Learning Estate Investment Programme
Programme Assurance

Purpose
The Learning Estate Investment Programme (LEIP) is a large-scale investment programme which aims to deliver £2bn of investment within the learning estate.

Validation and programme/project assurance need to be considered for all major projects and programmes. This paper seeks to provide recommendations to the LEIP board regarding assurance and validation for the LEIP in relation to the development phase projects.

Background
Project Assurance or Validation are project management activities and behaviours promoted across both public and private sector organisations in order to monitor project delivery performance and thereby improve chances of successful project delivery and the realisation of expected outcomes. The realisation of expected outcomes is very important to the LEIP, especially in relation to the funding method.

Project assurance can be achieved through formal and informal means and is about ensuring that projects have a solid foundation in terms of governance, resources and clarity in relation to expected outcomes. It also seeks to ensure that best practice is applied and that lessons learned from previous projects are taken into account and that arrangements are in place for the continuous review of process and performance.

Project Assurance Models
The Learning Estate Investment Programme is a jointly funded programme between Scottish Government and Local Authorities. The LAs have the responsibility to procure and deliver the projects and achieve the agreed outcomes within the parameters of the programme. The individual projects will have their own governance and assurance processes and milestones in place.

Given the element of central funding attached to the projects some of the larger or more complex projects may attract greater public scrutiny and therefore thought needs to be given to whether any additional assurance for projects within the programme is required, over on top of authorities own processes.

Key Stage Reviews
Previously, complex revenue funded projects, that were delivered through the Non-Profit Distributing (NPD) or hub DBFM projects were subject to the Key Stage Review (KSR) process. KSRs provide a formal checklist for project teams to consider in relation to their project and also provide a benchmarking opportunity to test the readiness of projects in advance of key milestones in the procurement and development process.

The KSR centred around the following areas of the project lifecycle:
- Project Background;
- Space Standards;
- Community Benefits;
- Opportunities for Collaboration and joint services;
- Approach to presenting design and specification requirements;
- Appropriate approvals in place for managing change;
- Project & risk management plans and documentation;
- Stakeholder management plans;

- Resource/Experience;
- Timetable;
- Land;
- Scope, cost, programme;
- Interfaces;
- Decant/disposals;
- Contract termination;
- Commercial/Affordability;
- Steps to show Value for Money

Other sectors

All College projects must follow the capital projects decision point guidance and are assessed by the capital decision point committee at critical stages in their procurement and delivery. Health projects must undergo the processes as outlined in the Scottish Capital Investment Manual (SCIM). Both College and Health projects tend to be 100% funded by Central Government, thus central assurance processes are applied.

Some of the projects within the LEIP are looking to combine services, whereby the LA may not be the only procuring body. Assurance in relation to these projects, from a programme level needs to be thought through to ensure there is sufficient oversight from a programme level and also to avoid duplication of effort with other assurance processes, whether those be the authorities internal processes or those required by the other sectors.

The topics covered by both the capital projects decision point and SCIM are similar to those covered by the KSR process.

LEIP processes

The processes for LEIP can be reviewed at *Appendix i – Programme Development Process.*

As part of the LEIP all projects have to complete a status evaluation form (SEF) which is signed off by the project's Senior Responsible Officer (SRO), attend a critical success factor workshop and present at a pre-construction workshop (which involves SG colleagues) as well as provide information about the project on a quarterly basis. The quarterly information form will include details on key dates and provide reason if those dates have moved. The form also asks for detail around the completion of the baseline skills review, the quality assurance plan for the project and the achievement of community benefits.

Informal workshops or meetings will also be held with projects that face particular challenges/difficulties. Therefore, all projects in the programme, regardless of the procurement route have regular contact with the programme team. A readiness questionnaire has been developed to share with Councils so that they can think from an early stage about some of the key issues to help make a project a success.

The processes and terms/conditions/outcomes that have been set for the programme align to the information that was gathered and reviewed, as part of the KSR process for the historically more complicated hub DBFM/NPD projects.

For many of the projects in the programme, as was the case on the previous schools programmes, the LA internal processes alongside the programme processes should provide enough comfort regarding the project. The key points from the KSR process for the majority of projects are covered by the current LEIP processes, as per the table below.

For further details of the SEF please refer to *Appendix ii – LEIP Status Evaluation Form.*

KSR Topic	Comment
Project Background	This information is captured as part of the Status Evaluation Form and through discussions with Councils.
Space standards	Programme wide metrics are in place. Councils as part of the Workshop 2 process have to report on the space standards that have been achieved on the project. This is also initially captured by the Status Evaluation Form.
Community Benefits	The Community Benefits to be delivered for each project, forms part of the quarterly reporting template that is sent to Councils.
Opportunities for collaboration and joint service	This information is captured as part of the Status Evaluation Form and through discussions with Councils. This are a key principle of the Learning Estate Strategy and Place Principle.
Approach to presenting design and specification requirements.	This will be different for each project depending on procurement route is chosen by the Council.
Appropriate approvals in place for managing change.	This information is captured as part of the Status Evaluation Form and through discussions with Councils. It is a topic that has been raised at collaborative workshops also.
Project and risk management plan & documentation.	This information is captured as part of the Status Evaluation Form and through discussions with Councils. Risk is also addressed at a programme level by the board.
Stakeholder management plan	This information is captured as part of the Status Evaluation Form and through discussions/workshops with Councils.
Resource/Experience	One of the programme conditions is to mandate the completion of Baseline Skills set. This is queried as part of the quarterly project update reporting.
Timetable attainable	The quarterly project update process highlights key milestones and would alert the programme team to any timeline slippages/over ambitious timescales. Appropriate timescales would also be picked up as part of the quality plan for the projects.
Land issues	This information is captured as part of the Status Evaluation Form and through discussions/workshops with Councils.
Scope, cost, programme	This information is collected as part of the Status Evaluation Form and project workshops.
Interfaces	This information is not currently asked for as part of the programme processes and will vary for each authority depending on their own processes. It may not be relevant for smaller/less complex projects and tended to be regarding

	contractual arrangements that were required as part of the DBFM contract.
Decant/Disposal	This information is collected as part of the Status Evaluation Form and project workshops.
Contract Termination	This was specific to DBFM projects and therefore not asked as part of the status evaluation process.
Commercial/Affordability	Programme wide metrics are in place. Councils as part of the Workshop 2 process have to report on the cost metrics that have been achieved on the project. This is also initially captured by the Status Evaluation Form.
Steps to show Value for Money	The Authorities are responsible for demonstrating value for money on their individual projects. The programme has its own value for money criteria also.

The completion of a status evaluation form, for each project is a key way for gathering information in relation to the project and highlighting any current/outstanding issues. This has historically been completed by Councils as soon as the project has been announced as part of the programme, with issues followed up on a more informal basis through workshops and discussions. For the LEIP, the status evaluation form for each project, will be re-issued at appropriate milestones in the project lifecycle, depending on the procurement route:

- Project announcement
- Pre hub Stage 1/RIBA Stage 2
- Pre hub Stage 2/Tender Date

For projects that are being jointly delivered by two procuring bodies, other sectors such as Colleges/Health have rigorous formal assurance processes that those projects must undertake. For those complex projects, further comfort can be taken that assurance is being looked at from all perspectives and this will help inform the direction of the project. The Status Evaluation updates should compliment those processes rather than add additional work to the authorities.

Appendix i – Programme Development Process

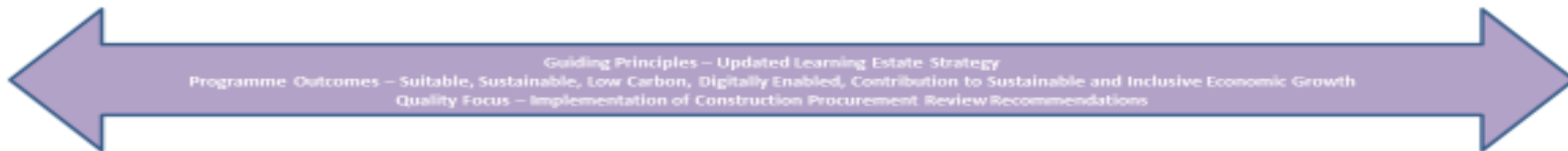# Learning Estate Investment Programme
Project Development Process

SCOTTISH FUTURES TRUST

RIBA Stages

0	1	2	3	4	5	6	7
Strategic Definition	Preparation and Brief	Concept Design	Developed Design	Technical Design	Construction	Handover and Close Out	In Use

Programme Milestones/Assurance

Project Set-up / Place Principle / Project Readiness/Baseline Skills Set

Complete Status Evaluation Form

Critical Success Factors Workshop – Establish Key Objectives & Outcomes including quality assurance plan

Update Status Evaluation Form

Update Status Evaluation Form

Pre-Construction Project Review Workshop

Implementation of disposal strategy (if appropriate)

Post-Construction Project Review Workshop/Completion of community benchmark database

Post Occupancy Evaluation / Outcomes Evaluation

Quarterly Reporting on Project Status /Informal meetings and workshops as required with SFT Education team and other workstreams

Programme Outcomes

Guiding Principles – Updated Learning Estate Strategy
Programme Outcomes – Suitable, Sustainable, Low Carbon, Digitally Enabled, Contribution to Sustainable and Inclusive Economic Growth
Quality Focus – Implementation of Construction Procurement Review Recommendations

Programme Funding

Programme Confirmation

Status Evaluation, Funding T&Cs and Indication of Funding

Ongoing monitoring of costs/abnormals on a Local Authority needs basis

Final Funding Positions and Funding Award Letters – LA sign off

Monitor Compliance with Funding Conditions/Outcomes/ Maintenance

*The monitoring of compliance with funding outcomes over the 25 year period will be conducted centrally , with specific roles worked through.

SCOTTISH FUTURES TRUST

Learning Estate Investment Programme

Local Authority

Status Evaluation Form

Name of Project: _____

Date: _____

SRO Sign Off: _____

Overview

The Scottish Futures Trust has been appointed to manage, co-ordinate and drive forward the implementation of the Learning Estate Investment Programme, which is to reflect the guiding principles of the Learning Estate Strategy. The key aims of the strategy are to connect people, places and learning, deliver improved outcomes for all and enable sustainable and inclusive economic growth. The investment programme is designed to deliver high quality, suitable, sustainable, low carbon and digitally enabled learning environments.

Specifically SFT will:

- Work with your Council and others to evaluate the current status of the project;
- Broker collaboration between local authorities;
- Coordinate the delivery programme within government and local authority budgetary parameters;
- Share best practice from recent national experience;
- Work across the programme to identify best means of contributing towards the achievement of a sustainable estate; and
- Work across the programme to identify best means to achieve the desired outcomes and to align with the guiding principles of the Learning Estate Strategy.

SFT will work with each local authority, to ascertain readiness. This will allow SFT to develop a coherent delivery timeline for each project.

We understand that it may not be possible to answer all of the questions in this status evaluation form at this stage. This paper is intended to outline the current status of local authority projects and forms the start of an iterative process between SFT and each local authority.

Please complete the following information and submit via email to Seonaid Crosby – seonaid.crosby@scottishfuturestrust.org.uk.

Contact details for SFT Education team representatives can be found below:

- Gemma Boggs – Senior Associate Director – 07540 707250
  gemma.boggs@scottishfuturestrust.org.uk

- Stephen Long – Associate Director - 07526 166731
  stephen.long@scottishfuturestrust.org.uk

- Seonaid Crosby – Associate Director – 07885 461141
  seonaid.crosby@scottishfuturestrust.org.uk

Contents:

Section 1 – Contacts

Please complete the following information:

Local Authority Details	Response
Local Authority	
Senior Responsible Officer:	- Name - Email Address - Telephone Number
Project Manager/Key Contact Person	- Name - Email Address - Telephone Number

Section 2 – Project Definition/Scope

The purpose of this section is to understand the local authority's **current existing** (if applicable) and **planned new** provision. Please complete the following information:

Background	Response
2.1 Please identify the planned name and location for the facility.	
2.2 Please confirm whether the project is a: - Replacement New Build - Refurbishment - Extension - New Project to accommodate growth	

2.3 Please confirm whether the project will combine more than one educational facility – i.e. a campus model or a merger of schools.	
2.4 Please provide details of brief details of the scope of the project and what other facilities it is intended the project will provide e.g. swimming pool, community facilities, playgroup	
2.5 Please provide details of how the project has been developed to date within the wider Scottish Government "Place Principle" and how this will be applied to the project going forward.	
Education Provision	**Response**
2.6 For replacement new build/refurbishment facilities, please state current and projected rolls, explaining any differences between these figures. For the projected roll, please forecast as far ahead as practicably possible and provide commentary as required. Please detail any early learning and childcare and further education provision separately. If more than one school is being replaced e.g. in a campus, please provide separate current numbers but combined future numbers.	*Current school roll =* *Projected school roll =* *ELC Facilities (if applicable)* *Current ELC roll =* *Projected ELC roll =* *Further education facilities (if applicable)* *Current FE roll =* *Project FE roll =*
2.7 For replacement new build/refurbishment facilities please state current design capacity of existing facility(s). This should be the design capacity and not the current working capacity. Please state the planned design capacity of new facility(s). Please explain any differences between these figures. Please detail any early learning and childcare and FE provision separately.	*Current Design Capacity (existing facility) =* *Planned Design Capacity (new facility) =* *ELC Facilities (if applicable)* *Current Design Capacity =* *Planned Design Capacity =* *Further Education Facilities (if applicable)*

	Current Design Capacity = *Planned Design Capacity =*
2.8 For extensions or new facilities for growth, please state the projected rolls, forecasting as far ahead as practicably possible and provide commentary as required. Please detail any early learning and childcare and further education provision separately	*Projected school roll =* *ELC Facilities (if applicable)* *Projected ELC roll =* *Further education facilities (if applicable)* *Projected FE roll =*
2.9 For extensions or new facilities for growth please state the planned design capacity of new facility(s). Please detail any early learning and childcare and FE provision separately.	*Planned Design Capacity (new facility) =* *ELC Facilities (if applicable)* *Planned Design Capacity =* *Further Education Facilities (if applicable)* *Planned Design Capacity =*
2.10 Please confirm what, if any, sensitivity analysis has been conducted around capacity / roll. Please detail any early learning and childcare and FE provision separately.	
2.11 If applicable please provide details of any additional support needs (ASN) provision included in the existing facility(s). Please provide the current ASN sqm in the existing facility(s) along with supporting evidence of this. Please provide details and projected sqm of any ASN provision to be included.	
Other Services Provision	**Response**
2.12 If applicable please provide details of any non-core facilities (e.g. separate community,	

health, further education provisions, swimming pool) included in the existing facility(s). Please provide current sqm in existing facility(s) along with supporting evidence of this. This should be sqm that is provided in addition to what would normally be required within a school facility.	
2.13 Please provide details and projected sqm of any non-school provision to be included in the new facility. (e.g. separate community, health, further education provisions) included in the existing facility(s).	
2.14 Please describe briefly the existing and planned external space and sports facilities.	

Section 3 – Status

The purpose of this section is to understand the local authority's current preparation and planning. Please complete the following information:

Team/Governance	Response
3.1 Please provide details of the project governance structure.	
3.2 Please provide details of the risk management plan in place for the project.	
3.3 Please identify the projects dedicated Internal Project Manager and their experience.	
3.4 Please identify other members of the project team and their experience.	
3.5 Please identify any external appointments to the project team: • Main Contractor • Architect	

• Information Manager (preferably client side) • Building Services Engineer • Civil Structural Engineer • Project Managers (if applicable)	
3.6 Please confirm if the baseline skills review as per the recommendations of the Construction Procurement Review has been undertaken and the results of this. This is a requirement of the programme: https://baseskills.scottishfuturestrust.org.uk/login	
3.7 Please provide confirmation you are aware that the SG portion of funding will be delivered through the outcome based funding model and that funding is predicated on the achievement of defined outcomes.	
Programme	**Response**
3.8 Please confirm whether the new facility requires statutory approval due to closure, relocation etc. If yes, please confirm the status of this process.	
3.9 Please identify any interface issues with existing authority contracts which need to be resolved (e.g. leases to third parties).	
3.10 Please confirm whether the project has formal council approval. If not, please confirm the next steps to be taken and associated timeline.	
3.11 Please confirm the forecast tender date for the project.	
3.12 Please outline the current project programme including key milestones: • Date Tenders/hub Stage 2 submissions to be received' • Construction Start • Construction Completion (Building)	

Site	Response
• Opening Date to pupils	

Site	Response
3.13 Please provide details of any site options appraisal that has been performed and recommendations for the proposed solution.	
3.14 Please confirm the site strategy (e.g. existing site, new site, co-location).	
3.15 Please confirm whether the authority owns the and required for the school. If yes, please explain any title restrictions if applicable. If no, please explain actions and timescales required to secure the land.	
3.16 Please confirm if access to the site has been secured. If no, please explain actions and timescales required to secure access.	
3.17 Please confirm whether any site investigations have been undertaken. If yes, please confirm the status and / or conclusions. If no, please confirm planned timescales for undertaking site investigations.	
3.18 Please provide details of any site investigations/options in relation to utilities. This should include digital and an understanding of whether the site is fibre enabled.	
3.19 Please identify any specific site issues (e.g. protected species, Japanese knotweed, contamination, flood risk, conservation area, acoustic issues).	
Planning	**Response**

3.20 Please confirm if any discussions have been undertaken with planners and if so, please confirm outcomes and status of any formal submissions.	
3.21 Please identify any issues which have the potential to delay or make planning approval less certain (e.g. objections from statutory consultees, flood risks). Please identify any Planning Conditions which may have the potential to delay or add cost or risk to project delivery.	

Section 4 – Affordability

The purpose of this section is to understand the local authority's current budgetary position. Please complete the following information:

Costs	Response
4.1 Please confirm the current estimate of GIFA for the new/replacement facility (if calculated). If applicable please provide this split into component parts (e.g. Primary, secondary, ELC, vocational, community).	
4.2 Please confirm the current estimate of capital expenditure (including base date information) and how this reconciles to metric.	
4.3 Please confirm any externals (e.g. works outside the redline boundary) included in the capital expenditure estimate (if applicable).	
4.4 Please confirm any allowances for abnormals and risk included in the capital expenditure estimate (if applicable).	
4.5 Please confirm what financial assumptions have been made for hard FM and LCM, in the context of a sustainable maintenance plan for the project.	

4.6 Please confirm if the project costs have been subject to a whole life cost appraisal: https://benchmarkdata.scottishfuturestrust.org.uk/news/2017/07/whole-life-appraisal-tool-for-construction/	
4.7 For projects in relation to growth, please provide details of other funding sources such as developer contributions, if applicable.	

Section 5 – Programme outcomes and targets

The purpose of this section is to understand the local authority's current thinking in relation to the achievement of the principles and outcomes of the Learning Estate Strategy.

Principles/Outcomes	Response
5.1 Please confirm the local authority's approach to change management for this project and how this will be embedded into the process, from the beginning, to ensure the new facility and spaces will be used to their full potential from the outset.	
5.2 Please confirm the approach to consultation, especially in relation to meaningful consultation with the young people and wider community.	
5.3 Please state how the local authority plans on ensuring quality in the briefing, design, procurement and construction phases of the project.	
5.4 Please confirm the approach towards inclusion for all learners in the new project.	
5.5 Please confirm the approach to meeting the low energy consumption target and how it will be incorporated from early design stage to operation.	

5.6 Please confirm the approach to digital connectivity and how it will be ensured that the building can deliver the authority's digital learning and teaching strategy. Please complete the short digital questionnaire as at appendix i.	
5.7 Please confirm if and how outdoor learning will be incorporated into the new facility.	
5.8 Please confirm the disposal strategy of the old building (if applicable), particularly highlighting if this strategy could result in additional benefits/contribute to inclusive economic growth.	
5.9 Please confirm the strategy in relation to community/economic benefits.	
5.10 Please confirm the projects approach to the use of the SFT Standard Information Management Template?	
5.11 Please set out the strategic objectives and project success criteria for the project and how these will be measured and tracked.	

Appendix i – Digital Questionnaire

Question	Answer
Has the digital learning and teaching strategy for the new building been determined? What connections in term of digital infrastructure is required to deliver this?	
Has digital connectivity and connection been considered as part of your site appraisal, in line with what it would be for other utilities such as electricity, water and gas? If not, how are you ensuring digital connectivity into the new building?	

Has the digital capability been considered in the design in relation to appropriate building materials to be used.	