Principal Contractor appointments. Whilst this would be manageable experience suggests that wherever possible it is better to have one single contractor delivering works on a site. Plus there would be efficiencies gained by having both of the schemes managed by a single contractor.

We would recommend therefore that these works are completed by NCC Building Services.

#### Seely Primary school (phase 2 heating works)

Phase 1 of the heating works were completed by colleagues in Building Services. As with Berridge Primary it is recommended that Building Services continue to work with the school and carry out the works to the remaining boiler houses for the reasons articulated above for Seely Primary.

We would recommend therefore that these works are completed by NCC Building Services.

#### Nottingham Nursery School and Training Centre (heating works)

Colleagues in Building Services have attended the heating system at the Nursery School and Training Centre over the years for annual service inspections. They have also carried out repairs to the heating system in recent months. They are very familiar with the heating system and have scoped and priced the works that need to be carried out to replace the boilers that have been condemned.

We would recommend therefore that these works are completed by NCC Building Services.

#### Walter Halls Primary (leak investigation and repairs)

Major Projects have previously worked with internal colleagues and the original contractor to carry out investigatory works and surveys to try and establish the cause of the water ingress. Unfortunately it is not now possible to carry on working with these two parties. We have however had discussions with Lindum Construction (SCAPE Framework contractor) who have been appraised of the history to this issue and the detail of the investigatory work and outcomes to date. At the time of writing this report Major Projects are engaging with Lindum to take forward an initial free feasibility study.

We would recommend therefore that the investigation and any works are completed by Lindum Construction.

#### Haydn Primary school (roofing repairs)

We would like to take the opportunity to tender these works and develop a roofing framework. We have the skill set in Major Projects to survey the roof and put together the technical specification for the works required. We would like to test the market.

There is however a risk that the time period for tendering the scheme may not be achievable following the anticipated approval at Executive Board December 2021. We will work with colleagues in NCC Procurement to establish whether it is feasible. If it is feasible we will take this route. If it is not feasible we would like to engage with Lindum Construction (SCAPE Framework Contractor) to take this work forward. We have built a strong partnering relationship with Lindum Construction over the last 3 years and we have worked on several roofing projects with them.

We would recommend that we tender this scheme if the timeline permits. If it does not we recommend we work with Lindum Construction.

#### Southwold Primary school (asbestos removal)

In the 2021/22 programme we carried out heating and fire alarm works at Southwold School. Part of these works included asbestos removal. We worked closely with Building Services (Asbestos compliance Officer) and their framework tender to obtain the best price to ensure the asbestos removal was carried out in accordance with the legislative regulations. Building Services are therefore very familiar with the building and this issue and support the school with asbestos management.

We would recommend therefore that these works are completed by NCC Building Services.

#### Claremont Primary school (phase 3 window repairs)

Phase 1 and phase 2 window repairs were carried out by Lindum Construction (SCAPE framework contractor). For continuity purposes we would like Lindum Construction to carry out phase 3 works. Lindum construction are very familiar with the site and aware of the further works that need to be carried out in phase 3. The windows are approximately 120 years old and require specialist contractors to repair them. Lindum have these specialist operatives as a sub-contractor and they have completed both previous phases.

We would recommend therefore that these works are completed by Lindum Construction.

#### Haydn Primary (major water supply issues)

We have considered the procurement routes we could take. We need to carry out further investigations at Haydn Primary to ascertain the potential causes of the water

leaks and to determine the solutions to resolve. We would not be in a position to tender these works until this stage has been completed. We do not have enough time to carry out this process.

We do not believe we have all the technical resources available in house to fully determine the cause of the leak, design a solution and then deliver the scheme.

We need to appoint a contractor who has all the technical services in house to assist us in identifying the cause of the water leaks, propose a solution and both design and deliver the solution.

We would recommend therefore that these works are completed by Lindum Construction,

#### Hempshill Hall Primary (Fire management for the Key stage 1 area)

As part of the 2021/22 capital maintenance programme we carried out safeguarding works at Hempshill Hall School to make the access into the school and around the reception area safer. Lindum Construction carried out these works. Lindum worked closely with Major Projects and the school to design and deliver the scheme. Lindum formed a very positive relationship with the school and worked with the project team to understand the needs of the school and outcome required of the scheme. In addition to this Lindum became very familiar with both the operation of the school and the day to day movement and circulation around the school.

We would recommend therefore that these works are completed by Lindum Construction.

## **6.0 AFFORDABILITY (Financial case)**

*Provide an assessment of affordability and state available funding details. This section should demonstrate that the proposed option has realistic costs, funding is available and there is support in place. Show proposed expenditure profile and whole life costs including:*

- Year(s) of expenditure
- Revenue
- Capital
- VAT (partial exemption)
- Total costs
- Funding (external)
- Funding (Receipts)
- Overall affordability
- Efficiencies savings
- Whole Life Costings – include breakdown for complex projects in the Full business Case

*NB: Best practice is to show information in tabular form with a breakdown of spend over financial years with some supporting commentary. As the project is developed from outline to full business case there would be an expectation to have a more detailed analysis. It might be beneficial to outline any funding/ grant restrictions and the impact these have on the project.*

*This section should also outline what approvals are required to progress the project.*

*This section might be completed with support from colleagues in the Finance team.*

## Project Budget

The schemes within this programme are listed below. It is anticipated that this work will cost approximately £1.4 million. This grant funding has already been received. An overview of the project budget at this stage is provided below.

<b>Schools' capital maintenance programme 2022/23– overview of project budget</b>	
<b>Programme indicative budget costs:</b>	
Berridge Primary ( Brushfields site) phase 3 heating works	250,000
Berridge Primary (Brushfields site) - fire alarm	90,000
Seely Primary - heating works (phase 2)	200,000
Nursery School and Training Centre - heating works	100,000
Walter Halls Primary - leak investigation and repairs	100,000
Haydn Primary – roofing	100,000
Haydn Primary – works to main water supply	120,000
Southwold Primary – asbestos removal	200,000
Claremont Primary – window repairs (phase 3)	70,000
Hempshill Hall - fire separation	20,000
Contingency for urgent health and safety issues arising 2022/23	150,000
<b>Overall total :</b>	<b>1,400,000</b>

It is acknowledged that the funding already received and available is £1.4m. The costs are indicative at this time and allowances have been made for client risk contingency of 15%. If the final costs are returned and over the indicative costs it will be the project manager's responsibility to carry out a value engineering exercise in conjunction with relevant stakeholders.

## 6.2 Funding and approvals

This business case is an appendix to the approval being sought to deliver the programme of works for 2022/23 to be presented at Executive Board in December 2021.

<b>Schools' capital maintenance programme 2022/23 – overview of budget position</b>	
<b>Overall budget required:</b>	
Programme of works ( inc health and safety contingency)	£1,400,000
<b>Funding sources and amount:</b>	
Schools' capital maintenance grant allocation 2021/22	£2,584,103
One of funding allocation for school condition issues ( actual)	£568,017
Programme costs for 2021/22 (est)	£1,752,120
Uncommitted balance (circa)	£1,400,000
<u>Overall funding approval sought to deliver the programme</u>	<u>£ 1,400,000</u>

## 7.0 ACHIEVABILITY (Management case)

*This section should demonstrate how achievable the option is, taking into account the experience of the team/ organisation responsible for delivery and the systems/ processes in place.*

*Provide details of the capability and capacity to deliver the project including:*

- High level plan for achieving desired outcome
  - Resource plan
  - Milestone plan
- Governance and reporting structure (including how the PMO will support)
- Outline Contingency Plan (how will you manage risk?)
- Post project evaluation method (lessons learned)
- Summary of control mechanisms (RIDCAL, risks, issues, change, decisions, etc.)
- Contract Management strategy
- Project team experience

The programme will be delivered by Major Projects. The Major Projects team have considerable experience in delivering school projects and specifically capital projects and have built up over the years a strong working relationships with Nottingham City schools. The delivery team all hold the Association of Project Managers certificates.

A project management plan (internal document) is being developed and because of the nature of a PMP it is ongoing and kept live throughout the various stages of the project. The plan defines the project and explains the journey the project will take and how it will be managed. Reference is made to the supporting tools and documents necessary to ensure the project is managed effectively and efficiently and how quality will be

assured. Such documents are in house project management tools such as the risk and issue log, lessons learned log, change control log communication and stakeholder plan. The project management plan is a live document that sits alongside this business case and has clear interdependencies.

### 7.1 Delivery team

- *Confirm who will be included in the delivery team, whether they are an internal or external resource and why this decision has been made. Where appropriate, identify the experience of the delivery team (if a specialist is required, for example). Outline the role of the delivery team in relation to the project.*

The project will be managed by a Project Manager reporting to a Programme Manager within Major Projects. Major Projects are responsible for delivering all of the significant projects within the City Council and all projects are subject to a number of project assurance measures to ensure a high standard of project delivery. It is expected that Major Projects will also deliver instruction, some technical support and contract administrator duties for the schemes.

Major Projects will require support from colleagues in NCC Procurement, Legal Services and Building Services.

Major Projects will ensure that Principal Designer and Principal Contractor roles will be appointed to ensure that NCC fulfils its Construction and Design Management (CDM) requirements.

It is proposed that the schemes in the programme are delivered by a combination of internal resources and external contractors.

### 7.2 Programme and Key Milestones

- *Outline the programme for the project as a narrative and then provide a summary of key milestones in a table. This might include approvals, contract dates and a completion date.*

Milestone	Date
Complete prioritisation exercise to establish list of potential schemes for 2022/23	September /October 2021
Review by NCC Project Assurance Group	November 2021
Review by NCC Capital Board	November 2021
Confirm list of schemes to be included in the programme	November 2021
Executive Board approval	December 2021
Detailed costings of proposed schemes	January /February 2022
Detailed design phase	March /April /May 2022
Schemes start on site	July 2022
Schemes complete on site	September/October 2022

### 7.3 Governance and reporting arrangements

*Set how the project will be governed and reported to the organisation including:*

- Formal governance arrangements (Boards/ Steering Groups)
- Key stakeholders and how they will be managed
- Role of the PMO and Project Assurance (gate 0 review/ PAG/ MMR)
- Decision making
- Reporting processes
- Communication strategy/ plan

This Business Case and related documentation will be scrutinised by the Project Assurance Group in November 2021. It is expected that a list of recommendations and a management action plan will be issued following this meeting. The NCC Portfolio office will request formal updates on recommendations at specified time intervals.

The Business Case will be presented to NCC Capital Board in November 2021. The Business Case and related documentation will be reviewed and approval will be sought to present the report to Executive Board in December 2021.

The programme will be managed by the Project Manager in conjunction with the Programme Manager. The Programme Manager will update the Major Projects Head of Service at the diarised one to one meetings or where and when necessary.

Any urgent matters outside of this reporting structure are raised on an ad hoc basis as and when necessary. Any issues or risks that are likely to affect the scope or progress of the project will be reported to the project sponsor through meetings or emails, depending on the situation.

An update will be given to the NCC schools' operational group when they sit or upon request. This will consist of an update on progress, spend and highlight any risks and mitigations appropriate.

Formal reporting is completed by way of a monthly monitoring report to the Major Projects Project Management Office.

### 7.4 Project Approach

*Set how the project will be delivered including:*

- *The project delivery team and their experience*
- *The project methodology used (APM/ Agile)*
- *Key documents and how they will be controlled/ signed off (configuration management) (may be reference to PMP here)*
- Change management
- Risk, issues and opportunity management
- Programme with key milestones, any phasing information
- Quality management
- Lessons learnt
- Project handover

### **Managing scope and quality**

The project scope will be managed through the individual project specific scopes, which are compiled by joint working between Major Projects and the relevant contractors and specialists procured.

The project scopes will include any requirements specified of the ESFA standards and guidelines, City Council standards and all relevant requirements and guidelines. The quality of design will be managed accordingly by technical specialists and where appropriate the selected contractor respectively, throughout the process. Major Projects will act as the Client Project Manager on behalf of the schools, responsible for controlling the scope and delivery of the project within the timescales and budget available. All decisions will be made by Major Projects in conjunction with the school representatives concerning access and management.

### **Consultation and engagement**

Major Projects will work closely with all school and governing bodies in delivering the projects in the programme. Major Projects will continue to build on the positive relationships it has developed with schools. A series of meetings will be held to discuss and agree the programme of works, site operations, health and safety management and the timing of progress meetings through the duration of the works. Minutes of meetings will be recorded and issued in order to formalise discussions and any decisions made going forward. Major Projects will work with individual schools throughout the process concluding in handover of the schemes.

### **Project management**

The project will be managed in line with Association of Project Management (APM) principles using standard documentation developed by the Major Projects team. The Project Manager will be responsible for ensuring that key project documentation is developed and kept up to date to ensure the project is managed effectively, and lead the project team to ensure the project progresses in line with key milestones and the parameters set. Documentation to support the management of the process will be project documentation such as the programme, risk registers, lesson learned template (current and previous lessons learned) and change control management. The Project Manager will be supported by a Programme Manager, who will have oversight of the project and be able to support where issues and risks are identified. The project approach will be formalised in an ongoing Project Management Plan and the programme will be subject to a number of reporting and review requirements that provide governance assurance that the project is well managed and offers value for money.

## **8.0 List of Appendices**

*Add or delete list and title of appendices, as required.*

<b>Appendix ref</b>	<b>Title</b>
Appendix 1:	Draft Capital Maintenance Strategy for Schools 2021
Appendix 2:	Prioritisation flow chart ( noted as Appendix 3 to the Executive Board Report)

**9.0 SENIOR RESPONSIBLE OFFICER/[SPONSOR] SIGN OFF**

**I confirm the information provided in this Business Case is the best information available to me, as SRO/Sponsor, at the time of the application.**

Signature:	
Name:	
Position:	