

Notice of meeting and agenda



Cabinet

Venue: Council Chambers,
Midlothian House, Dalkeith, EH22 1DN

Date: Tuesday, 10 October 2017

Time: 11:00

John Blair
Director, Resources

Contact:

Clerk Name: Gordon Aitken

Clerk Telephone: 0131 271 3159

Clerk Email: gordon.aitken@midlothian.gov.uk

Further Information:

This is a meeting which is open to members of the public.

Recording Notice: Please note that this meeting will be recorded. The recording will be publicly available following the meeting. The Council will comply with its statutory obligations under the Data Protection Act 1998 and the Freedom of Information (Scotland) Act 2002.

1 Welcome, Introductions and Apologies

2 Order of Business

Including notice of new business submitted as urgent for consideration at the end of the meeting.

3 Declarations of Interest

Members should declare any financial and non-financial interests they have in the items of business for consideration, identifying the relevant agenda item and the nature of their interest.

4 Minutes

4.1 Minutes of Cabinet of 15 August 2017 - Public 5 - 14

4.1.1 Minutes of Cabinet of 15 August 2017 Private

- 6. Information relating to the financial or business affairs of any particular person (other than the authority).

4.2 Minutes of Special Meeting of Cabinet of 21 August 2017

- 1. Information relating to a particular employee, former employee or applicant to become an employee of, or a particular office holder, former office-holder or applicant to become an office-holder under, the authority.

5 Public Items (Education Interest)

5.1 Inspection of Bilston Primary School Nursery Class - Report by Head of Education 15 - 26

5.2 Inspection of Cowan Court Extra Care Housing - Report by Joint Director, Health and Social Care 27 - 42

5.3 Fair Funding to achieve Excellence and Equity in Scottish Education: Outcome of the Midlothian Council Survey - Report by Head of Education. 43 - 86

5.4 Minutes of Education Appointment Committee of 6 October 2017 (To Follow)

5.5 Minutes of Education Appointment Committee of 6 October 2017 (To Follow)

5.6 2020 Vision for Early Years, Early Learning and Childcare Expansion Plan - Report by Head of Education 87 - 102

5.7 Regional Education Improvement Collaboratives - Report by Head of Education 103 - 132

6 Public Items (No Education Interest)

6.1 Procurement Contract Delivery Plan 2018 - 2019 - Report by Head of 133 - 140

Finance and Integrated Service Support

7 Private Items (Education Interest)

No Business to be Discussed.

8 Private Items (No Education Interest)

No business to be discussed

Minute of Meeting



Cabinet

Date	Time	Venue
15 August 2017	11.00 am	Council Chambers, Midlothian House, Buccleuch Street, Dalkeith

Present:

Councillor Milligan - Convener	Councillor Muirhead – Depute Convener
Councillor Imrie	Councillor Curran

Religious Representatives:

Mr V Bourne	Mr M Khan

1 Apologies

Apologies were received from Councillor Hackett and Rev. R. Halley.

2 Order of Business

The order of business was confirmed as outlined in the agenda that had been circulated.

3 Declarations of interest

No declarations of interest were received.

4 Minutes of Previous Meetings

The Minutes of (i) Meeting of the Cabinet held on 13 June 2017 and (ii) Special Meeting of the Cabinet held on 12 July 2017 were submitted and approved as correct records.

5. Reports

Agenda No	Report Title	Presented by:
5.1	Inspection of Hawthornden Primary School	Head of Education
Outline of report and summary of discussion		
Based on the findings of this inspection, Education Scotland had awarded the following grades:		
Primary Stages		
Leadership of change		Satisfactory
Learning, Teaching and Assessment		Satisfactory
Ensuring wellbeing, equality and inclusion		Satisfactory
Raising Attainment and Achievement		Satisfactory
The Inspection Team noted the following strengths:		
<ul style="list-style-type: none">• The good start of the newly appointed Head Teacher in making improvements to the school.• Children who enthusiastically speak about strategies to support their learning.• Positive relationships between children, staff and the emphasis and impact on parental partnerships.• Staff who are engaged in practitioner enquiry and are enthusiastic about developing the work of the school.		
The following areas for improvement were agreed between Education Scotland, the School and the Education service:		
<ul style="list-style-type: none">• Improve the quality of learning, teaching and assessment across the school to ensure all children are making the best possible progress in their learning.• To raise attainment in literacy and numeracy, staff need to improve the use of assessment information during the course of their teaching to meet the individual needs of children.		

- Develop flexible curricular pathways, to ensure that there are shared standards and expectations across the school so that children make the best possible progress in their learning.
- Ensure that the specialist provision is better integrated within the school so that children, particularly on part-time placements achieve their full entitlement to a broad general education.

The Head of Education was heard in amplification of the report after which several Members as well as Vic Bourne congratulated all concerned on the positive aspects of the inspection report and the work being done to ensure further improvement.

Decision

- To note the content of the inspection report;
- To note the areas for further development;
- Note the positive steps by Education Scotland to review their findings in twelve month's time; and
- To pass this report to the Performance, Review and Scrutiny Committee for its consideration.

Action

Director Education, Communities and Economy/Head of Education

Agenda No	Report Title	Presented by:
5.2	Update on the Children and Young People (Scotland) Act 2014 Parts 4 - Named Person	Head of Children's Services

Outline of report and summary of discussion

This report provided an update on the Named Person provisions contained in Part 4 of the Children and Young People (Scotland) Act 2014, advising that in response to a Supreme Court judgment of 28 July 2016, which had found that whilst the aims of Part 4 of the Children and Young People (Scotland) Act 2014 Act were "legitimate and benign", the information sharing provisions of that Part were not "in accordance with the law", the Children and Young People (Information Sharing) (Scotland) Bill had been presented to the Scottish Parliament on 19 June 2017.

The aim of the Bill was to respond to the Supreme Court judgment, bringing consistency, clarity and coherence to the practice of sharing information whilst at the same time ensuring that the rights of children, young people and parents were respected when information was shared under Part 4 (Provision of Named Persons) and Part 5 (Child's Plan) for the purpose of promoting, supporting or safeguarding children's or young people's wellbeing.

The Head of Children's Services was heard in amplification of the report, confirming that the Council and its partners had already put in place, or had amended in line with the requirements of the Act, information sharing provisions and that they would continue to work together as the further provisions came into force to safeguard the wellbeing of children and young people in Midlothian.

Decision

The Cabinet, having emphasised the importance of protecting vulnerable children and young people,

- (a) Welcomed the reassurances given by the Head of Children's Services;
- (b) Noted the update on the Named Person and Child Plan's, Parts 4 & 5 of the Children & Young People (Scotland) Act 2014: and
- (c) Noted the new Bill on Information Sharing presented to parliament on 19 June 2017 in response to the Supreme Court Judgement of 28 July 2016 which found the information sharing provisions of the Part were 'not in accordance with the law'.

Action

Director Education, Communities and Economy/Head of Children's Services

Agenda No	Report Title	Presented by:
5.3	Scottish Government: Education Governance Review - Next Steps.	Head of Education

Outline of report and summary of discussion

With reference to paragraph 8.10 of the Council minutes of 20 December 2016, there was submitted a report which sought to draw to the Cabinet's attention the Education Governance: Next steps report which was published by the Scottish Government in June 2017; a copy of which was appended to the report.

The report highlighted in particular some of the short, medium and long term actions were proposed and the changing roles for national and local government.

The Cabinet, having heard the Head of Education in amplification of the report, considered the likely future role for Local Government and acknowledge the concerns being expressed by COSLA and others about any diminution as a result of changing roles.

Decision

- (a) To note the short, medium and long term actions proposed in the Scottish Government's report entitled *Education Governance – Next Steps*; and
- (b) To seek further update as appropriate.

Action

Director Education, Communities and Economy/Head of Education

Agenda No	Report Title	Presented by:
5.4	Scottish Government's Consultation: Education Governance Review – Fair Funding to achieve Excellence and Equity in Education	Head of Education

Outline of report and summary of discussion

With reference to paragraph 8.10 of the Council minutes of 20 December 2016, there was submitted a report which sought to draw to the Cabinet’s attention the Scottish Government’s consultation entitled Education Governance Review – Fair funding to achieve excellence and equity in education. The consultation was launched in June 2017 and closed on 13 October 2017.

The consultation invited views on: the way school education was currently funded in Scotland, including early year’s provision within school settings; the purpose of developing a new, more consistent approach to school funding; and the principles that should underpin any changes. It also set out and sought views on possible future funding approaches to support a vision of excellence and equity for all children and young people across Scottish education.

The report advised that following consultation with stakeholders in Midlothian, a further report would be brought back to Cabinet in September 2017 prior to submission to the Scottish Government.

The Head of Education was heard in amplification of the report.

Decision

- (a) To note the launch of the Scottish Government’s Consultation entitled Education Governance Review – Fair funding to achieve excellence and equity in education;
- (b) To agree to recommend to Council that in order to assist understanding and also the preparation of the Council’s response a Seminar, involving Head Teachers be arranged; and
- (c) To note that a further report outlining the Midlothian response to this consultation would be brought back to Cabinet in September 2017.

Action

Director Education, Communities and Economy/Head of Education

Agenda No	Report Title	Presented by:
5.5	Anti Fraud and Corruption, and Anti Bribery Policies	Internal Audit

Outline of report and summary of discussion

This report presented for the Cabinet’s approval the Anti Fraud and Corruption Policy and Strategy and Anti Bribery Policy. The Council’s Anti Fraud and Corruption policy had been updated and a separate Anti Bribery policy had been developed in accordance with current best practice. Copies of the relevant policies were appended to the report and Internal Audit where heard in amplification of it.

Decision

To endorse the updates to the Anti Fraud and Corruption, and Anti Bribery policies attached to this report

Action

Internal Audit Manager

Agenda No	Report Title	Presented by:
5.6	Objection to Proposed Traffic Regulation Order – School Streets, Lasswade Primary School	Head of Commercial Operations
Outline of report and summary of discussion		
<p>With reference to paragraph 8.8 of the Council minutes of 28 June 2016, there was submitted a report updating Cabinet on the responses to consultations and advertisement of a proposed Traffic Regulation Order for the introduction of School Streets (banning most driving at times, with some exemptions) around Lasswade Primary School. The Cabinet were invited to consider the responses received and to approve the making of the Order.</p> <p>The Head of Commercial Operations was heard in amplification of the report.</p>		
Decision		
<p>(a) To note the objections, and the responses to the objections, as detailed in Appendices 2 and 3 respectively to the report;</p> <p>(b) To authorise the making of the Traffic Regulation Order T5.3.8 to introduce traffic restrictions around Lasswade Primary School; and</p> <p>(c) To keep Cabinet and the local Ward Members advised of any issues arising as a result of the introduction of the Order.</p>		
Action		
Head of Commercial Operations		

Agenda No	Report Title	Presented by:
6.1	Registration of Care at Home staff in Midlothian	Joint Director, Health and Social Care
Outline of report and summary of discussion		
<p>The report advised Cabinet of the need for home care and housing support staff to register with the Scottish Social Services Council (SSSC) and the work that was being undertaken to support staff in meeting this legislative requirement. All staff needed to commence their registration application from 2 October which would be supported by managers and trade unions. This required to be completed by 2020.</p> <p>The Joint Director, Health and Social Care was heard in amplification of the report.</p>		
Decision		
<p>(a) To note the requirement for home care and housing support staff to register with the Scottish Social Services Council;</p> <p>(b) To note the support being made available to assist staff in this process; and</p> <p>(c) To encourage staff to register at the earliest opportunity and not to leave it to the last minute.</p>		
Action		
Joint Director, Health and Social Care/Chief Social Work Officer		

Agenda No	Report Title	Presented by:
6.2	Q1 Performance Report 2017/18 - (a) Adult Social Care	Joint Director, Health and Social Care
Outline of report and summary of discussion		
<p>The Quarter 1 2017/18 Performance Report for Adult Social Care was submitted. The Joint Director, Health and Social Care highlighted to the Cabinet the progress in the delivery of strategic outcomes and summary of the emerging challenges as detailed in the Report. Thereafter the Joint Director, Health and Social Care highlighted to the Cabinet the notable items and also the challenges going forward from the Report and responded to questions raised by the members of the Cabinet.</p>		
Decision		
To note the report.		
Action		
Joint Director, Health and Social Care		

Agenda No	Report Title	Presented by:
6.2	Q1 Performance Report 2017/18 - (b) Customer and Housing Services	Head of Customer and Housing Services
Outline of report and summary of discussion		
<p>The Quarter 1 2017/18 Performance Report for Customer and Housing Services was submitted. The Head of Customer and Housing Services highlighted to the Cabinet the progress in the delivery of strategic outcomes and summary of the emerging challenges as detailed in the Report. Thereafter the Head of Customer and Housing services responded to questions raised by the members of the Cabinet.</p>		
Decision		
To note the report.		
Action		
Joint Director, Health and Social Care/Head of Customer and Housing Services		

Agenda No	Report Title	Presented by:
6.2	Q1 Performance Report 2017/18 - (c) Children's Services	Head of Children's Services
Outline of report and summary of discussion		
<p>The Quarter 1 2017/18 Performance Report for Children's Services was submitted. The Head of Children's Services highlighted to the Cabinet the progress in the delivery of strategic outcomes and summary of the emerging challenges as detailed in the Report. Thereafter the Head of Children's Services responded to questions raised by members of the Cabinet.</p>		
Decision		
To note the report.		

Action
Director, Education, Communities and Economy/Head of Children's Services

Agenda No	Report Title	Presented by:
6.2	Q1 Performance Report 2017/18 - (d) Communities and Economy	Head of Communities and Economy

Outline of report and summary of discussion

The Quarter 1 2017/18 Performance Report for Communities and Economy was submitted. The Head of Communities and Economy highlighted to the Cabinet the progress in the delivery of strategic outcomes and summary of the emerging challenges as detailed in the Report. Thereafter the Head of Communities and Economy responded to questions raised by the members of the Cabinet.

Decision

To note the report.

Action

Director, Education, Communities and Economy/Head of Communities and Economy

Agenda No	Report Title	Presented by:
6.2	Q1 Performance Report 2017/18 - (e) Education	Head of Education

Outline of report and summary of discussion

The Quarter 1 2017/18 Performance Report for Education was submitted. The Head of Education highlighted to the Cabinet the progress in the delivery of strategic outcomes and summary of the emerging challenges as detailed in the Report. Thereafter the Head of Education responded to questions raised by members of the Cabinet.

Decision

To note the report.

Action

Director, Education, Communities and Economy/Head of Education

Agenda No	Report Title	Presented by:
6.2	Q1 Performance Report 2017/18 - (f) Commercial Operations	Director, Resources

Outline of report and summary of discussion

The Quarter 1 2017/18 Performance Report for Commercial Operations was submitted. The Director, Resources highlighted to the Cabinet the progress in the delivery of strategic outcomes and summary of the emerging challenges as detailed in the Report. Thereafter the Director, Resources responded to questions raised by the members of the Cabinet.

Decision
To note the report.
Action
Director, Resources/Head of Commercial Operations

Agenda No	Report Title	Presented by:
6.2	Q1 Performance Report 2017/18 - (g) Finance and Integrated Services	Director, Resources

Outline of report and summary of discussion

The Quarter 1 2017/18 Performance Report for Finance and Integrated Service Support was submitted. The Director, Resources highlighted to the Cabinet the progress in the delivery of strategic outcomes and summary of the emerging challenges as detailed in the Report. Thereafter the Director, Resources responded to questions raised by the members of the Cabinet.

Decision
To note the report.
Action
Director, Resources/Head of Finance and Integrated Service Support

Agenda No	Report Title	Presented by:
6.2	Q1 Performance Report 2017/18 - (h) Property and Facilities Management	Director, Resources

Outline of report and summary of discussion

The Quarter 1 2017/18 Performance Report for Properties and Facilities Management was submitted. The Director, Resources highlighted to the Cabinet the progress in the delivery of strategic outcomes and summary of the emerging challenges as detailed in the Report. Thereafter the Director, Resources responded to questions raised by the members of the Cabinet.

Decision
To note the report.
Action
Director, Resources/Head of Property and Facilities Management

Agenda No	Report Title	Presented by:
6.2	Q1 Performance Report 2017/18 - (i) Midlothian Council	Chief Executive

Outline of report and summary of discussion

The Quarter 1 2017/18 Performance Report for Midlothian Council was submitted detailing the delivery of Midlothian Council's priorities through the Community Planning Partnership and the Single Midlothian Plan. The Council Transformation Strategy and Individual Service Plans outlined how Midlothian Council would

deliver its contribution to the Single Midlothian Plan. The Chief Executive highlighted to the Cabinet the notable items and also the challenges going forward from the Report.

Decision

To note the report.

Action

Chief Executive.

Exclusion of Members of the Public

In view of the nature of the business to be transacted, the Cabinet agreed that the public be excluded from the meeting during discussion of the undernoted item, as contained in the Addendum hereto, as there might be disclosed exempt information as defined in paragraph 6 of Part I of Schedule 7A to the Local Government (Scotland) Act 1973:-

Irrecoverable Debt Write-Off – Approved.

The Cabinet thereafter agreed to proceed as detailed in the Addendum hereto.

The meeting terminated at 12.34pm.

Inspection of Bilston Primary School Nursery Class

Report by Dr Grace Vickers, Head of Education, Education, Communities and Economy

1 Purpose of Report

The report outlines the outcome of the above inspection as carried out by the Care Inspectorate which was communicated in their report of August 2017.

2 Background

2.1 Bilston Primary School Nursery Class was inspected on 26 April 2017. The report was published on 30 August 2017 and has been distributed to all Elected Members and Church Representatives on the Cabinet for their information.

2.2 Following inspection, the Care Inspectorate gathers evaluations of core quality indicators to keep track of how well all Scottish Early Learning and Childcare settings and schools are doing. Noted below are the evaluations for Bilston Nursery Class.

Quality of care and support	6	- Excellent
Quality of environment	6	- Excellent
Quality of staffing	5	- Very Good
Quality of management and leadership	5	- Very Good

2.3 The following particular strengths were indicated by the inspection team:

- The high quality environment rich in opportunity with free flowing access to the outdoor play area at all times.
- Staff plans provided an excellent example of responsive planning in action.
- Staff were reflective and aware of the impact and influence they had on the children in their care. Their interactions with children were purposeful and enriching as they strived to build children understanding and confidence of their world in everything they did. Their high expectations for the children were reflected in the level of trust and autonomy they gave children to lead their learning.
- The Head Teacher was a regular visitor to the nursery and had a strong commitment to making sure that the nursery was seen as part of the school community.
- The Head Teacher had a clear vision for the on-going development of the service. She was supported in this work by a reflective, innovative team who were committed to ensuring that every child was given the opportunities they needed to support their individual development and reach their potential.

2.4 There were no requirements or recommendations with this inspection.

2.5 Conclusion

Care Inspectorate have concluded that they are satisfied with the overall quality of provision.

3 Report Implications

3.1 Resource

There are no financial and human resource implications associated with this report.

3.2 Risk

Care Inspectorate visit a sample of Early Learning and Childcare settings every year to find out how they are performing. A report is published which informs parents about the key strengths of the ELC setting and its capacity for further improvement.

Following the publication of the report further visits may be made to the ELC setting, by the Education Authority to assist improvement and monitor progress.

Monitoring, review and evaluation of progress by Officers in the Early Years Team is the control measure in place to reduce the risk of failure of ELC settings to demonstrate their capacity to improve.

3.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

- Community safety
- Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- None of the above

3.4 Impact on Performance and Outcomes

The setting will continue to improve its work in line with the school improvement plan and the Early Years team from the Education Service will continue to challenge and support the setting in relation to developing and implementing a range of quality improvement strategies.

3.5 Adopting a Preventative Approach

The Education (Scotland) Bill aims to take preventative action in order to close the attainment versus deprivation gap by implementing key policies and programmes which are designed to target support to children and young people from disadvantaged communities. Midlothian is highly committed to closing the attainment gap which compliments the strategies employed by Midlothian which are highlighted in the National Improvement Framework report which was presented to Council on 3 November 2015.

3.6 Involving Communities and Other Stakeholders

Copies of the report have been made available to Elected Members, parents of children currently attending Bilston Nursery Class and other interested parties.

3.7 Ensuring Equalities

The School Improvement Plan will be screened for equalities implications.

3.8 Supporting Sustainable Development

The School Improvement Plan allows for sustainable development and improvement.

3.9 IT Issues

There are no IT implications.

4 Recommendations

Cabinet is asked to:

- (i) Note the content of the inspection report.
- (ii) Pass this report to the Performance, Review and Scrutiny Committee for its consideration.
- (iii) Congratulate the pupils, parents and staff connected with Bilston Primary School Nursery Class on the key strengths highlighted in the report.

18 September 2017

Report Contact: Julie Fox, School Group Manager

Tel No: 0131 271 3725

E-mail: julie.fox@midlothian.gov.uk

Background Papers:

Inspection Report

Bilston Primary School Nursery Class Day Care of Children

Bilston Primary School
Park Avenue
Bilston
Roslin
EH25 9SD

Telephone: 0131 444 9021

Type of inspection: Unannounced
Inspection completed on: 26 April 2017

Service provided by:
Midlothian Council

Service provider number:
SP2003002602

Care service number:
CS2016349344

About the service

Bilston Primary School Nursery is part of the newly built Bilston Primary School in Bilston Midlothian. The nursery includes a large play room which opens directly into the garden allowing children to move freely between both areas, office, kitchen, toilet and changing area. Children also use the sports hall and other areas of the school as necessary to support the children.

The aims of the service are:

"To provide a welcoming, happy, secure and safe environment for all families, staff and students.
To encourage the emotional, social, physical, creative and intellectual development of all children.
To promote the welfare of the children
To promote children's self esteem, independence, confidence and ability to make choices.
To create opportunities for learning through play which are challenging, stimulating, safe and foster imagination.
To respond to the learning needs of children by providing stimulating contexts and experiences.
To provide a supportive environment for all which respects everyone as an individual and values cultures and religions.
To ensure that every child feels included and is able to access activities with appropriate support."

The Care Inspectorate is committed to improving the health and wellbeing of all children receiving a care service. We want to ensure that they have the best start in life, are ready to succeed and live longer, healthier lives. We check that services are meeting the principles of Getting It Right For Every Child (GIRFEC). Set up by the Scottish Government GIRFEC is a national approach to working in a consistent way with all children and young people. It is underpinned by the principles of prevention and early intervention. The approach helps services focus on what makes a positive difference for children and young people - and what they can do to improve. GIRFEC is being woven into all policy, procedure, strategy and legislation that affect children, young people and their families.

There are eight wellbeing indicators at the heart of GIRFEC. They are: safe, healthy, achieving, nurtured, active, respected, responsible and included. They are often known as the SHANARRI indicators. We use the indicators at inspection to assess how services are making a positive difference for children.

What people told us

During the inspection we spent time talking to, playing with and observing children in the nursery and in the outdoor play area. Children were eager to show us their nursery identifying their favourite areas and activities. Comments included "This is my nursery and everybody's nursery and its my favourite place," "Look! look at this tree house I always wanted a tree house, I play in it every day." "I'll show you the hammers and the mud kitchen, if you need to fix stuff remember and do it safe. I'll tell you what to do"

Before the inspection took place we sent 20 Care Standards Questionnaires to the service to distribute to families, two of these were returned before the inspection took place. Both families strongly agreed with the statement "Overall I am happy with the quality of care my child receives in this service. We e-mailed a small group of parents. In addition we spoke to parents as they picked up their children. The following representative comments were made:

"My child adores their time at nursery. I am extremely happy with all aspects of the nursery and staff." "The nursery has a lovely feel about it, a nice friendly atmosphere. A special place that all the kids seems to enjoy."
"The staff are great, they keep us well informed and honestly I can't think of any thing else they could do to

support me or my child." "If my child could stay here all day every day they would. They love the garden, it's freedom but the kids are still learning everything they need to." "All the staff are fantastic, approachable, trustworthy, everything you want when your child is in their care." "There's a lot of information - a notice board outside the nursery which is great because you really can't miss it. The Twitter page is great for information and photographs."

Self assessment

The service has not been asked to complete a self assessment in advance of the inspection. We looked at their own improvement plan and quality assurance paperwork. These demonstrated their priorities for development and how they were monitoring the quality of provision within the service.

From this inspection we graded this service as:

Quality of care and support	6 - Excellent
Quality of environment	6 - Excellent
Quality of staffing	5 - Very Good
Quality of management and leadership	5 - Very Good

Quality of care and support

Findings from the inspection

We saw children coming to nursery eagerly anticipating their time in the playroom. They happily greeted their friends and staff and settled quickly to their chosen activities both inside and in the garden which was an extension of the playroom.

Experienced, well trained, enthusiastic staff provided children with an excellent level of care and support. Their understanding of GIRFEC and the SHANARRI principles were evident from our conversations with staff and observation of written records for health and development. We saw clear child centred plans for each child which supporting their individual needs and promoted positive outcomes. These plans were reviewed with families as often as necessary to ensure that children's needs were identified and met.

Children were encouraged to persevere with self help skills, for example doing up zips, putting on shoes, preparing their own snacks. Children could elect to be a part of the health team and were given responsibility for choosing and preparing healthy snack foods. In conversation children confidently shared their knowledge of healthy eating. These achievements boosted confidence and gave children more control over their environment.

Staff understood the impact their input had on the overall quality of children's experience. They were committed to empowering children by ensuring that the nursery provided a child led nurturing and dynamic environment where they could grow and flourish.

Children were supported to think about their feeling and the impact of their actions on others. This helped develop social skills which supported them in all areas of their lives and helped ensure they were ready to make the most of the play and learning opportunities offered by the nursery. We saw children glow with pride as staff gave meaningful and directed praise which recognised their particular achievements

Staff understood that embedded learning comes when children are free to choose and explore activities at their own pace. They observed children closely but only intervened when they felt their interactions would add value to the child's experience. Their respect and trust in children to lead their own learning was apparent in all aspects of the service. Floor books showed that this approach had been embedded from the start. Children's interests were picked up and developed for as long as their interests lasted. Seeing their ideas and work in action gave children a sense of ownership and pride in their nursery which helped support feelings of self worth and develop resilience.

Requirements

Number of requirements: 0

Recommendations

Number of recommendations: 0

Grade: 6 - excellent

Quality of environment

Findings from the inspection

A particular strength of the nursery was the high quality environment rich in opportunity with free flowing access to the outdoor play area at all times. Furniture and fitting indoors were of a high quality and designed to allow children to have maximum freedom to move around and access all areas without adult support. The service had invested in all in one suits so that children could play outdoors in most weathers. Most children chose to play outdoors for part of the session and some spent all day outdoors.

Children's ideas were used in the development of the nursery garden. We saw the detailed floorbooks used to support children in thinking about what they wanted from their nursery. This helped ensure that in and out of doors they found their own interests and impact reflected in their surroundings. Children's influences included a 'tree house', large outdoor sand pit, many climbing and balancing activities, willow tunnels, tented areas, several opportunities to play with water, an outdoor theatre and a woodwork bench. All of the activities indoors could be taken outside and children were confident in moving resources to meet their needs. Both in and outdoors excellent use had been made of natural materials and loose parts. Parents and staff commented on how this rich natural environment supported children's physical and imaginative open ended play.

Staff plans provided an excellent example of responsive planning in action. Staff saw their role as supporting the children as far as possible to achieve the play experiences they imagined. They allowed children to make mistakes and only entered children's play and conversation if they were asked or if their contribution would have a positive impact on the children's experience. This resulted in children becoming more confident in taking risks and in making decisions, who were aware of their impact on others and who were proud of their nursery and of their contribution to it.

We saw many examples of children making decisions and influencing their time in nursery. For example during the session it started to snow, some children suggested they should have hot chocolate. Staff picked this up immediately, involved children in making the drink and put it outside so they could serve themselves. Another

child decided the tree house needed curtains. They set about gathering the materials they needed to complete their tasks. Staff checked that the child understood the rules for removing tools from the woodwork area and trusted the child to complete their task showing respect and confidence in the child's ability.

Requirements

Number of requirements: 0

Recommendations

Number of recommendations: 0

Grade: 6 - excellent

Quality of staffing

Findings from the inspection

The experienced and well qualified staff team worked well together. They respected and valued one another's strengths using them to help ensure that children had a high quality play and learning experience. Their knowledge of the key document including Building the Ambition and My World Outdoors were apparent in the range and depth of opportunities available to children on a daily basis.

Staff were positive about the support and training opportunities they received from the Head Teacher. This allowed them to network with other services and to take part in a wide range of training. Recent training included: Building Resilience in Young Children, Box of Feelings, Froebel, Effective Transitions, Social Stories, Outdoor Play and Developing Early Years Practice. In addition a member of staff had recently completed their BA in Early Childhood Practice. The impact of these courses was apparent in the quality of conversations with staff and in the nurturing environment they had created.

Staff were reflective and aware of the impact and influence they had on the children in their care. Their interactions with children were purposeful and enriching as they strived to build children understanding and confidence of their world in everything they did. Their high expectations for the children were reflected in the level of trust and autonomy they gave children to lead their learning.

Annual performance reviews took place with the head teacher and staff were enthusiastic about the training plans they had for the forthcoming session and into the next academic year.

All staff had been recruited in accordance with the safer recruitment practice which Midlothian Council's Department of Education had in place. They were registered with the Scottish Social Services Council (SSSC). The SSSC is the body which sets out the qualifications necessary for staff working in the care sector. In their Codes of Practice they identify the standards and values individual practitioners must work to. We saw staffs understanding of these values reflected in their interactions with children and their families.

Requirements

Number of requirements: 0

Recommendations

Number of recommendations: 0

Grade: 5 - very good

Quality of management and leadership

Findings from the inspection

Effective quality assurance procedures based on the National Care Standards and How Good Is Our Early Learning and Child Care (HIGIOLEC) helped the Head Teacher and staff to identify and assess areas for improvement. Targets were reviewed regularly and progress was shared with families and other professionals, this recognised accountability on the part of the service to its key stakeholders.

The Head Teacher was a regular visitor to the nursery and had a strong commitment to making sure that the nursery was seen as part of the school community. These visits helped her to build a clear picture of staffs skills and areas for continuous improvement. Delegated responsibility for on-going improvements was shared with staff who willingly took on responsibility for aspects of practice that made best use of their skills.

Transparent procedures were in place for taking forward any concerns about the service. They included information about the role of The Care Inspectorate.

Regular visits from the local authority Quality Improvement team provided external quality assurance and monitoring of the service.

Records of meetings, visits and reviews of the quality assurance process demonstrated the Head Teachers commitment to the services continuous improvement agenda and to sharing this with families and other stakeholders.

The Head Teacher had a clear vision for the on-going development of the service. She was supported in this work by a reflective, innovative team who were committed to ensuring that every child was given the opportunities they needed to support their individual development and reach their potential.

Requirements

Number of requirements: 0

Recommendations

Number of recommendations: 0

Grade: 5 - very good

What the service has done to meet any requirements we made at or since the last inspection

Previous requirements

There are no outstanding requirements.

What the service has done to meet any recommendations we made at or since the last inspection

Previous recommendations

There are no outstanding recommendations.

Complaints

There have been no complaints upheld since the last inspection. Details of any older upheld complaints are published at www.careinspectorate.com.

Enforcement

No enforcement action has been taken against this care service since the last inspection.

Inspection and grading history

This service does not have any prior inspection history or grades.

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Care Inspectorate
Compass House
11 Riverside Drive
Dundee
DD1 4NY

enquiries@careinspectorate.com

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Inspection of Cowan Court Extra Care Housing

Report by Joint Director Health and Social Care

1 Purpose of Report

This report provides information in relation to the recent inspection by the care inspectorate

2 Background

2.1 Cowan Court received an unannounced visit on the 14th March 2017. Since the last inspection a new care team supervisor has been appointed who has vast experience of managing staff in a care at home service.

2.2 The Care Inspectorate is the independent scrutiny and improvement body for care services in Scotland. They inspect all registered care services and local authority social work services on a regular basis to ensure that providers are meeting standards required and are working to improve the quality of care generally. Following an inspection the Care Inspectorate publish a report.

2.3 Based on the findings of the recent inspection the care Inspectorate awarded Cowan Court the following grades:

Quality of care and support	Grade 5 Very Good
Quality of environment	not inspected
Quality of staffing	Grade 4 Good
Quality of management and leadership	Grade 5 Very Good

2.4 The Inspection Team noted the following strengths:

- Tenants mentioned positively the impact living at Cowan Court had made to their lives. This varied from making friends with other tenants to the care being provided.
- Each tenant has a personal plan which included good detail as to their health issues and support needs to aid care staff.
- Care plans and risk assessments were reviewed every 6 months and consistently updated when care needs changed. This allowed care staff to have up to date information and to ensure the correct support was provided.
- Carers monitor tenants' wellbeing and report any concerns to senior staff. It was noted that concerns were followed up by relevant parties e.g health professional and social work.
- Tenants were supported and encouraged to organise activities.

- The staff received appropriate training to help them in undertaking their roles.
- Tenants and relatives praised the staff who worked at Cowan Court.
- Observation of carers to ensure their competency to deliver care was taking place.
- The service had its own identity and benefited from having an experienced team supervisor. Positive comments were received about the team supervisor, administrator and handy man.
- There was good quality assurance and audits in place.

2.5 There have been 2 recommendations made:

- Infection control training to be delivered to staff.
- Improvements to be made in relation to the recording of sufficient and accurate care information by staff.

3 Report Implications

3.1 Resource

There are no direct resource issues arising from this report.

3.2 Risk

The Care Inspectorate regulate all care services in Scotland using the National Care Standards, set out by the Scottish Government, as a benchmark for how each type of service should perform. These standards are the minimum that service users should expect when using care services.

If the standards are not being fully met, the Care Inspectorate would note this in the inspection report and require the service manager to address these. The Care Inspectorate could impose an additional condition on the service's registration if the provider persistently, substantially or seriously fails to meet the standards or breaches a regulation. They also have the power to issue an improvement notice detailing the required improvement to be made and the timescale for this.

3.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

- Community safety
- Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- None of the above

3.4 Key Priorities within the Single Midlothian Plan

The Midlothian Integrated Joint Board's Strategic Plan sets out the delivery of the national outcome of supporting older people to remain at home for longer. This means that care homes must deliver high quality care for people whose needs are more complex.

3.5 Impact on Performance and Outcomes

Performance and outcomes will continue to be measured through the quarterly reporting, review and evaluation process.

3.5 Adopting a Preventative Approach

The delivery of a high quality extra care housing facility that can meet increasingly complex needs and reduces avoidable hospital admissions for older people.

3.6 Involving Communities and Other Stakeholders

As part of their inspection process the Care Inspectorate evaluated completed questionnaires and met with relatives/carers.

3.7 Ensuring Equalities

An action plan has been prepared to address the areas for improvement recommended in the report. The action plan will be screened for equalities implications.

3.8 Supporting Sustainable Development

As well as addressing the recommendations arising from this report, work is ongoing to ensure sustainability and continual improvement of this service which provides high quality care and support to people in their own tenancy. This is in keeping with supporting older people to live in their own homes for as long as possible as outlined in the Midlothian Integrated Joint Board's Strategic Plan.

3.9 IT Issues

There are no IT issues arising from this report.

4 Recommendations

Cabinet is asked to note the content of the inspection report and to:

- 1 Acknowledge the continued improvement since the last Inspection and the positive and ongoing work by management and staff connected with Cowan Court

12 September 2017

Report Contact: Dawn Barrett Tel No 0131 271 3681
Email dawn.barrett@midlothian.gov.uk
Background Papers: Care Inspectorate report on Cowan Court Extra Care Housing.

Cowan Court Extra Care Housing Housing Support Service

1 Pentland Way
Penicuik
EH26 8BF

Telephone: 01968 664 141

Type of inspection: Unannounced
Inspection completed on: 14 March 2017

Service provided by:
Midlothian Council

Service provider number:
SP2003002602

Care service number:
CS2012314382

About the service

This service registered with the Care Inspectorate on 16 September 2013.

Cowan Court is a specially designed, extra care housing development. As recorded in its information booklet, "it enables people with varying physical and mental health care needs, including dementia, to enjoy prolonged independence in a safe, caring, socially active supportive environment".

"Cowan Court has a dedicated on-site team consisting of a team supervisor, care and support staff, an administrator, domestic assistants and a handyperson. Care and support staff provide a 24/7 service, responding flexibly to needs identified in individual care and support assessments".

The development includes a two-storey building providing 32 extra care housing units for older people. There are 28 one-bedroom flats and four two bedroom flats, providing housing for couples as well as individuals.

The building has been designed in a dementia-friendly way for older tenants.

What people told us

We sent Care Standard Questionnaires to a sample of 16 tenants and received nine completed questionnaires back. We saw five had been completed by people who use the service and four had been completed by relatives.

Below are responses to a sample of the statements we asked people to score against on the questionnaires:-

"Overall, I am happy with the quality of care and support this service gives me" - 100% either strongly agreed or agreed.

"Staff treat me with respect" - 100% either strongly agreed or agreed - tenants and relatives we spoke with also confirmed this.

"I am confident that staff have the skills to support me" - 100% either strongly agreed or agreed.

"Staff have enough time to carry out the agreed support and care" - 75% either strongly agreed or agreed.

"The service checks with me regularly that they are meeting my needs" - 100% either strongly agreed or agreed.

"I have a personal plan which contains information about my support needs. My needs and preferences have been detailed in the personal plan" - 100% either strongly agreed or agreed.

Additional comments made on the questionnaires were as follows:-

"I am most grateful that I feel safe in this building especially at night. I fall asleep happy"

"I do not think the staff always do the work they are supposed to do for me"

"The manager at Cowan Court has been extremely supportive to both my relative who lives in Cowan Court and to me, especially following my relative's recent stay in hospital. I believe the manager goes out of their way to help those living in Cowan Court. My relative thinks the world of the manager"

"No extra staff member to cover an emergency. Back shift and night shift"

(At the inspection we addressed this concern and were given examples of additional staff being deployed when there was a higher demand on the service)

During the inspection many positive comments were made by tenants and relatives about the service. These included:-

"The service they provide is fantastic it's like it's made to measure for my relative. Staff have been really nice, considerate and understanding. Anything I ask them to do is no problem. Nothing has a down side - great cannot fault it"

"Staff always give me time to have a blether. Sometimes I do get a bit down and they are supportive"

"The carers are really good with my relative. They have a gentle approach which is not patronising and supports my relative who is very independent. Excellent - very good service"

"Everybody knows each other. We're like family here. We help each other along"

"The carers are very good. My relative's care needs have increased and when more time has been requested it's been no problem - nothing's a hassle. I cannot praise the service enough"

"Very good service. I don't know what my relative would do without the service. It's very reassuring that my relative has the care. Carers are very respectful. My relative has made new friends. The last couple of months my relative's good health has returned"

Further comments made during the inspection have been incorporated into the report.

We saw a "Thank You" card to the service which stated "Many thanks for the care and support you gave my relative over the last three years. We as a family could not have managed without you all".

The service was currently seeking the views of tenants as to their satisfaction of the service. We saw high satisfaction being expressed overall. Additional comments about the benefits of living at Cowan Court included:-

"Less stress. You have a back up on hand if you need help/the company of other people/more access to going out"

"Helpfulness, consideration from wonderful caring staff makes Cowan Court an amazing establishment to be part of"

"Just like to thank carers and domestic staff for their help, office staff keep it up. Thank you for all your kindness"

"We wish to compliment the staff for their friendliness and efficiency. We just love the variety and quality of events and entertainment. Easy access to people to help you in various matters (easy availability to speak to people)"

Self assessment

The Care Inspectorate received a fully completed self-assessment from the service.

From this inspection we graded this service as:

Quality of care and support	5 - Very Good
Quality of staffing	4 - Good
Quality of management and leadership	5 - Very Good

Quality of care and support

Findings from the inspection

Tenants we met told us how much they enjoyed living at Cowan Court and how their move to the development had been very positive for them. This included making new friends having previously found themselves isolated in their former homes. Tenants felt safe and well supported.

"The set up here is exceptionally good for us. We have made friends with other tenants. But people can be private if they choose. We are so glad we made the move here"

"Moving here is the best thing that's happened to me. I've made friends with other tenants. I couldn't be happier anywhere else"

"I had been isolated at home and have now made new friends. You feel secure and safe here. It's a lovely place"

"This is beyond what I thought I would end up. I'm really happy here"

"If I have an emergency they would get here straight away"

The care service provided beneficial time periods of respite for partners who were the main carer of tenants who had high care needs. Tenants who only received housing support told us of the advantages of being able to tap into the care service in an emergency.

Relatives told us of the positive outcomes for them in that they did not need to worry about their relative.

"Since my relative moved to Cowan Court it has been such a huge help to me"

"I'm very happy with the care being provided. It's taken a lot of worry away from myself. I know there are people there to look after my relative".

Each tenant had a personal plan which provided information about the level of support they required. Where tenants received care support we found there was good detail as to their health issues and support needs to aid care staff. Plans and risk assessments were reviewed every six months and consistently updated when care needs changed. This allowed all care staff to have up to date information to ensure the correct support was provided.

We were confident carers monitored the tenant's wellbeing and reported any health and safety concerns they had to senior staff. We saw where concerns were followed up. This included reporting concerns to relevant parties e.g. relative, health professional, and social work and advocating on the service users behalf to ensure the person's safety and wellbeing. To further improve monitoring of well-being the service was commencing offering a well-being call each morning.

Support was delivered by a largely consistent team of staff. This ensured tenants were able to develop good relationships with familiar care staff who knew their routines and preferences. Consistency should further improve with the recruitment of new care staff which is soon to take place. Tenants told us carers stayed the length of time necessary, were not rushed and had time for a chat.

The service was flexible to allow tenants to meet appointments and follow preferred routines. "If I'm going out they will come in earlier so I can go"

Tenants were supported and encouraged to organise activities, celebrations and entertainment at the Court. A regular tenants meeting took place to discuss and arrange these events. The majority of tenants we spoke with joined in with some of the events. Some tenants met up with each other on a daily basis to enjoy each other's company. One stated:- "There are opportunities to join in and there is an amazing selection of things to do"

Requirements

Number of requirements: 0

Recommendations

Number of recommendations: 0

Grade: 5 - very good

Quality of staffing

Findings from the inspection

Tenants and relatives praised the staff who worked at Cowan Court. This praise included the following:-

"The staff here are exceptional"

"Staff here are first class. I cannot praise them enough"

"The staff are very nice. They would do anything for you. They are very helpful"

"I don't know what I'd do without the staff".

The service ensured staff received appropriate training to help them in undertaking their support roles in various areas. Mental health training had recently been delivered and the service intended to consolidate that training. We recommend the service provides infection control training for all staff working at Cowan Court. (see Recommendation 1).

The service continued to support care staff to undertake Scottish Vocational Qualifications (SVQ) through their rolling programme. There were plans for staff to undertake an SVQ module in housing support to deepen their understanding of that support role. We will follow this up at the next inspection.

Observations of carers to ensure their competency whilst delivering care had been taking place. This procedure was being further developed. We will follow this up at the next inspection.

Staff received appropriate support from management through regular three monthly team meetings and one to one supervision meetings. Staff were able to freely discuss any concerns they had about their employment and about individual tenants.

The service had identified instances where the recording of care information by staff needed to be improved. We also found examples where care notes had insufficient information recorded. It is important a clear written record is kept of tasks undertaken and about the overall well-being of tenants following a care visit. (see Recommendation 2).

Requirements

Number of requirements: 0

Recommendations

Number of recommendations: 2

1. The provider should provide infection control training for all staff working at Cowan Court.
National Care Standards. Care at Home - Standard 4: Management and Staffing. Housing Support - Standard 3: Management and staffing arrangements.
2. The provider should ensure improvements are made in relation to the recording of sufficient and accurate care information undertaken by staff.
National Care Standards. Care at Home - Standard 4: Management and Staffing. Housing Support - Standard 3: Management and staffing arrangements.

Grade: 4 - good

Quality of management and leadership

Findings from the inspection

The service had developed its own identity and very much benefitted from having an experienced team supervisor who was able to focus solely on Cowan Court and was based on the premises. We received comments of praise from tenants and relatives about the team supervisor and administrator and handy man.

When a vacancy arose the dependency needs of existing tenants were analysed against staffing levels which enabled the service to identify if the vacancy could be taken up by a new tenant with low, medium or high needs. This ensured the needs of tenants and staffing capacity was well balanced.

The service had developed and was continuing to develop good quality assurance systems to monitor the effectiveness of the service. The views of tenants were currently being sought as to their satisfaction with the overall service. We saw high satisfaction being expressed overall. Views of tenants, relatives and third party representatives were also being sought at the six month review meetings.

The team supervisor undertook three monthly audits of personal plans to make sure they were up to date and care staff were just commencing undertaking additional monthly reviews of the plans.

We identified where improvements could be made to existing auditing procedures and the development of auditing systems in relation to checking arrival times, length of visits and the frequency and length of calls undertaken following a call via the buzzer system. We discussed these improvements with service representatives who committed to taking these forward. We will follow this up at the next inspection.

All accidents and incidents were recorded appropriately on the providers computerised reporting system and where required were being reported to the Care Inspectorate.

Where concerns and expressions of dissatisfaction had been expressed by tenants and/or relatives they had been recorded in a book. Some examples showed actions taken and improvements made to resolve the issues recorded. We advised the service to develop a better recording process which had specific headings to ensure all elements of the concern, including outcomes and learning were recorded. We will follow this up at the next inspection.

The provider, Midlothian Council, had recently undertaken a quality assurance audit of the service to evaluate the progress they had made in making planned improvements since the last inspection. We could see the service had progressed well. This was evident in that the service had met all the requirements and recommendations made at the last inspection.

Requirements

Number of requirements: 0

Recommendations

Number of recommendations: 0

Grade: 5 - very good

What the service has done to meet any requirements we made at or since the last inspection

Previous requirements

Requirement 1

All personal plans should reflect the current needs of tenants and should be reviewed at least once in every six month period or when there is a significant change in a person's health, welfare or safety needs. SSI 2011/210 5 Personal plans.

This also takes account of National Care Standards - Care at home, Standard 3 - Your personal plan.

This requirement was made on 9 June 2016.

Action taken on previous requirement

This requirement had been met. Details in relation to this requirement being met can be found in the report.

Met - within timescales

Requirement 2

By six months of receipt of this report, you must demonstrate to the care inspectorate that:

- (a) There is a supervision programme in place for members of staff.
- (b) Members of staff are given the opportunity to meet with their manager according to the provider's supervision policy (supervision meetings).
- (c) Supervision meetings take account of the staff member's training and development needs within the role that they are employed to do.
- (d) A record is maintained of each supervision meeting and that the record is signed by the employee and manager as an accurate record of the supervision meeting.

This is in order to comply with Regulation 4(1)(a) of The Social Care and Social Work Improvement Scotland (Requirements for Care Services) Regulations 2011 (SSI 2011/210).

This requirement was made on 9 June 2016.

Action taken on previous requirement

This requirement had been met. Further details in relation to this requirement being met can be found in the report.

Met - within timescales

Requirement 3

The service must notify the Care Inspectorate of all notifiable events using the e-form system. The Social Care and Social Work Improvement Scotland (Applications and Registration) Regulations 2011.

This requirement was made on 9 June 2016.

Action taken on previous requirement

This requirement had been met. Notifications were now being sent to the Care Inspectorate where appropriate.

Met - within timescales

What the service has done to meet any recommendations we made at or since the last inspection

Previous recommendations

Recommendation 1

The management team should ensure that all tenants are supported to express their views about the service, records should clearly show the action taken in response to tenants views and their overall satisfaction with these.

NCS 11 Care at Home - Expressing your Views.

This recommendation was made on 9 June 2016.

Action taken on previous recommendation

All tenants had recently been asked to feedback their views about the service through a satisfaction questionnaire.

This recommendation had been: **Met.**

Recommendation 2

The service should ensure that the policy for mandatory training is up to date and that staff attendance on this training is recorded including when refresher training is due. Other identified training for staff should also be recorded and up to date.

National Care Standards, Care at Home, (4) Staffing and Training.

This recommendation was made on 9 June 2016.

Action taken on previous recommendation

All mandatory training had been identified. There were good records of when training was attended and due.

This recommendation had been: **Met.**

Complaints

There have been no complaints upheld since the last inspection. Details of any older upheld complaints are published at www.careinspectorate.com.

Enforcement

No enforcement action has been taken against this care service since the last inspection.

Inspection and grading history

Date	Type	Gradings
23 Mar 2016	Announced (short notice)	Care and support 4 - Good Environment Not assessed Staffing 3 - Adequate Management and leadership 3 - Adequate
27 Mar 2015	Announced (short notice)	Care and support 4 - Good Environment Not assessed Staffing 4 - Good Management and leadership 4 - Good

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11 Riverside Drive
Dundee
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enquiries@careinspectorate.com

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Fair Funding to achieve Excellence and Equity in Scottish Education: Outcome of the Midlothian Council Survey

Report by Dr Grace Vickers, Head of Education, Education, Communities & Economy

1. Purpose of the Report

Further to the Cabinet Report dated 15 August 2017, the purpose of this report is to present to Council the outcome of the Midlothian Council survey in response to the Scottish Government's consultation entitled Education Governance Review – Fair funding to achieve excellence and equity in education. The consultation was launched in June 2017 and closes on 13 October 2017. The full Midlothian Council Survey response is filed in appendix 2.

2. Background

2.1 Introduction

On 13 September 2016, the Scottish Government launched a consultation on Education Governance called *Empowering teachers, parents and communities to achieve excellence and equity in education: A Governance Review*. The consultation closed on 6 January 2017 and a full copy of the Midlothian Council response was approved by Council on 20 December 2016.

In June 2017, the Scottish Government published the outcome of this national consultation in their report entitled Education Governance: Next Steps. In the same month the Scottish Government also launched the fair funding consultation and a copy of this is filed in appendix 1.

This consultation invites views on: the way school education is currently funded in Scotland, including early year's provision within school settings; the purpose of developing a new, more consistent approach to school funding; and the principles that should underpin any changes. It also sets out and seeks views on possible future funding approaches to support our vision of excellence and equity for all children and young people across Scottish education.

The Scottish Government are inviting responses to this consultation by **Friday 13 October 2017**. Individuals can respond using the Scottish Government's consultation platform, Citizen Space. You can view and respond to the consultation online at: <https://consult.scotland.gov.uk/empowering-schools/education-governancefair-funding>.

Appendix 2 contains the outcome of the Midlothian Council survey which, if approved, will be submitted to the Scottish Government.

2.2 The outcome of the Midlothian Council Survey

In total 122 responses were received as follows:

- 1.64% of respondents were learners,
- 52.46% of respondents were parents/carers;
- 35.25% of respondents were members of staff;
- 10.66% of respondents were replying as a group e.g. Parent Council or school.

It should also be noted that separate responses will also be submitted by a range of other bodies including SOLACE, COSLA, ADES, the individual Trade Unions and Religious Representatives.

Overall respondents reported that they did not understand some of the questions posed by the Scottish Government particularly when using more technical language e.g. devolved school management. This was similar to the previous report on the Governance Review which was presented to Council in December 2016 where we reported a number of concerns about the lack of detail stated in the consultation document which makes it challenging to answer the large number of open questions contained within the national survey. Therefore Midlothian, as part of their response, requests more detail and clarity on what is actually being proposed. Overall, this lack of detail in the consultation document and the complex open questions may have resulted in a low response rate to both the Midlothian consultation and consequently may be the same in terms of response rate to the national survey. It should be noted that more respondents started the questionnaire than fully completed the questionnaire with some answers stated as 'Don't know' or simply a question mark.

Another key theme in the responses was related to lack of funding or 'not enough funding' from the Scottish Government and reference was also drawn to the need for training in finance, budgeting and staffing in order to ensure that Head Teachers had the skills to undertake additional duties. However concern was also raised about the important role that Head Teachers undertake as leaders of learning and that, if new powers were devolved to Head Teachers, there would be a requirement for Business Managers or additional administrative support to assist at school level.

3. Report Implications

3.1 Resource

The launch of the Fair Funding Review in June 2017 alongside this Education Governance report examines the system changes required to deliver future funding to empower schools, decentralise management and the support through the encouragement of school clusters and creation of new educational regions and will implement any proposals arising from the Governance and Parental Involvement reviews at the earliest opportunity. In particular the Scottish Government will support the development and expansion of school clusters and increased regional working throughout 2017-18 as published in the Governance Review: Next Steps in June 2017.

3.2 Risk

The previous Cabinet report dated 11 October 2016, highlighted the following risks: we welcome the relentless focus on closing the attainment gap in Education but we recognise that this requires a total Midlothian approach; although the delivery plan clearly states in the opening ambition statement that in order to close the attainment gap “our efforts must also extend beyond the classroom and across our communities and wider public services if we are to succeed in our ambition” (2016: 4); the delivery plan then continues with a narrow focus on the school level leavers without recognition of the critical role that other services including the Community Planning Partnerships and the third sector play in supporting education to close the poverty related attainment gap.

3.3 Single Midlothian Plan and Business Transformation

The ambition in the delivery plan to interrupt the cycle of poverty is already clearly embedded in the Single Midlothian Plan – reducing inequalities and is reflected fully in the Education Service Plan.

Themes addressed in this report:

- Community safety
- Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- None of the above

3.4 Key Priorities within the Single Midlothian Plan

GIRFEC 5: Our people will be successful learners, confident individuals, effective contributors and responsible citizens.

3.5 Impact on Performance and Outcomes

To close the gap by improving ‘attainment versus deprivation’ and ‘attainment for all’ outcomes for children and young people.

3.6 Adopting a Preventative Approach

This report aims to take preventative action in order to close the attainment versus deprivation gap by implementing key policies and programmes which are designed to target support to children and young people from disadvantaged communities.

3.7 Involving Communities and Other Stakeholders

This report presents the Midlothian Council survey response to the national consultation on Fair funding.

3.8 Ensuring Equalities

The recommendations in this report should continue to promote equity of attainment for disadvantaged children and support the steps being taken towards narrowing the attainment gap by imposing duties on education authorities and the Scottish Ministers in relation to reducing pupils’ inequalities of educational outcome together with a duty to report on progress.

3.9 Supporting Sustainable Development

There are no impacts arising directly from this report.

3.10 IT Issues

There are no IT issues to consider within this report.

4 Recommendations

Council is recommended to:

- Note the content of the report; and
- Agree that the Midlothian Council consultation response contained in appendix 2 be submitted to the Scottish Government before 13 October 2017.

13 September 2017

Report Contact:

Dr Grace Vickers, Head of Education Tel No 0131 271 3719

julie.currie@midlothian.gov.uk

Background Papers:

Appendix 1- Midlothian's Response

Appendix 2- Consultation

Supporting Papers for on-going reviews in Scottish Education:

Scottish Government Consultation: Fair Funding (2017):

<https://consult.scotland.gov.uk/empowering-schools/education-governancefair-funding>.

Governance Review: Next Steps: <http://www.gov.scot/Publications/2017/06/2941>

Standards in Scotland's Schools Act (2000):

http://www.legislation.gov.uk/asp/2000/6/pdfs/asp_20000006_en.pdf

Statutory Guidance: Standards in Scotland's Schools etc. Act 2000: Scottish Government Consultation: <https://consult.scotland.gov.uk/strategy-and-performanceunit/statutory-guidance>

Education (Scotland) Act 2016:

http://www.legislation.gov.uk/asp/2016/8/pdfs/asp_20160008_en.pdf

Updated guidance on Chapter 3 of the Standards in Scotland Schools Act, August 2016:

<http://www.gov.scot/Publications/2016/08/5386/4>

Scottish Schools (Parental Involvement) Act 2006 by the National Parent Forum of Scotland:

<http://www.gov.scot/Resource/Doc/148166/0039411.pdf>

Financial Review of Early Learning and Childcare in Scotland: the current landscape

(Scottish Government; September 2016): <http://www.gov.scot/Resource/0050/00506148.pdf>

Empowering teachers, parents and communities to achieve excellence and equity in education: A Governance Review: <https://consult.scotland.gov.uk/empoweringschools/a-governance-review>

EDUCATION GOVERNANCE

FAIR FUNDING TO ACHIEVE EXCELLENCE AND EQUITY IN EDUCATION

A consultation

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EDUCATION GOVERNANCE
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A consultation

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FOREWORD BY THE DEPUTY FIRST MINISTER AND CABINET SECRETARY FOR EDUCATION AND SKILLS



Improving the education and life chances of our children and young people is the defining mission of this Government. Our vision for education is to close the unacceptable gap in attainment between our most and least disadvantaged children and to raise attainment for all.

I believe that decisions about a child's learning should be made as close to that child as possible, and that decisions about a child's needs and how to meet them should be made by those around the child. This is a vision of empowerment and devolution – devolution from local authorities to schools – to include teachers, headteachers, parents and communities – and devolution from a national to a local or a regional level.

The Government's plans for realising this vision are set out in *Education Governance: Next Steps – Empowering Our Teachers, Parents and Communities to Deliver Excellence and Equity for Our Children*, published alongside this consultation. That paper sets out how we will ensure that Scotland's education system allows children to achieve their full potential, whatever their strengths and background. However, we are clear that, in order to deliver this transformational change, our education system must be underpinned by fair and transparent funding that puts schools at the heart of decision-making. The way we fund schools needs to recognise the crucial role of the school and support the collaborative and flexible culture we are seeking to develop.

Education represents the single largest component of local authority spending, with 45% of local authority budgets directed towards the provision and delivery of education, and gross expenditure totalling around £5 billion per year.

In its 2014 report, *School Education*, the Accounts Commission suggested that it is *how* local authorities decide to spend their education budget, rather than the overall level of spending, which has most impact on attainment levels. Importantly, that report also concluded that the impact of funding on attainment could be more significant if it was targeted at those schools and pupils where the need to improve attainment was greatest.

How we fund education in Scotland has an important role to play in helping to achieve our aims. Through this consultation, I want to hear your views on how we can best use the resources we have available to deliver the best possible outcomes for all our children and young people.

John Swinney MSP
Deputy First Minister and
Cabinet Secretary for Education and Skills

ABOUT THIS CONSULTATION

This consultation seeks views on the Scottish Government’s future approach to school funding.

The consultation invites views on the way education is currently funded in Scotland, the purpose of developing a new, more consistent approach to school funding, and the principles that should underpin any changes. It also sets out and seeks views on possible future approaches.

This consultation does not advocate a preferred Scottish Government approach. We want to hear your views as we develop options further.

Responding to this consultation

We are inviting responses to this consultation by **Friday 13 October 2017**. Please respond using the Scottish Government’s consultation platform, Citizen Space. You can view and respond to the consultation online at: <https://consult.scotland.gov.uk/empowering-schools/education-governance-fair-funding>. You can save and return to your responses while the consultation is still open. Please ensure that consultation responses are submitted before the closing date of **Friday 13 October**.

If you are unable to respond online, please complete the Respondent Information Form (see ‘Handling your Response’ below) and send to:

email: FairFunding@gov.scot

or write to us at:

Empowering Schools Unit
 Scottish Government
 2A – South
 Victoria Quay
 Edinburgh
 EH6 6QQ

Handling your response

If you respond using Citizen Space (<http://consult.scotland.gov.uk/>), you will be directed to the Respondent Information Form. Please indicate how you wish your response to be handled and, in particular, whether you are happy for your response to be published.

If you are unable to respond via Citizen Space, please complete and return the Respondent Information Form included in this document. If you ask for your response not to be published, we will regard it as confidential, and we will treat it accordingly.

All respondents should be aware that the Scottish Government is subject to the Freedom of Information (Scotland) Act 2002 and would therefore have to consider any request made to it under the Act for information relating to responses made to this consultation exercise.

Next steps

Where respondents have given permission for their response to be made public, and after we have checked that they contain no potentially defamatory material, responses will be made available to the public at <http://consult.scotland.gov.uk>. If you use Citizen Space to respond, you will receive a copy of your response via email.

Following the closing date, all responses will be analysed and considered, along with other available evidence, to help us shape future proposals for the funding of Scotland’s schools.

EXECUTIVE SUMMARY

This consultation seeks views on the Scottish Government's future approach to school funding.

*Education Governance: Next Steps – Empowering Our Teachers, Parents and Communities to Deliver Excellence and Equity for Our Children (Next Steps)*¹, published alongside this consultation, sets out our vision for a school and teacher-led system, where decisions about learning and teaching rest at school level. The way schools are funded needs to support that vision.

The consultation invites views on: the way school education is currently funded in Scotland, including early years provision within school settings; the purpose of developing a new, more consistent approach to school funding; and the principles that should underpin any changes. It also sets out and seeks views on possible future funding approaches to support our vision of excellence and equity for all children and young people across Scottish education.

Chapter 1 sets out why we are reviewing school funding, and the scope of this consultation.

Effective governance needs to be supported by a fair and transparent funding system that puts children and young people at the heart of decision-making. It is right that, as part of our whole-system governance review, we ask whether current practice could be improved, and funding more targeted to where it is needed the most.

As set out in *Next Steps*, the Scottish Government does not intend to develop a fixed national funding formula. There is little direct evidence at present about the role and success of funding formulas in driving improved educational outcomes. In addition, moving towards a national funding formula could introduce unacceptable instability and inflexibility to education funding.

Funding can have an important role to play in achieving positive outcomes and supporting equity. The development of a fair, more consistent, transparent and targeted method of allocating funding could provide a way to address current equity issues within the system.

This consultation seeks views on two possible approaches to achieving that aim.

Chapter 2 describes the current system of funding for schools. While there are a series of defined and publicly available methodologies for allocating money from the Scottish Government to local authorities, largely through the local government finance settlement, there is no single transparent approach to allocating money from local authority to education, and then to school level.

Education represents the largest single part of local government spending, accounting for around 45% of general fund net revenue expenditure in 2015-16. Total gross expenditure on education was £4.9 billion, with over two-thirds of primary, secondary and special school expenditure on staffing, (53% spent on teachers and 15% on non-teaching staff). Support services account for 4% and 'all other expenditure' the remaining 28%.

This chapter also describes the original aims of, and current practice in relation to, Devolved School Management in Scotland.

¹ Scottish Government (2017) *Education Governance: Next Steps – Empowering Our Teachers, Parents and Communities to Deliver Excellence and Equity for Our Children*
<http://www.gov.scot/Topics/Education/thegovernancereview>

Chapter 3 considers the challenges presented by the way schools are currently funded, and concludes that the current system of funding schools falls some way short of meeting the Scottish Government's aims and principles for any future approach to funding. This chapter highlights, in particular the following issues, and seeks views on how funding could be better targeted to support excellence and equity for all:

- wide variation in the amount of spending per pupil between local authorities;
- relatively little targeting of funding on the basis of particular needs;
- considerable variation between local authorities in the influence headteachers have on spending decisions; and
- lack of transparency regarding the method of calculation and level of school budgets.

In light of these issues, and to reflect the vision of a school and teacher-led system set out in *Next Steps*, **Chapter 4** describes and seeks views on two possible approaches to funding in the future.

Next Steps sets out the Scottish Government's intention to legislate to create a Headteachers' Charter which will define across Scotland headteacher leadership responsibilities. The Charter could incorporate within it a standardised Scotland-wide approach to funding allocation, devolving the maximum amount of funding to schools.

An alternative approach – or one that could be used in conjunction with the approach set out above – would be to build on the approach currently being taken in relation to Pupil Equity Funding. Under this approach, more funding would be targeted directly to schools in relation to specific need factors.

The consultation also seeks views on the support, accountability and reporting mechanisms that should underpin greater devolution of responsibility for funding decisions to headteachers.

Conclusion

This consultation is your opportunity to shape how schools are funded in Scotland. The deadline for responses is **Friday 13 October 2017**.

INTRODUCTION

Improving the education and life chances of our children and young people is the defining mission of this Government.

The National Improvement Framework set out the Scottish Government's vision for excellence and equity for all children and young people across Scottish education:

- **Excellence through raising attainment:** ensuring that every child achieves the highest standards in literacy and numeracy, set out within Curriculum for Excellence levels, and the right range of skills, qualifications and achievements to allow them to succeed; and
- **Achieving equity:** ensuring every child has the same opportunity to succeed, with a particular focus on closing the poverty related attainment gap.

Scotland has a good education system which is delivering well for a great many young people in Scotland. In 2016 the number of Advanced Higher passes reached a record high, while the number of Higher passes was second only to the 2015 record². A record proportion of young people from Scotland's most deprived communities went into a positive initial destination in 2015-16 – 88.7%, up from 83.9% in 2011-12³.

While current evidence shows our system has many strengths, there are areas where we must improve performance. The majority of young people are performing well, but the current system is not maximising education outcomes for all, with the circumstances of a child's life still having a disproportionate impact on their chance of success. The Scottish Survey of Literacy and Numeracy (SSLN) data published in May 2017⁴ showed the size of the deprivation related performance gap in literacy has not changed since 2012 and, coupled with the Programme for International Student Assessment (PISA) statistics published in December 2016⁵, makes the case for education reform clear.

This Government has been taking strong and decisive action to address the weaknesses in the system by providing teachers and schools with the tools they need to deliver excellence and equity for all children and young people across Scottish Education. This action includes the Scottish Attainment Challenge funding, which is a key part of our work focussed on tackling the poverty related attainment gap. Over the lifetime of this Parliament, we will target £750 million at the children, schools and communities most in need, with £120 million per annum going directly to schools. We have listened to teachers and have significantly streamlined the volume of advice regarding the Curriculum for Excellence. Through changes to the National Qualifications, we are reducing bureaucracy and workload by reducing the burden of assessment, both on teachers and on young people. We are also increasing investment and support in the early years through the significant expansion of early learning and childcare.

2 SQA (2016) *Attainment Statistics (August)*. https://www.sqa.org.uk/sqa/files_ccc/2016-sqa-attainment-summary.pdf

3 Scottish Government (2016) *Summary statistics for attainment, leaver destinations and healthy living*, No.6: 2016 Edition. <http://www.gov.scot/Publications/2016/06/4523>

4 Scottish Government (2017 c) *Scottish Survey of Literacy and Numeracy 2016 (Literacy)* <http://www.gov.scot/Publications/2017/05/7872>

5 Scottish Government (2015) *Programme for International Student Assessment (PISA) 2015: Highlights from Scotland's Results* <http://www.gov.scot/Resource/0051/00511095.pdf>

We have an unwavering focus on improving Scotland's education system for every child and we will continue to make the changes necessary to strengthen Scottish education. This consultation forms part of our review of education governance and is central to our aim of empowering our teachers, schools and communities to deliver the necessary changes in our education system. *Education Governance: Next Steps - Empowering Our Teachers, Parents and Communities to Deliver Excellence and Equity for Our Children*⁶, published alongside this consultation, sets out how we will reform Scottish Education to realise our ambition of excellence and equity for all.

With current education spending worth £4.9 billion in 2015-16, it is clear that now is the right time to ask whether the current funding system could be improved and whether resources are being directed to where they are needed most.

The consultation invites views on how schools are funded and how the current equity issues within the system could be addressed to support our vision of excellence and equity for all children and young people across Scotland.

6 Scottish Government (2017) *Education Governance: Next Steps - Empowering Our Teachers, Parents, and Communities to Deliver Excellence and Equity for Our Children*
<http://www.gov.scot/Topics/Education/thegovernancereview>

1. WHY REVIEW SCHOOL FUNDING?

1.1 The Governance Review

The Scottish Government's Education Governance Review *Empowering Teachers, Parents and Communities to Achieve Excellence and Equity in education: A Governance Review*⁷ was launched in September 2016. It sought views on the way education in Scotland should be run, and the principles that should inform our approach to fair funding for schools. Putting the relationship between pupils and teachers at its heart, its aim was to systematically consider and question how each part of the education system – from early learning and childcare provision, through to secondary school education – can support our vision of excellence and equity in education.

Following 16 weeks of engagement and consultation, the Governance Review closed on 6 January 2017. Over 1,000 parents, teachers, members of the public and organisations submitted formal written responses to the consultation and almost 700 people took part in the public engagement sessions across Scotland. All of those responses have been analysed, and are published alongside *Next Steps* and this consultation. In addition, we asked Children in Scotland, Young Scot and the Scottish Youth Parliament to ensure that the voices of children and young people were heard. In parallel with the Governance Review, the National Parent Forum undertook a review of the Scottish Schools Parental Involvement Act 2006. We have also drawn on evidence from the Organisation for Economic Co-operation and Development (OECD), the International Council of Education Advisers (ICEA) and international evidence to inform the way forward.

A consultation on the expansion of Early Learning and Childcare (ELC) ran between October 2016 and January 2017. This covered a range of key policy areas, including funding models. The Scottish Government set out its response to the ELC consultation on 23 March 2017 in *A Blueprint for 2020: The Expansion of Early Learning and Childcare in Scotland 2017-18 Action Plan*⁸.

1.2 Education Governance: Next Steps – Empowering Our Teachers, Parents and Communities to Deliver Excellence and Equity for Our Children

The Scottish Government believes that teachers and practitioners are best placed to work with communities and parents to drive educational improvement. The organising system of education must be focussed on providing the best framework for them to do so. That framework must in turn be supported by building capacity for improvement in the system, a culture of leadership and collaboration and strong accountability.

Grouped around five main themes, *Next Steps* sets out specific proposals for reform in order to create an education system that:

- is centred around children and young people;
- is school and teacher-led;
- focusses on the quality of teaching and learning;
- supports leadership; and
- has a relentless focus on improvement.

⁷ Scottish Government (2016) *Empowering Teachers, Parents and Communities to Achieve Excellence and Equity in education: A Governance Review* <http://www.gov.scot/Publications/2016/09/1251>

⁸ Scottish Government (2017) *A Blueprint for 2020: The Expansion of Early Learning and Childcare in Scotland 2017-18 Action Plan* <http://www.gov.scot/Publications/2017/03/8937>

1.3 Fair Funding

Effective governance needs to be supported by a fair and transparent funding system that puts children and young people at the heart of decision-making.

It is right that, as part of this whole-system review, we also ask whether current practice could be improved, and allocation more targeted to need, so that every child receives the teaching, support and guidance they require, regardless of their circumstances, the school they attend, or the local authority they live in.

Next Steps discusses three possible approaches to funding in the future to support our vision for a school and teacher-led system, and to bring greater consistency, transparency and fairness to school funding, including the development of a fixed national funding formula.

While many education systems have moved in recent years towards decentralisation of funding in this way, there is little direct evidence at present about the role and success of funding formulas in driving improved educational outcomes. In addition, moving towards a national funding formula could introduce unacceptable instability and inflexibility to education funding. *Next Steps* makes it clear that local authorities will remain democratically accountable for the provision of early learning and childcare and for schools. They will focus on delivering world class educational support services, and their role will be key in supporting headteachers and schools to drive improvements and deliver better outcomes for children. The vast majority of the funding for school education will continue to be channelled through local authorities, and they will continue to have a role in ensuring that public resources allocated for the delivery of education in Scotland are properly accounted for. The Scottish Government does not therefore intend to develop a fixed national funding formula.

However, there is some evidence that the approach taken to funding *can* help improve educational outcomes. The Accounts Commission report *School Education (2014)*⁹ stated that “*Evidence from our literature review suggests that it is how councils decide to spend their education budget rather than the overall level of spend which has most impact on attainment levels. The literature also suggests the impact of funding on attainment could be more significant if it was targeted at those schools and pupils where the need to improve attainment was greatest.*” A Centre for Economic Performance paper also found that “*increases in resourcing are usually more effective for disadvantaged pupils and/or schools*”¹⁰.

Funding can have an important role to play in achieving positive outcomes and supporting both horizontal equity – where there is equal treatment of similar pupils and/or schools, no matter where they are in Scotland – and vertical equity – whereby pupils or schools are treated differently, according to their differing characteristics and learning needs.

The development of a fair, more consistent, transparent and targeted method of allocating funding could provide a way to address current equity issues within the system and ensure that resource goes where it is needed most.

This consultation seeks views on two possible approaches to meeting those aims.

9 Accounts Commission (2014) *School Education*
http://www.audit-scotland.gov.uk/uploads/docs/report/2014/nr_140619_school_education.pdf

10 Gibbons, S and McNally, S (2013) *The Effects of Resources Across School Phases: A Summary of Recent Evidence*, Centre for Economic Performance Discussion Paper No. 1226

1.4 Scope of consultation

This consultation focusses and seeks views on how we can ensure that operational funding for early years and school-age education at a **school level** is allocated fairly and to best effect. The following areas of school funding are therefore within scope:

- teacher costs;
- non-teaching staff costs, for example, teaching support or school administration staff; and
- all other school-related discretionary expenditure, for example books, materials, etc.

Some areas of expenditure cannot easily be assessed or allocated at individual school level, for reasons of complexity and accountability, and historically have been considered to be more effectively managed centrally (e.g. at an education authority level). They are therefore outwith the immediate scope of this consultation, although consultees are invited to offer views on what areas of school expenditure should or should not be managed at headteacher level (Question 4). At present, the areas generally dealt with centrally include the following:

- all capital expenditure, including any Public-Private Partnership (PPP)/Private Finance Initiative (PFI) costs;
- school building maintenance costs;
- IT services and their associated costs;
- utilities costs;
- central support services, such as Educational Psychologists;
- school meal services;
- school transport;
- some aspects of costs relating to Additional Support Needs;
- costs associated with early years provision outside school settings;
- other children’s services, for example care services; and
- clothing grants and similar allowances.

The consultation sets out how education is currently funded, the benefits, limitations and implications of that approach, and the opportunities for developing a funding model fit for the future.

2. CURRENT SYSTEM OF FUNDING

2.1 Overview

School funding is complex and currently lacks transparency.

While there are a series of defined and publicly available methodologies for allocating money from the Scottish Government to local authorities, largely through the local government finance settlement, there is no single or transparent approach to allocating money from local authority to education and then to school level.

This makes it difficult to establish a fully comprehensive picture of how school level budgets are determined. However, what is clear is that there is a great deal of variation across Scotland.

2.2 Education funding in Scotland

2.2.1 Role of Local Authorities in delivering education

Next Steps sets out the changing role of national and local government to support the devolution of powers to school level.

Currently, local authorities have statutory duties both in relation to the delivery of education and in how they spend public funds. Legal responsibilities for delivering education currently sit largely with local authorities, who are responsible for school education and early learning and childcare provision in their area. Under the Education (Scotland) Act 1980, they are required to deliver 'adequate and efficient' education. Under the Local Government in Scotland Act 2003, they are bound by a number of duties in relation to securing best value and accountability for expenditure. They also have a range of other legislative duties which impact on the allocation decisions they take, for example in relation to additional support for learning.

2.2.2 Scottish Government funding

The bulk of the money local authorities spend on school education and early learning and childcare provision is funded through the General Revenue Grant from the Scottish Government, which forms part of the overall local government settlement.

Central Government funding for education – and most other local authority services – is allocated to individual local authorities using a distribution formula and a series of needs-based indicators. While most of the indicators used to assess need in education relate to population bandings or pupil numbers, some relate to more specific 'need' factors, such as measures of deprivation and 'rurality'.

Funding allocations to local authorities through this route are not budgets or spending targets. The vast majority of money provided for education through the local government settlement is not ring-fenced, and it is for individual local authorities to determine how much funding should be allocated to education and then to individual schools and centrally managed education services. That assessment – generally set out in the local authority's Devolved School Management Scheme (DSM) – is made on the basis of local needs and priorities, but also reflecting statutory obligations and agreed national priorities. Further information about DSM is set out in section 2.3.

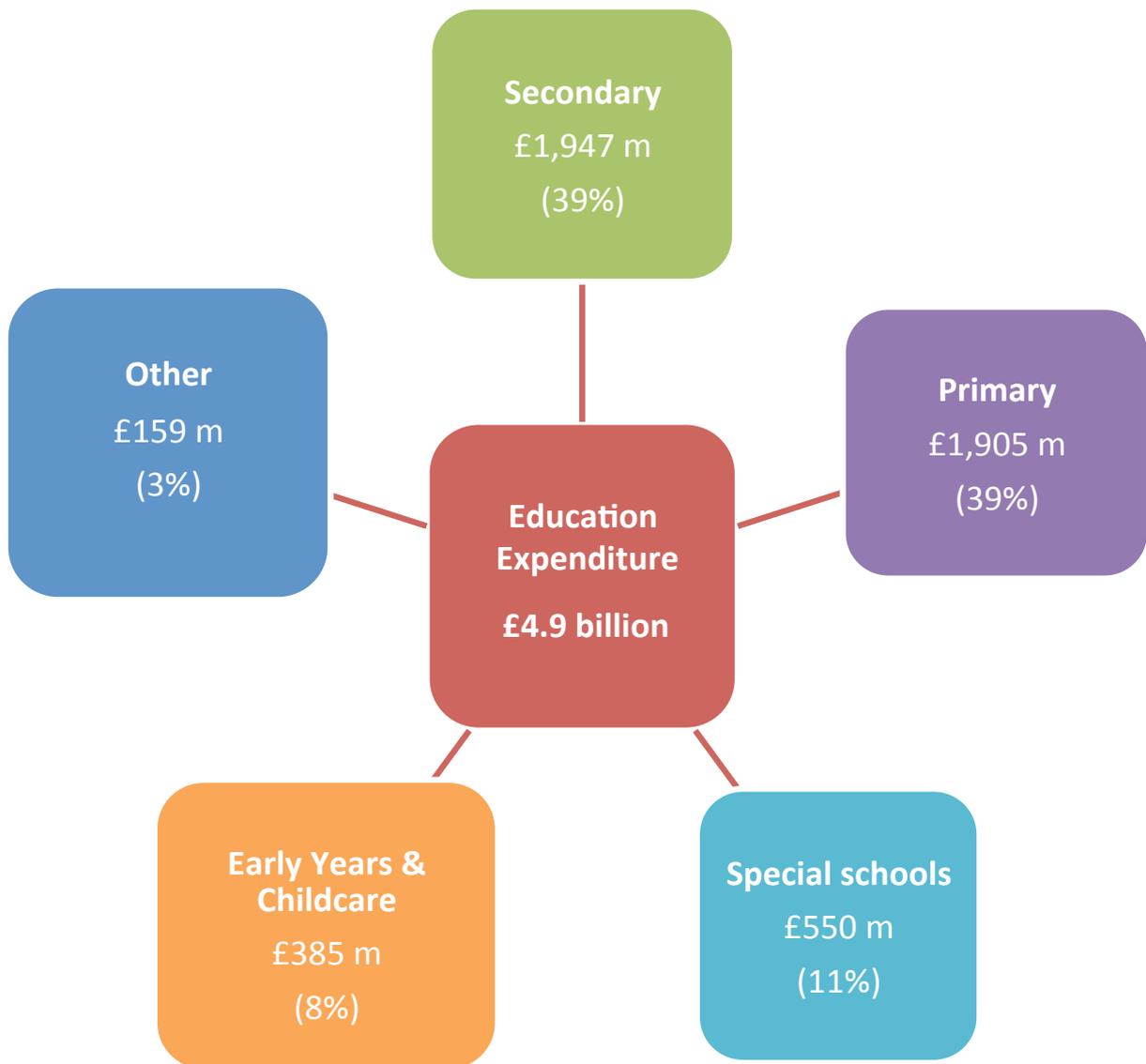
Local authorities and schools also receive funding to support specific education initiatives or needs, for example to support teacher numbers, teacher pay or closing the attainment gap.

This system leads to a wide variation in both the level and method of allocation of schools funding across Scotland.

2.2.3 Current spending on education by Local Authorities

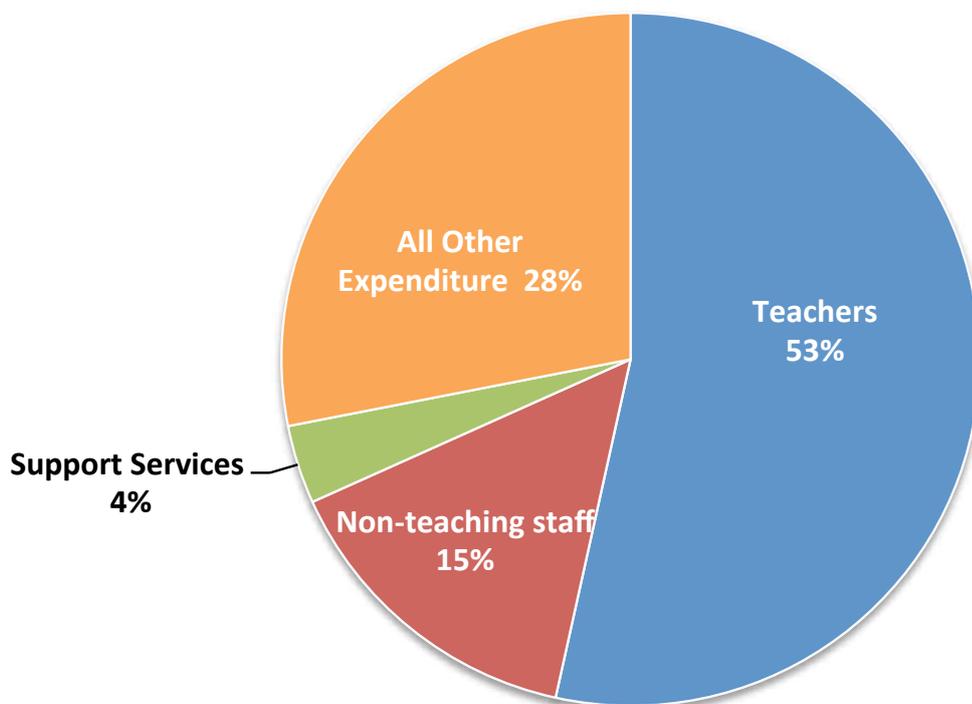
Education represents the largest single part of local government spending, accounting for £4.9 billion of gross expenditure in 2015-16. Nearly 90% of this was spent on primary, secondary and special schools. 8% of education spending was on early learning and childcare.

2015-16 Education Expenditure by Sector



Over two-thirds of spending on primary, secondary and special education is on staffing, with 53% spent on teachers and 15% on non-teaching staff, support services accounting for 4% and 'all other expenditure' accounting for 28% (this includes building maintenance costs, utilities, school meals and transport). These proportions have remained relatively stable in recent years.

2015-16 School Expenditure by Type of Cost



Estimated capital expenditure on education by local authorities totalled £653 million in 2015-16, 26% of total local authority capital expenditure. The bulk of this expenditure was on primary and secondary education.

2.2.4 Scottish Attainment Challenge funding

It is important that funding goes to where it is needed the most. Allocating ring-fenced funding directly to schools has therefore become a key part of the Scottish Government's work focussed on tackling the poverty related attainment gap.

In Spring 2016, the Scottish Government extended the Scottish Attainment Challenge to commit a total of £750 million over the lifetime of this Parliament to tackle the attainment gap, targeting resources at the children, schools and communities most in need through:

Pupil Equity Funding, available for headteachers to use for additional staffing or resources that they consider will help to raise attainment. In 2017-18, this funding is directly provided to schools in Scotland at a rate of £1,200 for each pupil in P1 to S3 known to be eligible for free school meals. 95% of schools in Scotland currently benefit from this funding. Headteachers are free to decide how to make best use of this funding. As with all current education funding, the scheme is administered by local authorities, who enter into a grant agreement with the Scottish Government, setting out how much funding each school will receive. Headteachers are accountable to their local authority for the use of the funding, which they will report on through current reporting mechanisms. These reports will be publicly available so that parents can understand how this funding is being used in their school.

Attainment Scotland funding, providing targeted support for children and young people in greatest need through the Challenge Authorities and Schools Programme, as well as funding a number of national programmes, including staffing supply and capacity, professional learning and school leadership. This includes working with nine Challenge Authorities with the greatest concentration of primary age children living in Scottish Index of Multiple Deprivation (SIMD) 1 and 2 areas to implement authority wide improvement plans, based on initiatives to improve literacy, numeracy and health and wellbeing.

2.2.5 Early Learning and Childcare (ELC)

Funding for Early Learning and Childcare is currently included within the General Revenue Grant provided as part of the local government settlement.

Local authorities then decide how best to allocate this resource in order to meet their statutory duties. This includes their statutory duty to ensure that funded Early Learning and Childcare entitlement is available to all eligible children in their area.

The Children and Young People (Scotland) Act 2014 increased the funded entitlement from 475 hours per year to 600 hours per year for all three and four year olds, and eligible two year olds. Local authorities can deliver the entitlement through their own nurseries and provision, or contract with providers in the private and third sectors.

In 2015-16 local authority revenue expenditure on Early Learning and Childcare was around £385 million, accounting for around 7.8% of total local authority expenditure on education.

This figure is expected to rise year on year over the period to 2019-20 as additional funding was provided to local authorities to support delivery of the provisions in the Children and Young People (Scotland) Act 2014, including expansion of funded entitlement from 475 to 600 hours, extension of entitlement to eligible two-year-olds and increased flexibility. However, analysis presented in the *Financial Review of Early Learning and Childcare in Scotland*¹¹, published in September 2016, indicates that so far not all of the resources allocated to local authorities to support the delivery of the 2014 Act have been spent on ELC.

The Scottish Government is committed to almost doubling the funded entitlement to 1,140 hours per year by 2020. In October 2016, we set out our vision for the expansion as part of *A Blueprint for 2020* consultation. That consultation sought views on the key policy aspects of the expansion, including potential funding models.

The Minister for Childcare and Early Years set out the Scottish Government's response to the consultation in *A Blueprint for 2020: The Expansion of Early Learning and Childcare in Scotland*¹². This includes a new 'Funding Follows the Child' approach which will be introduced alongside the expanded entitlement in 2020.

This approach will ensure that funding for ELC directly supports eligible children and their families, ensure financially sustainable provision and deliver Fair Work practices across all sectors. It will underpin a more progressive and provider-neutral service model which allows parents to access a greater choice of high-quality settings and removes barriers which can make it difficult for private and third sector providers to offer the funded entitlement. The details of the new model will be developed jointly with local authorities through a Service Models Working Group, due to report by the end of March 2018.

11 Scottish Government (2016) *Financial Review of Early Learning and Childcare in Scotland: the current landscape*, <http://www.gov.scot/Resource/0050/00506148.pdf>

12 Scottish Government (2017) *A Blueprint for 2020: The Expansion of Early Learning and Childcare in Scotland 2017-18 Action Plan* <http://www.gov.scot/Publications/2017/03/8937>

2.2.6 Additional Support Needs

As part of general spending on education, local authorities also provide significant resource to support pupils with additional support needs. Of the £4.9 billion spent on education in 2015-16, £584 million (12% of total education spend) was on additional support for learning, an increase of £5 million on 2014-15.

In addition, the Scottish Government provides £11.3m of funding to 10 specific services dedicated to providing specialist additional support. These include: seven grant-aided special schools; Enquire, the national advice and information service for parents and carers on additional support for learning; CALL Scotland, which provides adaptations and assistive technology support for pupils with complex additional support needs; and the Scottish Sensory Centre, which provides training to teachers and other staff in supporting pupils with hearing and visual impairment.

The Scottish Government is currently considering whether the focus on building capacity of services as part of the Doran Review (a strategic review of learning practices for children and young people with complex additional support needs) could be aligned with the regional models of service delivery for children and young people with additional support needs. In its report¹³ on implementation of the Education (Additional Support for Learning) (Scotland) Act 2004 in May 2017, the Education and Skills Committee called for a financial review and for annual reporting on implementation of the Act. Ministers are already required to collect and publish information on implementation, including the cost of provision of additional support for learning.

2.3 Devolved School Management

2.3.1 Aims

Under the Standards in Scotland's Schools etc. Act 2000, every education authority is required to have a Devolved School Management (DSM) Scheme and to delegate to headteachers the preparation of school improvement plans. DSM schemes set out the functions and control over a portion of the local authority's education budget that is delegated to individual schools and headteachers. The education authority is free to decide to which schools the scheme should apply, i.e. it does not have to apply to all schools.

DSM was introduced in 1993 to enhance and improve the management of resources at school level. The guidelines produced at that time required local authorities to devolve 80% of school budgets to headteachers, with the twin aims of improving local decision-making and providing more flexibility to headteachers in responding to the needs of individual schools. The guidelines were revised in 2006, with a recommendation that local authorities increase the level of devolved budgets to 90%. That advice reflected the principle that everything that could be devolved should be devolved, except for certain areas of expenditure that were not considered suitable for devolution (for example, expenditure that was centrally funded, such as capital expenditure, including all PPP/PFI costs; school meals; school milk).

Further revised guidelines, introduced in 2012, were focussed less on the percentage of budget devolved, and based on a number of key principles grouped into the four main themes of: subsidiarity and empowerment; partnership working; accountability and responsibility; and local flexibility.

¹³ Scottish Parliament Education & Skills Committee (2017) *How is Additional Support for Learning working in practice, 6th Report*, http://www.parliament.scot/S5_Education/Reports/ASN_6th_Report_2017.pdf

2.3.2 Current practice

While practice varies widely, DSM schemes in general are often very technical, providing only a partial view of the process by which funding is allocated to schools.

In addition to the areas of spending that have always been dealt with centrally, the portion of the budget delegated to headteachers appears to have reduced in recent years. Some local authorities now control elements of spend which were previously delegated.

Latest Scottish Government data from the Local Financial Return suggests that around a third of education expenditure is 'centrally managed'. However, the range reported by local authorities is wide and may not fully reflect actual experience, given the likely inconsistencies in the way spending is recorded.

However, national requirements, such as the Scottish Government's commitment to maintaining the pupil teacher ratio, and local requirements, such as local authority control over the staff employed by the authority and school management structures, mean that, in practice, headteachers appear to have direct control over only a very small proportion of their budgets.

It is clear that DSM schemes are not currently fulfilling their aims and full potential to empower headteachers in their spending decisions.

Chapter 3 considers the challenges presented by the way schools are currently funded, and the principles that will underpin our future approach to funding.

Question 1

- (a) What are the **advantages** of the current system of funding schools?
- (b) What are the **disadvantages** of the current system of funding schools?

Question 2

- (a) What are the benefits to headteachers of the current Devolved School Management schemes?
- (b) What are the barriers that headteachers currently face in exercising their responsibilities under Devolved School Management? How could these barriers be removed?

3. AIMS AND PRINCIPLES: THE CASE FOR CHANGE

3.1 Fair funding principles

The Governance Review consultation proposed that any future approach to funding should:

- **Support excellence and equity** - ensuring every child and young person has the same opportunity to succeed
- **Be fair** - placing the needs of all children and young people at the centre
- **Be simple, transparent and predictable** - ensuring the costs of delivering education can be easily understood and explained and that schools are able to manage and plan ahead with certainty
- **Deliver value for money** - ensuring that every penny spent is used effectively

Responses to the Governance Review were generally supportive of these principles and the principle more generally of supporting excellence and equity through funding. There was some concern about an overly formulaic approach to funding, but support for greater flexibility over funding and budgetary control, for example, in relation to procurement.

A number of other points were made in response to the consultation, for example the need for adaptability to local circumstances and situations, affordability, and the need to ensure that Getting it Right for Every Child (GIRFEC) principles are taken into account in the provision of local services. Some respondents were also concerned that there could be a tension between achieving simplicity and fairness and about the inclusion of value for money as a guiding principle.

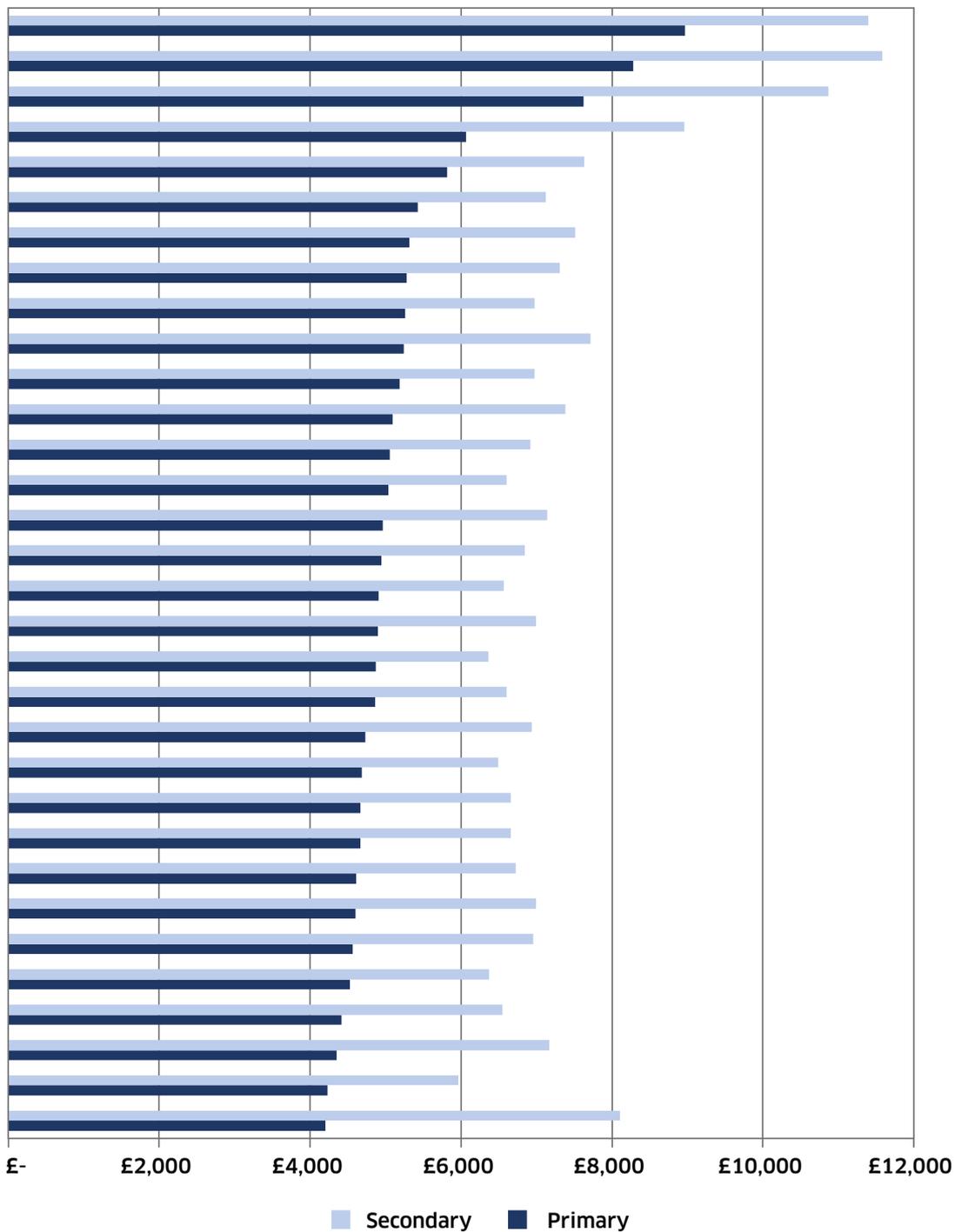
The Scottish Government believes that the current system of funding schools falls some way short of meeting these principles.

3.1.1 Supporting excellence and equity; fairness

Because the allocation of funding in schools is - for the most part - a matter for local authorities, there is wide variation in the amount of spending per pupil between authorities. We recognise that national policy initiatives, in particular the commitment to maintain the pupil teacher ratio, have restricted the extent of this variation to a degree (given that staffing costs generally account for almost 70% of spending) but the available evidence shows that it continues to exist.

For example, Scottish Government figures show that, in 2015-16, the average spend per pupil in Scotland was £4,877 in primary and £6,920 in secondary. However, per pupil spending in primary ranges from £4,200 in one central local authority to £8,968 in one of the island authorities.

Gross Revenue Expenditure per Pupil, by Local Authority, 2015-16



The Accounts Commission in its 2014 report on *School Education in Scotland*¹⁴, found those authorities with more island or rural areas generally spend more per pupil, for a number of reasons, including:

- the lower than average number of pupils in each school;
- the greater population dispersion and therefore distances that pupils have to travel;
- the greater number of primary schools required, leading to higher maintenance and running costs; and
- the difficulty of recruiting permanent and supply teaching staff without offering financial inducements.

That greater need is reflected in the share of funding islands and rural areas receive through the needs-based formulas within the local government settlement.

However, even among urban authorities, there are still large differences in spending per pupil, with those differences mainly influenced by how much is spent on teachers, and the composition of the teaching workforce, which will in part be influenced by the need to maintain the pupil teacher ratio.

This variation suggests that pupils or schools with similar characteristics in different local authority areas may attract very different levels of funding. That is significant given the OECD and Accounts Commission's findings that there is variation in attainment and achievement levels between local authorities and that some schools and local authorities achieve better attainment levels than others with similar socio-economic profiles¹⁵, and the Accounts Commission's finding that the positive impact of funding on attainment could be more significant if it was targeted at those schools and pupils where the need to improve attainment was greatest¹⁶.

However, local authority Devolved School Management Schemes suggest that the majority of education funding is allocated to schools by reference to pupil numbers or the number of teachers required to support the pupil roll, with relatively little funding allocated on the basis of additional needs-based factors such as deprivation, which we know can impact on an individual pupil's likely attainment.

There is also substantial variation in the content and operation of Devolved School Management schemes across Scotland, and in the proportion of education spending allocated for central purposes or delegated to schools. This suggests that there is considerable variation between local authorities in the influence that headteachers have on decisions about spending, and the flexibility they have within the budgets devolved to them.

If we are to create a more equitable system, where we can be sure that funding reflects need and schools are at the heart of decision-making, this variation in approach and outcome across Scotland must be addressed.

14 Accounts Commission (2014) *School Education*
http://www.audit-scotland.gov.uk/uploads/docs/report/2014/nr_140619_school_education.pdf

15 OECD (2015) *Improving Schools In Scotland: An OECD Perspective*
<http://www.oecd.org/education/school/Improving-Schools-in-Scotland-An-OECD-Perspective.pdf>

16 Accounts Commission (2014) *School Education*
http://www.audit-scotland.gov.uk/uploads/docs/report/2014/nr_140619_school_education.pdf

3.1.2 Simplicity, transparency and predictability

The system for allocating funding to schools is complex, opaque, and varies widely between local authorities. While the local government settlement uses a series of defined methodologies for allocating money to local authorities which take account of a wide number of needs-based factors, there is little transparency over the method of allocating funds from local authorities to education, and then to individual schools.

There appears to be substantial variation in how local authorities spend and allocate their education budget, and how they record that spending. Those differences make it difficult for teachers and parents to understand what level of funding their school receives and why, and for local authorities to understand the differences between them and other local authorities. Addressing these issues is important, given the Accounts Commission's findings that *'to ensure services are being provided as efficiently as possible, councils must fully understand the factors influencing their spend per pupil, and how this compares to other councils'*¹⁷ and that it is how local authorities decide to spend their education budget – rather than the overall spend – which has the most impact on attainment levels.

Because of the range of factors that need to be taken into account in funding individual schools, and the services supporting it, no approach to funding can ever be truly simple. Similarly, the specific amount of money that a school will receive in the future can never be entirely predicted, as that will depend on a number of factors, including the local authority's available budget. Nevertheless, these principles are important if we are to fully understand the impact of different spending decisions. The Scottish Government believes that a new approach to funding could go some way towards ensuring greater simplicity, transparency and predictability.

3.1.3 Delivering value for money

Funding must support how education is organised and the Scottish Government's focus on a school and teacher-led system which puts children and young people at the heart of education policy and practice.

While some respondees to the Governance Review expressed some concerns about the inclusion of value for money as a key principle, it is an important driver in ensuring that funding is fair. Value for money is not about cutting costs, but about maximising the impact of each pound spent to improve the outcomes for all children in Scottish education; ensuring the optimal use of resources to achieve the best outcomes, and that our schools are spending effectively. Lack of transparency, variation and the relatively small amounts of funding allocated on the basis of more complex additional need factors, such as rurality or deprivation, means that we cannot currently be sure that funding is being directed to where it is needed most.

The Scottish Government proposes that these principles should be reflected in any future approach to funding.

Question 3

How can funding for schools be best targeted to support excellence and equity for all?

¹⁷ Accounts Commission (2014) *School Education*
http://www.audit-scotland.gov.uk/uploads/docs/report/2014/nr_140619_school_education.pdf

4. FAIR FUNDING: FUTURE APPROACH

The Scottish Government proposes to introduce a new approach to funding for schools which meets the principles set out in Chapter 3, reflects the ambitious reforms set out in *Next Steps*, and supports improved outcomes for all our young people.

Next Steps sets out specific proposals for reform in order to create an education system that:

- is centred around children and young people;
- is school and teacher-led;
- focusses on the quality of teaching and learning;
- supports leadership; and
- has a relentless focus on improvement.

School funding needs to reflect and support the greater devolution of responsibility to headteachers described in that paper.

As set out in Chapter 1, the Scottish Government does not intend to develop a fixed national funding formula.

However, school funding needs to be more transparent and better targeted to need, and to reflect the new, enhanced role of headteachers. This chapter therefore seeks views on two possible approaches to achieving those aims: by enshrining a national approach to the devolution of funding within the new Headteachers' Charter; and/or through increased targeting of elements of funding, building on the Pupil Equity Funding approach.

4.1 Enshrining a national approach to the devolution of funding within the new 'Headteachers' Charter'

Headteachers' Charter

Next Steps sets out the Scottish Government's intention to legislate to create a Headteachers' Charter which will be developed in partnership with the profession. The intention is to invest in the leadership of schools and support empowered headteachers to raise attainment and close the attainment gap, within a strong national framework.

Headteachers will:

- be the leaders of learning in their schools;
- be supported through a revolutionised offer of support and improvement;
- be responsible for raising attainment and closing the poverty-related attainment gap;
- deliver quality and improvement at school level;
- select and manage the teachers and staff in their school;
- decide on school management and staffing structure, including business managers;
- decide on curriculum content and offer;
- work with partners, including local authority support staff and others, to meet learners' additional support needs at school level;
- collaborate for school improvement at school, cluster and regional level;
- lead self-evaluation and improvement of school performance;
- monitor school progress and reporting; and
- manage defined and greater proportions of school funding.

Fair Funding

In addition to devolving the maximum amount of funding to schools, the Charter could also provide for a Scotland-wide approach to funding allocation, incorporating within it a standardised approach to school funding.

Building on existing best practice, such an approach could retain flexibility in decision-making to reflect local circumstances, while mandating and bringing consistency and transparency across Scotland to:

- the proportion of funding to be allocated directly to schools;
- the proportion of funding to be allocated to particular areas of spending;
- the way in which funding responsibilities are held and shared between schools, local authorities, regional improvement collaboratives and others;
- the decisions that local authorities take in allocating funding to schools, by bringing consistency to the formulas they use and the factors they take into account in allocating budgets, reflecting need and overarching policy aims;
- the financial role and responsibilities of headteachers; and
- the training and support headteachers can expect to receive from local authorities and regional improvement collaboratives.

Implementation

As all local authorities are currently obliged to have a Devolved School Management scheme, this approach would be unlikely to require the development of any new bespoke delivery mechanisms, although there may be some administrative impacts in some local authorities if the changes are a significant departure from current practice.

Next Steps makes it clear that we will transform the level of clear, practical support for headteachers at a regional level to ensure they have all of the help and advice they need to improve the curriculum, learning, teaching and assessment. Similarly, substantially increased devolution of funding responsibility would need to be accompanied by increased support to headteachers, for example, a greater role for business managers and potentially new financial procedures. The Scottish Government would ensure that headteachers have the support necessary to enable them to have the skills and confidence to grasp the opportunities that such a change would bring. This approach would potentially also require the development of new accountability mechanisms and some transitional arrangements to ensure smooth transition to a new system.

A thorough process would be undertaken to agree the content of a Scotland-wide approach to devolving funding to headteachers. That would be taken forward by the Scottish Government, in conjunction with teachers and local government partners.

Benefits

A consistent, national approach to funding through the Headteachers' Charter could achieve a fair and more transparent allocation of resources by ensuring funds are allocated in an optimum and consistent way, based on need, and in accordance with overarching policy aims. It could support more empowered schools, but headteachers would have to have the ability to choose the staffing mix and management structure within their schools, which could have implications for the national pupil teacher ratio. This potential implication for national government is acknowledged in *Next Steps*. We will discuss with partners, including professional associations and parents, how we develop the right balance between national priorities and local flexibility as we move to a more empowered system.

This approach could provide clarity over the way that local authorities fund schools, by providing for minimum spending levels in certain areas of the budget, based on a formula,

and could help to promote greater stability in funding, allowing headteachers to plan for the longer term. It would use a familiar method of doing so as its basis (DSM), ensuring the retention of flexibility to meet local circumstances.

Such an approach fits well with the Accounts Commission's finding that it is how local authorities decide to spend their education budget that has most impact on attainment levels. A Headteachers' Charter could mandate some elements of spend, based on proven examples of what works.

This approach would promote equity within local authorities by ensuring the funding was allocated on a fair basis, and between authorities, by ensuring minimum spends as a proportion of budget. Without some direction on the amount of funding to be allocated to education, however, it would be difficult to achieve 'horizontal' equity, whereby similar schools in different local authorities receive similar amounts of funding. Care would also have to be taken to ensure that, in ensuring consistency and transparency, headteachers and schools were not constrained or disadvantaged.

Question 4

- (a) What elements of school spending should headteachers be responsible for managing and why?
- (b) What elements of school spending should headteachers **not** be responsible for managing and why?
- (c) What elements of school spending are not suitable for inclusion in a standardised, Scotland-wide approach and why?

4.2 Increased targeting of elements of funding, building on the approach taken to Pupil Equity Funding (PEF)

Overview

An alternative approach – or one that could be used in conjunction with the approach set out above – would be to build on the approach currently being taken in relation to Pupil Equity Funding. Under this approach, more funding would be targeted directly to schools in relation to specific need factors known to impact on performance and outcomes.

The current system for funding schools would be largely retained with this approach, but a greater proportion of funding would be allocated in this way, directly to schools, and potentially also school clusters and regional improvement collaboratives, to support particular needs and policy aims. As with the PEF approach, the headteacher would be responsible for decisions on spending, within national guidance, but overall accountability would be likely to remain with the local authority, through which the funding would be directed.

The PEF is currently allocated on the basis of known entitlement to Free School Meals. Under this approach, funding could be allocated on a formulaic basis dependent on the purpose for which it was being provided. It could take into account a wider range of factors aligned with policy goals in addition to deprivation, and could be adapted flexibly to support particular parts of the education system or particular policy aims and priorities.

Implementation

This approach could build on delivery mechanisms, procedures, principles and evaluation which are already or currently being put in place through the PEF (set out in 2.2.4). However, allocating a larger amount of funding in this way would require a thorough review to: identify various aspects of need and how they are currently met in Scotland; develop and agree methodologies for measuring and distributing funding; develop clear guidance for schools; and to develop and maintain monitoring and accountability measures reflecting governance arrangements. That review would be taken forward by the Scottish Government, in conjunction with teachers and local government partners.

Substantially increased devolution of funding responsibility would need to be accompanied by increased support to headteachers, for example, a greater role for business managers and new financial procedures. Depending on the proportion of funding allocated directly to headteachers, this approach might also require the development of potentially new accountability mechanisms.

Benefits

Aligning more funding with particular need or policy aims in this way could provide better targeting of resources towards those pupils who are in greatest need, regardless of which local authority they reside in. In this respect, it could do much to address the consequences of apparent variations in the current system and achieve value for money. This approach also aligns well with a Centre for Economic Performance finding that increases in resourcing are usually more effective for disadvantaged pupils and/or schools¹⁸.

This approach would also strengthen school and teacher leadership by allowing teachers greater control over resources, and would improve the transparency of a greater proportion of school funding. However, it is considerably more limited in scope than the Headteachers' Charter approach, which would ensure maximum devolution of funding responsibility to headteachers.

Question 5

- (a) What would be the **advantages** of an approach where the current system of funding schools is largely retained, but with a greater proportion of funding allocated directly to:
1. Schools;
 2. Clusters; or
 3. Regional Improvement Collaboratives?
- (b) What would be the **disadvantages** of an approach where the current system of funding schools is largely retained, but with a greater proportion of funding allocated directly to:
1. Schools;
 2. Clusters; or
 3. Regional Improvement Collaboratives?

¹⁸ Gibbons, S and McNally, S (2013) *The Effects of Resources Across School Phases: A Summary of Recent Evidence*, Centre for Economic Performance Discussion Paper No. 1226

Question 6

The Scottish Government's education governance reforms will empower headteachers to make more decisions about resources at their school. What support will headteachers require to enable them to fulfil these responsibilities effectively?

Question 7

What factors should be taken into account in devising accountability and reporting measures to support greater responsibility for funding decisions at school level?

Question 8

Do you have any other comments about fair funding for schools?

SUMMARY OF QUESTIONS AND RESPONDENT INFORMATION FORM

Question 1

- (a) What are the **advantages** of the current system of funding schools?
- (b) What are the **disadvantages** of the current system of funding schools?

Question 2

- (a) What are the benefits to headteachers of the current Devolved School Management schemes?
- (b) What are the barriers that headteachers currently face in exercising their responsibilities under Devolved School Management? How could these barriers be removed?

Question 3

How can funding for schools be best targeted to support excellence and equity for all?

Question 4

- (a) What elements of school spending should headteachers be responsible for managing and why?
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**Education Governance:
Fair Funding to Achieve Excellence and Equity in Education – A Consultation**

RESPONDENT INFORMATION FORM

Please Note this form **must** be completed and returned with your response.

Are you responding as an individual or an organisation?

- Individual
 Organisation

Full name or organisation's name

Phone number

Address

Postcode

Email

The Scottish Government would like your permission to publish your consultation response. Please indicate your publishing preference:

- Publish response with name
 Publish response only (without name)
 Do not publish response

Information for organisations:

The option 'Publish response only (without name)' is available for individual respondents only. If this option is selected, the organisation name will still be published.

If you choose the option 'Do not publish response', your organisation name may still be listed as having responded to the consultation in, for example, the analysis report.

We will share your response internally with other Scottish Government policy teams who may be addressing the issues you discuss. They may wish to contact you again in the future, but we require your permission to do so. Are you content for Scottish Government to contact you again in relation to this consultation exercise?

- Yes
 No



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Education Governance: Fair Funding to Achieve Excellence and Equity in Education – A Consultation

RESPONDENT INFORMATION FORM

Please Note this form **must** be completed and returned with your response.

Are you responding as an individual or an organisation?

- Individual
 Organisation

Full name or organisation's name

Midlothian Council Survey Response

Phone number

0131 271 3639

Address

8 Lothian Road, Dalkeith

Postcode

EH22 1AL

Email

matthew.dunn@midlothian.gov.uk

The Scottish Government would like your permission to publish your consultation response. Please indicate your publishing preference:

- Publish response with name
 Publish response only (without name)
 Do not publish response

Information for organisations:

The option 'Publish response only (without name)' is available for individual respondents only. If this option is selected, the organisation name will still be published.

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- Yes
 No

Consultation questions

Question 1

(a) What are the **advantages** of the current system of funding schools?

Respondents to this question were proportionally in favour of the current model, common themes being the ability of Schools to deal with issues affecting their localities and allowing flexibility in the budget.

- “Each school gets to manage their own restricted school budget”
- “It ensures that all schools get an equitable amount based on roll and pupil need”
- “Local democratic decisions allow some local flexibility but it needs to be underpinned by a fair and transparent staffing formula with additionality for equity and innovation; PEF funding means that we can look at needs in specific schools and use this to try and help/support children”

(b) What are the **disadvantages** of the current system of funding schools?

There were a wide range of responses to the disadvantage of the current system ranging from underfunding of ASN and lack of staffing flexibility to analysis of the deprivation measures.

- “You need a national staffing formula as a baseline and then create systems to ensure equity.”
- “Areas of high unemployment receive greater proportion of funds, although often the working families have less disposable income. Therefore, it is debatable which children are in greater need of the extra funds”
- “You have to play departments off against each other when education should be priceless”

Question 2

(a) What are the benefits to headteachers of the current Devolved School Management schemes?

As in question 1 most respondents found positives in the benefits of the current Devolved School Management schemes and the ability to target resources at closing the gap at a micro area level.

- "Can put funding in place that reflects the individual school needs?"
- "HT actually already have a reasonable level of control over the controllable budgets but the issue is with the level of resource and inequities across schools locally and nationally. There has been very slow recognition about the need for targeted funding to aid in closing the gap although I note that money isn't the only factor in improving outcomes"
- “None. They are teachers not business managers”
- “There is a danger if changing from the current system that Scotland is taken down the path that England has gone down with self managed schools. With families competing for selection to schools they 'think' will meet their child's needs better than another. Often an uninformed choice”

(b) What are the barriers that headteachers currently face in exercising their responsibilities under Devolved School Management? How could these barriers be removed?

A lack of knowledge regarding the policy framework and need for training were highlighted in the responses received as barriers to exercising responsibilities of Devolved School Management. A lack of time and business management skills were also expressed as concerns.

- “Lack of understanding of the underpinning policy framework especially in relation to Social Justice, HTs need far greater and more theoretical understanding of policy”
- “The level of resource and some restrictions on flexibility to employ, recruit and retain. That said there has been some flexibility allowed through PEF”
- “Training in devolved school management would be beneficial”

Question 3

How can funding for schools be best targeted to support excellence and equity for all?

Respondents to this question highlighted additional resourcing and funding requirements from Schools and more discussion about how funding is managed based on various factors.

- “By increasing the funding “
- “By pushing excellence and equity you don't necessarily get it right for every child”
- “Further engagement with community to ensure authentic partnership working”
- “Level of resourcing improved overall to improve level of controllable budgets”
- “Governance through project boards in schools to support use of funds “
- “Transparent systems to support funding of equity based additionality factors”
- “Innovation funding and support of school based research and collaboration”
- “More discussion about how much funding is available in general and how this can be divided for schools. “
- “PEF seems to be a good system”
- “Would prefer additional staff to funding. Funding not high enough to cover additional quality teaching staff “

Question 4

(a) What elements of school spending should headteachers be responsible for managing and why?

The common theme from this question was encouraging more discussion was had around Educational budget but that Properties budgets should be protected on an “as and when” basis. Again additional resources for teaching staff were highlighted as an area of benefit.

- “All but staffing because staffing must be there and should not use that money for other things”
- “All non fixed costs. However a review of fixed cost control should be considered if local solutions could provide savings that could be retained in schools. I have seen some work done on this and it may not be viable.HT should be more

involved in relation to capital budgets not just revenue budgets.”

- “All, but with the support and guidance of all staff who work in the school as well as advice from their management “
- “I don't think change to this is necessary. It's lack of funds that is the problem.”
- “None - they should be in charge of teaching and not running a business”
- “Resources, staffing - pertinent to education of children. “
- “Teachers posts, (not individual salary rates) so they can fill posts if needed?”

- (b) What elements of school spending should headteachers **not** be responsible for managing and why?

The majority of responses to this question highlighted concern over becoming School Business administrators spending all their time dealing with properties issues instead of concentrating on Education provision. Training for Headteachers on management of budgets and ringfencing of properties issues were common themes.

- “All of it. They are not business managers”
- “Fixed costs that would add workload or require more staffing and or time. E.g. Water, power”
- “Salaries should be fair across the country.”
- "Staffing Is there training for HT's to manage large budgets? How do they do this and manage other elements of the school eg pupil behaviour, learning and teaching, building relationships?"

- (c) What elements of school spending are not suitable for inclusion in a standardised, Scotland-wide approach and why?

Additional Support needs and properties management were again common themes in all responses to non suitability for inclusion in a standardised approach.

- “ASN as all schools need to be taken into account”
- “Facilities & decor & furniture”
- “Local fixed costs or costs best negotiated centrally by expert staff. Capital building works.”
- “Staffing... Ratios realistically should be based on postcode/poverty, addition support needs & school”

Question 5

- (a) What would be the **advantages** of an approach where the current system of funding schools is largely retained, but with a greater proportion of funding allocated directly to:

1. Schools;
2. Clusters; or
3. Regional Improvement Collaboratives?

This question provoked mixed results from respondents some preferring individual School models whilst others preferred Clusters or Regional improvement collaborative.

- "Cannot see any advantages"
- “Clusters can work together”
- "Dead against 2 and 3. Cluster models have been considered before and I was involved in a DSM review which highlighted huge issues in decision making

across Primary and Secondary schools. Regional collaborative s are too big and there is no reason to restructure at such a crucial time. It is political rhetoric and will not improve anything. How will the funding be equitable across different demographic regions both urban and regional. Disaster!!”

- “More money could go directly to schools but there will be difficulties managing that without council involvement.”
- “If some things purchased on a regional basis, more clout? Sometimes if units are too small they waste time and money searching/ negotiating? “
- “They might actually get the money to directly benefit the children “

(b) What would be the **disadvantages** of an approach where the current system of funding schools is largely retained, but with a greater proportion of funding allocated directly to:

1. Schools;
2. Clusters; or
3. Regional Improvement Collaboratives?

Concerns were raised in responses around equitable sharing of budgets between Schools and multiple Schools having to deal with similar issues individually when pooled resource may be a better approach.

- “Competition between schools “
- “Fairness when pooling resources form range of sized schools “
- “It may not be shared out fairly”
- “One size does not fit all funding in schools across wider groups would mean more admin time and negotiation rather than directly relating to pupil needs”
- “Usual wastage from uninformed inexperienced staff”

Question 6

The Scottish Government’s education governance reforms will empower headteachers to make more decisions about resources at their school. What support will headteachers require to enable them to fulfill these responsibilities effectively?

Training and support of all areas from Headteacher to operational staff and Parent forums/Council were all highlighted as required as was additional business support for each School.

- “Better training and awareness of budgets and how they work.”
- “Business managers”
- “Head Teachers already do. Bring in a national staffing formula and fund schools properly. The rest is political rhetoric.”
- “It would be very easy to start blaming societies problems
- “Support from all staff in the school to help them understand where the need is”
- “Support of cluster managers and parent forums. Parent Councils should be given more input into consultations.”
- “Support with finance and budgeting more staffing to allow HT time to do this ”

Question 7

What factors should be taken into account in devising accountability and reporting measures to support greater responsibility for funding decisions at school level?

Again the common them here was Business support and Additional Support Needs requirements.

- "Business managers with accounting background would be highly beneficial."
- "Employ business mangers and let head teachers focus on children"
- "Additional support & poverty"
- "They are already there. Give Councils more money to help deliver instead of rearranging the deck chairs"
- "Age of school, State of school, Current facilities compared to other local schools"
- "ASN, Number of staff "

Question 8

Do you have any other comments about fair funding for schools?

Comments within this section have the common theme of too many cuts to education and public services.

More clarity would be welcome overall in terms of what is actually being proposed.

2020 Vision for Early Years, Early Learning and Childcare Expansion Plan

Report by Grace Vickers, Head of Education

1 Purpose of Report

- 1.1 The purpose of this report is to provide an update to Cabinet on:
- I. The submission of the Early Learning and Childcare Expansion Plan and Financial Template to the Scottish Government
 - II. The submission of the Graduate Plan to the Scottish Government

2 Background

- 2.1 The Children & Young People (Scotland) Act 2014 increased the number of hours of free early learning and childcare provided to parents and carers from 475 hours per year to 600 hours and introduced an entitlement for certain 2 year olds, both in 2014. The further increase to 1,140 hours has not yet been set in legislation however the Scottish Government has committed to the expansion, to be fully implemented by August 2020.
- 2.2 Local authorities were required to submit an expansion plan and completed financial template to the Scottish Government by the 29th of September. Midlothian Council's plan and financial template are attached as additional documents to this report. The report includes proposals that many settings will revise their Early Learning and Childcare delivery model and/or significantly alter the school around them. As these plans are draft and will be reviewed when the final financial settlement is announced by the Scottish Government the changes proposed to settings are subject to review and it has not been appropriate to discuss the proposals with staff at this time. Discussions with staff will take place once plans are firmed up.
- 2.3 The Scottish Government also announced that each Early Learning and Childcare setting in an area of high deprivation will get an additional graduate or teacher, with Midlothian receiving three. The Council was also required to submit an action plan setting out how it intended to allocate these three places by the 29th September 2017. This plan is also attached as an additional document to this report.

3 Financial Information

The revenue and capital implications to the Council are set out in the expansion plan.

4 Resource Implications

- 4.1 While the Scottish Government have stated that the increase in free Early Learning and Childcare hours will be fully funded, there are significant implications for resources across the Council and its partners. It will require the collaboration and input across a broad range of services: early years practitioners; head teachers; central admission support staff; finance; human resources; property; catering; facilities management etc. A resources development plan has been drawn up regarding early years staff numbers across the Council and partners.

5 Risk

5.1 There are a number of risks associated with the Council meeting its expected legislative requirements regarding the increase in free Early Learning and Childcare hours and these will be monitored and addressed through a risk register. The Scottish Government has stated that the implementation of the expansion will be fully funded and the submission of the Expansion Plan and Financial Template are the first steps towards confirming the funding that will be made available. Once the Scottish Government confirms the funding the Expansion Plan will be revised to fall into line with this.

5.2 Each expansion project will have its own set of risks and the significant overall risk to fulfilling the legislative duty is in recruiting and training the staff required.

5.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

- Community safety
- Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- None of the above

5.4 Key Priorities within the Single Midlothian Plan

The expansion is relevant to all of the GIRFEMC outcomes for 2017/18 to 2019/20:

- Children in their early years and their families are being supported to be healthy, to learn and to be resilient
- All Midlothian children and young people are being offered access to timely and appropriate support through the named person service
- All care experienced children and young people are being provided with quality services
- Children and young people are supported to be healthy, happy and reach their potential
- Inequalities in learning outcomes have reduced

5.6 Impact on Performance and Outcomes

The expansion will impact upon all five of the GIRFEMC outcomes and will have a long-lasting impact upon the last two.

5.7 Adopting a Preventative Approach

The provision of high quality, flexible, accessible and affordable Early Learning and Childcare is by its very nature preventative, and sets the foundation upon which future outcomes for the children as they grow up and progress through the education system and then onto adulthood are based.

5.8 Involving Communities and Other Stakeholders

The Children and Young People (Scotland) Act 2014 requires the Council to consult at least once every 2 years with parents and carers on the provision of early learning and childcare and to have regard to the views expressed. A parent and carer survey was carried out in May 2017 that included questions on the expansion and a further survey will be carried out shortly to gather more detailed information. Stakeholders are represented on the Implementation Working Group and subgroups. Further engagement activity will be carried out as implementation of the expansion progresses.

5.9 Ensuring Equalities

By 2020 the increased hours for 3 and 4 year olds will be universally available while 2 year olds will be eligible in line with the Scottish Governments' qualifying criteria. During the transition phase as capacity is increased towards full implementation in 2020 criteria for increased duration places will be developed in consultation with stakeholders with a view to ensuring those most in need are prioritised. An Integrated Impact Assessment carried out on the criteria as they are drawn up. All settings being expanded will be reviewed to consider equality of access, for example for children, parents and carers, and staff with a disability.

5.10 Supporting Sustainable Development

Each project within the expansion plan will be appraised to ensure its sustainability.

5.11 IT Issues

IT requirements will be identified and progressed within each expansion project, where necessary.

6 Recommendation

It is requested that Cabinet:

- Note the content of this report regarding the submission of the Early Learning and Childcare Expansion Plan and Financial Template to the Scottish Government
- Note the content of this report regarding the submission of the Graduate Plan to the Scottish Government
- Authorise officers to report on the submission of the Early Learning and Childcare Expansion Plan and Financial Template and Graduate Plan to Council
- Authorise officers to report on the submission of the Early Learning and Childcare Expansion Plan and Financial Template and Graduate Plan to the Community Planning Partnership

Date: 10 October 2017

Report Contact:

Julie Fox, Schools Group Manager, (Early Years)

Tel No 0131 271 3725

Julie.Fox@midlothian.gov.uk

Background Papers:

Midlothian Council 2020 Vision for Early Years

Midlothian Council ELC Expansion Plan - Finance Template

Additional Graduate Commitment – Action Plan Midlothian

ELC Expansion Plan - Finance Template

Introduction

Local authority name Midlothian Council

ELC Expansion Plan - Lead contact

Name Julie Fox
Contact email / phone number Julie.Fox@midlothian.gov.uk, 0131 271 3725

Finance Template - Lead contact

Name Magnus Inglis
Contact email / phone number Magnus.Inglis@midlothian.gov.uk, 0131 271 3669

Local Authorities are asked to complete this Finance Template and submit it alongside their ELC Expansion Plans which are due to be sent to Scottish Government by close on Friday 29 September 2017.

This proforma is intended to capture, in a nationally consistent manner, Local Authorities' estimated revenue and capital costs associated with the expansion.

It is expected that Local Authorities will have prepared separate detailed costings to aid their planning process. Local Authorities are welcome to submit these workings alongside this proforma. This is not a requirement.

A guidance note has been issued alongside this template to aid completion. Tips are also embedded as comments throughout this workbook.

Queries relating to the Finance Template can be directed to any member of the ELC Delivery Support team through forthcoming workshops or sent by email to ELCDeliverySupport@gov.scot.

Key assumptions

* All revenue costs should be calculated at 2017 prices - inflationary assumptions will be applied nationally.

* You do not need to account for the impact of the Living Wage on funded provider rates from 2020 - this calculation will be made and applied nationally. You should instead use a rate which reflects a sustainable funding settlement for all providers, excluding the Living Wage.

* Cost information should reflect your best estimates on the basis of information available to you. We appreciate that cost profiles may change over the remainder of the programme.

* Shaded cells require your input - blank cells will calculate automatically.

Notes on assumptions / completion

	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22
Lunches	All																	
Number	70				581,790	606,417												
Unit cost (£)	£3.20	£3.20	£3.20	£3.20	£3.20	£3.20												
Uptake	2 year olds						3&4 year olds						5 year olds (deferrals)					
Total population	1,356	1,420	1,485	1,547	1,599	1,646	2,492	2,657	2,775	2,905	3,032	3,146	1,078	1,190	1,302	1,356	1,420	1,485
Estimated eligible cohort (% of population)	27	27	27	27	27	27	100%	100%	100%	100%	100%	100%	58%	58%	58%	58%	58%	58%
Estimated uptake - registrations (% of population)	12%	13%	14%	15%	16%	17%	97%	97%	97%	97%	97%	97%	9%	9%	9%	9%	9%	9%
Estimated net cross boundary inflow / (outflow)	0	0	0	0	0	0												
Uptake (number of children)	157	179	202	226	249	273	2,412	2,572	2,686	2,812	2,935	3,046	99	109	119	124	130	136
Estimated uptake of hours (%)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Statutory provision (hours)	600	600	600	600	600	970	600	600	600	600	830	1,140	600	600	600	600	600	970
Total statutory hours	94,184	107,157	121,019	135,324	241,714	311,188	1,447,125	1,543,283	1,611,860	1,687,190	2,436,174	3,472,046	59,398	65,545	71,692	74,664	126,417	155,436
Phasing - Non-statutory hours	2 year olds						3&4 year olds						5 year olds (deferrals)					
Estimated children receiving non-statutory hours pre-2020	0						0	130					0					
Non-statutory hours per child pre-2020 (hours)	0						0	540					0					
Total non-statutory hours	0	0	0	0	0	0	0	70,200	0	0	0	0	0	0	0	0	0	0
Total hours	94,184	107,157	121,019	135,324	241,714	311,188	1,447,125	1,613,483	1,611,860	1,687,190	2,436,174	3,472,046	59,398	65,545	71,692	74,664	126,417	155,436
Provision by type	2 year olds						3&4 year olds						5 year olds (deferrals)					
Local authority provision (% of hours)	0%	0%			0%	0%	75%	75%			80%	80%	83%					80%
Partner nursery provision (% of hours)	97%	97%			97%	97%	25%	25%			20%	20%	17%					20%
Childminder provision (% of hours)	3%	3%			3%	3%	0%	0%			0%	0%	0%					0%
Other (% of hours) - please specify																		
Partner provider non-statutory																		
Total	100%	100%	0%	0%	100%	100%	100%	100%	0%	0%	100%	100%	100%	0%	0%	0%	0%	100%
Local authority provision (hours)	0	0	0	0	0	0	1,080,568	1,204,787	0	0	1,948,939	2,777,637	49,198	0	0	0	0	101,133
Partner nursery provision (hours)	91,189	103,750	0	0	234,027	301,292	366,557	408,695	0	0	487,235	694,409	10,200	0	0	0	0	25,283
Childminder provision (hours)	2,995	3,408	0	0	7,687	9,896	0	0	0	0	0	0	0	0	0	0	0	0
Other (hours)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Partner provider non-statutory	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total	94,184	107,157	0	0	241,714	311,188	1,447,125	1,613,483	0	0	2,436,174	3,472,046	59,398	0	0	0	0	126,417
Funded (partner) provision - hourly rate	2 year olds						3&4 year olds						5 year olds (deferrals)					
Nurseries	£6.00	£6.00	£6.00	£6.00	£6.00	£6.00	£3.70	£3.70	£3.70	£3.70	£5.00	£5.00	£3.70	£3.70	£3.70	£3.70	£3.70	£5.00
Childminders	£6.00	£6.00	£6.00	£6.00	£6.00	£6.00					£5.00	£5.00						£5.00
Other																		
Partner provider non-statutory								£5.00	£5.00	£5.00	£5.00	£5.00		£5.00	£5.00	£5.00	£5.00	£5.00
0																		
0																		
0																		

	FTEs						Unit cost per annum (£)						Costs (£m)					
	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22
Staff in post - LA settings																		
Managers (settings)			3.6	6.5	8.0	8.0			47,592	49,016	49,016	50,591	0.000	0.000	0.173	0.319	0.392	0.405
Teachers	37.0	15.0	15.0	15.0	15.0	15.0	43,030	45,956	45,956	45,956	45,956	45,956	1.592	0.689	0.689	0.689	0.689	0.689
Senior practitioners / graduates	27.1	40.5	38.9	45.0	47.1	47.6	33,829	38,694	45,758	45,647	45,588	45,599	0.916	1.568	1.780	2.054	2.147	2.169
Additional graduates													0.000	0.000	0.000	0.000	0.000	0.000
Practitioners	50.0	66.1	177.5	224.8	240.8	243.8	29,992	30,782	33,200	32,936	32,841	32,860	1.500	2.036	5.894	7.404	7.907	8.011
Apprentices		4.0	11.0	18.0	25.0	25.0		26,880	26,880	26,880	26,880	26,880	0.000	0.108	0.296	0.484	0.672	0.672
C2 care workers / support staff (SSSC registered)	7.2	7.2	8.4	9.8	11.4	11.4	22,628	24,018	24,018	24,018	24,018	24,018	0.163	0.173	0.202	0.236	0.275	0.275
Admin / auxiliary staff (non-SSSC registered)	1.2	1.2	1.2	1.2	1.2	1.2	24,615	26,880	26,880	26,880	26,880	26,880	0.030	0.033	0.033	0.033	0.033	0.033
Others (please specify)																		
Head Teachers	2.0	2.0	2.0	2.0	2.0	2.0	64,557	66,363	66,363	66,363	66,363	66,363	0.129	0.133	0.133	0.133	0.133	0.133
Sub total	124.5	136.1	257.7	322.4	350.5	354.0	218,651	259,573	316,647	317,696	317,542	319,147	4.330	4.740	9.199	11.351	12.248	12.386
Staff in training - LA settings																		
Managers (settings)													0.000	0.000	0.000	0.000	0.000	0.000
Teachers													0.000	0.000	0.000	0.000	0.000	0.000
Senior practitioners / graduates													0.000	0.000	0.000	0.000	0.000	0.000
Additional graduates													0.000	0.000	0.000	0.000	0.000	0.000
Practitioners													0.000	0.000	0.000	0.000	0.000	0.000
Apprentices													0.000	0.000	0.000	0.000	0.000	0.000
C2 care workers / support staff (SSSC registered)													0.000	0.000	0.000	0.000	0.000	0.000
Admin / auxiliary staff (non-SSSC registered)													0.000	0.000	0.000	0.000	0.000	0.000
Others (please specify)																		
Sub total	0.0	0.0	0.0	0.0	0.0	0.0	0	0	0	0	0	0	0.000	0.000	0.000	0.000	0.000	0.000
Staff in post - Central costs																		
Managers (central)	1.6	1.6	1.7	1.7	1.8	1.8	68,124	71,101	74,212	76,878	72,320	72,320	0.109	0.114	0.124	0.133	0.130	0.130
Quality assurance - teachers													0.000	0.000	0.000	0.000	0.000	0.000
Quality assurance - other													0.000	0.000	0.000	0.000	0.000	0.000
Improvement support - teachers													0.000	0.000	0.000	0.000	0.000	0.000
Improvement support - others													0.000	0.000	0.000	0.000	0.000	0.000
Others (please specify)																		
QI Officer	1.0	1.0	1.0	1.0	1.0	1.0	66,511	67,267	67,267	67,267	67,267	67,267	0.067	0.067	0.067	0.067	0.067	0.067
EY P'ship Imp + Data Officer	1.0	1.0	1.0	1.0	1.0	1.0	43,339	44,745	44,745	44,745	44,745	44,745	0.043	0.045	0.045	0.045	0.045	0.045
PT	1.0	1.0	1.0	1.0	1.0	1.0	58,365	59,039	59,039	59,039	59,039	59,039	0.058	0.059	0.059	0.059	0.059	0.059
EY Peep Co-ordinator	0.6	0.6	0.6	0.6	0.6	0.6	32,950	33,982	33,982	33,982	33,982	33,982	0.019	0.020	0.020	0.020	0.020	0.020
Teacher	1.0	1.0	1.0	1.0	1.0	1.0	42,301	42,814	42,814	42,814	42,814	42,814	0.044	0.044	0.044	0.044	0.044	0.044
EY DO	0.7	0.7	0.7	0.7	0.7	0.7	49,033	50,637	50,637	50,637	50,637	50,637	0.033	0.034	0.034	0.034	0.034	0.034
Childcare & Workforce DO	0.9	0.9	0.9	0.9	0.9	0.9	43,339	44,745	44,745	44,745	44,745	44,745	0.039	0.040	0.040	0.040	0.040	0.040
Ed Resource Officer	1.0	1.0	1.0	1.0	1.0	1.0	48,989	50,591	50,591	50,591	50,591	50,591	0.049	0.051	0.051	0.051	0.051	0.051
Admin			1.5	1.5	1.5	1.5		29,007	29,007	29,007	29,007	29,007	0.000	0.000	0.044	0.044	0.044	0.044
Applications Officer	0.2	0.2	0.3	0.4	0.5	0.5	43,339	44,745	44,745	44,745	44,745	44,745	0.009	0.009	0.013	0.018	0.022	0.022
Sub total	9.0	9.0	10.6	10.8	11.0	11.0	496,290	509,666	541,784	544,450	539,892	539,892	0.469	0.482	0.540	0.554	0.556	0.556
Other staff costs																		
Training and professional development													0.058	0.093	0.093	0.093	0.093	0.093
Sub total													0.058	0.093	0.093	0.093	0.093	0.093
TOTAL STAFF COSTS																		
	4.857	5.315	9.833	11.998	12.897	13.035												

	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	Costs (£m)						
	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	
Local authority staff costs													
	FTEs												
Staff in post - LA settings	124.5	136.1	257.7	322.4	350.5	354.0	4.330	4.740	9.199	11.351	12.248	12.386	
Staff in training - LA settings	0.0	0.0	0.0	0.0	0.0	0.0	0.000	0.000	0.000	0.000	0.000	0.000	
Staff in post - Central costs	9.0	9.0	10.6	10.8	11.0	11.0	0.469	0.482	0.540	0.554	0.556	0.556	
Other staff costs							0.058	0.093	0.093	0.093	0.093	0.093	
Sub total	133.5	145.1	268.3	333.2	361.5	365.0	4.857	5.315	9.833	11.998	12.897	13.035	
Funded (partner) provision													
	Hours												
Nurseries	467946	512445	0	0	746546	1026788	1.941	2.135	0.000	0.000	3.967	5.435	
Childminders	2995	3408	0	0	7687	9896	0.018	0.020	0.000	0.000	0.046	0.059	
Partner provider non-statutory	0	0	0	0	0	0	0.000	0.000	0.000	0.000	0.000	0.000	
0	0	0	0	0	0	0	0.000	0.000	0.000	0.000	0.000	0.000	
0	0	0	0	0	0	0	0.000	0.000	0.000	0.000	0.000	0.000	
0	0	0	0	0	0	0	0.000	0.000	0.000	0.000	0.000	0.000	
Sub total	470941	515853	0	0	754232	1036684	1.959	2.155	0.000	0.000	4.013	5.495	
Lunches													
Cost of provision							0.000	0.000	0.000	0.000	1.862	1.941	
Running costs													
Educational resources and supplies							0.025	0.025			0.068	0.068	
Administrative resources and supplies							0.003						
Buildings - rent and rates							0.228	0.246			0.246	0.246	
Buildings - energy / utilities costs							0.148	0.166			0.166	0.166	
Buildings - maintenance and lifecycle replacement							0.142	0.140			0.140	0.140	
Buildings - facilities management							0.022	0.032			0.032	0.032	
Buildings - other													
Information systems													
Others (please specify)													
Refuse Uplift							0.011	0.018	0.018	0.018	0.018	0.018	
Sub total							0.579	0.626	0.018	0.018	0.669	0.669	
Wraparound hours													
Estimated revenue							0.000	0.000	0.000	0.000	0.000	0.000	
TOTAL							7.396	8.096	9.851	12.016	19.441	21.139	

ELC Expansion Plan - Finance Template
Supporting information
Midlothian Council

Flexibility Assumptions for Local Authority Settings

Number of Local Authority ELC Settings
 Estimated number of local authority settings operating year round
 Local Authority settings operating year round (%)
 Estimated number of hours per annum provided in local authority settings operating year round
 Estimated number of local authority settings operating term time only
 Local Authority settings operating term time only (%)
 Estimated number of hours per annum provided in local authority settings operating term time only
 Number of local authority settings with opening hours of 8am to 6pm (or longer)
 Local Authority settings with opening hours of 8am to 6pm (or longer) (%)
 Estimated number of hours per annum provided in local authority settings operating 8am to 6pm (or longer)

	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22
	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
	0	0	0	0	0	0
	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!

Additional Support Needs (ASN)

Estimated proportion of eligible 2 year olds with ASN (%)
 Estimated number of 2 year olds in local authority settings with ASN
 Estimated proportion of 3&4 year olds with ASN (%)
 Estimated number of 3&4 year olds in local authority settings with ASN
 Estimated proportion of 5 year olds (deferrals) with ASN (%)
 Estimated number of 5 year olds (deferrals) in local authority settings with ASN

	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22
	0	0	0	0	0	0
	0	0	0	0	0	0
	0	0	0	0	0	0

Cross Boundary Flows

Estimated cross boundary inflows
 Estimated cross boundary outflows
Estimated net cross boundary inflow / (outflow)

	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22
	0	0	0	0	0	0

ELC Expansion Plan - Finance Template

Capital costs profile

Midlothian Council

Anticipated Total Capital Cost for All Projects (£m)

0

Annual Profile

	Costs (£m)					Total
	2017-18	2018-19	2019-20	2020-21	2021-22	
Refurbishment projects	0.000	0.832	0.731	1.754	0.000	3.316
Extension projects	1.914	2.144	1.531	1.302	0.000	6.890
New build projects	0.000	0.000	8.352	5.011	2.088	15.451
Outdoor spaces	0.000	0.000	0.020	0.000	0.000	0.020
Other						0.000
Total	1.914	2.975	10.634	8.067	2.088	25.678

CHECK

1. Introduction

Notes fields are locked so all notes are on this sheet

2. Input table

Number of meals calculated taking account of 38 and 50 week models and average estimated takeup of 4 meals per week.

Meals cost does not include additional expansion costs such as drivers and vans, crockery etc. This could run to tens of thousands .

No 2yo cross border placements. We have data on 3, 4 & 5 yo inward current cross boundary numbers but not on outward therefore have recorded this this as 0. Increasing the hours may reduce the demand for cross border places.

We do not distinguish deferrals from 3 and 4 year old provision when calculating staffing costs etc. therefore the figures are all-inclusive.

	Number of funded registrations					Total
	Under 2	2 year olds	3 year olds (ante-pre)	4 year olds (pre-school)	5 year olds (Deferred)	
Local authority settings	0	0	836	965	82	1883
Partner provider settings	7	152	347	264	17	787
Childminding services		5	0	0	0	5
Total	7	157	1183	1229	99	2675

Deferrals:

	2013/14	2014/15	2015/16	2016/17	2017/18
Jan/Feb DOB	76	85	60	82	75
Sept - Dec DOB	18	7	20	19	22
Total	94	92	80	101	97

Partner Providers and Childminders paid at £5 per hour for pilots, final rate to be determined.

3. Staffing costs profile

At this time the proportion of staff who will be in training has not been determined.

4. Revenue costs profile

Figures for rent and rates, energy, utilities, maintenance and lifecycle replacement and facilities management have been brought forward at current costs as estimating the future costs will require individual assessment of each setting, the changed proportion of school pupils to ELC children, the changed proportion of floor area allocated between the school and ELC, more energy efficient new build or refurbished spaces etc.

ELC Additional Graduate Commitment – Action Plan Template

Local authorities are required to submit an Action Plan setting out how they intend to allocate their additional graduate places. These plans will be required no later than **29 September 2017** (and are expected to be completed alongside local authority ELC expansion plans).

Please send completed forms to the Additional Graduate mailbox (ELCAdditionalGraduateMailbox@gov.scot). Please also use the Additional Graduate mailbox for any questions related to the commitment or alternatively contact Euan Carmichael at ewan.carmichael@gov.scot or 0131 244 9923.

1. (a) Which nurseries/ELC settings in your local authority area will receive an additional graduate?

These posts will be attached to our Early Years Learning Community Teams and managed through the process already in place for the team. From there, they will provide targeted support to reach the children who will benefit most from their input whilst being supported as part of a wider quality assurance team. The additional graduates will be located in our areas of highest deprivation within the Newbattle and Dalkeith Learning Communities. They will be based in Mayfield Nursery School and Family Learning Centre, Lawfield Primary School Early Learning and Childcare (ELC) setting, Woodburn Primary School and Family Learning Centre and Gorebridge Primary School ELC setting.

(b) Which of the selected nurseries/ELC settings are funded providers in the private or third sector?

The Newbattle and Dalkeith Learning Community areas include two of our Family Learning Centre partnerships with Midlothian Sure Start. The new staff members will be allocated time in these settings, based on our local knowledge of the children attending. As part of the work of the Learning Community Team staff will work with the children and also upskill and capacity build with the staff team in the settings.

(c) Do you intend to allocate any of the additional graduates over more than one setting due to these settings being in remote and rural areas with small class numbers and/or limited operating hours? Please set out a case below justifying the reasons for an identified setting not receiving a FTE additional graduate.

As above. Our Learning Community model of Early Years Service delivery has ensured that we are continually focusing on impact and joint working across settings. As we are a small authority geographically our settings in areas of deprivation are very close and we want to continue this close joint working to ensure impact. It is therefore planned to have a graduate in Woodburn Primary School ELC setting working within the 3-5 setting but also supporting our entitled 2 year old children. The same applies at Mayfield Nursery School and Mayfield Sure Start Family Learning Centre. We will also place a graduate at Lawfield Primary School ELC setting and Gorebridge Primary School ELC setting.

2. (a) How do you intend to recruit the additional graduates for your identified ELC settings?

Recruitment will be through normal Midlothian Council recruitment processes and will be a robust process to ensure that the best people are appointed to the role. It is likely that in the first instance this will be advertised as a secondment opportunity. We would then backfill the resulting vacancies through an external advert.

There are many challenges recruiting into EYs posts at this time and we have had to have several re-adverts before we have recruited to full capacity for our Learning Community Teams.

(b) How many existing practitioners do you intend to upskill?

Midlothian Council Early Years team, has, for many years, been investing in staff in all sectors who wish to develop their skills. We have a number of opportunities including supporting our EY practitioners to achieve the BA in Childhood Practice. This session we have also entered into partnership with Edinburgh University to deliver the Froebel course to 30 of our EY practitioners.

(c) How many of the additional posts do you intend to fill with teachers? Please list the settings that you intend to allocate a teacher to.

It is likely that we will have a mix of BA qualified practitioners and teachers.

The proposal would be to have 2 out of allocation of 3 graduates as teachers.

The settings to have teachers would be Mayfield NS/FLC and Woodburn Primary ELC setting/FLC

All 3 posts will become part of the existing Early Years LC Team.

3. Where existing staff are expected to be redeployed, or are undertaking day release for training, what plans do you have to backfill the posts to ensure that the commitment results in an increase in the number of graduates in your ELC workforce?

Our Learning Community model allows flexibility to support our practitioners, respond to local needs and priorities and give opportunity for training and skill development.

Within this model we have teachers and BA qualified staff and made a commitment to this when the teams were created.

4. (a) Please set out the details of the grade, and corresponding salary, for the graduate posts (based on the objectives and draft job specification set out in annexes B and C in the Guidance Note). As highlighted in the guidance note in the case of teaching posts being recruited to the roles, the basic teaching grade as per the Scottish Negotiating Committee for Teachers terms and conditions will apply.

Senior Childcare and Development Worker at Grade 7 for graduate non teachers.

58	£15.27	£549.72	£28,684.39	£1,634.28	Grade 7
60	£15.73	£566.28	£29,548.49	£864.10	
62	£16.17	£582.12	£30,375.02	£826.53	
64	£16.68	£600.48	£31,333.05	£958.02	

Teacher salaries – likely to be a teacher mid/top of scale as they have relevant experience.

		Part year increment	FY Basic	NI	NI%	Pens	Gross Cost
1.	22641	3,015.09	25,656	2,421.10	9.44%	4,412.87	32,490
2.	27164	1,074.75	28,239	2,777.46	9.84%	4,857.02	35,873
3.	28776	1,091.31	29,867	3,002.22	10.05%	5,137.16	38,007
4.	30413	1,178.29	31,591	3,240.12	10.26%	5,433.68	40,265
5.	32180	1,356.38	33,537	3,508.60	10.46%	5,768.30	42,814
6.	34215	1,271.47	35,486	3,777.66	10.65%	6,103.65	45,368
7.	36122		36,122	3,865.39	10.70%	6,212.99	46,200

- (b) Please set out your initial estimate of the additional staffing costs for the additional graduate posts for 2018-19.

3 Teachers mid scale @ £40,265 = £120,795

2 Teachers mid scale for newly qualified @ £ = £80,530 + 1 Senior Childcare and Development Worker based at point 62 of scale (full year) = £30,375 = £110,905

In 2016-17 our SCDWs were re-graded to scale point 58 at Grade 7, as it is likely these are the cohort to apply in session 2018-19 the salary would need to be at scale point 62

Regional Education Improvement Collaboratives

Report by Grace Vickers, Head of Education Education, Communities & Economy

1. Purpose of the Report

Further to the previous report on Education Governance which was presented to Cabinet in August 2017, the purpose of this report is to draw Cabinet's attention to the Solace, CoSLA, ADES and the Scottish Government agreement dated 28 September 2017 which is attached to this report as appendix 1. A letter was also issued to Chief Executives dated 3 October 2017 and a copy is included in Appendix 2.

2. Background

On 13 September 2016, the Scottish Government launched a consultation on Education Governance called *Empowering teachers, parents and communities to achieve excellence and equity in education: A Governance Review*. The consultation closed on 6 January 2017 and a full copy of the Midlothian Council response was approved by Council on 20 December 2016.

In June 2017, the Scottish Government published the outcome of this national consultation in their report entitled *Education Governance: Next Steps*. This publication is in five main sections:

- Chapter 1: Introduction
- Chapter 2: The Case for Change
- Chapter 3: A school and teacher-led system - Empowering teachers, parents and communities
- Chapter 4: Educational improvement services to support a school and teacher-led system .
- Chapter 5: Delivering an empowered system: next steps

A number of the changes outlined will require legislative change and the Scottish Government will consult on a new Education Bill in autumn 2017.

The full scope of the functions to be undertaken by this body will be included in the Scottish Government's consultation on the Education Bill in **autumn 2017**.

One of the specific priorities in the short term was to **work** in partnership with local authorities and partners to develop the shape and composition of the regional improvement collaboratives. Following the announcement of the agreed position between SOLACE, COSLA, ADES and the Scottish Government on implementing Regional Improvement Collaboratives on Friday 28th September, this report sets out the process for progressing with the operation of each collaborative.

The letter attached in appendix 2 states that both the Scottish Government and local government have shaped the development of the Regional Improvement Collaboratives, working to ensure improved outcomes for children are at the heart of this work. The guiding principles which will underpin the development of the Regional Improvement Collaboratives, and the next steps to put them in place, have been developed through a Steering Group co-chaired by Scottish Government and SOLACE and are supported by both Scottish Ministers and COSLA Leaders.

Page 15 of the report filed in appendix 1 outlines the six Regional Improvement Collaboratives and confirms that Midlothian will be a member of the South East Improvement Collaborative. The immediate next steps agreed are around the leadership and formation of the Improvement Collaboratives with a Regional Improvement Lead to be identified by 31 October 2017; and the development of both an Improvement Plan and a Workforce Plan for each collaborative by 31 January 2018. These appointments and plans will be agreed and approved by the Chief Executives of the local authorities within the collaborative and with the Scottish Government, as advised by the Chief Inspector of Education Scotland. The improvement plans should flow from the priorities identified in school plans under the National Improvement Framework process and the timescale is intended to allow sufficient time to consult with schools.

3 Report Implications

3.1 Resource

The resource to deliver the pace of change within the Regional Improvement Collaboratives will be challenging. It is important to note that the report recognises the need for bespoke models, within a nationally agreed set of core functions, to be developed to reflect each region's particular context. Education Scotland has also announced that most of their education staff will be contributing to the collaboratives, working alongside staff from local authorities and schools to support and drive improvement. Discussions should now to be taken forward in regions in the first instance, including officials from both Education Scotland and the Scottish Government so that work can continue in close partnership.

We have already experienced an increased resource demand through the number of on-going consultations, response to a number of requests for data and data checking exercises for the upload of pupil level data. The most significant resource implications of the actions required are contained within section 5. In September, the results of the Financial Review of the Early Learning and Childcare sector were published and this review explored the expenditure on funded childcare to enable us to better predict the cost implications of different delivery models as we move towards the forthcoming expansion to 1140 hours by 2020. Further submissions are required by September 2017. In addition, the launch of the Fair Funding Review in June 2017 alongside this Education Governance report will examine the system changes required to deliver future finding to empower schools, decentralise management and the support through the encouragement of school clusters and creation of new educational regions and will implement any proposals arising from the Governance and Parental Involvement reviews at the earliest opportunity. In particular the Scottish Government will support the development and expansion of school clusters and increased regional working throughout 2017-18.

3.2 Risk

The previous Cabinet report dated 11 October 2016, highlighted the following risks: we welcome the relentless focus on closing the attainment gap in Education but we recognise that this requires a total Midlothian approach; although the delivery plan clearly states in the opening ambition statement that in order to close the attainment gap "our efforts must also extend beyond the classroom and across our communities and wider public services if we are to succeed in our ambition" (2016: 4); the delivery plan then continues with a narrow focus on the school level leavers without recognition of the critical role that other services including the Community Planning Partnerships and the third sector play in supporting education to close the poverty related attainment gap.

It is also important to note that there is currently no legislation in place in terms of a duty to collaborate.

If we are all to focus on the national endeavour to close the poverty related attainment gap then we should be focussing on what delivers improved outcomes rather than a review of structural governance arrangements. Caution should also be applied to the reference of funding directly to schools with an enhanced role for central government related to the attainment challenge, the role of Education Scotland, standardised testing and the transparency of attainment data proposed to be published on a school by school basis on Parent Zone similar to what is in place at present for the Senior Phase qualifications through Insight.

3.3 Single Midlothian Plan and Business Transformation

The ambition in the delivery plan is already clearly embedded in the Single Midlothian Plan – reducing inequalities. Themes addressed in this report:

- Community safety
- Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- None of the above

3.4 Key Priorities within the Single Midlothian Plan

GIRFEC 5: Our people will be successful learners, confident individuals, effective contributors and responsible citizens.

3.5 Impact on Performance and Outcomes

To close the gap by improving ‘attainment versus deprivation’ and ‘attainment for all’ outcomes for children and young people.

3.5 Adopting a Preventative Approach

This report aims to ensure that we continue to take preventative action in order to close the attainment versus deprivation gap by implementing key policies and programmes which are designed to target support to children and young people from disadvantaged communities.

3.7 Involving Communities and Other Stakeholders

This report presents the Scottish Governments response to the national consultation on educational governance.

3.8 Ensuring Equalities

The recommendations in this report should be centred around the promotion of equity of attainment for disadvantaged children and support the steps being taken towards narrowing the attainment gap by imposing duties on education authorities and the Scottish Ministers in relation to reducing pupils’ inequalities of educational outcome together with a duty to report on progress.

3.9 Supporting Sustainable Development

There are no impacts arising directly from this report.

3.10 IT Issues

There are no IT issues to consider within this report at this time

4 Recommendations

Cabinet are requested to approve the following:

- To note the agreement on Regional Education Improvement Collaboratives
- To note that Midlothian will be a member of the South East Collaborative
- To note the arrangements for the leadership and formation of the Improvement Collaboratives with a Regional Improvement Lead to be identified by 31 October 2017 with the development of both an Improvement Plan and a Workforce Plan for each collaborative by 31 January 2018.
- To note that a further update report will be brought back to Cabinet outlining the progress of the development of the improvement plan, workforce plan and any further resource requirements identified to progress with the work of the South East Regional Improvement Collaborative.

3 October 2017

Report Contact:

Name: Dr Grace Vickers, Head of Education Tel No 0131 271 3719

julie.currie@midlothian.gov.uk

Supporting Papers for on-going reviews in Scottish Education:

Standards in Scotland's Schools Act (2000):

http://www.legislation.gov.uk/asp/2000/6/pdfs/asp_20000006_en.pdf

Statutory Guidance: Standards in Scotland's Schools etc. Act 2000: Scottish

Government Consultation: <https://consult.scotland.gov.uk/strategy-and-performance-unit/statutory-guidance>

Education (Scotland) Act 2016:

http://www.legislation.gov.uk/asp/2016/8/pdfs/asp_20160008_en.pdf

Updated guidance on Chapter 3 of the Standards in Scotland Schools Act, August 2016: <http://www.gov.scot/Publications/2016/08/5386/4>

Scottish Schools (Parental Involvement) Act 2006 by the National Parent Forum of Scotland: <http://www.gov.scot/Resource/Doc/148166/0039411.pdf>

Financial Review of Early Learning and Childcare in Scotland: the current landscape (Scottish Government; September 2016):

<http://www.gov.scot/Resource/0050/00506148.pdf>

Empowering teachers, parents and communities to achieve excellence and equity in education: A Governance Review: <https://consult.scotland.gov.uk/empowering-schools/a-governance-review>

Education Governance Review: Next Steps:

<http://www.gov.scot/Publications/2017/06/2941>

REGIONAL IMPROVEMENT COLLABORATIVES FOR EDUCATION

Report of the Joint Steering Group – Updated 21st September 2017

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1. Background

Following the publication of the '*Education Governance: Next Steps*' paper in June 2017, it was agreed that a joint Steering Group be established between the Scottish Government and Local Government. The remit of this group is to work together to develop proposals, based on the policy direction outlined in the 'Next Steps' document.

The Steering Group is led by co-chairs, Fiona Robertson, (Director of Learning, Scottish Government), and Angela Leitch (SOLACE Education and Young People's Strategic Lead). Membership includes representation from the following:

- Scottish Government, Learning Directorate
- Scottish Government, Children & Families Directorate
- Education Scotland
- COSLA
- SOLACE
- ADES

2. Purpose

This report summarises the first task of the Steering Group, which is to develop options for the role and responsibilities of the Regional Improvement Collaboratives. The purpose of this task is to ensure that together we can establish a clear basis for the Regional Improvement Collaboratives (ICs) so they can be developed at pace, with a clear focus on supporting schools and authorities to raise attainment and close the attainment gap. This work is driven by 'Getting It Right for Every Child' (GIRFEC), and will also make a central contribution to ongoing joint work on Public Service Reform, and in particular, the collaborative work on children and young people that is already underway.

3. Scope

The remit for this work on ICs was jointly agreed and defines a set of specific areas for the Steering Group to consider. These were set out as follows (direct extract):

- Guiding principles: Clear guiding principles will be developed and agreed to frame the work of the collaboratives and help to 'operationalise' the policy intentions in the 'Next Steps' document.
- Functions: Building on the purpose of the collaboratives as set out in the 'Next Steps' paper (Section 3.1 and 4.1 in Annex A), consider the essential functions that each collaborative must discharge, and the extent to which other functions

should be for each collaborative to determine. This will include what needs to be consistent across the collaboratives and where there is scope for regional flexibility in terms of approaches to improvement.

- Leadership: Proposals for putting in place interim leadership arrangements that will enable the collaboratives to develop their work, and consider arrangements for filling leadership roles in the longer-term. This includes views of the group on the skills and qualities that those leading the collaboratives will need to demonstrate and build on existing collaboratives.
- Staffing: Initial guidance on the optimal staffing mix of the collaborative, drawing on existing local authority officers, Education Scotland and staff from other agencies.
- Geography: Agree the process, building on existing work, to define the regional improvement collaborative geographies, ensuring reach and deliverability in every part of Scotland and to every school.
- Accountability: Options to consider local democratic accountability alongside national accountability.
- Measures of success: Initial thinking on criteria to describe what success would look like at the various stages of the development and implementation of the collaboratives; including the initial launch, the formation and content of a collaborative action plan, at the end of year one, and so on.

4. Process

The Steering Group first met on 3rd August 2017 and agreed how to tackle each of the areas identified in the remit, drawing on the expertise and experience of all members. A number of discussion papers were commissioned from group members for wider discussion by the Group as a whole. The Steering Group also drew on the work of existing collaboratives operating on a regional basis, in order to learn lessons from their experience and build on their approach. The Group recognised the need for pace, commitment and energy to be focused on collaboration, in order to improve outcomes for children and young people.

This report will now outline the Group's interim conclusions for each of the areas outlined above, for consideration by SOLACE Officer Bearers (by Education and Young People's Strategic Lead), Sally Loudon (Chief Executive, COSLA) and Paul Johnston (DG Education, Justice and Communities, SG).

The report will then be subject to discussion and agreement between Ministers and COSLA. An interim discussion took place between DFM and Cllr. McCabe on 15th September, which is reflected in the accountability section. A further discussion took place on 21st September to agree this version of the report.

5. (a) Interim Conclusions: Key Messages

It should be noted from the outset that all members of the Steering Group welcomed the opportunity to work together to shape these proposals, which will essentially deliver on the policy direction set by 'Next Steps'.

Early discussions revealed a strong consensus around a number of key messages, namely:

- A shared vision to improve the education and life chances of our children and young people, through delivering excellence and equity, with a collective commitment to close the gap in attainment between our least and most disadvantaged children and to raise attainment for all.
- Clear recognition of the improvement work that is already underway across Scotland, whilst acknowledging the need to address variability in performance and quality improvement support for schools. There is a need to secure greater consistency in pace and impact, reflecting the ambition of 'Next Steps'.
- Agreement on the importance of increased collaboration and the principle of establishing ICs, as part of wider improvement work.
- Recognition that strong and collaborative leadership, at all levels, will be key to delivering on this ambition. This is not about creating a new formal body, but about developing different ways of working, bringing together capacity from across an area, and beyond, in order to add value through collective efforts.
- A commitment that the development and implementation of the ICs should be driven by the analysis of data and performance, and an absolute focus on addressing gaps, variability in outcomes and areas for improvement.
- A strong commitment to the principles of GIRFEC and a clear desire to ensure that together we create an empowered 'system' to deliver excellence and equity for all our children.

5. (b) Interim Conclusions: Guiding Principles

A set of 'guiding principles' will frame the work of the ICs to help 'operationalise' the policy intentions as set out in the 'Next Steps' document. The Steering Group has therefore defined a set of guiding principles which it is proposed should be core to all ICs. This does not preclude individual ICs from expanding upon this core list should they wish to reflect additional aspects of existing regional activity, or to respond collectively to particular local needs.

The guiding principles proposed by the Steering Group for all ICs, are as follows:

- **Outcome-focused** – the primary purpose for ICs is to support schools in the delivery of educational improvement, developing and maintaining a coherent focus on raising attainment and closing the attainment gap, whilst ensuring that activity is aligned to the National Improvement Framework (NIF).
- **Child-centred** - improvement must reflect the principles of GIRFEC and take a holistic approach to the needs of the child. ICs must consider the 'whole system' and ensure that all partners are working across authority boundaries and that they are engaging with those working closest to children, and with children themselves, at the point of need, as and when required.
- **A thematic approach** – in order to ensure function comes before structure, ICs must establish clarity of purpose and common goals, drawing on the NIF and contributions of all partners. The focus should be on building collective expertise, knowledge and capacity to drive continuous improvement.
- **Robust, locally-driven and evidence-based** – reform initiatives must be driven by the needs and priorities identified in each region, whilst reflecting national priorities and evidence. Where appropriate, ICs will also draw on the activity and experience of existing regional groupings and their work to date. Evaluation must be built in from the outset.
- **Agile and flexible** – each IC must build the capacity of the 'system' in order to respond to specific needs, and to react to change and unexpected events. They should actively encourage innovation and seek opportunities for partnership working. Sharing best practice within and beyond their IC will be essential.
- **Empowering** – it will be important for ICs to create an environment based on trust and open dialogue, working with partners to ensure that progress can be made at pace, and that any ambiguities or tensions can be surfaced and resolved through collective effort. A 'culture of collaboration' will need to develop at all levels across the 'education community', whilst ensuring collective support to the role and responsibilities of headteachers in securing change in the classroom and beyond.

Furthermore, the Steering Group discussed whether ICs may want to supplement these guiding principles with more detailed 'design principles' to further assist them in their work, particularly in areas where collaborative working is at an earlier stage. These could be expressed as key questions to be asked when considering specific priorities and improvement initiatives. An example of some initial work that was developed by an existing Collaborative is given in Appendix A for consideration.

5. (c) Interim Conclusions: Functions

The Group was asked to consider the functions for ICs, based on the overarching purpose set out in 'Next Steps' which states that ICs will:

- Provide excellent educational improvement support for headteachers, teachers, managers and practitioners through dedicated teams of professionals. These teams will draw on Education Scotland staff, local authority staff and others.
- Provide coherent focus across all partners through delivery of an annual regional plan and associated work programme aligned with the National Improvement Framework.
- Facilitate collaborative working across the region, including sharing best practice, supporting collaborative networks and pursuing partnership approaches.

The Steering Group wish to endorse and emphasise the importance of the following parameters regarding the functions of ICs:

- The functions of the ICs must support and directly contribute to nationally and locally identified priorities, and the overall policy objective of empowering our teachers, parents, partners and communities to deliver excellence and equity for all our children.
- There should be clarity at the outset regarding the essential core functions for all ICs, and those functions which individual ICs should determine, where a more tailored and flexible approach is required to suit local areas and clusters of schools. As referred to in 'Next Steps', there is no 'one size fits all' solution. The Steering Group has set out a proposal for that distinction in the next section on 'functions'.
- All ICs should be evidence-based and build on existing practice across Scottish education, at both local and national level. Activity should not be restricted to schools alone, but encompass the range of learning environments that are experienced by children and young people, including all early learning and childcare providers delivering the statutory entitlement.
- ICs should also consider educational improvement within the context of local Children's Services and the range of work led by multi-agency partners to improve outcomes for children, including Community Planning Partnerships, Social Work, Community Learning and Development and the Third Sector. Links with business and skills-related organisations will also be important in terms of supporting the development of the young workforce.
- The Group was also clear that this was about all partners working differently, as well as about securing 'additionality' through collaboration, thereby protecting against displacement or replication of activity.

- The Group emphasised the key role that Education Scotland will play in supporting the delivery of all the functions, as a core part of the work of ICs, including bespoke support to schools. This will require Education Scotland to take on a significantly enhanced role and purpose going forward, with a strengthened improvement function, as referred to in 'Next Steps'.

On this basis, the Steering Group proposes that the following functions are undertaken by all ICs:

- Identify **priorities** for improvement within the region, based on an **analysis** of all available evidence on educational performance within the region, including school attainment data, and consideration of the priorities set out in the **National Improvement Framework (NIF)**.
- Formulate a **regional improvement plan**, based on the process of analysis and prioritisation mentioned above, and drawing on school improvement plans, local authority improvement plans and the national improvement plan. The plan should be agreed with the Chief Inspector of Education, to both ensure that it takes account of all available evidence on performance, and to support and challenge the selection of the educational strategies and interventions. 'Next Steps' refers to this plan being an annual requirement for all ICs. **The Steering Group discussed whether it would be preferable to require three year regional plans, with a clear commitment for an annual review of performance.** This would empower colleagues to tackle more systemic change and to develop more substantive and sustainable programmes of work, whilst retaining a clear commitment to pace and delivery. It would also match the three year budget planning timeframe within local authorities which could help unlock new ways of allocating resource to improvement activity. **It is proposed that this is considered alongside the current legislative requirements for annual reporting on the National Improvement Framework.**
- Enhance and improve **professional learning** for teachers, other professionals and key partners within the region, within a national framework, to ensure delivery on identified local priorities.
- Ensure that an appropriate **range of support, interventions and programmes** are in place to raise attainment and close the poverty-related attainment gap within the region. This should include proportionate and tailored support to schools and early learning and childcare providers.
- **Identify, promote and share good practice** in learning, teaching and assessment within the region, and with other regions. This should operate at all levels, and include developing networks of teachers and other professionals to share good practice, through **peer-to-peer and school-to-school collaboration**. These networks should include subject or sector specialisms across the region and build on areas identified for improvement, ensuring an appropriate level of challenge is injected into these groupings.

- Support schools **to interpret and implement key educational developments** and insights gained from research.
- Ensure and enhance **subject-specific support and advice** across all eight curriculum areas, with a clear focus on literacy and numeracy and the areas of improvement identified for that region, and their contribution to attainment.
- Facilitate access to **sector-specific support and advice** which may include areas such as early learning, Gaelic Medium Education, and additional support for learning.
- Build capacity in **improvement methodology**, through review, collaboration and shared approaches. This will include working with local authorities to ensure appropriate support is in place for schools to ‘manage change’ successfully through training, support, peer review and challenge.
- Take a **regional approach to supporting staffing challenges**, including recruitment and retention; promoting shared approaches to building capacity and securing improvement.
- Work with local authorities and other partners to **support wider collaborative working** across the ‘system’, including education, social work, health, Community Planning Partnerships and others to ensure that together, ‘we get it right for every child’.

The Steering Group proposes that the following functions should be tailored to local needs by individual ICs:

- The ‘**improvement offer**’ should be proportionate depending on school performance and capacity for self-improvement. Within a region, some schools may need a ‘light touch’ approach and others may need more significant support or intervention to secure improvement. It will therefore be the responsibility of the IC, in collaboration with the constituent local authorities, schools and other local partners, to determine the nature of activity and how that is delivered in practice.
- Following on from this, it should be the responsibility of each individual IC to decide on their ‘**model of staff deployment**’, to ensure they are able to deliver on the core functions and agreed priorities.
- Each IC will have a different starting point as they consider how best to deliver on the core activity and priorities. It is anticipated that all the ICs will develop over time and that in order to secure real improvement, each IC will need to **test new and different ways of working** to assess the impact on improvement in their area. What works in one area may not work in another. Whilst all ICs should encourage innovation, there will need to be flexibility and variation in the approaches taken.

Once regional plans are in place, it will be important for each IC to **simplify and clarify the landscape to avoid any confusion in schools and learning centres,**

in terms of where to go for different types of improvement and support. This will be particularly important for headteachers given their changing role and responsibilities, as well as by other professionals, who will need clarity as to what is being provided by the IC, what is being provided by their individual local authority, and essentially where to go for specialist advice.

5. (d) Interim Conclusions: Leadership

The Steering Group would like to highlight the critical role of effective leadership in the development of the ICs, for example:

- It is clear that the ICs will rely on excellent educational leadership and the top priority for educational leaders will be to achieve excellence and equity for every child within the region.
- There is already a wide range of improvement activity underway across the education sector in Scotland. 'Next Steps' builds on this and sets out a clear ambition for increased pace, reach into every school and greater consistency of impact. Strong and collaborative leadership, at all levels, and across the system, will be key to delivering on this ambition.
- The leadership must ensure that improvement activity is focused on the most effective interventions and that it progresses with pace and impact.
- Educational leaders working within the ICs must have the highest levels of credibility, visibility and educational strength and expertise in order to motivate and inspire change and improvement.
- They will also need to ensure that improvements are embedded and sustained.

There are a number of options available for developing leadership capacity across the ICs. As stated in 'Next Steps', leadership development at all levels will be built around new career pathways for teachers and the 'Framework for Educational Leadership'. Programmes currently led by SCEL will be expanded and offered as progressive leadership pathways for teachers within regions. This will be linked to succession planning and the new campaign to attract more teachers into promoted posts including headship.

The Steering Group has considered the policy direction set by 'Next Steps' and a number of themes have emerged from those discussions:

To recap, 'Next Steps' indicates that strategic leadership and direction will be provided by a 'Regional Director' and a wider regional leadership team. It indicates that the Regional Director post will be appointed by the Scottish Government and will report to the Chief Inspector of Education for Scotland.

- Whilst there is a strong recognition of the importance and critical contribution of leadership to the work of ICs, since the publication of 'Next Steps' there have been a range of views regarding the model of leadership proposed. This relates to the identification, deployment and accountability of the Regional Directors, as well as to any changes in the statutory responsibilities of Local Government with respect to education.

- Having considered how this might operate, local government colleagues have reflected on current experience and developed a proposal for that top tier of leadership which is intended to address some of those concerns and to secure buy-in, pace, ownership and support from local authorities, ADES and other partners. In this model, the Director role is positioned as a 'Regional Co-ordinator' and is appointed following a nomination by local authority Chief Executives and employed by a Local Authority. The Director would be accountable as senior officer, to the Chief Executives of the constituent local authorities, as well as providing reports and information to the Chief Inspector of Education. A wider system of local and national reporting could then be developed which allows for local and national democratic accountability for children and families. This type of model is currently being developed in the Northern Alliance and West Partnership.

On considering the proposed Local Government model of leadership, Education Scotland indicated that the Chief Inspector of Education would want to be involved in the appointment, working with colleagues to ensure that candidates have the right skills, experience and track record, to make the best possible impact on leading improvement within the region.

Following discussions between the DFM and Cllr. McCabe on 15th and 21st September, each IC will be led by a 'Regional Improvement Lead' (rather than the title of 'Regional Director'). The Regional Improvement Lead will be selected jointly by the local authorities that make up the IC and the Chief Inspector of Education. The appointment would be made with the agreement of the Chief Executives in all the authorities and with the Scottish Government, (who would be advised by the Chief Inspector). The Regional Improvement Lead would be formally line managed by the Chief Executive of the employing authority, whilst reporting to all of the collaborating authorities and to the Chief Inspector.

5. (e) Interim Conclusions: Staffing

The Steering Group agreed the following:

- Staffing decisions must directly reflect consideration of all the functions required for the IC and the agreed priorities for improvement.
- It will be important for each IC to ensure they secure the best possible mix of staffing to enable them to deliver with ambition and pace. Getting the right mix of expertise will be essential.
- The Group acknowledged the current variability in support for improvement across the country and that for some there will be a need for a significant shift and rapid scaling up of activity, based on the local needs identified.

The Steering Group has developed some initial guidance for ICs to consider when developing their education leadership teams. For example:

- Firstly, it is worth re-emphasising that within 'Next Steps', there is not a proposal to establish a new body or employing authority, a position supported by the Steering Group. Collaborating on a regional basis towards collective aims will be a **way of working** which will be embedded throughout the system – both within and between organisations who are working to get it right for every child. This should be reflected in how the ICs approach their staffing decisions.
- Each IC will develop a '**workforce plan**', taking a holistic view of the functions they need to deliver on, (reflecting national, regional and local priorities), the skills mix to deliver those functions, and identifying where there is existing capacity, (including the role of digital solutions), and where there are gaps.
- As mentioned earlier, the Steering Group proposes that it should be the responsibility of each individual IC to decide on their '**model of staff deployment**', to ensure they can deliver on the core functions and agreed priorities. The priority for each IC is to ensure it has an agile and flexible staffing model which is responsive to the needs and priorities within the region, whilst also reflecting the ongoing requirements of the constituent local authorities. ICs will also need to think carefully about how they balance that need for flexibility with the need to ensure that the core offering is sufficiently resourced to deliver progress at pace, and to ensure that improvement support is available where and when it is needed.
- In determining the exact make-up of each IC, each area should consider the evidence and the agreed priorities, but also ensure that they draw on existing activity, connections and partnerships. Furthermore, given the strong focus on the use of performance data and evidence from a range of sources, it will be important for each IC to consider how best to ensure they have the required **resource for data analysis** on a regional basis.

- It will also be important to **consider the respective areas of strengths and expertise within a region, alongside areas for accelerated development**; this will help ensure a region is getting the most from existing skills and expertise, that it is identifying gaps, and that it can target where to share and redeploy resources and where it needs to bring in additional expertise.
- All ICs will need to have a **core team** which will include senior officers, e.g. the Chief Education Officers from each local authority within the IC, and senior officer(s) from Education Scotland and from the Care Inspectorate in relation to early learning and childcare. They should also ensure that their Attainment Advisers form a key part of the ICs, charged with bringing an equity focus to the work of the IC, whilst still working intensively on the Scottish Attainment Challenge. It will also be important to link with the Improvement Advisers for the Children & Young People Improvement Collaborative.
- This **core offer would obviously be built upon** depending on the scale of the IC and the needs/ priorities within the region. Other areas that ICs may want to consider include Continuing Professional Development, social care, health and well-being, parental engagement, and additional support for learning.
- A **wider leadership forum** could also include cluster leaders, (for example, a headteacher from each of the clusters/ area school groups within the region), and leaders from partner agencies and youth employment co-ordinators.
- It is anticipated that **additional resources** will be needed to boost staffing capacity within the ICs. This may include specialists in all eight curriculum areas within each IC, plus additional dedicated sector or specialist expertise and capacity as required. The impact of recruiting additional staff, (who are likely to come from schools), will need to be risk assessed in terms of staffing shortages in areas such as STEM. Resourcing may also draw on universities, businesses and other wider community links, again depending on local needs and priorities. ICs may also need to look beyond their own region to secure the required expertise and input, and engage with national agencies and national networks.
- A model for **administrative support** will be required for each IC. This could include communications, events and branding. Arrangements for aspects of support such as travel and subsistence could be met by the employers of the individuals within the IC or through a service level agreement between the partners within the IC. This will be for each IC to determine.

5. (f) Interim Conclusions: Geography

The Steering Group was asked to agree the process, building on existing work, to define the geographies of the ICs. The approach must ensure reach and deliverability in every part of Scotland and to every school, including consideration of early learning and childcare settings.

Initial work has been undertaken by Local Government to look at existing relationships and the range of activity. They propose that each local authority in Scotland belongs to a collaborative grouping based on local assessment of where the most meaningful work can be undertaken on a partnership basis. The geographies proposed by Local Government are noted below:

The Northern Alliance	Aberdeen City Council Aberdeenshire Council Argyll and Bute Council Comhairle nan Eilean Siar Highland Council Moray Council Orkney Islands Council Shetland Islands Council
The Tayside Collaborative	Angus Council Dundee City Council Perth and Kinross Council
The West Partnership	East Dunbartonshire Council East Renfrewshire Council Glasgow City Council Inverclyde Council North Lanarkshire Council Renfrewshire Council South Lanarkshire Council West Dunbartonshire Council
South West Collaborative	East Ayrshire Council North Ayrshire Council South Ayrshire Council Dumfries and Galloway Council
South East Collaborative	Edinburgh City Council East Lothian Council Fife Council Midlothian Council Scottish Borders
Forth and Almond Valley Collaborative	Clackmannanshire Council Falkirk Council Stirling Council West Lothian Council

The Steering Group noted the groupings which have been identified by Local Government. Based on this consideration, the Group reflected further on the remit of the Steering Group which was to agree the process for final decision-making. The Group had an initial discussion on the range of factors that will need to be taken into consideration when deciding on the final groupings. They are as follows:

- Scale of the grouping.
- Capacity to deliver additionality, including the availability of specialist support.
- Range of school performance.
- Existing regional footprint and regional arrangements.
- Other cross-authority collaborative working, such as the City Region Deals.

Furthermore, it is worth noting that the Scottish Government Early Learning and Childcare Expansion Programme Delivery Team is working with the Improvement Service, to ensure that Change Managers appointed to support authorities in planning for and implementing the expansion, are aligned to IC geographies, once agreed.

5. (g) Interim Conclusions: Accountability

The Steering Group was tasked with developing options to address local democratic accountability alongside national accountability, within the context of the policy direction set out in 'Next Steps'. This will enable ICs to directly support teachers, practitioners and headteachers to deliver excellence and equity in education, by facilitating both the decentralising of some Education Scotland resources and the pooling and sharing of local authority resources to ensure an enhanced and responsive improvement capacity.

There is also a strong link between governance and funding. The Steering Group's remit does not extend to funding and so this is highlighted as an area requiring further discussion.

In considering a possible model, the Steering Group looked at how an accountability framework can contribute to an effective governance system, with reference to the changes that are articulated in 'Next Steps' regarding the roles of headteachers, Local Government, Education Scotland and the Scottish Government, as well as the step change in pace and impact which 'Next Steps' requires. The Steering Group therefore considered accountability along the lines set out in 'Next Steps', as well as a proposal developed by local government colleagues.

The Steering Group agreed that the key responsibility for all ICs will be to:

- **Secure excellence through raising attainment:** ensuring that every child achieves the highest standards in literacy and numeracy, set out within Curriculum for Excellence levels, and the right range of skills, qualifications and achievements to allow them to succeed.
- **Achieve equity:** ensuring every child has the same opportunity to succeed, with a particular focus on closing the poverty-related attainment gap.
- **Share collective responsibility across the whole system - the embodiment of GIRFEC:** multiple agencies within and outwith the Scottish Government and local authorities strive towards these aims at every level of their delivery. Relationships forged at a strategic level help to make sure that delivery on the ground can put the child at the centre.

The Steering Group also agreed that any model must also meet the following five principles:

- **Strategic alignment and deliverability** - the role of ICs within the system to ensure alignment from high-level strategy to operational delivery and to bring added value to the delivery of the policy direction of 'Next Steps'.

- **Clarity** - clear agreed goals for multiple agencies and parties, (the system), around children and young people, striving towards commonly held aims (primarily delivering excellence and equity).
- **Simplicity and transparency** - minimal additional bureaucracy and structures.
- **Agility** - each stakeholder's (agency or individual) ability to articulate their place in the whole picture and be an active participant in its success.
- **Support collaboration** - clear process(es) whereby stakeholders can add value to the 'system' and be held to account for their contribution and performance in relation to ICs.

Following discussions between DFM and Cllr. McCabe on 15th and 21st September, the following model of shared accountability is set out below. This model demonstrates a commitment to collaboration throughout the approach, at every stage and at every level:

The Regional Improvement Lead would be:

- Selected jointly by the local authorities that make up the IC and the Chief Inspector of Education for Scotland. The process of selection will itself be collaborative, with the IC authorities and the Chief Inspector working closely from the outset of the appointment process. It is the expectation that in the first instance, the regional role will be fulfilled by reassigning an existing local government employee into this post, although this may be someone from outwith the region. The exact parameters will be for discussion between the local authorities and the Chief Inspector depending on their assessment of the local context. The final appointment should be made with the agreement of all of the Chief Executives within the IC and with the SG (who will be advised by the Chief Inspector).
- Formally line managed by the Chief Executive of the employing authority, but reporting to all the collaborating authorities (at official and political level), and to the Chief Inspector.

The IC as a whole would also have an accountability to the Chief Executives and Convenors of the collaborating authorities and to the Chief Inspector. Schools and headteachers must have an opportunity to comment on the extent to which the IC provides the support that they need.

This model is based on the following agreements:

- **Each IC must take forward a meaningful and substantive improvement agenda**

As stated earlier, a 'Regional Improvement Plan' must be developed that covers all eight curriculum areas, with a clear focus on the key improvement priorities in the region and on the work that is needed to close the attainment gap. The Plan must also be designed in a 'bottom-up manner, based on the needs and improvement priorities of schools, and must be approved by the Chief Inspector.

A 'Workforce Plan' also needs to be developed alongside the Improvement Plan. The Workforce Plan will be assessed to ensure that it will deliver the full range of activity within the Improvement Plan, at pace. As many staff as possible need to be deployed full-time or close to full-time, in order to achieve the relentless focus on improvement as set out in the functions of the ICs. All contributors will have a role to play in the staffing (including Education Scotland) and the Chief Inspector must agree the Workforce Plan.

- **The Role of Education Scotland**

Each IC will be committed to supporting headteachers to deliver improvement at pace. This requires close collaborative working with Education Scotland who will make a substantial contribution to each IC, including involvement in selecting the Regional Improvement Lead, agreeing the Improvement Plan and the Workforce Plan, as outlined earlier.

- **Timing**

Each IC must be fully operational with a Regional Improvement Lead in place by the end of October. Given that the primary purpose of the ICs is to support schools and teachers in the delivery of educational improvement, the views and priorities of schools will be crucial in developing the plans. The Improvement Plans of ICs should flow from those identified by schools in the National Improvement Framework process. Each IC must also consult with schools and wider interests on the development of their Improvement Plan and their Workforce Plan. To ensure that sufficient time is built in to support this consultation, it is suggested that both plans must be agreed by the end of January 2018 in alignment with National Improvement Framework timescales.

- **Geography**

It will be important to ensure that each proposed grouping has sufficient educational strength.

- **Review**

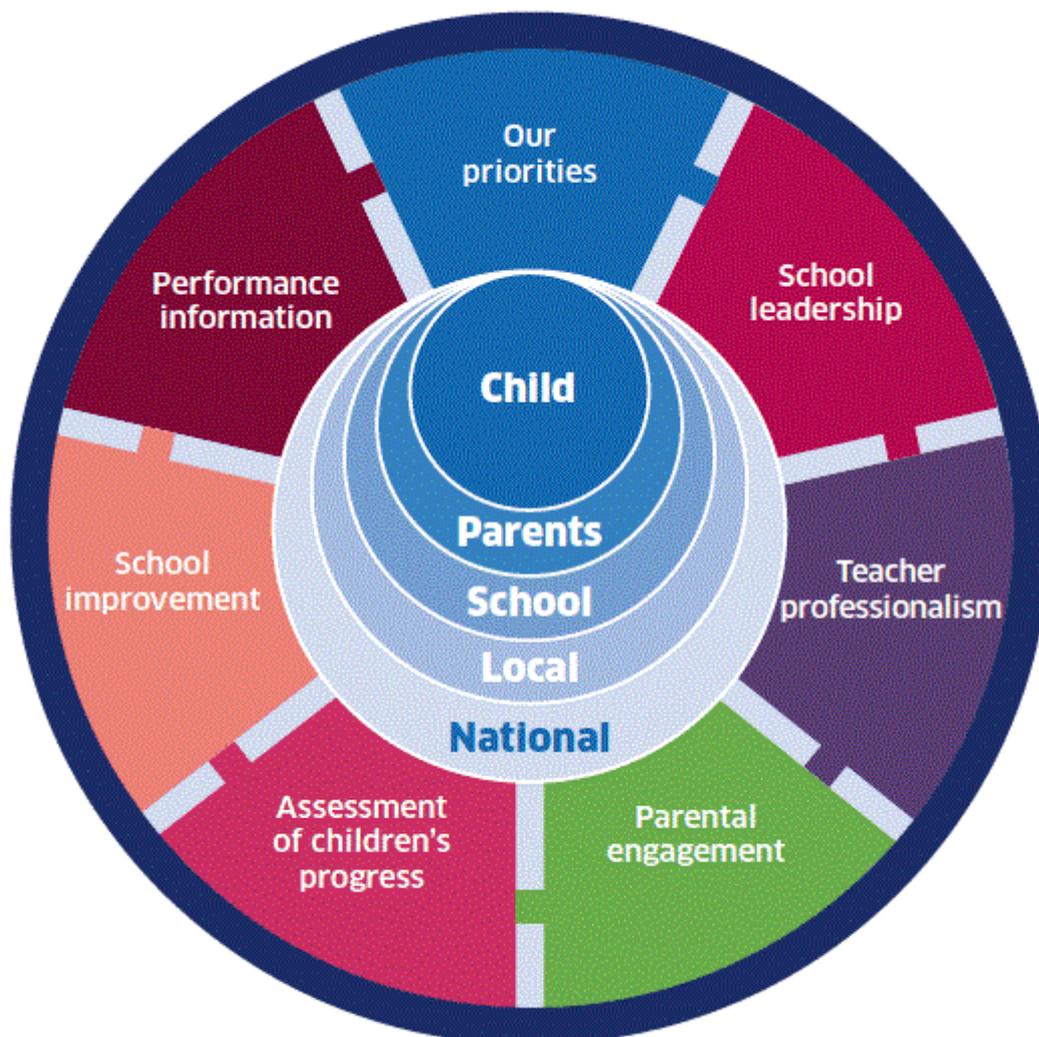
This arrangement will be subject to review. This would involve an independent review when each IC has been in full operation for six months, followed by a more detailed review after 12-18 months. One suggestion is to invite the OECD to conduct a 'rapid review'; this will be explored further, along with other options.

6. Interim Conclusions: Measures of Success

The Steering Group has undertaken initial thinking on what criteria and approaches could be adopted to reflect the various stages in the development and implementation of the ICs.

The Steering Group agreed that we are starting in a strong position with the National Improvement Framework (NIF), which provides a clear foundation for looking at performance data and the established drivers of improvement (see diagram below). This should form a core part of the regional plans for each IC and their assessment of progress going forward, along with other measures that may already be in operation.

It will also be important to look at what other mechanisms reveal about ‘measures of success’. ICs will need to draw on existing measures, where they exist, and link in with other initiatives and evaluations that relate to children and young people, and the attainment gap in particular.



The challenge will be how to assess the additional contribution of collaboration to improved outcomes. Several existing collaboratives are already in discussion with partners from academia regarding independent evaluation. It would be worth drawing on those discussions to share the thinking and to consider whether these approaches could be developed for other regions, and to consider how this might contribute to a 'national picture' of progress. HM Inspectors of Education may also inspect and review the impact of the ICs in the future. Similar models of inspection have been introduced in other countries where regional models are in place, e.g. Wales.

The approach to measurement should also reflect the move to an outcomes-based approach to performance which ties in with existing mechanisms for monitoring performance.

At this stage, the Steering Group recommends that further development work is undertaken once the approach and formation of ICs have been agreed.

This would enable the work to be more closely aligned to the principles and functions that have been proposed in this report, drawing on the NIF, as well as wider work looking at the measurement of the attainment gap. A subgroup could be formed to bring together experts and analysts from relevant organisations along with links to the existing Collaboratives. This subgroup could be tasked with developing a more detailed plan, perhaps considering the core expectations for all ICs and other options that individual ICs might consider. This would also inform further thinking on the key milestones for the development of ICs.

This will be considered alongside the proposal referred to in the accountability section, where all ICs would be subject to an initial independent evaluation, after six months of full operation.

Appendix A: Example of Design Principles/ Key Questions

As reported earlier, the Steering Group agreed a set of guiding principles to shape the work of ICs. The Group also agreed that ICs should consider some key questions as they develop their plans. Whilst acknowledging that design principles must be locally driven to be meaningful and effective, the Group felt that the following extract, drawn from work by an existing Collaborative, could be a helpful way of supporting prioritisation and assessing individual proposals.

- Which outcome/ priority does this contribute to? What is the scale of change envisaged?
- Does it support our national priorities of excellence and equity, and the principles of GIRFEC?
- How well does it reflect the 'guiding principles'?
- What does the related evidence tell us? Do we have the views of headteachers, teachers, other professionals, families, children, others?
- Is the proposal about a change in delivery or improving performance within the current approach? Have a range of options been considered?
- Has the use of digital technology been considered?
- What are the staffing implications?
- What is the potential social impact?
- Are there any negative social consequences or potential unintended consequences?
- Does this reflect the level of ambition envisaged – could it go further?
- Does this contribute to a shift to prevention?
- Have all partners agreed to this? Are there other organisations that this may impact upon? Do we have a 'handling plan'?
- Does it require a realignment or closure of other services or funding streams? Who would need to make changes or realign funding?
- What does the cost-benefit analysis reveal?
- Are there any potential savings that arise from this? If so, when would they be realised?
- Are there other options that could have a greater impact?

Appendix B: Current Regional Groupings

A number of local authorities across Scotland have already begun to develop stronger approaches and mechanisms for collaborative working. The three most developed are the Northern Alliance (eight Councils), the Tayside Children's Services Collaborative (three Councils and an NHS Board) and the West Partnership (eight Councils). All have established relationships with wider partners in their region, in addition to these core members.

These models of collaboration all vary in scope, approach and maturity, but all illustrate a strong and shared commitment to the improvement agenda and our shared goal of improving the education and life changes of our children and young people.

The Steering Group has drawn on the experience of these areas in developing this initial work and further engagement will be undertaken to ensure that the development of ICs continues to build on that activity and indeed the learning.

A number of key themes from these three groupings have emerged to date:

- All have a strong commitment to raise the ambition and pace and are thinking carefully about scale, capacity and how best to secure additionality through their collective efforts.
- There is variation in the contexts in which they are defining their collaborative working, (e.g. an initial focus on education now evolving to the wider system, children's services as the starting point, and economic development as the overarching framework); all have devoted time to articulating their shared purpose and local connections.
- All have identified education as a key priority and demonstrate a strong commitment to delivering excellence and equity.
- There is a strong focus on the use of data and evidence as the main driver to inform priorities and action.
- Whilst all are at different stages of delivery, all report being at a crucial stage in their development, thinking carefully about the leadership and sustainability of their collective efforts, including the potential to increase the scale and pace of those efforts, and how they can measure impact and the contribution of collaboration to improved outcomes.



F/T: 0300 244 4000
E: dfmcse@gov.scot

Local Authority Chief Executives

CC: Directors of Education

03 October 2017

Dear Chief Executive,

EDUCATION REFORM: REGIONAL IMPROVEMENT COLLABORATIVES

Following the announcement of the agreed position on implementing Regional Improvement Collaboratives on Friday 28th September, we would like to set out the process for progressing with the operation of each collaborative.

Both the Scottish Government and local government have shaped the development of the Regional Improvement Collaboratives, working to ensure improved outcomes for children are at the heart of this work.

As you know, the guiding principles which will underpin the development of the Regional Improvement Collaboratives, and the next steps to put them in place, have been developed through a Steering Group co-chaired by Scottish Government and SOLACE and are supported by both Scottish Ministers and COSLA Leaders. The report of the Joint Steering Group is Annexed to this letter for your information.

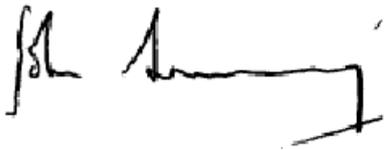
The immediate next steps agreed are around the leadership and formation of the Improvement Collaboratives with a Regional Improvement Lead to be identified by 31 October 2017; and the development of both an Improvement Plan and a Workforce Plan for each collaborative by 31 January 2018. These appointments and plans will be agreed and approved by the Chief Executives of the local authorities within the collaborative and with the Scottish Government, as advised by the Chief Inspector of Education Scotland. The improvement plans should flow from the priorities identified in school plans under the National Improvement Framework process and the timescale is intended to allow sufficient time to consult with schools.



The report recognises the need for bespoke models, within a nationally agreed set of core functions, to be developed to reflect each region's particular context. Education Scotland has also announced that most of their education staff will be contributing to the collaboratives, working alongside staff from local authorities and schools to support and drive improvement. Discussions should now to be taken forward in regions in the first instance, including officials from both Education Scotland and the Scottish Government so that work can continue in close partnership. You are asked to confirm to the Scottish Government the Chief Executive lead contact for each Improvement Collaborative, to facilitate those discussions.

We look forward to working in partnership as we take forward this important first step in implementing the education reform agenda.

Yours faithfully,



**JOHN SWINNEY, MSP
SCOTTISH GOVERNMENT**



**COUNCILLOR STEPHEN McCABE
COSLA**

Procurement Contract Delivery Plan 2018 - 2019

Report by Gary Fairley, Head of Finance & Integrated Service Support

1 Purpose of Report

This report provides Cabinet with details of the Procurement Contract Delivery Plan 2018-19, together with an update on the development of the next Procurement Strategy, covering the years 2018-2020.

2 Background

- 2.1 A report to Council on 23 June 2015 sought approval of the current Procurement Strategy 2015-2018, a key strand in delivering the strategy was the development of a continual contract delivery plan covering two year periods.
- 2.2 The Procurement Reform (Scotland) Act 2014 which received royal assent in 2014 was transposed into Scottish Public Procurement Legislation in April 2016. One of the duties imposed on public bodies by this legislation is the development and advertisement of a contract delivery plan.
- 2.3 The Procurement Strategy also identified a number of challenges facing the Council including reduced funding, local economic recovery, maximising community benefits and supporting local businesses through the procurement process.
- 2.4 To meet these challenges the current Procurement Strategy aims to:
- **To support and stimulate the local economy through the use of the Council's considerable buying power;** early engagement with local businesses in the procurement process and targeted training where appropriate to enable local businesses to be prepared for upcoming contract opportunities. Aim is to increase % spend with local businesses

Example Achievement:

- *28% of spend currently goes to local businesses; this is above the national average.*
- **The procurement strategy will be a lever to support delivery of the Council's Corporate Social Responsibility;** through Equality and Diversity, community benefits such as training, development, creation of apprenticeships and work experience, achieving accreditation as a Scottish Living Wage Employer by promoting and encouraging the payment of the living wage throughout our supply chain, and aiming to reduce our carbon footprint by contracting with local businesses where possible.

Example Achievements:

- *Midlothian Council achieved Living Wage Employer accreditation in April 2016, in achieving this accreditation we worked with all our suppliers to ensure the Living Wage is paid to all employees working on Midlothian Council projects/buildings.*
- *Recent Care at Home Tender achieved work experience/placements, pre employment skills sessions, training, workshops and apprenticeships.*
- **To ensure effective procurement contributes to the wider efficiency savings targets of the Council;** whilst best value is the overall driver of the strategy, a main focus of procurement activity will be on cashable and non-cashable savings; this will be achieved through challenging existing service requirements, extensive market research and seeking innovative solutions to service needs.

Example Achievements:

- *Recent Legal Services Tender achieved free of charge Legal Training for Council Officers*
- *Standardising stationary and paper procured has resulted in cashable savings of over £40k pa.*

3 Contract Delivery Plan

- 3.1** The aim of the contract delivery plan is to help support and deliver the challenges highlighted in the Procurement Strategy through robust tendering and contract management. Delivery of contracts in this plan will also enable the Council to meet the duties imposed through the Procurement Reform (Scotland) Act 2014 and the new EU Directives which were transposed into the Public Contracts (Scotland) Regulations 2015 in April 2016.
- 3.2** All procurement activity undertaken through the contract delivery plan will adopt and be delivered utilising the principles of the existing and future Procurement Strategies.
- 3.3** In development of the contract delivery plan the Procurement Team identified the planned contracts that required to be tendered over the next two years. The plan **does not** include for any ad-hoc procurements, unknown capital works and smaller value quotes. However any additional procurement out-with the contract delivery plan will be subject to the same principles of the procurement strategy.
- 3.3** The two year contract delivery plan is attached (appendix 1); the contracts covered in the delivery plan are classified as Category C and C1 and are Midlothian specific contracts.
- 3.4** In addition to contracts which arise from procurement work undertaken by officers directly for the Council we also make use of a range of contractual agreements awarded in collaboration with other bodies:

- Scottish Procurement (CAT A) deliver contracts that the whole Public Sector can procure from, examples of these types of contracts are: Stationary, Fuel, Travel, Printing, IT Supplies, Fixed and Mobile Phones.
- Scotland Excel (CAT B) deliver contracts that are specific to local authorities, examples of these types of services are: Care at Home, Trades Materials, Engineering Consultancy, Fostering, Children's Residential Care,

Procurement Officers from the Council are heavily involved in the specification and contract management of the above contracts, our officers are key members of the project team to help shape and influence the outcomes on these contracts ensuring they meet both the Council and our customer requirements.

- 3.5** Although procurement legislation prevents public bodies from directly favouring local businesses for higher value Tenders (over £50k contracts), it is possible for lower value contracts to be shaped in a way that encourages the involvement of local and smaller businesses. To that end Midlothian Council invites local businesses to quote in every lower value tender where possible.

4 Savings

- 4.1** The existing contract delivery plan has already secured the following savings: £480K in Capital Projects, £352K in Revenue Expenditure (includes contractual rebates). Though for the reasons set out below these often have limited impact on reducing service budgets.
- 4.2** The majority of contracts on the delivery plan are moving into 3rd and 4th generation of tenders. Scope to achieve further savings is diminishing due to inflationary pressure, uncertainties over Brexit and other increased costs including the Living Wage. With some new contracts a cost avoidance approach will need to be adopted.

However going through a robust procurement process and challenging the way the existing contract is being delivered savings can still be identified and delivered, an example of this is Insurance Services as the table below demonstrates.

Contract	Award Date	Current Premiums (PA)	Tendered Premiums	Savings Delivered
Insurance Services 2017-2021	July 2017	£729,867.95	£656,765.13	£73,102.82

Through a robust procurement process in 2012 supported by City of Edinburgh Council's marketing team we managed to reduce insurance premiums by over £100k per annum. This was achieved by adopting a different approach to market and not going through an insurance broker, however due to our claims experience over the last few years (Hopefield School Fire Damage etc.) there was an expectation that

premiums would rise during the next procurement cycle. Increases in premium costs were avoided in 2017 by approaching the market early and offering insurance packages in combined lots which helped cost avoidance in certain premiums but also drove down the cost in others.

Another example is the procurement of tyres, our existing supplier has again won the contract however due to their experience working closely with Fleet Services over the past 2 years they were able to offer tyre solutions which met our needs and reduced our costs.

Contract	Award Date	2016/17 Spend (PA)	2017/18 New Rates (PA)	Savings Delivered (PA)
Framework for the supply of Tyres.	Aug 2017	£91,000	£76,107	£21,893

- 4.3** Potential savings against existing cost and available budget will continue to be identified during the commodity strategy phase prior to going to market. Actual savings delivered though the procurement process will then be validated in conjunction with the appropriate Head of Service and the Finance team. A benefit tracking model will track savings from targeted, to delivered and through to being realised, in particular this will identify where the procurement secures a saving against budget. The benefits tracking model will also monitor any community benefits which have been delivered and realised through the award of contracts (this includes apprenticeships, work experience etc.).

5 Contract Management

- 5.1** All current and recently awarded key contracts are subject to a contract and supplier management process.
- 5.2** The aim of contract and supplier management is to ensure suppliers are fully meeting their contractual obligations and allowing the opportunity for innovation throughout the period of the contract which will enable the provision of a sustainable service at a reduced cost. Support from the appropriate service teams is vital to ensure the Council is achieving the maximum value from all contracts.

6 Procurement Strategy/Annual Procurement Report

- 6.1** Two of the duties imposed on Public Sector Bodies through The Procurement Reform (Scotland) Act 2014 are the publication of a Procurement Strategy and an Annual Procurement Report.
- 6.2** The current Procurement Strategy runs from 2015-18 and is due for renewal from April 2018. One of the requirements of the duty is for the Procurement Strategy to be written in consultation with all

stakeholders. To this end consultation on the new strategy will commence in December with a new Procurement Strategy being presented to Cabinet in February/March 2018.

- 6.3** The second duty imposed through the Reform Act is for all public bodies to produce an annual procurement report for Scottish Ministers. The report will demonstrate that all procurements have been delivered against the key outcomes of the procurement strategy. The first annual procurement report is to be drafted after the 2017/18 year end and will cover the period January 2017 to March 2018. For future years the annual procurement report will fall in line with the Councils financial year.

7 Report Implications

7.1 Resource

There are no direct resource implications as a result of this report, each procurement activity will be led by an existing procurement officer and supported by a user intelligence group consisting of service managers and technical experts.

7.2 Risk

It is increasingly challenging to secure savings from procurement exercises and particularly given economy to secure budget savings.

Delivering contracts through best practice sustainable procurement will reduce service delivery risk and ensure best use of available resource.

7.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

- Community safety
- Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- None of the above

7.4 Impact on Performance and Outcomes

This report does not directly impact Midlothian Council's and wider partners performance and outcomes

7.5 Adopting a Preventative Approach

This report does not directly impact actions and plans in place to adopt a preventative approach. Although the social benefit clauses sought in procurements will create apprenticeship and targeted training.

7.6 Involving Communities and Other Stakeholders

Relevant staff has been consulted during the development of the contract delivery plan.

7.7 Ensuring Equalities

An equalities impact assessment will be carried out on each procurement activity prior to going out to tender.

7.8 Supporting Sustainable Development

The adoption of the contract delivery plan will strengthen our commitment to sourcing in a sustainable way.

7.9 IT Issues

There are no IT issues arising from this report

8 Recommendations

It is recommended that Cabinet:

- a) Approve the Procurement Contract Delivery Plan 2018-19
- b) Note that a new Procurement Strategy will be presented to cabinet by March 2018
- c) Note the requirement to produce an Annual Procurement report for Scottish Ministers in April 2018.

10 September 2017

Report Contact:

Name: Iain Johnston Tel No: 0131 561 5385
iain.johnston@midlothian.gov.uk

Year	Procurement Activity	Contract Start Date	Estimated Contract Value (4 Year) £m's
2018	Mechanical & Electrical Maintenance Contract	Feb-18	£ 3,000,000
	Gas Central Heating	Mar-18	£ 7,500,000
	Asbestos Survey & Removal	Mar-18	£ 600,000
	Disabled Adaptations (Wet Floor Bathrooms)	Jan-18	£ 500,000
	Plumbing Works	Mar-18	£ 300,000
	Orchard Centre Services Including Befriending Service	Aug-18	£ 4,620,000
	Residential and Supported Living - Dougall Court	Mar-18	£ 473,566
	Money & Welfare Advisory Service	Jul-18	£ 431,489
	Early Learning & Childcare Expansion	Aug-18	£ 987,767
	Home to School Bus Service	Aug-18	£ 4,000,000
	Employee Health Support Services	Aug-18	£ 120,000
	Framework for Demolition Services	Jul-18	£ 1,200,000
	Hire of Cherry Picker with Operative	Dec-18	£ 80,000
2019	Maintenance & Servicing for School CDT, Science and Art Equipment	Jul-18	£ 125,000
	Supply of External Doors	Jun-19	£ 1,600,000
	Scaffolding Framework	Oct-19	£ 350,000
	Kerbside Dry Recyclates & Glass	Apr-19	
	Repair, Maintenance and Minor Works Framework	Oct-19	£ 5,800,000
	Supply of External Window Units	Dec-19	£ 4,000,000
	Temporary Accommodation and Tenancy Support	Jul-19	£ 6,191,784
	Respite Care for Adults with Learning Difficulties	Sep-19	£ 542,532
	Care & Support for Community Care Clients (LD & Complex Needs)	Apr-19	£ 9,000,000
	Housing Support (Outreach Service)	Apr-19	£ 800,000
First Aid Medical Supplies (Lead by Midlothian on behalf of 13 collaborative partners)	Mar-19	£ 120,000	
			£ 52,342,138

TBC

Note:

1. The contract delivery plan is for known pipeline procurements only, it does not include unknown ad-hoc procurements, capital work, mini-competitions against national frameworks and smaller value quotes.
2. Anticipated contract value is over a 4-year period and is based on historical spend, further spend analysis will be carried out prior to procurement commencement
3. Majority of contracts are now 3rd, 4th and 5th Generation.
4. All procurements will be delivered in-line with the Procurement Strategy and meet the requirements of the Procurement Reform (Scotland) Act 2014

Ongoing Contract & Supplier Management

Example of Key Live Strategic Contracts	
Social Care	Fostering
Social Care	Community Meals
Social Care	National Care Homes
Social Care	Care at Home
Social Care	Children's Residential Services

Social Care	Temp Agency Workers
Commercial	Roads, Street Lighting and Fleet Materials
Commercial	Roads Maintenance Framework
Commercial	Purchase and Hire of Vehicles
Commercial	Weather Related Services Framework
Commercial	Recyclable and Residual Waste
Construction	Engineering Consultancy
Construction	Trades Materials
Construction	Building & Timber Materials
Construction	Framework Design and Build for Housing
Corporate	Fuel
Corporate	Telephony
Corporate	Printing and Associated Devices
Corporate	Taxi Services
Corporate	Education Materials and Library Books
Corporate	Groceries, Frozen and Fresh Foods
Corporate	Supply and Delivery of Furniture