



PROJECT INITIATION DOCUMENT

(May 2013)

Ocean Estate Bursary

Project Initiation Document (PID)

| | | | |
|---|---|--------------------------|------------|
| Project Name: | Ocean Estate Bursary | | |
| Project Start Date: | 01/07/2013 | Project End Date: | 01/04/2018 |
| Relevant Heads of Terms: | Education | | |
| Responsible Directorate: | Development and Renewal | | |
| Project Manager: | Diana Warne | | |
| Tel: | 020 7364 3178 | Mobile: | |
| Ward: | St Dunstan's and Stepney Green, Mile End and Globe Town | | |
| Delivery Organisation: | Tower Hamlets and Canary Wharf Further Education Trust | | |
| Supplier: | Tower Hamlets and Canary Wharf Further Education Trust | | |
| Amount of S106 available for this Project: | £150,000 | | |
| S106 Planning Agreement Number(s): | PA/09/1916 | | |
| Date of Approval: | July 2013 | | |

Distribution List

| Organisation | Name | Title |
|--------------|------------------|---|
| LBTH D&R | Aman Dalvi | Corporate Director |
| LBTH D&R | Owen Whalley | Service Head – Planning and Building Control |
| LBTH D&R | Dave Clark | Head of Programmes, Performance and Accountability |
| LBTH D&R | Chris Holme | Service Head – Resources |
| LBTH D&R | David Williams | Deputy Service Head – Planning and Building Control |
| LBTH D&R | Anne-Marie Berni | Infrastructure Planning Manager |
| LBTH Legal | Megan Nugent | Principal Planning Lawyer |
| LBTH D&R | Philip Waters | Planning Obligations Officer |
| LBTH D&R | Helen Green | Planning Obligations Officer |
| LBTH D&R | Stephanie Ford | S106 Programme Manager |
| LBTH CLC | Gulshana Khatun | CLC S106 Project Manager |
| | | |

Related Documents

| ID | Document Name | Document Description | File Location |
|---|---------------|----------------------|---------------|
| If copies of the related documents are required, contact the Project Manager | | | |
| | | | |

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1.0 Purpose of the Project Initiation Document

1.1 This document provides a baseline for the **Ocean Estate Bursary** project.

1.2 It will be approved, monitored against, reviewed and updated by end of phase reports, plans, financial reports and forecasts. These will give latest positions on costs and resources, as outlined in the S106 Portfolio Definition Document.

2.0 Section 106 Context

2.1 Section 106 (S106) of the Town and Country Planning Act 1990 allows a Local Planning Authority (LPA) to enter into a legally-binding agreement or planning obligation with a developer over a related issue. Planning Obligations / S106 agreements are legal agreements negotiated, between an LPA and a developer, with the intention of making acceptable development which would otherwise be unacceptable in planning terms.

2.2 The Directorate of Development and Renewal in Tower Hamlets Council has put in place a corporate structure, leading to a transparent process for assessment, negotiation, agreement, expenditure and monitoring of section 106 resources.

2.3 This S106 PID is part of the Tower Hamlets Council S106 Delivery Portfolio and is aligned with the agreed Heads of Terms (HoT) for the Deed creating Planning Obligations and undertakings for the development at the 438-490 Mile End Road site (PA/09/01916).

2.4 The agreement obliged the Developer to pay the Council £150,000 for the purposes of the establishment of a bursary scheme for five years to facilitate students from the Ocean Estate, or failing that others from other parts of Tower Hamlets studying at QMUL (£3,000 per student / £30,000 per annum up to a total of £150,000). The contribution is time limited for a period of five years from receipt of the contribution.

3.0 Legal Comments

3.1 It is considered that expenditure of the monies as detailed towards the Ocean Estate Bursary complies with the planning purpose and terms of the s106 agreement detailed in paragraph 2.4 above.

3.2 These comments are limited to addressing compliance with the terms of the s106

agreement (as based on the information detailed in the PID) and advice on any other legal matters (such as advice on procurement) should be sought separately if appropriate.

4.0 Overview of the Project

- 4.1 The Ocean Estate Bursary (OEB) sum will be distributed and administered by the Tower Hamlets and Canary Wharf Further Education Trust (the Trust).
- 4.2 The Trust will work with the Ocean Regeneration Trust (ORT) to advertise and administer the scheme. ORT will have the opportunity to learn about student grant administration with a view to taking on the administration of the OEB within the timespan of the fund.

5.0 Business Case

- 5.1 The contribution is a very specific piece of funding requiring the establishment of a bursary scheme for students from the Ocean Estate. The Trust has long standing experience administering bursaries and grants to students in the borough. The Trust has been in existence since 1991 and has made grants annually to residents of Tower Hamlets since that time. Its grant funds vary with interest rates and for the 2011/12 academic year were £92,000.
- 5.2 The Trust has an annual grants cycle that involves advertising, distributing applications, advising on the completion of forms, making decisions on applications and making payments to students, colleges and universities through the Council's own payment procedures.
- 5.3 The Trust will work with the ORT in order to better administer the grant (for example through identification of students), but also to facilitate capacity building and shared learning. The Trust will have gained experience of working with S106 funds and the ORT will have the opportunity to learn about student grant administration with a view to taking on the administration of the OEB within the timespan of the fund. The possibility of this happening is acceptable to both the Trust and ORT with PCOP approval.

6.0 Approach

- 6.1 The Trust will begin to advertise the scheme with the assistance of the Ocean

Regeneration Trust (ORT). In due course the OEB will be built into the Trust's literature. Delays in determining the remit of the Trust will lead to a misalignment between the Trust and OEB advertising cycles. OEB advertising will make reference to the use of S106 funds.

- 6.2 The ORT will assist the Trust by identifying potential applicants who will be contacted and invited to apply. Additionally any application direct to the Trust from an Ocean Estate (OE) resident will also be included for consideration. Bursaries will only be given for Higher Education and Post Graduate courses. Therefore, any OE applicant taking a further education course will be moved to the assigned priority among the Trust's other applicants.
- 6.3 Applicants will be required to meet the normal residency requirements applicable to any Trust applicant, i.e. having a permanent right to live in the UK and having been resident in Tower Hamlets for three years up to 14 June 2013 for purposes other than receiving full-time education, with an exception is made to the three-year requirement in for people who have been granted full Refugee status by the Home Office and for young people coming to live with their parents in Tower Hamlets, during the period of their secondary education, provided in the latter case their parents, with whom they reside, have been resident in Tower Hamlets over the requisite period. Furthermore OEB applicants they will be required to be permanent residents of the OE as of a date to coincide with the cut-off date for Trust applications which is normally mid-June. If an eligible student ceases to be ordinarily resident on the Ocean Estate during the period of a course, payments may cease from the academic year following the move.
- 6.4 The selection process will consist of the application of the scale of priorities developed for the proposed Mayor's Higher Education Award which gives priority to vulnerable and younger students, with an emphasis on supporting students from low income families. This will be tempered by the use of discretion by the Trustees. Having regard to the initial Committee decision to focus support on Queen Mary University of London Trustees will take into account the circumstances of each candidate, giving special consideration to those less able to afford higher education based on the following priorities:
- o taking a designated course of higher education (i.e. a course which attracts student finance) or
 - o a postgraduate course
 - o with preference given to students
 1. applying to QMUL

2. applying to other London Universities and universities of the Russell Group
3. applying to other UK Universities

6.5 The bursaries will be available to first year students living permanently on the Ocean Estate and taking a recognised course. A student will only receive one bursary per course. The £3,000 bursary sum will be split into a number of equal annual instalments determined by the number of academic years of the course, to be paid at the beginning of each year of the course. £3,000 paid in equal instalments over the three years of a degree course (3 x £1000) would help the candidate budget for their studies and better protect the fund. After initial approval subsequent payments should be automatic subject the candidate providing proof of successfully completing the previous year of study and entry into the following year. The Bursaries will be subject to the conditions shown on the attached OEB Conditions of Support document. The money may be used by the student for any legitimate purpose connected with their studies. The use of funds will not be policed.

6.6 The deeds stipulate an annual sum for bursaries of £30,000 for five years for up to ten students per year. 10% of the bursary sum will be spent on administration (see para.5.10 below). This is therefore interpreted as nine bursaries of £3,000 each. It is understood that unspent bursary money can be rolled forward during the five years period.

6.7 Administering the Ocean Estate Bursary will add to the Trust's annual grant spend cost especially in the area of auditing. The cost of audit is calculated at 5% of the annual grant spend and will necessarily rise to include the bursary spend. There will also be an increase in advertising. 10% of the contribution will be ringfenced for administrative costs. Any money not used will be rolled forward until it can be distributed as a bursary in the final year of the programme.

7.0 Deliverables

7.1 The use of S106 money to benefit the community as all funds to be spent on fees and maintenance for Tower Hamlets students taking courses that are not supported by central government funds.

7.2 It is estimated that approximately 45 students will be supported by the bursary throughout the lifetime of the project.

8.0 Local Employment and Enterprise Opportunity

8.1 The context of the Ocean Estate Bursary is to give grants to residents of the Ocean Estate attending courses of higher education.

The remit of the Tower Hamlets and Canary Wharf Further Education Trust is to promote the advancement of further, higher and postgraduate education and vocational training among Tower Hamlets residents, with an emphasis on supporting vocational courses that will lead to employment.

The Trust's emphasis on vocational courses and employability will be deployed when decisions are made on the distribution of grants to applicants from the Ocean Estate. Therefore, the funding available will be used to support local employment in an indirect manner.

9.0 Programme Timeline

9.1 Project Budget

| Table 1 | | | |
|----------------------------|-----------------|-----------------------|----------------------------------|
| Financial Resources | | | |
| Description | Amount | Funding Source | Funding (capital/revenue) |
| Ocean Estate Bursary | £150,000 | S106 | Revenue |
| Total excluding VAT | £150,000 | | |

9.2 Financial Profiling

| Table 2 | | | | | | | | | | |
|----------------------------|--------------------|----------|--------------|------------|--------------|------------|--------------|------------|--------------|------------|
| Financial Profiling | | | | | | | | | | |
| Description | 12/13 | | 13/14 | | 14/15 | | 15/16 | | 16/17 | |
| | | £ | | £ | | £ | | £ | | £ |
| | Grants/admin per Q | Q1 | 0 | Q1 | 0 | Q1 | 20K | Q1 | 10K | Q1 |
| Grants/admin per Q | Q2 | 0 | Q2 | 20K | Q2 | 10K | Q2 | 10K | Q2 | 10K |
| Grants/admin per Q | Q3 | 0 | Q3 | 0 | Q3 | 0 | Q3 | 0 | Q3 | 0 |
| Grants/admin per Q | Q4 | 0 | Q4 | 20K | Q4 | 10K | Q4 | 10K | Q4 | 20K |
| Total | | 0 | | 40K | | 40K | | 30K | | 40K |
| Total spend | £150,000 | | | | | | | | | |

9.3 Outputs/Milestone and Spend Profile

| Table 3 | | | |
|--|--|-----------------------|-------------------------------|
| Project Outputs/Milestone and Spend Profile | | | |
| ID | Milestone Title | Baseline Spend | Baseline Delivery Date |
| 13/14 | Q2 Autumn term grant/admin | £20,000 | September 2013 |
| | Q4 Spring term grant/admin | £20,000 | January 2014 |
| 14/15 | Q1 Summer term grant/admin | £20,000 | April 2014 |
| | Q2 Autumn term grant/admin | £10,000 | September 2014 |
| | Q4 Spring term grant/admin | £10,000 | January 2015 |
| 15/16 | Q1 Summer term grant/admin | £10,000 | April 2015 |
| | Q2 Autumn term grant/admin | £10,000 | September 2015 |
| | Q4 Spring term grant/admin | £10,000 | January 2016 |
| 16/17 | Q1 Summer term grant/admin | £10,000 | April 2016 |
| | Q2 Autumn term grant/admin | £10,000 | September 2016 |
| | Q4 Spring and Summer term grants/admin | £20,000 | January 2016 |
| Total | | £150,000 | |

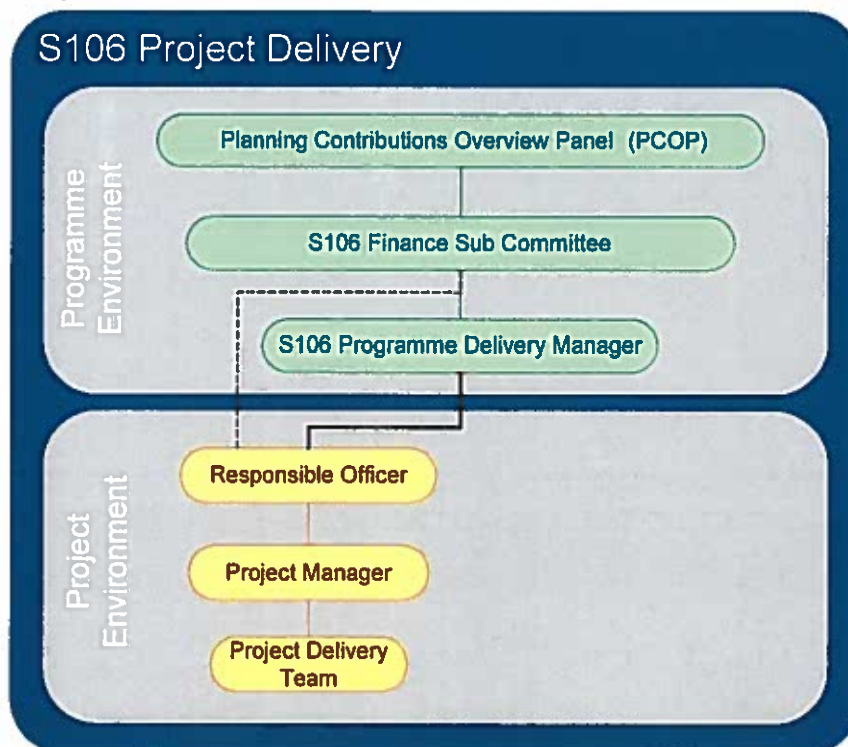
9.4 Realisation

| Table 4 | |
|--|--|
| Benefit | Measure |
| The project will be subject to full post project evaluation to ensure the objectives of the health development have been achieved. | Post project evaluation to be undertaken by an externally sourced consultant, approved by the London Borough of Tower Hamlets. |
| Ocean Estate students taking HE courses | Number of grants made |

10 Governance and Organisational Structure

The governance structure that provides for the delivery of programme/project funded in whole or in part by S106 resources is set out in diagram 1 below.

Diagram 1



Project Manager to complete the following - The governance arrangements for this project is set out below:

- Project Sponsor – Development and Renewal

- Project Manager – Diana Warne
- Project team members –David Stone

11 Project Reporting Arrangements

| Group | Attendees | Reports/Log | Frequency |
|------------------------------|---|--|----------------------------------|
| S106 Programme Delivery Team | Finance S106 Programme Manager, S106 Team Project Manager | Forecast/actual spend and delivery against outputs; Key risks and issues; Benefit outcome monitoring; Satisfaction survey outputs. | Minimum; Financial Year Quarters |
| | | | |

12. Quality Statement

- 12.1 The project will conform to the Tower Hamlets and Canary Wharf Further Education Trust's internal controls for assessment and reporting as designated within the established control framework.

13. Key Project Stakeholders

| Key Stakeholders | Role | Communication Method | Frequency |
|--------------------------|----------------------------------|-----------------------------|------------------|
| Ocean Estate residents | Recipients of grants | Written | Annually |
| Ocean Regeneration Trust | Identifying potential applicants | E-mail | Quarterly |
| TH&CW Trustees | Deciding applications | Written | Bi-annually |
| TH Council | Holding financial | E-mail | Bi-annually |

| Key Stakeholders | Role | Communication Method | Frequency |
|-------------------------|------------------------------------|-----------------------------|------------------|
| Officers | resources | | |
| Administrator | Interface between key stakeholders | E-mail | Bi-annually |

14. Stakeholder Communications

14.1 Ocean Estate residents who can apply for grants will be identified through the Ocean Regeneration Trust (ORT). Residents will be alerted to the scheme in writing and through advertising put out by the Tower Hamlets and Canary Wharf FE Trust which will acknowledge the fact that it has responsibility for the Ocean Estate Bursary in its own literature. The Trust will place its normal emphasis on its desire to fund vocational education and training.

14.2 Regular communication will take place with the ORT to keep it informed of the progress of the project. This may happen at Trustee level

14.3 Regular communication will take place with Council Officers as funds are used and need to be replaced by drawing down from the S106 fund.

15. Key Risks



15.1 The key risks to this project are provided in the Table 9 below.

| Risk No. | Risk | Triggers | Consequences | Existing Internal Controls – to be confirmed | Likelihood | Impact | Total |
|-----------------|--------------------|---------------------------------------|---------------------|---|-------------------|---------------|--------------|
| 1 | Too few applicants | Loss of confidence in the TH&CW Trust | Underspend | Trustees approve more funds for advertising | 1 | 1 | 2 |

| Risk No. | Risk | Triggers | Consequences | Existing Internal Controls – to be confirmed | Likelihood | Impact | Total |
|-----------------|--------------------------|--|--|---|-------------------|---------------|--------------|
| 2 | Lack of communication | The ORT and TH&CW Trust fail to talk. | Students not identified | Trustees meet regularly | 1 | 2 | 3 |
| 3 | Delay in decision taking | Project stalls as timetables do not coincide | Too late in the financial/academic year to proceed | Project deadlines highlighted | 1 | 3 | 4 |

16. Project Approvals

The PID has been reviewed and accepted by delegated PCOP Chair, Owen Whalley and Anne Canning, Interim Director, Education, Social Care and Well Being. The risks identified are understood and acknowledged.

| Role | Name | Signature | Date |
|---|--------------|---|-------------|
| Delegated PCOP Chair | Owen Whalley |  | 28/08/13 |
| Interim Director, Education, Social Care and Well Being | Anne Canning |  | 01 08 13 |

17. Project Closure

Please see the Project Closure Document Template. This is to be completed at the project closure stage and submitted to the s106 Programme Manager.

The relevant documents, as outlined in the Project Closure Report, must be made available on request.

| Project Closure Document | | | | | | |
|--|--|--|-----|--|----|--|
| 1. | Project Name: | | | | | |
| 2. | Timescales I confirm that the project has been delivered within agreed time constraints. If "No" please confirm below that there is no impact on the projects funding i.e. clawback | Please Tick✓ <table border="1"> <tr> <td>Yes</td> <td></td> <td>No</td> <td></td> </tr> </table> | Yes | | No | |
| | Yes | | No | | | |
| 3. | Outcomes/Outputs/Deliverables I confirm that the outcomes and outputs have been delivered in line with the conditions set out in the Planning Agreement including any subsequently agreed variations. | <table border="1"> <tr> <td>Yes</td> <td></td> <td>No</td> <td></td> </tr> </table> | Yes | | No | |
| Yes | | No | | | | |
| 4. | Cost I confirm that the expenditure incurred in delivering the project was within the agreed budget and spent in accordance with PID | <table border="1"> <tr> <td>Yes</td> <td></td> <td>No</td> <td></td> </tr> </table> | Yes | | No | |
| Yes | | No | | | | |
| 5. | Closure of Cost Centre I confirm that there is no further spend and that the projects cost centre has been closed. | <table border="1"> <tr> <td>Yes</td> <td></td> <td>No</td> <td></td> </tr> </table> | Yes | | No | |
| Yes | | No | | | | |
| 6. | Risks & Issues I confirm that there are no unresolved/outstanding Risks and Issues | <table border="1"> <tr> <td>Yes</td> <td></td> <td>No</td> <td></td> </tr> </table> | Yes | | No | |
| Yes | | No | | | | |
| 7. | Project Documentation I confirm that the project records have been securely and orderly archived such that any audit or retrieval can be undertaken. An electronic copy of these Records has been provided to the Infrastructure Planning Team within D&R. | <table border="1"> <tr> <td>Yes</td> <td></td> <td>No</td> <td></td> </tr> </table> | Yes | | No | |
| | Yes | | No | | | |
| These records can also be accessed within the client directorate using the following filepath: | | | | | | |

| | | | |
|-----|---|--|------|
| 8. | Lessons learnt | | |
| | ----- | | |
| 9. | Comments by the Project Sponsor including any further action required | | |
| | ----- | | |
| 10. | The Project Sponsor and Project Manager are satisfied that the project has met its objectives and that it can be formally closed. | | |
| | Sponsor(Name) | | Date |
| | Project Manager(Name) | | Date |