North Lanarkshire Council
Report

Education, Children and Families Committee

Does this report require to be approved? ☒ Yes ☐ No

Ref DB / TO'H **Date** 13/09/22

Review of the North Lanarkshire Council Scheme of Devolved School Management (DSM)

From Derek Brown, Deputy Chief Executive

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Executive Summary

The Education and Families Committee was previously advised, during the meeting of 22 February 2022, that the Service was reviewing the North Lanarkshire Council scheme of Devolved School Management (DSM) in accordance with national guidelines agreed by the Scottish Government and COSLA.

A key requirement for the Service is to clearly outline the key financial principles which underpin the North Lanarkshire Council DSM scheme and illustrate how individual school and early years budgets, which fall within the scope of DSM, are calculated. In addition, the guidance highlights wider resources that schools, and early years establishments should be made aware of, and may utilise, but which fall outside the scope of the formal DSM scheme. The proposed Service approach is summarised in the accompanying appendices of this report.

An authority's DSM scheme should be reviewed and updated on a regular basis, with a recommendation that this review occurs, as a minimum, at least every three years. However, given the potential implications of the roll-out of national education policies referenced by the Scottish Government in the Programme for Government, the Service will ensure the North Lanarkshire Council DSM scheme is kept under ongoing scrutiny and further reports will be submitted to relevant committees if additional updates or amendments are required.

Recommendations

The Education, Children and Families Committee is asked to:
1) Approve the DSM key funding and operating principles outlined in Appendix 1
2) Approve establishment DSM budget methodologies outlined in Appendices 2, 3 and 4.
3) Approve the additional establishment funding and resource information as outlined in Appendices 5 and 6

The Plan for North Lanarkshire

Priority	Improve North Lanarkshire's resource base
Ambition statement	(25) Ensure intelligent use of data and information to support fully evidence based decision making and future planning

1. Background

1.1 Devolved School Management (DSM) was introduced in 1993 and the policy was made a statutory requirement per 'The Standards in Scotland's Schools etc Act 2000' which committed education authorities to operate a formal DSM scheme for individual schools. DSM is essentially a partnership agreement between an education authority and schools / early years establishments which delegates responsibility and control of a large portion of the school / early years budgets to individual Heads of Establishment.

1.2 The Scottish Government has periodically produced supplementary guidelines to support the practical implementation and operation of DSM schemes. Whilst the government guidance provides an overarching DSM framework, each authority can develop its own administrative and governance arrangements which reflect local needs and specific spending priorities. In this regard the Service regularly reviews best practice within our authority in comparison to the government guidance and through information sharing with professional networks such as the Association of Directors of Education in Scotland (ADES).

1.3 The North Lanarkshire Council DSM scheme was formally introduced in 1997 and has been subject to periodic review, updates, and amendments with the last review having been conducted in April 2018. This preceding review to the North Lanarkshire Council DSM scheme, in April 2018, incorporated the roll out of Pupil Equity Funding (PEF). The scheme is also periodically updated to take account of resourcing decisions which are agreed as part of the Council annual budget setting process.

1.4 The Service has a well-established DSM Review Group which has also served as a financial planning group, involving senior officers from Finance, HR and Head Teachers from all sectors and Heads of Early Years Establishments. This group has been key to the evolution of mechanisms by which the Service has developed the proposed budgeting and financial planning arrangements for establishments.

1.5 To support understanding and enhance confidence in the DSM scheme, the Service provides recurring training to aspiring leaders, newly appointed headteachers and other support groups involved in administering the scheme. Training opportunities will outline principles associated with DSM, best value and adherence to financial regulation and authority policies.

1.6 The information and proposals in this report have been agreed by the Deputy Chief Executive and Head of Financial Solutions.

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2. Report

Current Scottish Government Proposals

2.1 The latest set of DSM proposals and guidelines issued by the Scottish Government (Appendix 7 & 8) can be traced back to reviews and consultations which began in June 2018. The Scottish Government sought to gather evidence and feedback from authorities on potential changes to DSM as part of the wider "Fair Funding to Achieve Excellence and Equity in Education" consultation.

A formal review of DSM guidelines was then agreed as part of the Education Reform Joint Agreement, published in late 2018 and a Fair Funding Reference Group was

established. This group established four principles for further developing revised national DSM guidance:

1) Subsidiarity and empowerment
2) Collaboration
3) Accountability and responsibility
4) Clarity and equity

These principles reflect the National Improvement Framework aims of excellence through raising attainment and achieving equity and the four key outcomes of the Fair Funding consultation highlighted below:

1) **Support excellence and equity**
Ensuring every child and young person has the same opportunity to succeed.

2) **Be fair**
Placing the needs of all children and young people at the centre.

3) **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 with certainty.

4) **Deliver value for money**
Ensuring that every penny spent is used effectively.

The final version of the revised guidelines now reflects and is integrated with the Education Reform Programme and priorities emerging from the Scottish Government and COSLA's Education Reform Joint Agreement of 2018, including the Head Teachers Charter and principles around school empowerment.

2.2 The Scottish Government and COSLA agreed an initial target date for implementing the new DSM guidelines on 1 April 2021. However, this was delayed until 2022 due to the ongoing impact of Covid-19 and recent local government elections (May 2022), and thereafter authorities were advised to seek formal Committee approvals for their respective DSM schemes following the summer recess. The extended introduction reflects the emerging priority of the Scottish Government during this period which encouraged authorities to focus their efforts and resources on education recovery including the establishment of digital learning models.

Comparison to previously approved DSM Scheme

2.3 The proposed overarching DSM scheme rules and principles remain unchanged from the previously approved scheme. This includes the maximum carry forward and virement limits which apply to school establishments.

2.4 There are specific DSM budget changes which reflect previously agreed policies and restructures. These include:

a) Transfer of Schools Technicians Services to Business & Digital
b) Transfer of Admin & Finance Assistants (AFAs) to Financial Solutions
c) Deletion of School Librarian posts
d) Alignment of Early Years carry forward limits in line with school establishments
e) Realignment of facility support services, i.e. catering, janitorial, and cleaning service to Enterprise & Communities Service

2.5   The proposed scheme clearly identifies budgets which are in scope of the DSM scheme and others that are held and managed centrally / cluster level.

Implementation of the Revised DSM Scheme within North Lanarkshire Council

2.6   Pending approval of the revised DSM Scheme, there are number of actions the Service intends to implement and roll out as follows:

1) Consolidation of the information outlined in this report into a DSM Scheme Management Pack which will be made available on Council and individual establishment websites.
2) Circulation of a DSM training calendar to establishments and wider stakeholder groups.
3) Ensure that periodic management information provided to Heads of Establishment reflects the categorisation of budgets included in this report.
4) Ensure ongoing monitoring of the effectiveness and appropriateness of the approved DSM scheme.

3.   Measures of success

3.1   Establishments successfully implement revised resource and operational parameters outlined in the updated DSM scheme.

4.   Supporting documentation

4.1   **Appendix 1** – Key Principles of DSM Scheme
4.2   **Appendix 2** – Early Years & Primary School DSM Budgets
4.3   **Appendix 3** – Secondary School DSM Budgets
4.4   **Appendix 4** – ASN School DSM Scheme Budgets
4.5   **Appendix 5** – Establishment Budgets Outwith the DSM Scheme
4.6   **Appendix 6** – Other School Resources
4.7   **Appendix 7** – Devolved School Management Guidelines
4.8   **Appendix 8** – Devolved School Management Framework

Derek Brown
Deputy Chief Executive

5. **Impacts** (http://connect/report-template-guidance)

5.1	**Public Sector Equality Duty and Fairer Scotland Duty**
	Does the report contain information that has an impact as a result of the Public Sector Equality Duty and/or Fairer Scotland Duty?
	Yes ☐ No ☒
	If Yes, please provide a brief summary of the impact?
	If Yes, has an assessment been carried out and published on the council's website? https://www.northlanarkshire.gov.uk/your-community/equalities/equality-and-fairer-scotland-duty-impact-assessments
	Yes ☐ No ☒
5.2	**Financial impact**
	Does the report contain any financial impacts?
	Yes ☒ No ☐
	If Yes, have all relevant financial impacts have been discussed and agreed with Financial Solutions?
	Yes ☒ No ☐
	If Yes, please provide a brief summary of the impact?
	All associated financial aspects are contained within the main body and appendices of this report.
5.3	**HR policy impact**
	Does the report contain any HR policy or procedure impacts?
	Yes ☐ No ☒
	If Yes, have all relevant HR impacts have been discussed and agreed with People and Organisational Development?
	Yes ☐ No ☒
	If Yes, please provide a brief summary of the impact?
5.4	**Legal impact**
	Does the report contain any legal impacts (such as general legal matters, statutory considerations (including employment law considerations), or new legislation)?
	Yes ☒ No ☐
	If Yes, have all relevant legal impacts have been discussed and agreed with Legal and Democratic Solutions?
	Yes ☒ No ☐
	If Yes, please provide a brief summary of the impact?
	The DSM scheme is required by Scottish Government. The associated guidelines recommend that Local Authorities review the scheme periodically in line with statutory guidance. The scheme demonstrates how the local authority distributes funding to schools and early years establishments. Included at Appendix 7 & 8 of this document are Scottish Government Guidelines and associated Frameworks which pay reference to the legislative parameters of the national DSM scheme, the principles and requirements of which, underpin the prevailing DSM scheme of North Lanarkshire Council.
5.5	**Data protection impact**
	Does the report / project / practice contain or involve the processing of personal data?
	Yes ☐ No ☒

	If Yes, is the processing of this personal data likely to result in a high risk to the data subject? Yes ☐ No ☒ If Yes, has a Data Protection Impact Assessment (DPIA) been carried out and e-mailed to dataprotection@northlan.gov.uk Yes ☐ No ☐	
5.6	**Technology / Digital impact** Does the report contain information that has an impact on either technology, digital transformation, service redesign / business change processes, data management, or connectivity / broadband / Wi-Fi? Yes ☐ No ☒ If Yes, please provide a brief summary of the impact? Where the impact identifies a requirement for technology, has an assessment been carried out (or scheduled) by the Enterprise Architecture Governance Group (EAGG)? Yes ☐ No ☒	
5.7	**Environmental / Carbon impact** Does the report / project / practice contain information that has an impact on any environmental or carbon matters? Yes ☐ No ☒ If Yes, please provide a brief summary of the impact?	
5.8	**Communications impact** Does the report contain any information that has an impact on the council's communications activities? Yes ☒ No ☐ If Yes, please provide a brief summary of the impact? The joint Scottish Government / COSLA guidelines include a recommendation to publish the DSM Scheme as a public facing document.	
5.9	**Risk impact** Is there a risk impact? Yes ☒ No ☐ If Yes, please provide a brief summary of the key risks and potential impacts, highlighting where the risk(s) are assessed and recorded (e.g. Corporate or Service or Project Risk Registers), and how they are managed? The DSM Review group manages the service risks around budgeting and finance, and indeed the scheme itself manages the financial risks to the service in terms of how it distributes moneys to establishments.	

Key Principles of North Lanarkshire DSM Scheme   **Appendix 1**

Introduction - Government & Cosla DSM Guidance

North Lanarkshire will adopt the recommendations contained in the jointly produced Scottish Government and COSLA documents:

1) [Devolved School Management Guidelines](#)
2) [Devolved School Management Framework](#)

Budget Overview

The Education, Children and Families 2022/23 total budget is highlighted below.

DIVISION OF SERVICE	ANNUAL BUDGET
Early Years	31,788,724
Primary Schools	128,030,242
Secondary Schools	127,090,309
Special Schools	20,176,565
Promoting Equity - Schools	0
Education Service Delivery	81,760,326
Children & Families	36,734,528
Justice Services	73,431
Active & Creative Communities	25,074,035
Employability	3,913,759
Community Learning	5,236,818
Welfare	2,072,882
Strategy for Young People	3,138,843
NET EXPENDITURE	**465,090,462**

Based on the assumptions in this document, the total devolved DSM budget is approximately £254m for the 2022/23 financial year.

Areas of Expenditure to be Devolved

The North Lanarkshire DSM scheme classifies resources into the following categories:

a) Establishment budgets which are devolved as part of the formal DSM scheme.
b) Establishment budgets which are not part of the formal DSM scheme.
c) Other Service resources available to establishments.

Council Governance and Best Value Structures

The DSM scheme will operate within the Council's wider governance and financial management structures. Heads of Establishment must take spending and resourcing decisions in accordance with the requirements outlined in the following key documents:

1) Council Financial Regulations
2) General Contract Standing Orders
3) 5 Year Medium Term Financial Plan (2022/23 to 2026/27)

Establishment Governance Structures

The DSM scheme should be used by Heads of Establishment to help achieve outcomes and be aligned to school and Service policies incorporating strategies and policies identified within The Plan for North Lanarkshire, improvement plans, and sector specific best practice guidelines and principles.

Publication

A link to the North Lanarkshire DSM scheme will be available to stakeholders on the Council and establishment websites.

Training

A DSM training plan and calendar will be prepared by the Service each year in conjunction with Financial Solutions staff.

The training plan will include opportunities for both existing Heads of Establishment, aspiring Heads of Establishment, and other stakeholders who have a responsibility for DSM.

Consultation, Engagement & Transparency

The Service utilises a variety of consultation and engagement forums to help determine the resourcing and school staffing models which are reflected in the DSM scheme. Important groups include:

a) The DSM Review Group.
b) The Scottish Negotiating Committee for Teachers (SNCT)
c) The Joint Negotiating Committee for Teachers (JNCT)
d) The Scottish Joint Council (SJC)

At a local level Heads of Establishment are expected to engage with stakeholders such as staff, parents and pupils to raise awareness of the role and purpose of the DSM scheme.

Transparency

The DSM scheme will be written in plain language and clearly identify budgets which are formally devolved to Heads of Establishment.

One of the key aims of the DSM scheme is to ensure equality of access for all pupils including both curricular and extra-curricular activities.

Collaboration

Heads of Establishment will utilise the DSM scheme and wider resources to help achieve Service and Corporate Priorities.

Staffing

The calculation of unpromoted and promoted staffing entitlement for each establishment will be clearly outlined in the DSM Scheme aligned with The Joint Negotiating Committee for Teachers (JNCT) agreed management structures (F20) for school establishments.

Establishment staffing budgets are calculated based on the funding required to support a full-time post which is usually 35 hours per week. A full-time post is referred to as 1.00 FTE (Full Time Equivalent). Establishments receiving part-time posts will be funded pro-rata, for example an employee working 28 hours per week = 0.80 FTE.

Professional Support

The main support for Heads of Establishments in operating the DSM scheme is their link Admin & Finance Officer (AFA). Each AFA will be attached to one of the 23 secondary school clusters.

Heads of Establishment will also be able to access specialist advice and support from other Council Services is areas including:

a) Finance and accounting.
b) HR.
c) ICT
d) Procurement.
e) Legal.
f) Insurance
g) Property

Accounting - Budget Calendar

Financial years will run from 1 April to 31 March.

The preparation of annual establishment budgets for the forthcoming financial year will initially be based on estimated school or early years rolls provided by Heads of Establishment by the 31 January each year.

Annual establishment budgets will thereafter be adjusted in year to reflect the actual August school or nursery roll**.**

Accounting - Budget Virements

Heads of Establishment have the authority to vire funds between individual DSM budget lines subject to the following limits:

1) Virement from Teacher Salaries up to a maximum value of 1.00 FTE average unpromoted teacher annual salary.
2) Virement of up to £20,000 from any other DSM budget line.

Accounting - Annual Carry Forwards of Underspends/Overspends

Establishments can carry forward a portion of their annual DSM budgets funding from one financial year to the next. Maximum carry forwards are limited to 2% of the aggregate total value of DSM budgets allocated to establishments.

If an establishment overspends on its devolved DSM budget during a financial year, the full overspend will be carried forward and applied to the succeeding financial year.

Accounting - External Grants

The Service will distribute funding to establishments in accordance with the specific award criteria and governance structures attached to each grant. As a result, external grant funding allocated to establishments sits outwith the scope of the Council's DSM Scheme.

Accounting – Other Council Services

There are a number of functions undertaken by other Council Services that support the effective management and operation of education establishments. These include:

a) Janitorial provision.
b) Cleaning provision.
c) School meals.
d) Uplift of waste
e) Corporate support function costs, e.g., Finance, HR, Legal, Procurement and Property
f) Property Insurance

The funding and financial management of these activities is outwith the scope of the DSM scheme.

DSM Scheme Review

The DSM scheme will be formally reviewed on a maximum 3 yearly cycle and a resultant report submitted to the relevant Council committee.

The scheme rules will be automatically amended to reflect funding changes agreed during the Council's annual budget setting process.

In exceptional circumstances the scheme rules can be amended following agreement of both the Deputy Chief Executive and Head of Financial Solutions.

Early Years and Primary School DSM Budgets

Early Years Allocations

Early Years Staff Allocations

NLC has developed general principles in relation to the staffing entitlement within Early Years establishments that incorporates the Care Inspectorate age related staff to child ratios to provide minimum staffing levels and a management structure for each type of establishment. NLC currently operates the following types of Early Years establishments:

- Nursery Classes - Full Time
- Nursery Classes - Term Time
- Family Learning Centres - Full Time

Table 1 – Staff to Child Ratios

Age of Children	Staff to Child Ratio
0 – 2 years	1 to 3
2 – 3 years	1 to 5
3 – 5 years	1 to 8

These principles were established by Education and Families Committees, and underpinned internal staffing structures and funding to external private, voluntary and independent partner providers.

Early Years Operational Allocations

Early Years establishments also receive funding for non-staff (operational) budgets as highlighted in Tables 2 and 3 below.

Table 2 - Early Years Operational Budgets – Full-time Nursery Classes and Family Learning Centres

Description	Fixed	Variable
Health & Safety	£366	£0.005 x 2400 hours x Establishment Capacity
Car Allowance Mileage	£400	£25.00 x Staffing FTE
Staff Training	£300	£25.00 x Staffing FTE
TV Licence[1]	£159	£0
Security Systems[2]	£179	£0
Janitorial Supplies	£0	£0.005 x 2400 hours x Establishment Capacity
Medical Equipment	£0	£0.002 x 2400 hours x Establishment Capacity
Furniture & Fittings	£0	£10.00 x Establishment Capacity x 2
Materials & Equipment	£0	£0.01 x 2400 hours x Establishment Capacity
Printing & Stationery	£0	£0.0033 x 2400 hours x Establishment Capacity
Postages	£0	£0.001 x 2400 hours x Establishment Capacity

(1) Uplifted annually to reflect Licence Fee
(2) Stand-alone buildings only

Table 3 – Early Years Operational Budgets – Term-time Nursery Classes

Description	Fixed	Variable
Health & Safety	£290	£0.005 x 1140 hours x Establishment Capacity
Car Allowance Mileage	£400	£25.00 x Staffing FTE
Staff Training	£300	£25.00 x Staffing FTE
TV Licence[1]	£159	£0
Security Systems[2]	£179	£0
Janitorial Supplies	£0	£0.005 x 1140 hours x Establishment Capacity
Medical Equipment	£0	£0.002 x 1140 hours x Establishment Capacity x 2
Furniture & Fittings	£0	£10.00 x Establishment Capacity
Materials & Equipment	£0	£0.01 x 1140 hours x Establishment Capacity
Printing & Stationery	£0	£0.0033 x 1140 hours x Establishment Capacity
Postages	£0	£0.001 x 1140 hours x Establishment Capacity

(1) Uplifted annually to reflect Licence Fee

(2) Stand-alone buildings only

Primary School Allocations

Primary Schools Promoted Structure

NLC has an agreed promoted staff structure for Primary schools, as outlined in Management Circular F20, and is summarised below.

Table 4 – Primary Promoted Structure

Total Roll (Primary + Nursery Class + ASN Unit)	Structure
Up to 199 pupils	Head Teacher + 1 x Principal Teacher
200 – 299 pupils	Head Teacher + 2 x Principal Teacher
300 – 399 pupils	Head Teacher + 1 x Depute Head Teacher + 1 x Principal Teacher
400 – 499 pupils	Head Teacher + 1 x Depute Head Teacher + 2 x Principal Teacher
500 – 599 pupils	Head Teacher + 1 x Depute Head Teacher + 3 x Principal Teacher
Over 600 pupils	Head Teacher + 2 x Depute Head Teacher + 2 x Principal Teacher

Primary Schools Teaching and Support Staff Allocations

The allocation of budgets to primary schools for Teaching staff and Support staff are determined by agreed formulas per the tables below. The allocation of these staff budgets takes cognisance of primary schools that also have a nursery class and/or ASN unit within the campus.

Table 5 – Primary Teaching Staff Budgets

Description	Teaching Staff Formula
Primary Unpromoted Teacher	Unpromoted Teacher FTE for Mainstream primary classes is determined per approved Primary Staffing Tables shown below in the Primary School Staffing Tables (Mainstream)
Primary Unpromoted Teacher for ASN Unit[3]	Unpromoted Teacher to pupil ratio of 1:6 x ASN Unit roll + 1 FTE Promoted Post
Primary Non-Class Contact Time[4]	Total Unpromoted Teacher FTE (Primary Mainstream + Primary ASN Unit) x 0.11 FTE
Primary Management Time[4]	(Primary Mainstream roll + Nursery Class roll + Primary ASN Unit roll) x 0.0022 + 1 FTE Unpromoted Teacher
Deprivation	Total resource of 38.21 FTE Unpromoted Teacher allocated on SIMD data for each school

(3) Applies to Primaries with an ASN Unit
(4) Calculation includes Nursery Class roll and/or ASN Unit roll where applicable

Table 6 – Primary Support Staff Budgets

Grade	Description	Support Staff Formula
NLC4	Senior Clerical Assistant (up to 449 pupils)	35 hours (1 FTE)
NLC5	Senior Clerical Assistant (450 pupils and over)	35 hours (1 FTE)
NLC3	Clerical Assistant[4]	Fixed 25 hours + ((Primary roll + Nursery Class roll + Primary ASN Unit roll) x 0.12 hours) less Senior Clerical allocation
NLC4	Classroom Assistant	Fixed 25 hours per establishment
NLC2	Dining Room Assistant (up to 300 pupils)	7.5 hours
NLC2	Dining Room Assistant (301 to 400 pupils)	10 hours
NLC2	Dining Room Assistant (over 400 pupils)	12.5 hours
NLC2	Breakfast Club Supervisor	5 hours per Campus

(4) Calculation includes Nursery Class roll and/or ASN Unit roll where applicable
Note - Every school receives a minimum of a 35 hours Clerical post
All support staff are on term-time contracts

Primary Schools Operational Allocations

In addition to staff budgets primary schools also receive funding for non-staff (operational) budgets that are again determined by agreed formulas.

Table 7 – Primary Mainstream Operational Budgets

Description	Fixed	Variable
Teachers Absence Cover[5]	£1,051.55	£307.83 x Teaching staff FTE
Cover Prd	£525.78	£89.87 x Teaching staff FTE
Teachers In-Service courses	£715	£44.48 x Teaching Staff FTE
Car Allowance Mileage- Casual User	£698.66	£69.83 x Teaching Staff FTE
Support Staff Other Pay Items	£302	£1.11 x Primary roll
Early Intervention	£300	£2.00 x Primary roll
Parent Council	£478	£0.23 x Primary roll
Janitorial Supplies	£100	£1.00 x Primary roll
Printing & Stationery	£60.02	£1.50 x Primary roll
Postages	£110.25	£0.80 x Primary roll
Classroom Supplies	£1,240	£24.07 x Primary roll
Text books school library	£126.07	£0
Education Journals/Directories	£63.55	£0
Other supplies & services	£192	£0
Memberships Fees & subscriptions	£42.02	£0
Health & Safety	£366	£0
TV Licence[1]	£159	£0
Furniture & Fittings	£354.65	£0
School Lets	£638	£0
Security Systems	£179	£0

(1) Uplifted annually to reflect Licence Fee
(5) Fixed and Variable elements will be adjusted to ensure each establishment has budget to cover approved minimum cover days

Where a primary school also incorporates an ASN unit additional operational budget allocations are provided per the below agreed formulas.

Table 8 – Primary ASN Unit Operational Budgets

Description	Fixed	Variable
Teachers Absence Cover[5]	£0	£533.00 x ASN Unit Teaching staff FTE
Cover Prd	£0	£246.35 x ASN Unit Teaching staff FTE
Teachers In-Service courses	£0	£116.00 x ASN Unit Teaching staff FTE
Car Allowance Mileage- Casual User	£0	£69.87 x ASN Unit Teaching staff FTE
Support Staff Other Pay Items	£0	£1.11 x ASN Unit roll
Early Intervention	£0	£3.53 x ASN Unit roll
Janitorial Supplies	£0	£1.94 x ASN Unit roll
Printing & Stationery	£0	£1.81 x ASN Unit roll
Postages	£0	£0.80 x ASN Unit roll
Classroom Supplies	£0	£51.62 x ASN Unit roll
Text books school library	£0	£1.24 x ASN Unit roll
Furniture & Fittings	£0	£0.84 x ASN Unit roll

(5) Fixed and Variable elements will be adjusted to ensure each establishment has budget to cover approved minimum cover days

Primary School Staffing Tables (Mainstream)

Table 1					
Primary Pupil Roll between 1 and 149 pupils					
P1 - P7		**P1 - P7**		**P1 - P7**	
Roll	**FTE**	**Roll**	**FTE**	**Roll**	**FTE**
1	1.3000	51	3.3333	101	5.5556
2	1.3000	52	3.3333	102	5.5556
3	1.3000	53	3.3333	103	5.5556
4	1.3000	54	3.3333	104	5.5556
5	1.3000	55	3.3333	105	5.5556
6	1.3000	56	3.3333	106	5.5556
7	1.3000	57	3.3333	107	5.5556
8	1.3000	58	3.3333	108	5.5556
9	1.3000	59	3.3333	109	5.5556
10	1.3000	60	3.3333	110	5.5556
11	1.3000	61	3.3333	111	5.5556
12	1.3000	62	3.3333	112	5.5636
13	1.3000	63	3.3573	113	5.6036
14	1.3000	64	3.3973	114	5.6436
15	1.3000	65	3.4373	115	5.6836
16	1.3000	66	3.4773	116	5.7236
17	1.3000	67	3.5173	117	5.7636
18	1.3000	68	3.5573	118	5.8036
19	1.3000	69	3.5973	119	5.8436
20	1.3000	70	3.6373	120	5.8836
21	1.3000	71	3.6773	121	5.9236
22	1.3000	72	3.7173	122	5.9636
23	1.3000	73	3.7573	123	6.0036
24	1.5511	74	3.7973	124	6.0436
25	1.5911	75	3.8373	125	6.6667
26	2.2222	76	4.4444	126	6.6667
27	2.2222	77	4.4444	127	6.6667
28	2.2222	78	4.4444	128	6.6667
29	2.2222	79	4.4444	129	6.6667
30	2.2222	80	4.4444	130	6.6667
31	2.2222	81	4.4444	131	6.6667
32	2.2222	82	4.4444	132	6.6667
33	2.2222	83	4.4444	133	6.6667
34	2.2222	84	4.4444	134	6.6667
35	2.2222	85	4.4444	135	6.6667
36	2.2222	86	4.4444	136	6.6667
37	2.2222	87	4.4444	137	6.6867
38	2.2342	88	4.4804	138	6.7267
39	2.2742	89	4.5204	139	6.7667
40	2.3142	90	4.5604	140	6.8067
41	2.3542	91	4.6004	141	6.8467
42	2.3942	92	4.6404	142	6.8867
43	2.4342	93	4.6804	143	6.9267
44	2.4742	94	4.7204	144	6.9667
45	2.5142	95	4.7604	145	7.0067
46	2.5542	96	4.8004	146	7.0467
47	2.5942	97	4.8404	147	7.0867
48	2.6342	98	4.8804	148	7.1267
49	2.6742	99	4.9204	149	7.1667
50	2.7142	100	5.5556		

Primary School Staffing Tables (Mainstream)

Table 2a - Primary 1 to Primary 3 FTE Allocation							
Total Primary Pupil Roll 150 pupils and over							
P1 - P3		P1 - P3		P1 - P3		P1 - P3	
Roll	FTE	Roll	FTE	Roll	FTE	Roll	FTE
1	1.1111	51	3.3333	101	5.5556	151	7.7778
2	1.1111	52	3.3333	102	5.5556	152	7.7778
3	1.1111	53	3.3333	103	5.5556	153	7.7778
4	1.1111	54	3.3333	104	5.5556	154	7.7778
5	1.1111	55	3.3333	105	5.5556	155	7.7778
6	1.1111	56	3.3333	106	5.5556	156	7.7778
7	1.1111	57	3.3333	107	5.5556	157	7.7778
8	1.1111	58	3.3333	108	5.5556	158	7.7778
9	1.1111	59	3.3333	109	5.5556	159	7.7778
10	1.1111	60	3.3333	110	5.5556	160	7.7778
11	1.1111	61	3.3333	111	5.5556	161	7.7938
12	1.1111	62	3.3333	112	5.5796	162	7.8338
13	1.1111	63	3.3653	113	5.6196	163	7.8738
14	1.1511	64	3.4053	114	5.6596	164	7.9138
15	1.1911	65	3.4453	115	5.6996	165	7.9538
16	1.2311	66	3.4853	116	5.7396	166	7.9938
17	1.2711	67	3.5253	117	5.7796	167	8.0338
18	1.3111	68	3.5653	118	5.8196	168	8.0738
19	1.3511	69	3.6053	119	5.8596	169	8.1138
20	1.3911	70	3.6453	120	5.8996	170	8.1538
21	1.4311	71	3.6853	121	5.9396	171	8.1938
22	1.4711	72	3.7253	122	5.9796	172	8.2338
23	1.5111	73	3.7653	123	6.0196	173	8.2738
24	1.5511	74	3.8053	124	6.6667	174	8.8889
25	1.5911	75	4.4444	125	6.6667	175	8.8889
26	2.2222	76	4.4444	126	6.6667	176	8.8889
27	2.2222	77	4.4444	127	6.6667	177	8.8889
28	2.2222	78	4.4444	128	6.6667	178	8.8889
29	2.2222	79	4.4444	129	6.6667	179	8.8889
30	2.2222	80	4.4444	130	6.6667	180	8.8889
31	2.2222	81	4.4444	131	6.6667	181	8.8889
32	2.2222	82	4.4444	132	6.6667	182	8.8889
33	2.2222	83	4.4444	133	6.6667	183	8.8889
34	2.2222	84	4.4444	134	6.6667	184	8.8889
35	2.2222	85	4.4444	135	6.6667	185	8.8889
36	2.2222	86	4.4444	136	6.6667	186	8.9209
37	2.2222	87	4.4524	137	6.7067	187	8.9609
38	2.2382	88	4.4924	138	6.7467	188	9.0009
39	2.2782	89	4.5324	139	6.7867	189	9.0409
40	2.3182	90	4.5724	140	6.8267	190	9.0809
41	2.3582	91	4.6124	141	6.8667	191	9.1209
42	2.3982	92	4.6524	142	6.9067	192	9.1609
43	2.4382	93	4.6924	143	6.9467	193	9.2009
44	2.4782	94	4.7324	144	6.9867	194	9.2409
45	2.5182	95	4.7724	145	7.0267	195	9.2809
46	2.5582	96	4.8124	146	7.0667	196	9.3209
47	2.5982	97	4.8524	147	7.1067	197	9.3609
48	2.6382	98	4.8924	148	7.1467	198	10.0000
49	2.6782	99	4.9324	149	7.7778	199	10.0000
50	2.7182	100	5.5556	150	7.7778	200	10.0000

Primary School Staffing Tables (Mainstream)

Table 2a - Primary 1 to Primary 3 FTE Allocation							
Total Primary Pupil Roll 150 pupils and over							
P1 - P3		P1 - P3		P1 - P3		P1 - P3	
Roll	FTE	Roll	FTE	Roll	FTE	Roll	FTE
201	10.0000	251	12.2222	301	14.4444	351	16.6667
202	10.0000	252	12.2222	302	14.4444	352	16.6667
203	10.0000	253	12.2222	303	14.4444	353	16.6667
204	10.0000	254	12.2222	304	14.4444	354	16.6667
205	10.0000	255	12.2222	305	14.4444	355	16.6667
206	10.0000	256	12.2222	306	14.4444	356	16.6667
207	10.0000	257	12.2222	307	14.4444	357	16.6667
208	10.0000	258	12.2222	308	14.4444	358	16.6907
209	10.0000	259	12.2222	309	14.4764	359	16.7307
210	10.0080	260	12.2622	310	14.5164	360	16.7707
211	10.0480	261	12.3022	311	14.5564	361	16.8107
212	10.0880	262	12.3422	312	14.5964	362	16.8507
213	10.1280	263	12.3822	313	14.6364	363	16.8907
214	10.1680	264	12.4222	314	14.6764	364	16.9307
215	10.2080	265	12.4622	315	14.7164	365	16.9707
216	10.2480	266	12.5022	316	14.7564	366	17.0107
217	10.2880	267	12.5422	317	14.7964	367	17.0507
218	10.3280	268	12.5822	318	14.8364	368	17.0907
219	10.3680	269	12.6222	319	14.8764	369	17.1307
220	10.4080	270	12.6622	320	14.9164	370	17.7778
221	10.4480	271	12.7022	321	15.5556	371	17.7778
222	10.4880	272	13.3333	322	15.5556	372	17.7778
223	11.1111	273	13.3333	323	15.5556	373	17.7778
224	11.1111	274	13.3333	324	15.5556	374	17.7778
225	11.1111	275	13.3333	325	15.5556	375	17.7778
226	11.1111	276	13.3333	326	15.5556	376	17.7778
227	11.1111	277	13.3333	327	15.5556	377	17.7778
228	11.1111	278	13.3333	328	15.5556	378	17.7778
229	11.1111	279	13.3333	329	15.5556	379	17.7778
230	11.1111	280	13.3333	330	15.5556	380	17.7778
231	11.1111	281	13.3333	331	15.5556	381	17.7778
232	11.1111	282	13.3333	332	15.5556	382	17.7778
233	11.1111	283	13.3333	333	15.5636	383	17.8178
234	11.1111	284	13.3493	334	15.6036	384	17.8578
235	11.1351	285	13.3893	335	15.6436	385	17.8978
236	11.1751	286	13.4293	336	15.6836	386	17.9378
237	11.2151	287	13.4693	337	15.7236	387	17.9778
238	11.2551	288	13.5093	338	15.7636	388	18.0178
239	11.2951	289	13.5493	339	15.8036	389	18.0578
240	11.3351	290	13.5893	340	15.8436	390	18.0978
241	11.3751	291	13.6293	341	15.8836	391	18.1378
242	11.4151	292	13.6693	342	15.9236	392	18.1778
243	11.4551	293	13.7093	343	15.9636	393	18.2178
244	11.4951	294	13.7493	344	16.0036	394	18.2578
245	11.5351	295	13.7893	345	16.0436	395	18.8889
246	11.5751	296	13.8293	346	16.6667	396	18.8889
247	12.2222	297	14.4444	347	16.6667	397	18.8889
248	12.2222	298	14.4444	348	16.6667	398	18.8889
249	12.2222	299	14.4444	349	16.6667	399	18.8889
250	12.2222	300	14.4444	350	16.6667	400	18.8889

Primary School Staffing Tables (Mainstream)

Table 2a - Primary 1 to Primary 3 FTE Allocation			
Total Primary Pupil Roll 150 pupils and over			
P1 - P3		**P1 - P3**	
Roll	**FTE**	**Roll**	**FTE**
401	18.8889	451	21.1111
402	18.8889	452	21.1111
403	18.8889	453	21.1111
404	18.8889	454	21.1111
405	18.8889	455	21.1111
406	18.8889	456	21.1191
407	18.9049	457	21.1591
408	18.9449	458	21.1991
409	18.9849	459	21.2391
410	19.0249	460	21.2791
411	19.0649	461	21.3191
412	19.1049	462	21.3591
413	19.1449	463	21.3991
414	19.1849	464	21.4391
415	19.2249	465	21.4791
416	19.2649		
417	19.3049		
418	19.3449		
419	19.3849		
420	20.0000		
421	20.0000		
422	20.0000		
423	20.0000		
424	20.0000		
425	20.0000		
426	20.0000		
427	20.0000		
428	20.0000		
429	20.0000		
430	20.0000		
431	20.0000		
432	20.0320		
433	20.0720		
434	20.1120		
435	20.1520		
436	20.1920		
437	20.2320		
438	20.2720		
439	20.3120		
440	20.3520		
441	20.3920		
442	20.4320		
443	20.4720		
444	21.1111		
445	21.1111		
446	21.1111		
447	21.1111		
448	21.1111		
449	21.1111		
450	21.1111		

Primary School Staffing Tables (Mainstream)

Table 2b - Primary 4 to Primary 7 FTE Allocation							
Total Primary Pupil Roll 150 pupils and over							
P4 - P7		**P4 - P7**		**P4 - P7**		**P4 - P7**	
Roll	FTE	Roll	FTE	Roll	FTE	Roll	FTE
1	0.0428	51	2.1817	101	4.3206	151	5.9628
2	0.0856	52	2.2244	102	4.3633	152	6.0023
3	0.1283	53	2.2672	103	4.4061	153	6.0418
4	0.1711	54	2.3100	104	4.4489	154	6.0813
5	0.2139	55	2.3528	105	4.4917	155	6.1208
6	0.2567	56	2.3956	106	4.5344	156	6.1603
7	0.2994	57	2.4383	107	4.5772	157	6.1998
8	0.3422	58	2.4811	108	4.6200	158	6.2392
9	0.3850	59	2.5239	109	4.6628	159	6.2787
10	0.4278	60	2.5667	110	4.7056	160	6.3182
11	0.4706	61	2.6094	111	4.7483	161	6.3577
12	0.5133	62	2.6522	112	4.7911	162	6.3972
13	0.5561	63	2.6950	113	4.8339	163	6.4367
14	0.5989	64	2.7378	114	4.8767	164	6.4762
15	0.6417	65	2.7806	115	4.9194	165	6.5157
16	0.6844	66	2.8233	116	4.9622	166	6.5552
17	0.7272	67	2.8661	117	5.0050	167	6.5946
18	0.7700	68	2.9089	118	5.0478	168	6.6341
19	0.8128	69	2.9517	119	5.0906	169	6.6736
20	0.8556	70	2.9944	120	5.1183	170	6.7131
21	0.8983	71	3.0372	121	5.1461	171	6.7526
22	0.9411	72	3.0800	122	5.1739	172	6.7921
23	0.9839	73	3.1228	123	5.2017	173	6.8316
24	1.0267	74	3.1656	124	5.2294	174	6.8711
25	1.0694	75	3.2083	125	5.2572	175	6.9106
26	1.1122	76	3.2511	126	5.2850	176	6.9500
27	1.1550	77	3.2939	127	5.3128	177	6.9895
28	1.1978	78	3.3367	128	5.3406	178	7.0290
29	1.2406	79	3.3794	129	5.3683	179	7.0685
30	1.2833	80	3.4222	130	5.3961	180	7.1080
31	1.3261	81	3.4650	131	5.4239	181	7.1475
32	1.3689	82	3.5078	132	5.4517	182	7.1870
33	1.4117	83	3.5506	133	5.4794	183	7.2265
34	1.4544	84	3.5933	134	5.5072	184	7.2660
35	1.4972	85	3.6361	135	5.5350	185	7.3054
36	1.5400	86	3.6789	136	5.5628	186	7.3449
37	1.5828	87	3.7217	137	5.5906	187	7.3844
38	1.6256	88	3.7644	138	5.6183	188	7.4239
39	1.6683	89	3.8072	139	5.6461	189	7.4634
40	1.7111	90	3.8500	140	5.6739	190	7.5029
41	1.7539	91	3.8928	141	5.7017	191	7.5424
42	1.7967	92	3.9356	142	5.7294	192	7.5819
43	1.8394	93	3.9783	143	5.7572	193	7.6214
44	1.8822	94	4.0211	144	5.7850	194	7.6608
45	1.9250	95	4.0639	145	5.8128	195	7.7003
46	1.9678	96	4.1067	146	5.8406	196	7.7398
47	2.0106	97	4.1494	147	5.8683	197	7.7793
48	2.0533	98	4.1922	148	5.8961	198	7.8188
49	2.0961	99	4.2350	149	5.9239	199	7.8583
50	2.1389	100	4.2778	150	5.9517	200	7.8978

Primary School Staffing Tables (Mainstream)

Table 2b - Primary 4 to Primary 7 FTE Allocation							
Total Primary Pupil Roll 150 pupils and over							
P4 - P7		P4 - P7		P4 - P7		P4 - P7	
Roll	FTE	Roll	FTE	Roll	FTE	Roll	FTE
201	7.9373	251	9.9117	301	11.8862	351	13.8606
202	7.9768	252	9.9512	302	11.9256	352	13.9001
203	8.0162	253	9.9907	303	11.9651	353	13.9396
204	8.0557	254	10.0302	304	12.0046	354	13.9791
205	8.0952	255	10.0697	305	12.0441	355	14.0186
206	8.1347	256	10.1092	306	12.0836	356	14.0580
207	8.1742	257	10.1486	307	12.1231	357	14.0975
208	8.2137	258	10.1881	308	12.1626	358	14.1370
209	8.2532	259	10.2276	309	12.2021	359	14.1765
210	8.2927	260	10.2671	310	12.2416	360	14.2160
211	8.3322	261	10.3066	311	12.2810	361	14.2555
212	8.3716	262	10.3461	312	12.3205	362	14.2950
213	8.4111	263	10.3856	313	12.3600	363	14.3345
214	8.4506	264	10.4251	314	12.3995	364	14.3740
215	8.4901	265	10.4646	315	12.4390	365	14.4134
216	8.5296	266	10.5040	316	12.4785	366	14.4529
217	8.5691	267	10.5435	317	12.5180	367	14.4924
218	8.6086	268	10.5830	318	12.5575	368	14.5319
219	8.6481	269	10.6225	319	12.5970	369	14.5714
220	8.6876	270	10.6620	320	12.6364	370	14.6109
221	8.7270	271	10.7015	321	12.6759	371	14.6504
222	8.7665	272	10.7410	322	12.7154	372	14.6899
223	8.8060	273	10.7805	323	12.7549	373	14.7294
224	8.8455	274	10.8200	324	12.7944	374	14.7688
225	8.8850	275	10.8594	325	12.8339	375	14.8083
226	8.9245	276	10.8989	326	12.8734	376	14.8478
227	8.9640	277	10.9384	327	12.9129	377	14.8873
228	9.0035	278	10.9779	328	12.9524	378	14.9268
229	9.0430	279	11.0174	329	12.9918	379	14.9663
230	9.0824	280	11.0569	330	13.0313	380	15.0058
231	9.1219	281	11.0964	331	13.0708	381	15.0453
232	9.1614	282	11.1359	332	13.1103	382	15.0848
233	9.2009	283	11.1754	333	13.1498	383	15.1242
234	9.2404	284	11.2148	334	13.1893	384	15.1637
235	9.2799	285	11.2543	335	13.2288	385	15.2032
236	9.3194	286	11.2938	336	13.2683	386	15.2427
237	9.3589	287	11.3333	337	13.3078	387	15.2822
238	9.3984	288	11.3728	338	13.3472	388	15.3217
239	9.4378	289	11.4123	339	13.3867	389	15.3612
240	9.4773	290	11.4518	340	13.4262	390	15.4007
241	9.5168	291	11.4913	341	13.4657	391	15.4402
242	9.5563	292	11.5308	342	13.5052	392	15.4796
243	9.5958	293	11.5702	343	13.5447	393	15.5191
244	9.6353	294	11.6097	344	13.5842	394	15.5586
245	9.6748	295	11.6492	345	13.6237	395	15.5981
246	9.7143	296	11.6887	346	13.6632	396	15.6376
247	9.7538	297	11.7282	347	13.7026	397	15.6771
248	9.7932	298	11.7677	348	13.7421	398	15.7166
249	9.8327	299	11.8072	349	13.7816	399	15.7561
250	9.8722	300	11.8467	350	13.8211	400	15.7956

Primary School Staffing Tables (Mainstream)

Table 2b - Primary 4 to Primary 7 FTE Allocation			
Total Primary Pupil Roll 150 pupils and over			
P4 - P7		P4 - P7	
Roll	FTE	Roll	FTE
401	15.8350	451	17.8095
402	15.8745	452	17.8490
403	15.9140	453	17.8885
404	15.9535	454	17.9280
405	15.9930	455	17.9674
406	16.0325	456	18.0069
407	16.0720	457	18.0464
408	16.1115	458	18.0859
409	16.1510	459	18.1254
410	16.1904	460	18.1649
411	16.2299	461	18.2044
412	16.2694	462	18.2439
413	16.3089	463	18.2834
414	16.3484	464	18.3228
415	16.3879	465	18.3623
416	16.4274		
417	16.4669		
418	16.5064		
419	16.5458		
420	16.5853		
421	16.6248		
422	16.6643		
423	16.7038		
424	16.7433		
425	16.7828		
426	16.8223		
427	16.8618		
428	16.9012		
429	16.9407		
430	16.9802		
431	17.0197		
432	17.0592		
433	17.0987		
434	17.1382		
435	17.1777		
436	17.2172		
437	17.2566		
438	17.2961		
439	17.3356		
440	17.3751		
441	17.4146		
442	17.4541		
443	17.4936		
444	17.5331		
445	17.5726		
446	17.6120		
447	17.6515		
448	17.6910		
449	17.7305		
450	17.7700		

Secondary School DSM Budgets

Secondary Allocations

Secondary Schools Promoted Structure

Secondary schools receive an allocation of management points for their promoted staff structure as outlined in Management Circular F20. Table 1 below details the current agreed management points required for each promoted teacher post.

Table 1 – Management Points

Principal Teachers		Depute and Head Teachers					
Scale Point	*Management Points*	Scale Point	*Management Points*	Scale Point	*Management Points*	Scale Point	*Management Points*
1	*11*	1	*24*	8	*50*	15	*91*
2	*15*	2	*27*	9	*53*	16	*100*
3	*19*	3	*31*	10	*57*	17	*109*
4	*23*	4	*35*	11	*63*	18	*119*
5	*27*	5	*39*	12	*69*	19	*128*
6	*31*	6	*42*	13	*75*		
7	*35*	7	*46*	14	*82*		
8	*39*						

The standard management structures, informed by points allocation, are detailed in Table 2 below:

Table 2 – Standard Management Structures

Entitlement	Structure
All schools	Head Teacher
Subject to management points	Deputy Head Teacher
Subject to management points	Principal Teacher (Curricular/Whole School/Pupil Support)

Secondary Schools Teaching and Support Staff Allocations

Teaching staff and Support staff budgets allocated to secondary schools are determined by agreed formulas. The allocation of these staff budgets takes cognisance of secondary schools that also have a secondary ASN unit within the campus.

Table 3 – Secondary Teaching Staff Budgets

Description	Teaching Staff Formula
Secondary Mainstream Unpromoted Teacher	8.19 FTE Unpromoted Teacher + (0.0568 x Secondary Mainstream roll)
Secondary ASN Unit[(1)]	Unpromoted Teacher to pupil ratio of 1:6 x ASN Unit roll + 1 FTE Promoted Post
Secondary Management Time[(2)]	1 FTE Unpromoted Teacher + (Secondary Mainstream roll + ASN Unit roll) x 0.0066
Deprivation	Total resource of 31.75 FTE Unpromoted Teacher allocated on SIMD data for each school

(6) Applies to secondaries with an ASN Unit
(7) Calculation includes ASN Unit roll where applicable

Table 4 – Secondary Support Staff Budgets (up to 950 pupils)

Grade	Description	Support Staff Formula
NLC5	Senior Clerical post (Full-Time)	35 hours (1 FTE)
NLC3	Clerical post (Full-Time)	35 hours (1 FTE)
NLC3	Clerical post (Term-Time)[2]	Fixed 30 hours + ((Secondary roll + ASN Unit roll) x 0.145 hours) less Senior Clerical and Clerical full-time allocation

(2) Calculation includes ASN Unit roll where applicable

Table 5 – Secondary Support Staff Budgets (951 pupils and over)

Grade	Description	Support Staff Formula
NLC5	Senior Clerical post (Full-Time)	35 hours (1 FTE)
NLC3	Clerical post (Full-Time)	35 hours (2 FTE)
NLC3	Clerical post (Term-Time)[2]	Fixed 30 hours + ((Secondary roll + ASN Unit roll) x 0.145 hours) less Senior Clerical and Clerical full-time allocation

(2) Calculation includes ASN Unit roll where applicable

Secondary Schools Operational Allocations

In addition to staff budgets secondary schools also receive funding for non-staff (operational) budgets that are again determined by agreed formulas.

Table 6 – Secondary Mainstream Operational Budgets

Description	Fixed	Variable
Teachers Absence Cover[3]	£0	£233.21 x Mainstream Teachers FTE
Cover Prd	£630.93	£169.47 x Mainstream Teachers FTE
Teachers In-Service courses	£715	£67.87 x Mainstream Teachers FTE
Car Allowance Mileage	£698.66	£69.83 x Mainstream Teachers FTE
Support Staff Other Pay Items	£1,765	£2.38 x Mainstream Secondary roll
Parent Council	£328	£0.23 x Mainstream Secondary roll
Janitorial Supplies	£200	£1.00 x Mainstream Secondary roll
Printing & Stationery	£182.18	£1.20 x Mainstream Secondary roll
Postages	£374.85	£1.20 x Mainstream Secondary roll
Use of PE Facilities	£0	£2.00 x Mainstream Secondary roll
Classroom Supplies (S1 and S2)	£0	£11.16 x Mainstream Secondary roll (S1 and S2 only)
Classroom Supplies	£2,454.88	£38.14 x Mainstream Secondary roll
Educational Supplies	£600	£0
Text books school library	£2,478.45	£0
Education Journals/Directories	£115.82	£0
Other Supplies & Services	£1,215	£0
Memberships Fees & subscriptions	£390.52	£0
Health & Safety	£1,117.25	£0
TV Licence[4]	£159	£0
Furniture & Fittings	£1,577.47	£0
School Lets	£938	£0
Security Systems	£179	£0

(8) Fixed and Variable elements will be adjusted to ensure each establishment has budget to cover approved minimum cover days
(9) Uplifted annually to reflect Licence Fee

Where a secondary school also incorporates an ASN unit additional operational budget allocations are provided per the below agreed formulas.

Table 7 – Secondary ASN Unit Operational Budgets

Description	Fixed	Variable
Teachers Absence Cover[3]	£0	£322.69 x ASN Unit Teaching staff FTE
Cover Prd	£0	£246.35 x ASN Unit Teaching staff FTE
Teachers In-Service courses	£0	£116.00 x ASN Unit Teaching Staff FTE
Car Allowance Mileage- Casual User	£0	£69.83 x ASN Unit Teaching Staff FTE
Support Staff Other Pay Items	£0	£2.38 x ASN Unit roll
Janitorial Supplies	£0	£1.64 x ASN Unit roll
Printing & Stationery	£0	£1.81 x ASN Unit roll
Postages	£0	£1.20 x ASN Unit roll
Use of PE Facilities	£0	£3.15 x ASN Unit roll
Classroom Supplies	£0	£111.08 x ASN Unit roll
Text books school library	£0	£1.24 x ASN Unit roll
Furniture & Fittings	£0	£1.33 x ASN Unit roll

(3) Fixed and Variable elements will be adjusted to ensure each establishment has budget to cover approved minimum cover days

ASN School DSM Budgets

ASN Schools Allocations

ASN Schools Promoted Structure

A Management time formula for ASN schools has been developed in line with Management Circular F20, and is shown below:

Table 1 – ASN Management Time Formula

Sector	Management Time Formula (FTE)
Head Teacher	1 FTE
Deputy Head Teacher	1 x Deputy Head Teacher = 1 FTE or 2 x Deputy Head Teacher = 1.5 FTE or 3 x Deputy Head Teacher = 1.8 FTE
Principal Teacher	0.1 FTE per PT

ASN Schools Teaching and Support Staff Allocations

Within dedicated ASN schools the teaching staff and support staff allocations are broadly determined by approved Teacher to pupil ratios. The current allocations are shown in the table below.

Table 2 – ASN Classifications

Classification	Teacher to Pupil Ratio
Social Emotional & Behavioural Needs	1 to 5
Severe & Complex	1 to 6
Moderate Learning Difficulties	1 to 7

The final allocation of teaching staff to ASN schools would be subject to formal agreement between the Head Teacher and Service Management Team.

Table 3 – ASN Support Staff Allocations

Grade	Description	Support Staff Formula
NLC4	Senior Clerical Assistant	35 hours (1 FTE)
NLC3	Clerical Assistant	Dependent upon ASN Classification and pupil roll

Note - Every school receives a minimum of a 35 hours Clerical post
All support staff are on term-time contracts

ASN Schools Operational Allocations

In addition to staff budgets ASN schools also receive funding for non-staff (operational) budgets that are again determined by agreed formulas.

Table 4 - ASN Operational Budgets (Up to 49 Pupils)

Description	Fixed	Variable
Teachers Absence Cover[1]	£1,051.55	£0
Cover Prd	£525.78	£246.35 x Teachers FTE
Teachers In-Service courses	£715	£116.00 x Teachers FTE
Car Allowance Mileage- Casual User	£900	£70.00 x Teachers FTE
Support Staff Other Pay Items	£604	£2.17 x ASN roll
Parent Council	£478	£0.23 x ASN roll
Janitorial Supplies	£200	£1.94 x ASN roll
Printing & Stationery	£120	£1.10 x ASN roll
Postages	£190	£1.55 x ASN roll
Use of PE Facilities	£0	£18.00 x ASN roll
Classroom Supplies	£1,500	£31.86 x ASN roll
Text books school library	£800	£2.61 x ASN roll
Other Supplies & Services	£500	£1.45 x ASN roll
Furniture & Fittings	£850	£3.00 x ASN roll
Education Journals/Directories	£90	£0
Memberships Fees & subscriptions	£250	£0
Health & Safety	£720	£0
TV Licence[2]	£159	£0
School Lets	£638	£0
Security Systems	£179	£0

(1) Fixed and Variable elements will be adjusted to ensure each establishment has budget to cover approved minimum cover days

(2) Uplifted annually to reflect Licence Fee

Table 5 - ASN Operational Budgets (50 to 99 Pupils)

Description	Fixed	Variable
Teachers Absence Cover[1]	£1,051.55	£0
Cover Prd	£525.78	£246.35 x Teachers FTE
Teachers In-Service courses	£715	£116.00 x Teachers FTE
Car Allowance Mileage- Casual User	£900	£70.00 x Teachers FTE
Support Staff Other Pay Items	£604	£2.17 x ASN roll
Parent Council	£478	£0.23 x ASN roll
Janitorial Supplies	£200	£1.94 x ASN roll
Printing & Stationery	£90	£1.40 x ASN roll
Postages	£150	£2.15 x ASN roll
Use of PE Facilities	£0	£9.40 x ASN roll
Classroom Supplies	£1,300	£33.72 x ASN roll
Text books school library	£650	£4.61 x ASN roll
Other Supplies & Services	£300	£3.55 x ASN roll
Furniture & Fittings	£700	£3.50 x ASN roll
Education Journals/Directories	£90	£0
Memberships Fees & subscriptions	£250	£0
Health & Safety	£720	£0
TV Licence[2]	£159	£0
School Lets	£638	£0
Security Systems	£179	£0

(1) *Fixed and Variable elements will be adjusted to ensure each establishment has budget to cover approved minimum cover days*

(2) *Uplifted annually to reflect Licence Fee*

Table 6 - ASN Operational Budgets (100 Pupils and over)

Description	Fixed	Variable
Teachers Absence Cover[1]	£1,051.55	£0
Cover Prd	£525.78	£246.35 x Teachers FTE
Teachers In-Service courses	£715	£116.00 x Teachers FTE
Car Allowance Mileage- Casual User	£950	£70.00 x Teachers FTE
Support Staff Other Pay Items	£604	£2.17 x ASN roll
Parent Council	£478	£0.23 x ASN roll
Janitorial Supplies	£200	£1.94 x ASN roll
Printing & Stationery	£70	£1.70 x ASN roll
Postages	£100	£2.55 x ASN roll
Use of PE Facilities	£0	£6.00 x ASN roll
Classroom Supplies	£1,100	£35.55 x ASN roll
Text books school library	£400	£6.61 x ASN roll
Other Supplies & Services	£200	£4.50 x ASN roll
Furniture & Fittings	£500	£6.10 x ASN roll
Education Journals/Directories	£90	£0
Memberships Fees & subscriptions	£150	£0
Health & Safety	£720	£0
TV Licence[2]	£159	£0
School Lets	£638	£0
Security Systems	£179	£0

(1) Fixed and Variable elements will be adjusted to ensure each establishment has budget to cover approved minimum cover days

(2) Uplifted annually to reflect Licence Fee

Establishment Budgets Outwith the DSM Scheme

Whilst Head Teachers are given maximum flexibility over their budgets, there are areas of expenditure that are generally not considered suitable to be devolved. The DSM guidance outlines the reasons for these exclusions which includes, but is not limited to:

- a) areas outside the influence of a Head Teacher
- b) areas that are too bureaucratic
- c) have unacceptable levels of risk
- d) benefit from economies of scale
- e) require professional expertise; and
- f) are complex by their nature.

The Service considers the following budget areas are not suitable to be devolved as part of the formal DSM structure (Table 1).

Table 1 - Budget allocated to schools but excluded from DSM

Description	Basis of Budget Allocation
PPP / DBFM Unitary Charge	Assessed per establishment
Non-Domestic Rates (NDR)	Rateable value
West of Scotland - Water Meter	Assessed per establishment
Energy Costs	Assessed per establishment
Examination fees	Estimated presentations per establishment
Protected Salary	Assessed per establishment
Upkeep of Grounds	Assessed per establishment
Contract Hygiene Units	Assessed per establishment
Internal Transport/Buses	Assessed per establishment

Other School Resources

Within North Lanarkshire there are specific resources that provide additional support to establishments that are managed from a budgetary perspective via Cluster and Headquarters structures. These include funding for areas of activity which are described below and establishments can draw upon these resources to help achieve key Council and Service policies such as the empowerment agenda. For many of these activities there are supporting reports and policy documents which outline how the resources can be accessed and operational responsibilities, permissions and accountabilities, some of which are managed at establishment level and some of which involve cluster coordination:

1. **ASNA Cluster Support Model**

    The Getting it Right for Every Child policy describes in detail the cluster support model approach. This model distributes resource to local level and involves school's collaborating to put the needs of wider local community first. It also ensures that a consistent, holistic support model for families is in place. Resource for ASNAs is distributed to clusters, as per a clearly described formula, which ensures that roll and FME are taken into account when allocations take place. For young people with significant needs, these allocations are dealt with through the centrally organised needs-based pathway review. Ultimately, the Service is trying to ensure that children and young people are educated in their local communities or as close to it as possible.

2. **Wellbeing Hubs (incorporating Cluster Improvement and Integration Leads (CIILs), Cluster Support Teachers & Cluster Resource Teachers)**

    At cluster level integrated support teams are managed through the Cluster Improvement and Inclusion Lead, who in turn reports to the Education and Families Manager. On a day-to-day basis the work of all of these staff is coordinated by Cluster Head Teachers, who ensure that there is a systematic approach to GIRFEC planning across the cluster schools grouping.

3. **Build Back Better Teachers**

    In recovering from the COVID pandemic, the Service identified a need to utilise additional teaching resources to ensure that schools would not have to close during the pandemic and that young people who had missed out on key learning opportunities during the period were prioritised for interventions that enabled them to close the gap in learning that may have occurred. These teachers are coordinated by the cluster chair and line managed at school level. They may be moved between schools, as per existing Human Resources policies, so as to ensure that the Service can manage effective contingency arrangements.

4. **Probationer Teachers**

    Probationers are part funded through Scottish Government grant with the balance supported via school-based teacher vacancies. The allocation of probationers to establishments and associated funding package will be agreed following discussion

between Head Teachers, HR Business Partners and the Service management team and form part of the overall annual school staffing exercise.

5. Short-term funding for Educational Recovery

In instances that the Service is allocated new or short-term funding, such as Covid supports, the Service management team will agree the distribution basis to establishments. In these circumstances the Service management team will fully outline the purpose, aims and governance structures linked to the funding.

6. External Grant Funding

There are a number of external grants which are devolved directly to schools, such as the Pupil Equity Fund allocation (PEF). Typically, these grants have a defined governance and reporting structure that is prescribed by the awarding authority. The Service will support establishments to utilise grant funding by developing practical measures such as procurement frameworks and providing overarching professional advice and guidance.

In addition, Heads of Establishment should consider how recurring and new grant funding can best meet both the needs of the school/nursery and wider Service policies.

Considerations for Heads of Establishments should include:
- Can outcomes be best achieved by establishments working individually or by pooling resources at a cluster level and/or working in partnership with other agencies or Council services
- How grant funding supports and is linked to the school improvement plan
- Have a clear understanding of how the funding will support the key Service and Council policies such as closing the educational attainment gap

7. School Counselling

The Service has an approved model for supporting School Counselling costs. Resources are provided to schools and clusters on a roll related formula basis. The programme is coordinated locally by secondary head teachers. The Service has developed a procurement framework to support this activity and allows schools to access a range of appropriate and properly evaluated services.

8. Central Support Services, e.g., Educational Psychology, Quality Improvement Teams and Probationer Support

There are a number of centrally organised teams which enable effective support to be in place to ensure that all children thrive and all schools improve their standards of education. These are key duties under the Education for Scotland, Standards in Schools (2000) Act. These include the direct line management of Head Teachers by the Education and Families Managers, the coordination of Scottish Attainment Challenge activity, the support for probationers and a number of other key service functions that enable the effective management of educational provision. There are established pathways for establishments to access these resources.

9. **Children's Social Work Services**

These services are managed in localities and work collaboratively with clusters through the integrative practice model. The expectation is that Social Workers and Head Teachers plan jointly and support one another in managing their respective statutory responsibilities to ensure that all children and young people thrive and achieve to their full potential. Children's Social Work Services have a range of expertise and resources which can support families. The empowered social work model, which placed resources in the hands of Social Workers and enables effective family group decision making is driving activity in this area. This all aligns with the Human, Economic Cost Modelling approach at the heart of The Promise.

10. **Music Service**

The Service has a centrally organised music service team which provides support for music tuition and extra-curricular music activity across the local authority. Service policies now reflect the national free music tuition initiative.

11. **Active Schools**

The Active Schools team provide specialist sports coaching and wellbeing advice to establishments. They also operate the Primary Outdoor Education Programme. There are established pathways for establishments to access these resources.

12. **Community Learning & Development**

Community Learning and Development is coordinated centrally and local Home School Partnership Officers are deployed to clusters to support school based activity and individual interventions.

13. **School Clothing and Footwear Grants**

The Service provides annual grants to eligible families of early years, primary, secondary and ASN pupils. Establishments are expected to work collaboratively with the Service to highlight and advertise this grant programme within their local communities to help ensure every eligible pupil receives an award.

14. **Education Maintenance Allowance (EMA)**

The Service provides EMA to eligible pupils aged 16 to 19 who have reached school leaving age. Establishments are expected to work collaboratively with the Service to highlight and advertise the EMA programme within their local communities to help ensure every eligible pupil receives an award.

15. **Home to School Pupil Transport**

The HQ Transport Team will coordinate Home to School Transport arrangements on behalf of schools. This team manages contract arrangements with Strathclyde Passenger

Transport, so as to enable effective arrangements to be in place for mainstream schools. This team also directly manages ASN pupil transport contracts.

16. Long-term Teacher Cover Costs

There are a number of Human Resources policies regarding long term cover which are agreed through the Joint Negotiating Committee for Teachers (JNCT). These are agreed with trade unions and determine how individual teachers are treated in particular situations. They have been established as council policies through such due processes:

a) Long-term absence cover
b) Foreseen long-term absence (planned medical procedures, etc)
c) Adoption leave
d) Maternity leave
e) Jury duty
f) Other business of authority
g) Public office duties
h) Trade union duties
i) Special projects - Council Initiatives
j) Accrued holiday leave
k) Leave of absence (paid)
l) Head teachers' meetings

17. Technician Services

The Business and Digital Service provides science, ICT and workshop technician support to schools. There is an established distribution model that allocates staff across establishments.

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DEVOLVED SCHOOL MANAGEMENT
Guidelines

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Contents

Introduction

These guidelines have been devised to help Local Authorities[1] develop their own Devolved School Management (DSM) schemes. They include advice on what is expected and recommended in a local scheme, alongside practical examples from Local Authorities. To aid Local Authorities, a framework document has been created which will allow Local Authorities to populate a standard format if they wish to do so, introducing broader consistency of scheme presentation. This Framework can be found at https://www.gov.scot/policies/schools/devolved-school-management/.

This document has two main sections. The first section, *Devolved School Management: Background and Principles* sets out the background, context and principles of DSM, as well as providing a common framework and overview of the expectations and requirements. The second part, *Devolved School Management: Detailed Guidance for Local Authorities in developing a DSM scheme*, provides detailed guidance for Local Authorities including regarding format and publication, scheme review, training, accounting matters, consultation, engagement and, transparency, professional support, collaboration and staffing. Throughout the second section, examples from Local Authorities are given. These are intended to offer ideas and aid discussion on areas a Local Authority may wish to include in its scheme. Finally, Appendices A to D provide supporting information.

These guidelines aim to encourage participation from Local Authority wider teams, schools[2] and parents. They have been prepared through collaboration and consultation with a wide range of stakeholders. Collaboration is key to a successful local DSM scheme; this is captured within the Joint Agreement and Headteachers' Charter to which these guidelines align and support.

Devolved School Management was introduced in 1993 to enhance and improve the management of resources at school level. The DSM guidance was reviewed in 2006, and again in 2012, taking account of the changing economic and financial climate for both Local Authorities and the Scottish Government. In June 2017 the Scottish Government consulted on changes to DSM as part of the wider "*Fair Funding to Achieve Excellence and Equity in Education"* consultation.

These updated DSM guidelines seek to build and improve on the DSM Guidelines of 2012 and, critically, reflect and integrate with the Education Reform Programme and priorities emerging from the Scottish Government and COSLA Education Reform Joint Agreement of June 2018.

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[1] The terms "Local Authority" and "Local Authorities" are used throughout this guidance to mean the education authority, being a council constituted under section 2 of the Local Government etc. (Scotland) Act 1994.

[2] The terms "school" and "headteacher" are used throughout this guidance. These guidelines recognise that in relation to DSM, the functions and roles undertaken within an empowered school system are not restricted to headteachers. Although the role of headteacher is identified throughout, shared and distributed leadership means that other staff members, or groups, may undertake an area or aspect of DSM. The guidelines support distributed leadership, collaboration and consultation, whilst recognising that the accountability and responsibility will reside with the headteacher as the leader of their school, supported by the Local Authority.

The guidelines were developed through extensive stakeholder engagement (Appendix C) and produced by the Scottish Government and COSLA in conjunction with the Fair Funding Working Group and Fair Funding Reference Group (Appendix D). These guidelines are issued by Scottish Ministers under section 13 of the Standards in Scotland's Schools etc Act 2000 (the 2000 Act). This guidance is issued to Local Authorities in relation to their functions under Section 8[3] of the 2000 Act in relation to delegation schemes. Before issuing this guidance, Scottish Ministers consulted those detailed in Appendix C about the proposed guidance. The guidelines are sufficiently flexible to support local variation and local circumstances, ensuring that the democratic right, aims and priorities of locally elected members remain fundamental to successful schemes.

The guidelines replace three separate documents from 2012 - Devolved School Management Guidelines, Devolved School Management Self-Evaluation Toolkit and Devolved School Management Examples of Practice from the Association of Directors of Education in Scotland (ADES) Resources Network.

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[3] In preparing a delegation scheme reference should be made to Section 8 of the 2000 Act which requires the Local Authority to have a delegation scheme, and provides more details on: the circumstances in which they can be applied; what they *must* contain and what they *may* contain. For example, section 8(2)(a) requires that where a delegation scheme is in place in respect of a school that scheme must delegate to the headteacher the preparation of the school improvement plan and section 8(3) requires that the scheme must require the headteacher to exercise the delegated functions in a manner consistent with the Local Authority's duties to secure improvement in the quality of school education which is provided in the school management by them and with a view to raising standards of education.

1.   Devolved School Management: Background and Principles

1.1   Education Reform Joint Agreement 2018

In June 2018, the Joint Agreement between the Scottish Government and COSLA established the principles that:

- Effective system-wide improvement requires strong leadership, collaborative working and clarity of purpose at all layers of the system – school, local, regional and national.

- Headteachers are the leaders of learning and teaching in their school. They are senior officers of the Local Authority and have operational responsibility for the service they provide, therefore the majority of decisions should be made at school level.

- Schools are empowered to make the decisions that most affect their children and young people's outcomes, while being part of a collaborative learning community, the Local Authority and working with others.

- Empowered schools require both strong and distributive leadership, working in partnership with pupils, parents, staff and the wider community.

- The principle of headteacher empowerment will be applied consistently across Scotland.

- Local Authorities' duty to provide education for children and young people means that they must be able to intervene in decisions made by headteachers where statutory, financial, or contractual obligations would be breached.

- Local Authorities and their headteachers should have a mutually respectful and supportive relationship, with clear processes in place to minimise the need for such intervention.

- Decisions by all parties should reflect mutually supportive and respectful relationships.

The Joint Agreement advises that through the Headteachers' Charter, Local Authorities are to empower headteachers in areas of curriculum, improvement, staffing and funding. Regarding **funding**, it defines this further:

- Local Authorities will continue to be responsible for the Local Authority education budget and the delegation of funding to schools. Headteachers will make decisions on the spending within that delegated budget.

- Decisions about education spending at Local Authority and school level are made in a collegiate and transparent way paying due regard to Getting It Right for Every Child (GIRFEC) and Local Authorities' role as Corporate Parents.

- Local Authorities have regard to updated statutory guidance setting out a clear national framework for the delegation of funding to schools. This guidance is being co-produced through the Fair Funding Reference Group.

The Fair Funding Reference Group formed the Fair Funding Working Group to provide the detailed and practical insight necessary to deliver this guidance.

1.2   Aims of Empowerment of Funding

An empowered system is built on mutual trust, cooperation, transparency and highly effective communication. In an empowered system, headteachers, schools and their Local Authorities are partners, each contributing and supporting each other and respecting the different role each plays.

Local Authorities add value by enabling key decisions to be made by those who are closest to the educational experience of children and young people and who best understand the particular context of the learning community. Decision making about funding that affects the school should sit, therefore, at school level unless there is a compelling reason for this not to be the case. The headteacher is accountable and responsible for decisions that should be made in consultation with pupils, parents, staff and the wider community.

In an empowered school, decisions are based on local circumstances, delivering the highest impact on the learning experience of children and young people, and achieving the best outcomes for learners. Empowered schools require both strong and distributive leadership, again working in partnership with pupils, parents, staff and the wider community. An empowered school should have established systems and mechanisms which ensure that decisions are made in collaboration with stakeholders and which lead to better outcomes for children and young people.

Headteachers are expected to be able to manage a fair, equitable and transparent devolved budget that meets the needs and priorities of the school and local community. As senior officers of the Local Authority, responsible for the leadership and management of the service provided to children and young people and their families, headteachers are accountable to both their employer and to their learning community for the leadership and management of education and resources within their settings.

Headteachers, whilst being part of a collaborative community, the Local Authority and working with others, are accountable for the resources within their delegated budget responsibility.

These guidelines recognise that in relation to DSM the functions and roles undertaken within an empowered school system are not restricted to headteachers. Although the role of headteacher is identified throughout, shared and distributed leadership means that other staff members or groups may undertake an area or aspect of DSM. An empowered school system means that all teachers are empowered and have meaningful input to decisions about school funding. The guidelines support distributed leadership, collaboration and consultation whilst

recognising that ultimately the accountability and responsibility will reside with the headteacher as the leader of their school, supported by the Local Authority.

1.3   A Headteachers' Charter for School Empowerment

The Headteachers' Charter advises that in an empowered system, headteachers should lead learning communities to determine the most appropriate approach in the areas of leading learning and teaching, empowering the learning community and making best use of the school's resources.

In relation to making **best use of the school's resources**, headteachers are required to:

- Manage a delegated budget in a fair, equitable and transparent way, supported by the Local Authority and a fair, transparent and equitable local Devolved School Management Scheme.

- Deploy the school's budget in accordance with best value principles and Local Authority procurement arrangements, with appropriate support and guidance from their Local Authority.

- Play an active role in designing and reviewing recruitment and staffing approaches, both for their own school(s) and for the wider Authority.

- Be empowered to design a staffing structure which best supports the school's curriculum and leadership requirements, working within their delegated staffing budget and supported by their Local Authority and Scottish Negotiating Committee for Teachers (SNCT) / Local Negotiating Committee for Teachers (LNCT) agreements and guidance.

- Be integral to the appointment of staff in accordance with the best interests of children and young people, and work in partnership with the Local Authority to ensure good practice in recruitment and appointments, in line with SNCT/LNCT agreements and guidance.

- Work in partnership with the Local Authority, and within clearly defined roles, responsibilities and accountabilities, to ensure a highly professional school team is built and sustained to meet the needs of the learning community.

1.4   The Principles for Devolved School Management

The updated DSM principles, agreed by the Fair Funding Reference Group and building on and enhancing the foundations and principles of the 2012 guidance, are:

- Subsidiarity and Empowerment.
- Collaboration.
- Accountability and Responsibility.
- Clarity and Equity.

These principles reflect the National Improvement Framework aims of excellence through raising attainment and achieving equity. The principles also fully endorse those proposed in the Fair Funding consultation:

• 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 – ensuing 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

Subsidiarity and Empowerment

DSM must provide headteachers and schools with the autonomy and flexibility to ensure decisions are made at the most appropriate level. Local Authorities should, within their DSM scheme, provide headteachers with clear information about which areas of expenditure are delegated to them. Whilst headteachers should have flexibility in the budgets required to operate and administer a school, there are also areas of expenditure that are not generally considered suitable for devolution to schools. Further guidance is provided in Appendix B. Devolution of budget must be supportive to the headteacher and allow a headteacher to make a positive impact on outcomes for children and young people, and must suit local context.

Delegation: Decisions are made closest to the learner wherever possible and should be delegated to headteachers and schools in line with the Education Reform programme. Schools are empowered to make the decisions that affect outcomes, while being part of a collaborative learning community and the Local Authority. Decisions about education spending at Local Authority and school level are made in a collegiate and transparent way, paying due regard to wider responsibilities including GIRFEC.

Staffing: headteachers are involved in the design of recruitment processes and can design a staffing structure that best supports learning and teaching in the school, within the budget delegated to the school by the Local Authority. Headteachers must comply with employment law and other relevant legislation, and the contractual obligations and policies of their Local Authority. Local Authorities and headteachers must have regard to supporting guidance and agreements developed by SNCT and LNCT (where appropriate).

Budget: The majority of budget decisions should be made at school level. Local Authority schemes should detail specific guidance for accounting policies with regard to areas such as budget setting, budget virement and carry forward of budget underspends based on locally determined criteria.

Collaboration

All partners must work together in a collegiate and collaborative way, keeping the interests of children and young people front and centre.

Consultation: DSM should be designed and implemented in collaboration and consultation with stakeholders. Joint working with partners should be guided by, and support, the School Improvement Plan, Local Authority or education service, other plans, and local and national priorities.

Partnership: In an empowered system, Local Authorities, headteachers and other school staff should work collaboratively at a local, regional and national level. headteachers furthermore should ensure that the systems are in place to allow collaboration with their school community, so that decisions are taken through the principles of co-production.

Combined budgets and integrated services: Local Authority schemes should provide scope for combining budgets between schools, clusters, and other public partners (subject to any legal or contractual restraints), noting the requirements of Local Authority policies and frameworks, including, although not limited to: procurement, finance, and recruitment.

Accountability and Responsibility

Accountability is required at all levels; with the Local Authority, headteachers and delegated budget holders all being accountable and responsible within an empowered DSM scheme.

Accountability: Headteachers are the leaders of learning and teaching in their school and are senior officers of the Local Authority with operational responsibility for the service they provide. Local Authorities will continue to be democratically accountable for the Local Authority education budget and the delegation of funding to schools, while headteachers in collaboration with stakeholders will make decisions on the spending within that delegated budget. As senior officers of the Local Authority, headteachers are accountable to both their employer and to their learning community for the leadership and management of education and resources within their setting.

Quality Assurance and Review: Local Authorities should review DSM schemes every three years through peer review; in consultation and collaboration with stakeholders. Quality assurance should be built into the scheme and should particularly consider best practice from other Local Authorities. Local Authorities should also consider, as part of their ongoing self-evaluation, updating DSM schemes if relevant changes occur, for example following annual budget setting.

Support: Local Authorities should ensure that appropriate professional support functions such as business management, finance, human resources teams and administrative support are in place to provide both support and challenge to headteachers exercising their delegated duties.

Clarity and Equity

Clarity and equity is required at all levels; with the Local Authority and headteachers being clear and equitable with devolved resources.

Equitable budget allocation: Devolving resources at a local level will vary according to the characteristics of each authority. The local context, including whether an authority is based in an urban, rural or island setting will have influence regarding the budget decisions within an authority. However, for all authorities, in an empowered system, decisions regarding budget allocations should be made in consultation with stakeholders, including schools and should aim to deliver equity, ensuring that every child and young person has the same opportunity to succeed.

Clarity: Comprehensive and clear information about funding allocations detailing how local priorities and needs have determined these allocations should be made available to stakeholders. This applies to both Local Authority schemes and school decisions.

Value for money: All decisions regarding resource use at Local Authority or school level should provide best value and continuous improvement, drawing on corporate financial regulations, schemes of delegation and procurement guidance.

1.5   A Common Framework

To harmonise how local schemes are described, a framework is provided for Local Authorities to populate, containing all the essential elements of a good scheme. Local Authorities can incorporate their own scheme detail into the framework, tailoring the narrative to reflect their local context and decisions. This supports the empowerment of schools based on the Local Authority context, ensuring local democratic decisions can be applied whilst maintaining a broad consistency between schemes. This will support stakeholders undertaking benchmarking, introduce an element of common understanding for users, support shared training, and aid peer review. The framework will assist Local Authorities and their headteachers, providing increased clarity and transparency to stakeholders. The framework can be accessed on the Scottish Government website at
https://www.gov.scot/policies/schools/devolved-school-management/.

1.6   Expected, Recommended and Examples

The guidelines identify which areas are defined as expected, or as recommended, for Local Authority schemes. In some cases, the guidelines note statutory requirements on Local Authorities, or legislation which Local Authorities, headteachers, or others must comply with. **For the avoidance of doubt, nothing in these guidelines detracts from those legislative requirements, which must always be complied with.**

It is anticipated that every Local Authority scheme will apply the areas identified as "expected" within their individual scheme. Areas identified as "recommended" enable the Local Authority to determine their own decision in meaningful consultation with stakeholders. This supports authorities implementing a scheme that is fit for

purpose based on their local priorities and context. These are summarised in Appendix A: "Expected and Recommended Summary".

Local Authority examples are provided in some areas to support discussion with stakeholders at both authority and school level, reinforcing meaningful consultation and the transparency of schemes. Authorities are not expected to seek to implement each of the examples included within the guidelines, but may find it helpful to consider whether examples are relevant to their circumstances.

1.7   Self-evaluation

To support school improvement, headteachers are recommended to undertake self-evaluation drawing upon the most appropriate and current tools as self-evaluation toolkits.   At date of publication these include: Education Scotland: How Good is Our School 4, Quality Indicator 1.5 Management of Resources (HGIOS4) and the General Teaching Council Scotland (GTCS) 'The Standards for Leadership and Management' (GTCS Standards). To avoid increasing workload no additional toolkit has been created.

Local Authorities can make use of the "Expected and Recommended Summary" (Appendix A) to self-evaluate their schemes in addition to the peer review.

1.8 Additional Funding

Additional funding streams, including for example, at the time of publishing, Pupil Equity Funding (PEF), are not core funding and are not included within the traditional funding mechanisms of DSM schemes. Funding directly allocated to schools from sources other than the Local Authority should be available to headteachers to utilise as outlined in any associated conditions of the budget allocation. It is recommended that the principles of DSM (subsidiarity and empowerment; collaboration; accountability and responsibility; and clarity and equity), in addition to Local Authority policies, apply to all funding streams.

Many schools operate School Funds[4] and Parent Council accounts; these are external to the Local Authority DSM scheme and are not included within the DSM guidelines.

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[4] School Funds refer to funding raised by the school though other avenues and are not devolved by the Local Authority, the headteacher is responsible and accountable for these funds. Each Local Authority will have their own processes and procedures for these funds.

2. Devolved School Management: Detailed Guidance for Local Authorities in developing a DSM scheme

2.1 General

Local Authority schemes are **expected** to demonstrate best value by following the characteristics of: commitment and leadership; sound governance at a strategic and operational level; accountability; sound management of resources; responsiveness and consultation; use of review and options appraisal; a contribution to sustainable development; equal opportunities arrangements and joint working.

DSM schemes are **expected** to support, promote and facilitate school empowerment, enabling headteachers to provide the efficient and most effective use of resources. Local Authorities, and their headteachers, are **expected** to demonstrate accountability at all levels, be clear and transparent, support collegiate working and strive to deliver national, Local Authority, local and school priorities.

It is **expected** that Local Authorities ensure that devolution is meaningful and empowers school leaders to make appropriate, and informed decisions to best meet their local needs in line with Local Authority policies, guidance and frameworks. It is recognised that there are areas of expenditure that are generally not considered suitable for devolution. These may be aspects that are beyond a headteacher's influence or are too bureaucratic to be managed at school level, have unacceptable levels of risk or have no impact on learning and teaching. A list of such aspects is detailed in Appendix B. It is **expected** that each Local Authority will identify any areas that are not deemed suitable for devolving to schools and include this information within their published schemes.

Headteachers are **expected** to deploy the school's budget in accordance with best value principles and Local Authority procurement arrangements, with appropriate support and guidance from their Local Authority. School expenditure should be in line with the School Improvement Plan supporting both Local Authority and national priorities and frameworks. Local Authorities and headteachers are required to support SNCT and LNCT agreements and guidance.

Local Authorities should aim to reduce, where possible, staff workload and bureaucracy in relation to the utilisation and the application of DSM schemes, including associated financial policies and procedures.

Local Authority Example

A recent Education Scotland inspection in **Renfrewshire** highlighted the importance of robust governance arrangements when dealing with the complexity of a range of different sources of funding. Although it could be argued that this is not entirely related to DSM, the overlaps and dependencies between each of them are highly significant if empowered headteachers are to feel supported by a strong central team from the Local Authority.

2.2   Format and Publication

Local Authorities are strongly encouraged and **recommended** to use the Scottish Government/COSLA common DSM framework document, which accompanies this document and can be downloaded from https://www.gov.scot/policies/schools/devolved-school-management/. The framework will support benchmarking, assist staff moving between Local Authorities, aid national and/or shared training opportunities and bring a common look and feel to Local Authority schemes.

It is **expected** that local schemes include any criteria and methodology used to create staffing models and other resource allocations as appropriate. If formulae have been applied, these should be included within the scheme. Headteachers should be able to interpret the formulae or resource allocations and reconcile this information with their school's resources.

Local Authorities are **expected** to publish their DSM scheme on an external facing authority website, providing access to public stakeholders. Where a school has a website, it is **recommended** that it includes a link to the Local Authority website directing parents and wider stakeholders to the scheme. As DSM schemes can be technical documents, and are **expected** to include detailed formulae, Local Authorities are **recommended** to consider publishing a summary of their detailed scheme using the Scottish Government/COSLA framework (available from https://www.gov.scot/policies/schools/devolved-school-management/) to provide all stakeholders with summary information which is both accessible and in plain language, maximising parental and/or stakeholder engagement.

2.3   Training

To support understanding and enhance confidence in DSM, Local Authorities are **expected** to provide specific training opportunities to individuals who make use of, or may influence, the DSM scheme. It is **expected** that this group would include headteachers and business managers or equivalent posts. It is **recommended** that training should also be considered for depute headteachers, aspiring leaders, LNCT trade union representatives and any other appropriate groups.

It is **recommended** that elected members, as decision makers responsible for the Local Authority corporate budget should also receive a tailored training programme. The National Parent Forum Scotland have advised that additional training for Parent Councils is not required as this may be viewed as a barrier for parental involvement. However, Local Authorities can offer training in conjunction with Parent Councils where they deem it appropriate.

It is **expected** that appropriate training should be available on a recurring basis to ensure new appointments to posts can be given sufficient induction, training and support to allow them to make informed decisions and to allow experienced staff to refresh their knowledge. Training should be available when new systems or processes are introduced. It is **recommended** that Local Authority headteacher induction programmes include a DSM element.

Where school or establishment staff have a delegated budget responsibility, it is **expected** that they will be aware of the aims and principles associated with DSM and best value and that they will adhere to financial regulations and Local Authority procedures and policies for the funds they are responsible for, which should include any staff member with a recognised budget responsibility.

Local Authority Examples

Falkirk run regular training and update sessions for headteachers, deputy headteachers and new staff on all matters to do with Finance, Resource, Property and Planning matters.

Inverclyde Finance training is built into the practical guide to taking a school forward, which is available for any aspiring headteacher. The induction programme also includes one to one sessions on finance with the appropriate finance officer. This covers DSM.

As part of the leadership development programme, **Dumfries and Galloway** run two sessions each year to support current headteachers and aspiring leaders with managing resources - "Strategic Management of Budgets". As part of this session, some of the mechanics of DSM are covered, including the local scheme. The session also focuses on HGIOS4 Section 1.5 Management of Resources to promote equity, using the challenge questions from HGIOS4 to promote discussion, challenge and share experience.

Headteacher training in **Dundee** includes information on their Roles and Responsibilities related to Finance, and the recommendation that schools should have a DSM and School Fund Consultative Committee. Dundee also makes reference to HGIOS4 in training and the use of data when making spending decisions at school level

Dedicated training days are set up for **Shetland Islands** headteachers, as well as one-to one training opportunities for headteachers and their clerical staff.

2.4   Consultation, Engagement and Transparency

It is **expected** that local DSM schemes are accessible and in plain language, maximising engagement and supporting transparency. Local Authorities are **expected** to make information available to all stakeholders in relation to the Local Authority budget, delegated budgets to schools, including identifying areas of expenditure that are not devolved to headteachers.

It is **expected** that there will be meaningful consultation and engagement at all levels among the Local Authority, headteachers and all stakeholders. It is **expected** that meetings take place to inform appropriate resource decisions, including, for example: budget, staffing models and savings. To facilitate meaningful consultation and collaborative decision making, it is **expected** that Local Authorities form appropriate mechanisms or forums for regular engagement and consultation with headteacher

and wider stakeholders. These should be formed in conjunction with headteachers and Local Authority education management. A range of consultation approaches are already in place within Local Authorities including:

- regular finance forums
- headteacher/trade unions/staff working groups
- DSM committees
- area / school cluster meetings
- quality improvement forums
- feedback from surveys at school, school cluster and Local Authority levels
- headteacher short-life work streams

It is an **expectation** that headteachers have an input into areas affecting school resources, at a local, area or schools cluster level. This includes criteria used when determining how a formula is devised, how the formula is applied to schools, methods of calculating and distributing budget, any associated savings, school staffing models and any other appropriate allocations of resources.

Local Authority Examples

The **Dundee** Star Chamber group meets four times per year with all headteachers invited to attend. The Star Chamber meetings specifically focus on budget issues, with the meeting chaired by the Executive Director and Senior Management Team. In addition, Dundee's Staffing review group is chaired by the Chief Education Officer and consists of headteachers and central managers. This group covers all areas associated with the staffing process including allocation of staffing budgets. Lastly, there are sub-groups chaired by headteachers who involve other headteachers in taking forward certain areas. This year these groups were involved in revising staff formulae, given the budget pressures that the authority faced, and also focused on improving the recruitment process.

School Operating Management meetings in **Fife** are held termly; the meetings are chaired by a Head of Service and all headteachers are invited. The meetings focus on business matters including such areas as recruitment, staffing models, budget allocations, savings and facilities management. Three meetings are scheduled over different days to provide headteachers with the flexibility to attend the most suitable meeting to maximize attendance. This format is used for meaningful consultation with all headteachers (over 170 including nursery, special, primary and secondary). In addition, Cluster Chair Headteacher Meetings, Working Groups or sector specific headteacher meetings are also utilised for particular areas of work and for detailed discussion regarding specific budget savings.

In **North Ayrshire**, all schools are required to have a DSM Committee to discuss resource matters, the committee is formed from all staff groups and includes parent council representatives.

Transparency is further supported by the sharing of devolved staffing allocations with all school sectors in the local authority area - Nursery, Special, Primary and Secondary.

As the leaders of learning in their schools, and as senior officers of the Local Authority, headteachers are **expected** to take the lead role in ensuring their school community is empowered at all levels, this includes full consultation with staff. Headteachers are **expected** to consult with staff, parent councils, pupils, trade unions and the wider community on appropriate matters to inform resource decisions. It is **expected** that headteachers provide clear information on local budgets and resource allocation including school staffing models, DSM decisions, allocation of departmental or class resources, formulae, criteria or methodologies used within the school. To facilitate consultation, it is **expected** that headteachers form appropriate mechanisms or forums for regular engagement and consultation with stakeholders to discuss and consult on any relevant area. To facilitate collective decision making a range of consultation approaches are in place within schools which include:

*   School committees
*   staff meetings
*   parent council
*   pupil councils
*   working groups

Headteachers are **expected** to ensure that any costs on families are minimised to ensure equality of access. However, where charges are deemed unavoidable, it is **recommended** that any anticipated pupil charges for curricular or extra-curricular activities (for example Home Economics, or school trips), or other costs (such as school uniform) requiring funding contributions from parents/carers are clearly detailed in school information published at the start of the academic session, supporting transparency. It is further **recommended** that any potential financial assistance or opportunities available to the pupil, or any discounts or exemptions available, for example in relation to pupils in receipt of free school meals, are included within this information.

2.5   Collaboration

DSM schemes should be informed by local priorities to enable them to contribute towards shared agendas and improved outcomes, allowing stronger partnership working between schools and with other agencies and stakeholders.

Local Authority decisions about education spending are expected to be made in a collegiate and transparent way, paying due regard to their wider responsibilities, including Getting it Right for Every Child (GIRFEC) and the role of Local Authorities as Corporate Parents.

Effective joint working, encompassing headteachers, school staff, Local Authority chief officers, community partners, other schools, colleges, universities and the Regional Improvement Collaborative are key. Meaningful collaboration can support the best use of resources, through arrangements for strategic planning of local provision, economies of scale and the pooling of resources to meet locally identified educational needs. To further develop this, it is **recommended** that Local Authorities consider empowering an area or school cluster, enabling headteachers to influence decisions and resource use across a geographical or cluster basis.

Devolving budget resource on an area or school cluster basis also requires headteachers to be responsible for these resources to their stakeholders and Local Authority.

The Regional Improvement Collaborative should consider developing and sharing models of best practice in empowerment and effective decision making within the funding and resources context.

In an empowered system, headteachers are **expected** to be collaborative and collegiate in their approach, challenging themselves and stakeholders to be solution focused and embrace joint working with the learning community, teachers, support staff, partners, other schools and the Local Authority. It is **recommended** that headteachers work together to share and maximise resources in order to influence outcomes across geographical areas or school clusters.

Local Authority Examples

In **Inverclyde,** the recently implemented ASN review has devolved management of resources to localities of schools. This means that headteachers discuss allocations of support on a locality basis and can allocate resources accordingly.

The **Falkirk** Senior Management Team holds termly meetings with Parent Council Chairs and representatives to discuss all matters relating to budgets, finances and resources. In addition through collaboration, secondary schools now manage the provision and distribution of PE and Music teachers across all primary schools within their cluster.

In **Glasgow**, by headteachers pooling funding together, Secondary schools have engaged STEM staff to work collegiately to deliver training and staff development.

West Dunbartonshire have robust systems in place for the effective management and monitoring of finance, ensuring strong financial governance and delivery of best value at both corporate and project level. At corporate level, the Community Planning Partnership and Educational Services committee ensure accountability for the delivery of Education objectives. The Council provides the conditions and environment for leaders to make innovative decisions on available spend, based on research and self-evaluation activities. Through a variety of consultation processes, headteachers engage well with stakeholders in their school community to gather views on how funding is used, and to report on progress with delivery of projects/interventions. Through a variety of communications channels, headteachers share successes of projects/interventions, ensuring stakeholders are aware of impact to help inform next steps.

Na h-Eileanan Siar Primary and Secondary headteachers have collectively identified a set of nine key actions based on the Department's four priorities and Business Plan as well as current national priorities and developments in education. To deliver the nine actions, a model of Headteacher Hubs has been developed that has created three hub teams of headteachers, each led by one of the headteachers and supported by a Senior Education Officer. Each of the hubs has been assigned three of the nine priorities. Headteacher Hubs serve two key purposes. They

empower headteachers, as senior officers of the Comhairle, to lead on the delivery of key priorities as well as to take devolved responsibility for budget spending. It also addresses the national priority to tackle bureaucracy through more effective sharing of development work across the three Hubs to benefit all schools, and raise learners' attainment. Each Hub is led by a headteacher with a group of other associated headteachers, as well as any co-opted members they wish to include for the purposes of meeting their specific objectives.

2.6   Staffing

Local schemes are **expected** to devolve the appropriate resources to schools, whilst ensuring that legislative and contractual requirements are met and local circumstances and needs taken into account.

Local Authorities are required to develop and implement staffing models for all school sectors, within which headteachers are **expected** to deliver the most appropriate and efficient use of staff, ensuring equity, transparency and clarity whilst promoting and supporting collaboration and collegiate working. To facilitate this, it is **expected** that headteachers are empowered to design a staffing structure to suit their school's context, within the budget delegated to the school by the authority.

Local Authorities are **recommended** to consider the risks associated with devolving staffing. This includes discussing and consulting with headteacher and appropriate forums around the complexities and risks associated with staffing allocations. Local schemes will vary and may be determined or influenced by systems and processes in place for finance budget setting. This may include budgets based on named individual salary placements, average staff salaries, top of teaching scale salary, cash or points models, or any other methodology used.

Consideration should also be given in relation to long term absence and family leave costs which may impact on budgets. Variances in local schemes may also exist owing to the accounting approach applied for specific individual circumstances noting the salary differentials for roles such as chartered teachers, assimilated teachers, career pathway lead teachers or in relation to conservation of salary or changes to job sizing grades. For all staffing matters, it is **expected** that headteachers must adhere to the appropriate legislation, Local Authority, SNCT and LNCT agreements, Working Time Agreements and guidelines.

Headteachers are **expected** to play an active role in designing and reviewing the recruitment processes and staffing approaches, both for their own school/s and for the Local Authority.

It is **expected** that headteachers are consulted on the allocation of all staff groups to their schools, including support staff. Staffing allocations of support staff should be supported by a clear and transparent methodology for the distribution of staff either to schools or clusters.

Local Authority Examples

A primary school in **Dumfries and Galloway** was entitled to two depute headteachers. The headteacher has chosen to put in place only one depute headteacher post and utilise the funding from the other position to support development opportunities across the staff group. These are project type arrangements to complete designated pieces of work.

A Primary School in **East Lothian** had an increasing school roll and were entitled, per the staffing model to receive an additional depute headteacher, increasing from one to two depute headteachers. The headteacher elected to utilise the budget resource to maximise the existing depute headteacher's management time, thereby removing the teaching commitment. This further enabled the headteacher to create a principal teacher post through use of the balance of resource available.

In **Falkirk** the annual teacher recruitment and probationer intake exercise for primary schools is centrally coordinated with input from headteachers groups to reduce the demands on their time. Primary headteachers have also used their devolved budgets to collectively fund a central support post to source and manage supply cover on their behalf.

Fife manage a generic recruitment campaign for class teacher posts for the new August academic session. This generic campaign is led by headteachers, supported by the central team. Headteachers attend a centrally led recruitment session at which the headteachers devise the interview format and questions. The interview panels are solely formed by headteachers who make a recommendation to appoint candidates to Fife, or not. The central team then undertake all reference and recruitment checks before allocating the candidate to a post in Fife. To staff schools, headteachers submit a 'Staffing Return' for the new August session whereby they identify vacancies or surplus staff. For vacancies, the headteacher identifies the nature of the vacancy (permanent/temporary/full time/part time) and can identify how they wish the post to be filled, for example the allocation of a new probationer or the appointment of a teacher.

Furthermore, for the allocation of a new probationer they can request a student who has completed a placement within their school, or are allocated a name by the central team. For the allocation of a teacher, they can request a named individual from the generic interviews and this allows headteachers to request to retain their current probationer if they wish to do so. Through this system headteachers are able to greatly influence their school staffing allocation. The Directorate seeks to accommodate headteacher requests whilst taking account of any other factors, including staff members requiring transfer, the overall school pupil roll, the authority's probationer allocation and any other local matters.

Perth & Kinross Headteachers are authorised to organise their support staff structure as required. Resources continue to be allocated to schools using the DSM funding allocation annually.

Renfrewshire engaged extensively with primary headteachers in order to design a revitalised recruitment process for the annual staffing exercise, which sees

headteachers lead the selection procedures forming interview panels and recommending deployment based on a competence based approach. This is backed up by support from HR and recruitment professionals within the Local Authority in order to ensure openness, fairness and transparency. By empowering headteachers in this way, workload has been reduced and both schools and individual teachers feel more valued for their contribution.

2.7   Professional Support

To support empowered schools, Local Authorities are **expected** to provide the appropriate support and challenge to headteachers. Empowered schools should be underpinned by professional high-quality teams with the appropriate capacity to support headteachers. This may be in the form of business managers (or equivalents), finance, human resources and facilities teams. It is **expected** that access to professional support is available to all headteachers, in all school establishments. It is **expected** that there should be transparency in any formulae or methodology used in allocating professional support to schools.

Local Authority Examples

Argyll and Bute Finance Assistants are assigned to schools to provide financial advice to the headteacher. These roles are managed by the corporate finance teams with the posts being based in schools. The finance assistants provide support to more than one school, usually on a cluster basis.

Each secondary school in **Falkirk** has a dedicated Resource Manager and other schools are supported by a centrally based team of Resource Officers.

Scottish Borders undertook a review during 2016/17, with the aim of developing more integrated and streamlined management and administration arrangements on a locality, cluster basis. A new structure was developed and consulted on, and a Business Manager was appointed for each high school cluster (of which there are 9) and administration staff for both secondary and primary schools were matched into the new, cluster-based structure. The resulting standardisation and improvement of processes and policies has enabled a necessary move away from inconsistencies in approaches to business support across over 70 Scottish Borders schools, and is facilitated by investment in digital improvements for staff, parents and pupils. The clusters vary in size, and contain a mix of rural and urban settings. The Business Manager posts are line managed by a Business Support Service Manager at Council HQ, who reports to the Service Director, Customer and Communities, and funding for the new structure now sits within this service.

Stirling Business Managers are based in each of the 7 secondary schools and support the specific secondary school. The posts are managed by the headteacher and funded by the overall secondary staffing model. 40 primary schools are supported by 2 Primary School Resource Officers, who in turn support a cluster of nursery, primary schools and one special school. They are managed by the Business Improvement Team Leader within the Broad General Education Service. The secondary business managers manage the non-teaching staff, monitor and

report on the school devolved budget; assist the headteacher in the strategic deployment of staff and day to day management and co-ordination of all HR issues devolved to schools. They are responsible for all buildings and facilities management issues and liaise with other Council Services or contractors as appropriate. They assist the headteacher in the strategic management of all finance related issues. The Primary School Resource Officers support, advise and assist headteachers in the strategic management of all resource related issues. They all support the schools in working within the Legal and Financial Framework of the Council and are supported by our Corporate Teams including Finance, HR, procurement and property teams.

2.8   Accounting Matters

Headteachers are **expected** to be given the flexibility to manage and determine the best use of the resources devolved to schools. To facilitate this, headteachers should be permitted to move budgets between devolved budget headings (referred to as budget virement) subject to Local Authority accounting principles, schemes of delegation and financial regulations.

Locally determined virement criteria, including any maximum percentage, financial limits or excluded budget areas, are **expected** to be included within the published local scheme.

Local Authority Examples

In **Angus** headteachers are permitted to divert monies between devolved budgets. However, no funds should be diverted which have an ongoing commitment into future years e.g. diverted funds cannot be used to permanently increase staffing levels as the source of funding cannot be guaranteed in future years.

To support Schools with their individual budget control and financial reporting, **Falkirk** provide schools with 10 unique financial ledger devolved cost codes that allow schools to decide themselves what costs should be charged and monitored against them. A bespoke devolved budget report is also available to headteachers to monitor devolved budgets directly.

In **Glasgow,** virement of up to £1,000 across all supplies and services budget lines and Virement of up to £5,000 across all classroom supplies lines is allowed. However, virement of up to 10% of the entitlement budget of a school's sickness absence cover (5% pre-Christmas and 5% post-Christmas) is subject to approval from the Executive Director of Education Services.

Inverclyde currently allow virements of up to £20,000 out of employee budget lines to any budget lines within the overall DSM budget. They also allow virements of up to 10% of non-salary budget lines to any DSM budget line.

In **Aberdeenshire Council** headteachers are provided with details of devolved budgets at the beginning of each financial year, which are updated post September-Census to reflect roll movements. Although Primary schools do not have access to the General Ledger, transaction reports are provided regularly. Budget monitoring

statements are also provided quarterly by a centrally based Finance team, who are available to provide advice and support to headteachers.

Secondary Teaching staff costs, including long and short-term supply, are now fully devolved to schools. Budgets are based on the actual cost of staff in place and likewise expenditure is also on actual costs charged through the ledger. All schools are provided with an annual monitoring template, which allows them to record actual costs against budget and also to forecast the impact of staff changes.

Secondary schools also have access to monthly payroll reports, which are used to monitor the devolved teaching budget, and members of the Finance team are currently available to provide advice and support to Secondary headteachers and Business Managers. In terms of process, an accountant will visit each secondary at the beginning of the financial year to discuss the devolved budget and associated spending plans. Follow up visits are then offered later in the year to discuss the forecasted budget position and an update on spending plans. A meeting is held with a Head of Service/HR/Finance prior to the commencement of the new financial year to discuss staffing entitlement and address any budget issues. Secondary schools do have access to the Ledger, but also receive regular reports from the centre on all devolved budgets.

Aberdeenshire is also piloting the devolvement of ASN budgets to cluster schools. Two clusters representing different school sizes and demographics have been involved in this pilot. The budgets involved include teaching and non-teaching staff, together with budgets for flexible learning pathways, per capita and Continuing Professional Development. Each cluster collectively is then responsible for determining the spending plan for their budget that best meets the ASN needs within their cluster. Support from the Finance team is provided on a similar basis to that provided to secondary schools.

Headteachers are **expected** to be given the ability to carry forward budget underspends and overspends from one financial year to another in line with Local Authority criteria. This will provide greater flexibility, maximise best value and align school year expenditure with the School Improvement Plan, recognising that expenditure commitments operate on an academic and not financial year basis. Locally determined carry forward criteria, including any maximum percentage or financial limits, or where a carry forward provision is determined by the overall service, directorate or authority budget position, are **expected** to be published within the scheme.

It is **recommended** that local consideration is given to the use of carry forward of underspends and that the intended uses of any carry forwards are identified in School Improvement Plans or school budget plans.

Local Authorities should give consideration to enabling schools and establishments to deposit funds to save budget underspends over a number of financial years for planned and agreed future spending requirements.

It is **recommended** that Local Authorities consider how carry forward of overspends are managed and that associated processes or arrangements are included within the published scheme.

Local Authority Examples

In the **City of Edinburgh Council** headteachers may carry forward any surplus funds from one financial year to another, subject to this surplus being less than 2.5% of the school's total delegated budget. In addition, Nursery schools may carry forward 10% of their total delegated budget. Any budget deficit incurred by the headteacher will be carried forward in full to the next financial year and will have the effect of reducing the total funds available for expenditure in that year. The Executive Director of Communities and Families may instruct headteachers not to budget a deficit where there is reason to believe that this would create financial difficulties for the Council. In exceptional circumstances the Executive Director of Communities and Families may amend the amount of surplus or deficit to be carried forward but will give reasons for doing so.

Over the period 2017/18 to 2019/20 initially headteachers in **East Renfrewshire** have the facility to carry forward a percentage of their DSM allocation as budget underspend at the financial year end, subject to the overall Education Department budget being underspent. For 2017/18 this was set at a maximum of 5% of devolved resources, reducing to 3.5% in year two and 2% the following year with a wider review of DSM thereafter to take account of new national guidance. The budget devolved to a school in any financial year should be targeted at the priorities in the School's Improvement Plan and should be for the benefit of current pupils. Headteachers must therefore ensure that all carry forwards are planned and should not be used as a means of setting aside resources for the future with no identified plans for the carry forward. All carry forwards must be entirely used within a three-year period aligning with the School Improvement Plan and its timeframe. Where an overspend occurs, the shortfall in budget will be deducted from the school's DSM budget via an increased savings target in the following financial year and the headteacher would be required to provide an action plan to evidence how they will deliver a balanced budget by the end of that same financial year. If a school's DSM budget outturn position is unreasonably or persistently overspent, despite strong budget monitoring and support, then such action could be considered by the Director of Education as grounds for disciplinary action.

To reduce bureaucracy **Falkirk** has set financial levels for each school sector whereby underspends falling within these parameters are automatically carried forward. Underspends above these levels are subject of a simple business case being submitted to explain the reason for underspend and what the schools plans are for it. The acceptable parameters are: Early Years establishments £5,000, Primary Schools (Single Stream) - £10,000, Primary Schools (2/3 Stream) - £15,000; Secondary Schools - £30,000; and Special/ASN Establishments - £15,000.

The **West Lothian** the maximum carry forward is set at 2.5% of all fully devolved budget headings. Any balance greater than 2.5% will not be available to the school in the following financial year. Any carry forward above 1% requires Head of

Service. Schools may wish to use this carry forward not only for on-going revenue expenditure, but may also wish to save towards a longer term planned objective (e.g. school refurbishment).

Inverclyde allows a carry forward of up to 10% of the entitlement budget. In addition to this, headteachers are allowed a carry forward of planned underspend to be placed into a capital item replacement fund (CIRF) which can be held for up to 3 years. The minimum deposit is £500 and the maximum is £10,000 annually. This fund can then be used in the future 3 years to purchase planned equipment or resources e.g. reading schemes / smaller capital items .

Renfrewshire allows schools to carry forward a proportion of funds in particularly budget lines. Headteachers are expected to justify the purpose of such carry forward to ensure it is in line with the expectations of the 2012 guidance that 'today's money be for today's children'. This provides a degree of accountability, whilst ensuring flexibility for the purchase of larger items which may not be possible within a single financial year.

2.9   Scheme Review

Local Authorities are **expected** to undertake a full review of their scheme every three years though peer and stakeholder evaluation. Local Authorities may wish to consider utilising the Regional Improvement Collaborative which they are a member of, although consideration should also be given to working with Local Authorities beyond the collaborative where demographics, scale, size and context may be comparable. Peer review should utilise the Scottish Government and COSLA quality assurance template.

In addition to working with a partner Local Authority, it is **expected** that the three-year review should include stakeholders from the home Local Authority and the wider community. It is **recommended** that these stakeholders include headteachers and other Local Authority representatives, for example, business managers or equivalent, school staff groups, trade unions, parents, pupils, corporate partners (such as finance, human resources and procurement) and any other community stakeholders as deemed appropriate.

It is **recommended** that Local Authorities, as part of their ongoing self-evaluation, update the DSM scheme if required following formal agreement of the Local Authority budget, or to recognise any Local Authority policy decisions which may have a consequential impact on their scheme.

It is **recommended** that headteachers undertake self-evaluation of DSM in their own school's context using the most appropriate and current tools available. At date of publication these include; Education Scotland - How Good is Our School 4 (HGIOS4), Quality Indicator 1.5 Management of Resources; GTC Scotland - The Standards for Leadership and Management: supporting leadership and management development; Scottish Government and COSLA – Education Reform Joint Agreement and Headteachers' Charter.

Local Authorities may wish to utilise the "Expected and Recommended Summary" (Appendix A) as their self-evaluation checklist or for use during their annual internal review.

> **Local Authority Example**
>
> **East Lothian's** Service is incorporating HGIOS4, Quality Indicator 1.5 Management of Resources as part of their internal reviews and improvement processes within their school establishments.

Appendix A: Expected and Recommended Summary

These guidelines recognise that in relation to DSM the functions and roles undertaken within an empowered school system are not restricted to headteachers. Although the role of headteacher is identified throughout, shared and distributed leadership means that other staff members or groups may undertake an area or aspect of DSM. The guidelines support distributed leadership, collaboration and consultation whilst recognising that the accountability and responsibility will reside with the headteacher as the leader of their school, supported by the Local Authority.

In some cases the guidelines note statutory requirements on Local Authorities. For the avoidance of doubt, nothing in these guidelines detracts from those statutory requirements, which all Local Authorities must comply with.

General	
Expected	**Recommended**
Local Authorities schemes adhere to financial regulations, deliver best value and ensure the efficient, fair and equitable distribution of resources.	
Headteachers deploy the school's budget in accordance with best value principles and Local Authority procurement arrangements, with appropriate support and guidance from their Local Authority.	
Local Authorities should ensure that devolution is meaningful and empowers school leaders to make appropriate, and informed decisions to best meet their local need in line with legislation and Local Authority policies, guidance and frameworks.	Local Authorities scheme clearly define areas of resources that are not devolved to schools.
Headteachers are expected to ensure school expenditure is in line with the School Improvement Plan supporting the relevant Local Authority strategic plans, priorities and the National Improvement Framework.	
Local Authorities and headteachers must adhere to legislative requirements, SNCT and LNCT agreements and guidance.	

Format and Publication	
Expected	**Recommended**
	Local Authorities are strongly encouraged to utilise the format of the DSM Framework for their scheme. This is available from https://www.gov.scot/policies/schools/devolved-school-management/.
Local Authorities are expected to publish the DSM scheme on the external facing website.	Where a school has a website, it is recommended that it should include a web link to the Local Authority published scheme.
	Local Authorities should consider publishing a summary of the authority's scheme, providing stakeholders summary information in an accessible way, using plain language.
Published schemes should include the criteria and methodology used to create formulae-based allocations, staffing models and other resource allocations as appropriate. If formulae have been applied, the formulae should be included within the scheme.	

Training	
Expected	**Recommended**
Local Authorities should provide specific DSM training to key staff groups including headteachers and business managers or associated posts.	It is recommended that training opportunities are made available to depute headteachers, aspiring leaders, elected members, and any other appropriate staff who utilise or influence DSM decisions.
Where school or establishment staff have a delegated budget responsibility they should be aware of the aims and principles associated with DSM, best value and adhere to financial regulations and Local Authority policies for the funds they are responsible for.	Training should be available for new and experienced staff members.
Training should be available on a frequent and recurring basis.	School leaders have access to local and/or national leadership programmes and training which ensures an approach to DSM that encourages confident decision-making to promote better outcomes for learners.

Consultation, Engagement and Transparency	
Expected	**Recommended**
Consultation and engagement at all levels between Local Authorities, headteachers and stakeholders should take place to inform appropriate resource decisions, including: budget, staffing models and savings. This includes consultation on criteria used when determining how a formula is devised or applied and other methodology of distributing resources.	
Local Authorities should form appropriate mechanisms or forums for regular engagement and consultation with headteachers and wider stakeholders as appropriate.	
Consultation and engagement between headteachers and staff groups should take place to inform appropriate resource decisions, including: budget, staffing models, department budget allocations and savings.	Headteachers should form appropriate mechanisms or forums for regular engagement and consultation with staff, parents and wider stakeholders as appropriate.
Headteachers should consult with staff, parent councils, pupils and the wider community on appropriate matters, these may include school staffing models, DSM decisions, allocation of departmental or class resources and include formulae or criteria used within the school.	
Headteachers share and discuss local school decisions, budget and resource allocations with staff groups and wider stakeholders as appropriate.	It is recommended that at school level this includes methodology and distribution of budgets and resources.
Local Authorities make information available to all stakeholders in relation to the Local Authority budget, education budget and delegated budgets to schools, including identifying areas of expenditure that are not devolved to headteachers.	
It is expected that DSM schemes, and information published for stakeholders is accessible and is in plain language.	
Headteachers are to ensure that any costs related to the curriculum are minimised to ensure equality of access.	Where charges exist for pupils, including both curriculum or extra-curricular activities (class materials, school trips, school uniform, etc.) they should be clearly detailed in school information published at the start of the academic session.

	Any potential financial assistance, discounts or exemptions available, for example in relation to pupils in receipt of free school meals, should be included within this information.

Collaboration	
Expected	**Recommended**
DSM schemes should be informed by local priorities to enable it to contribute towards shared agendas and improved outcomes, it should enable stronger partnership working between schools and other agencies and stakeholders.	
Local Authority decisions about education spending are made in a collegiate and transparent way paying due regard to Getting it Right for Every Child (GIRFEC) and the role of Local Authorities as Corporate Parents.	It is recommended that Local Authorities consider empowerment on an area or school cluster basis, enabling headteachers to influence decisions across geographical areas or school clusters.
Headteacher are expected to be collaborative and collegiate in their approach, challenging themselves and stakeholders to be solution focused embracing joint working with the learning community, parents, children and young people, teachers and support staff, partners, other schools and the Local Authority.	It is recommended that headteachers work together to share and maximise resources to influence outcomes across geographical areas or school clusters.

Staffing	
Expected	**Recommended**
Local Authorities should empower headteachers to design a staffing structure to suit the school's context within their delegated budget and in accordance with SNCT and LNCT agreements and guidelines.	Local Authorities consider their approach when devolving staffing, this includes discussing with Headteachers the complexities and risks associated with staffing allocations.
Schemes should seek to devolve the appropriate resources to schools, whilst ensuring that legislative and contractual requirements are met and local circumstances and need taken into account.	
The Local Authority with headteachers will seek to deliver the most appropriate and efficient use of staff resource ensuring equity, transparency and clarity whilst promoting and supporting collaboration and collegiate working.	

Headteachers should play an active role in designing and reviewing recruitment and staffing approaches, both for their own school/s and for the Local Authority.	
For all staffing matters, headteachers must adhere to the appropriate legislation and Local Authority, SNCT and LNCT agreements and guidelines.	
Headteachers should be consulted on the allocation of support staff to schools.	

Professional Support	
Expected	**Recommended**
Headteachers in all schools should have access to professional support teams and functions.	
There should be transparency in the formulae or methodology in allocating professional support to schools.	

Accounting	
Expected	**Recommended**
Headteachers should have the provision to carry forward budget underspend or overspend in line with agreed and published Local Authority policy and criteria.	Intended use of carry forward of budget underspends are identified in School Improvement Plans or school budget spending plans.
	Procedures for managing carry forward of overspends are included within the scheme.
	Consideration is given towards enabling schools to deposit funds to save budget for planned and agreed future spend.
Headteachers should have the provision to vire budget between budget headings in line with agreed and published Local Authority policy and criteria.	

Scheme Review	
Expected	**Recommended**
Local Authorities undertake a three-year review with stakeholders and a peer Local Authority as they determine appropriate.	Stakeholders may include headteachers, business managers, all staff groups, trade unions, parents, pupils and corporate partners such as finance, human resources and procurement as examples.
	Local Authorities are recommended, as part of ongoing self-evaluation, to update DSM schemes if changes are made which have a consequential impact on a scheme.
	Headteachers are recommended to apply national standards and to undertake self-evaluation drawing upon the most appropriate, and current tools, at date of publication these include, but are not limited to: Education Scotland - HGIOS4 QI 1.5 Management of Resources GTC Scotland - The Standards for Leadership and Management: supporting leadership and management development Scottish Government and COSLA – Education Reform Joint Agreement and Headteachers' Charter

Appendix B: Areas of expenditure that are generally not considered suitable for devolution

It is **expected** that Local Authorities support meaningful devolution that empowers school leaders to make appropriate, and informed decisions to deliver the best outcomes for children and young people.

Whilst headteachers should be given maximum flexibility over their budgets, there are areas of expenditure that are generally not considered suitable for devolution. The reasons for this may include, but are not limited to, areas of spend that:

- are outside the influence of a headteacher
- are too bureaucratic
- have unacceptable levels of risk
- benefit from economies of scale
- require specific professional expertise
- are complex by their nature

Through consultation it is clear that for a variety of locally determined reasons, differing approaches exist within the Local Authorities. The first list, presented below (**a**), covers areas that are generally recognised as *not* enhancing headteacher empowerment, and the second list (**b**) presents areas that Local Authorities may have determined locally agreed procedures according to their existing systems and processes.

It is **expected** that each Local Authority identifies and lists any areas that are not devolved to schools within their published schemes.

a. Areas identified as not generally suitable for devolving:

- Rent in relation to school premises
- Capital expenditure, including PPP/PFI costs
- Property Insurance
- Non-Domestic Rates
- Statutory Local Authority contracted work on managing the school estate
- Corporate support function costs for example Finance, HR, and Legal functions
- School clothing grants
- Education Maintenance Allowances
- Home to school pupil transport
- Premature retirement costs
- Local Authority Information Management Systems (currently SEEMIS)
- School meals

b. Areas which consultation highlighted as having a variety of approaches, and requiring local determination:

- Waste Collection
- Energy costs
- Carbon charges
- Janitorial and Cleaning staff costs
- Central support services for example Educational Psychology, Quality Improvement Teams, Learning Support and Behavioural Support Teams, Speech and Language Teams, hearing and visually impaired support, dyslexia or significant and enhanced provision for additional support. Each authority will have their own specialist teams which will differ.
- Examination fees
- Long Term Sickness Absence
- Family Leave Costs
- Visiting Teachers
- Music Instructors
- Parent Council expenditure

Appendix C: Stakeholder Engagement

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The following organisations have been consulted during the preparation of this guidance. The draft Guidelines was also published on the Scottish Government website for comment between 5 April 2019 and 8 May 2019 date, to fulfil Scottish Ministers' duty to consult on proposed guidance under section 13 of the Standards in Scotland's Schools Act 2000.

Aberdeen City Council
Aberdeenshire Council
Angus Council
Argyll and Bute Council
City of Edinburgh Council
Clackmannanshire Council
Comhairle nan Eilean Siar
Dumfries and Galloway Council
Dundee City Council
East Ayrshire Council
East Dunbartonshire Council
East Lothian Council
East Renfrewshire Council
Falkirk Council
Fife Council
Glasgow City Council
Highland Council
Inverclyde Council
Midlothian Council
Moray Council
North Ayrshire Council
North Lanarkshire Council
Orkney Islands Council
Perth and Kinross Council

Renfrewshire Council
Scottish Borders Council
Shetland Islands Council
South Ayrshire Council
South Lanarkshire Council
Stirling Council
West Dunbartonshire Council
West Lothian Council
ADES Resources Network
ADES Personnel Network
Association of Headteachers and Deputes in Scotland (AHDS)
Educational Institute of Scotland (EIS)
Education Scotland
National Parent Forum Scotland
The National Association of Schoolmasters Union of Women Teachers (NASUWT)
School Leaders Scotland (SLS)
Scottish Secondary Teachers Association (SSTA)
Voice

Appendix D: Fair Funding Reference Group and Working Group Membership

Fair Funding Reference Group Membership

Scottish Government
Convention of Scottish Local Authorities (COSLA)
Association of Directors of Education Scotland (ADES)
Directors of Finance
Society of Personnel and Development Scotland (SPDS)
Society of Local Authority Chief Executives (SOLACE)
Society of Local Authority Lawyers and Administrators (SOLAR)

Fair Funding Working Group Membership

Scottish Government
Convention of Scottish Local Authorities (COSLA)
Association of Directors of Education Scotland (ADES)
Association of Headteachers and Deputes in Scotland (AHDS)
Educational Institute of Scotland (EIS)
School Leaders Scotland (SLS)

COSLA

Scottish Government
Riaghaltas na h-Alba
gov.scot

DEVOLVED SCHOOL MANAGEMENT
Framework Document – for Local Authorities
June 2019

CofSLA f
@COSLA 🐦
www.cosla.gov.uk

TheScottishGovernment f
@ScotGov 🐦
www.gov.scot

Devolved School Management Framework Document – for Local Authorities

This framework document has been developed to help you update your existing Devolved School Management (DSM) scheme, or to create a new DSM scheme if you choose to do this. It reflects the principles of the new DSM guidelines and offers a suggested set of information and headings to include, drawn from the table of 'expected' and 'recommended' areas, attached within this document at Appendix A for convenience.

For information, when updating or creating your DSM scheme, Local Authorities are expected to publish the scheme on an external facing website, and it is recommended that a web link to this is also made available on School websites if available.

Separately, in addition to this publicly available full version of the DSM scheme, it is recommended that an accompanying summary is also created, in the form of a leaflet or similar, with headline information drawn from your scheme. An example of information you may wish to include in this is attached at Appendix B.

[Local Authority name]

Devolved School Management Scheme [year]

Formal Review date:

EXAMPLE OF CONTENTS

1. Introduction

2. Budget Overview

3. Areas of Expenditure to be Devolved

4. Key Areas to be covered in Schemes

General Information on Devolved School Management

4.1 Financial Regulations
4.2 Best Value Principles
4.3 Local Authority Commitment to Devolved School Management
4.4 School Expenditure Within Wider Strategic Planning
4.5 Scottish Negotiating Committee for Teachers and Local Negotiating Committees for Teachers Agreements

Publication

4.6 Publication availability

Training

4.7 Available training

Consultation, Engagement and Transparency

4.8 Consultation and Engagement
4.9 Transparency

Collaboration

4.10 Local Priorities

Staffing

4.11 Staffing Structures
4.12 Legislative and Contractual Requirements

1. INTRODUCTION

Please find below a general overview on DSM guidance that you may wish to include in your own DSM publication introduction.

You may wish to also include in your introduction:

- Your individual LA context, including web links to your website
- Directorate/Service, Locality plans
- Summary information on pupil numbers, the number of educational establishments, geographical and demographic contexts
- Your own delivery principles and legal requirements placed on your Authority
- Role of the Parent Council
- General legislative framework information

Devolved School Management Overview

Devolved School Management was introduced in 1993 to enhance and improve the management of resources at school level. The DSM guidance was reviewed in 2006, and again in 2012, taking account of the changing economic and financial climate for both Local Authorities and the Scottish Government. In June 2017 the Scottish Government consulted on changes to DSM as part of the wider "*Fair Funding to Achieve Excellence and Equity in Education"* consultation.

The updated DSM guidelines, published in summer 2019, seek to build and improve on the DSM Guidelines of 2012 and, critically, reflect and integrate with the Education Reform Programme and priorities emerging from the Scottish Government and COSLA Education Reform Joint Agreement of June 2018. These Guidelines can be found here https://www.gov.scot/policies/schools/devolved-school-management/

The Guidelines have been devised to help Local Authorities develop their own Devolved School Management (DSM) schemes. The new Guidelines aim to encourage participation from Local Authority wider teams, schools and parents.

They have been prepared through collaboration and consultation with a wide range of stakeholders. Collaboration is key to a successful local DSM scheme and this is captured within the Joint Agreement and Headteachers' Charter to which these guidelines align and support.

PRINCIPLES OF DEVOLVED SCHOOL MANAGEMENT

The updated DSM principles, agreed by the Fair Funding Reference Group and building on and enhancing the foundations and principles of the 2012 guidance, are:

- Subsidiarity and Empowerment
- Collaboration
- Accountability and Responsibility
- Clarity and Equity

These principles reflect the National Improvement Framework aims of excellence through raising attainment and achieving equity. The principles also fully endorse those proposed in the Fair Funding consultation:

- **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 – ensuing 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

2. BUDGET OVERVIEW

Please provide in this section an overview of your Education Services' budget, with a statement setting out the basis on which school budgets are constructed. It would be helpful to set this within the context of your wider Local Authority finances.

You may wish to include in this section all disclaimers and information on relevant financial regulations.

It is expected that Published schemes should include the criteria and methodology used to create formulae-based allocations, staffing models and other resource allocations as appropriate (including any formulae applied).

3. AREAS OF EXPENDITURE TO BE DEVOLVED

Please use this section to provide an overview of the areas of expenditure that will be devolved, and those that will not. For example:

Whilst headteachers are given maximum flexibility over their budgets, there are areas of expenditure that are generally not considered suitable for devolution. The reasons for this may include, but are not limited to: areas outside the influence of a headteacher; areas that are too bureaucratic; have unacceptable levels of risk; benefit from economies of scale; require professional expertise; and complex by their nature.

a. Areas identified as not generally suitable for devolving:
- Rent in relation to school premises
- Capital expenditure, including PPP/PFI costs
- Property Insurance
- Non-Domestic Rates
- Statutory Local Authority contracted work on managing the school estate
- Corporate support function costs for example Finance, HR, and Legal functions
- School clothing grants
- Education Maintenance Allowances
- Home to school pupil transport
- Premature retirement costs
- Local Authority Information Management Systems (currently SEEMIS)
- School meals

b. Areas which consultation highlighted as having a variety of approaches, and requiring local determination:
- Waste Collection
- Energy costs
- Carbon charges
- Janitorial and Cleaning staff costs
- Central support services for example Educational Psychology, Quality Improvement Teams, Learning Support and Behavioural Support Teams, Speech and Language Teams, hearing and visually impaired support, dyslexia or significant and enhanced provision for additional support. Each authority will have their own specialist teams which will differ.
- Examination fees
- Long Term Sickness Absence
- Family Leave Costs
- Visiting Teachers
- Music Instructors
- Parent Council expenditure

4. KEY AREAS TO BE COVERED BY SCHEMES

This section covers the 9 key areas covered in Appendix A (i.e. what is Expected and Recommended within schemes).

4. GENERAL INFORMATION ON DEVOLVED SCHOOL MANAGEMENT

4.1 Financial Regulations

Please provide information on how your own Local Authority scheme adheres to financial regulations, delivers best value and ensures the efficient, fair and equitable distribution of resources.

4.2 Best Value Principles

This section can be used to set out the best value principles and Local Authority procurement arrangements headteachers use to deploy the school's budget, and if appropriate, the support and guidance provided from their Local Authority.

4.3 Local Authority Commitment to Devolved School Management

Please use this section to set out your Local Authority's devolution commitment, to empower school leaders to make appropriate, and informed decisions to best meet their local need in line with Local Authority policies, guidance and frameworks.

You may wish to refer back to Section 3 to include areas of resources that are not devolved to schools.

4.4 School Expenditure Within Wider Strategic Planning

This section can be used to set out how headteachers ensure school expenditure is in line with the School Improvement Plan, supporting the relevant Local Authority strategic plans, priorities and the National Improvement Framework.

4.5 Scottish Negotiating Committee for Teachers and Local Negotiating Committees for Teachers Agreements

Please set out how your Local Authorities and headteachers will adhere to SNCT and LNCT agreements and guidance.

PUBLICATION

4.6 Publication Availability

It would be useful to set out here where this resource has been published. Local Authorities are expected to publish the DSM scheme on the external facing website,

and it is recommended that School websites are also utilised and a plain language leaflet/summary is created for stakeholders.

As a reminder, it is expected that published schemes should include the criteria and methodology used to create formulae-based allocations, staffing models and other resource allocations as appropriate. If formulae have been applied, they should be included within the scheme.

TRAINING

4.7 Available Training

Please set out available DSM training opportunities for key staff groups including headteachers, business managers and associated posts. For information, it is recommended that these training opportunities are also made available to depute headteachers, aspiring leaders, elected members and any other appropriate staff who utilise or influence DSM decisions. It is also expected that this training should be available on a frequent and recurring basis, and it is recommended that School leaders have access to local and/or national leadership programmes and training, which ensures an approach to DSM that encourages confident decision-making to promote better outcomes for learners.

Please also set out what will be included in this training. For example, where school or establishment staff have a delegated budget responsibility, they should be aware of the aims and principles associated with DSM, best value and adhere to financial regulations and Local Authority policies for the funds they are responsible for. It is recommended that training should also be available for new and experienced staff members.

CONSULTATION, ENGAGEMENT AND TRANSPARENCY

4.8 Consultation and Engagement

Please use this section to set out the consultation and engagement you have carried out at all levels to inform appropriate resource decisions including: budget, staffing models and savings. This includes consultation on criteria used when determining how a formula is devised or applied and other methodology of distributing resources (if not included elsewhere in your DSM). It would be useful to include all appropriate mechanisms or forums you have created, or that are existing, to aid this process.

Please include reference to consultation and engagement between headteachers and staff groups to inform appropriate resource decisions, and if appropriate, include mechanisms or forums for regular engagement and consultation with staff, parents and wider stakeholders.

For information, it is expected that headteachers should consult with staff, parent councils, pupils and the wider community on appropriate matters, these may include school staffing models, DSM decisions, allocation of departmental or class resources and include formulae or criteria used within the school.

Alongside this it is recommended that headteachers should form appropriate mechanisms or forums for regular engagement and consultation with staff, parents and wider stakeholders as appropriate. Please include this wider information if appropriate.

Lastly, please include information where headteachers share and discuss local school decisions, budget and resource allocations with staff groups and wider stakeholders as appropriate. It is recommended that at school level this includes methodology and distribution of budgets and resources.

4.9 Transparency

Please set out how your Local Authority will make information available to all stakeholders in relation to the Local Authority budget, education budget and delegated budgets to schools, including identifying areas of expenditure that are not devolved to headteachers.

It would be useful to include any potential financial assistance, discounts or exemptions available, for example in relation to pupils in receipt of free school meals, should be included within this information.

Headteachers are to ensure that any costs related to the curriculum are minimised to ensure equality of access. It is recommended that where charges exist for pupils, including both curriculum or extra-curricular activities (class materials, school trips, school uniform, etc) they should be clearly detailed in school information published at the start of the academic session.

For information it is expected that DSM schemes, and information published for stakeholders is accessible and is in plain language.

COLLABORATION

4.10 Local Priorities

Please list your local priorities e.g. from your Corporate Plan, Children's Services Plan, Local Outcome Improvement Plan, that will be taken into account as part of your DSM to set out your commitment to partnership working between schools and other agencies and stakeholders.

Please also include due regard to Getting it Right for Every Child (GIRFEC) and the role of your Local Authority as a corporate parent. If you have considered empowerment on an area or school cluster basis, enabling headteachers to influence decisions across geographic areas or school clusters, it would be useful to include this.

For information, it is expected that headteachers are collaborative and collegiate in their approach, challenging themselves and stakeholders to be solution focused embracing joint working with the learning community, parents, children and young people, teachers and support staff, partners, other schools and the Local Authority. It

is recommended that headteachers work together to share and maximise resources to influence outcomes across geographical areas or school clusters.

STAFFING

4.11 Staffing Structures

Please set out how headteachers have been involved in designing a staffing structure to suit the school's context within their delegated budget and in accordance with SNCT and LNCT agreements and guidelines. It is recommended that Local Authorities consider how they approach the devolution of staffing, and should include discussing with headteachers the complexities and risks associated with staffing allocations.

4.12 Legislative and Contractual Requirements

You may wish to include how legislative and contractual requirements are met and local circumstances and need are taken into account.

4.13 Staff Resource

It is expected that headteachers should play an active role in designing and reviewing recruitment and staffing approaches, both for their own school/s and for the Local Authority. For information, on all staffing matters, headteachers must adhere to the appropriate legislation and Local Authority, SNCT and LNCT agreements and guidelines. Headteachers should also be consulted on the allocation of support staff to schools.

PROFESSIONAL SUPPORT

4.14 Professional Support teams, functions and transparency

Please set out the professional support team information that headteachers in all schools have access to and their functions. There should be transparency in any formulae or methodology used when allocating professional support to schools.

ACCOUNTING

4.15 Budget underspend / overspend

Please set out your agreed and published Local Authority Policy and Criteria in respect to the provision to carry forward budget underspend or overspend. It is recommended that intended use of carry forward of budget underspends are identified in School Improvement Plans or school budget spending plans.

If possible, please include the procedures for managing carry forward of overspends and the consideration given towards enabling schools to deposit funds to save budget for planned and agreed future spend.

4.16 Virement

Please set out the provision available to headteachers to vire budget between budget headings in line with agreed and published Local Authority policy and criteria.

SCHEME REVIEW

4.17 Review, methodology and Stakeholders

Please set out your methodology for reviewing your scheme. For information it is expected that this is undertaken every three years with stakeholders and a peer Local Authority that you have determined appropriate e.g. a neighbouring Local Authority, one with similar characteristics, or one who may be part of the same Regional Improvement Collaborative.

Stakeholders may include headteachers, business managers, all staff groups, trade unions, parents, pupils and corporate teams such as finance, human resources and procurement as examples. Local Authorities are recommended, as part of ongoing self-evaluation, to update DSM schemes if changes are made e.g. to Local Authority budget or budget setting, which have a consequential impact on a scheme.

APPENDICES

You may wish to include your own appendices, for example: budget statements and pupil rolls, expenditure records, staffing budgets, ad-hoc adjustments, policy on virement and carry forward, schemes of delegation and financial regulations; Key dates; Roles and responsibilities (authority, directorate, managers, headteachers) etc.

Appendix A: Expected and Recommended Summary

These guidelines recognise that in relation to DSM the functions and roles undertaken within an empowered school system are not restricted to headteachers. Although the role of headteacher is identified throughout, shared and distributed leadership means that other staff members or groups may undertake an area or aspect of DSM. The guidelines support distributed leadership, collaboration and consultation whilst recognising that the accountability and responsibility will reside with the headteacher as the leader of their school, supported by the Local Authority.

In some cases the guidelines note statutory requirements on Local Authorities. For the avoidance of doubt, nothing in these guidelines detracts from those statutory requirements, which all Local Authorities must comply with.

General	
Expected	**Recommended**
Local Authorities schemes adhere to financial regulations, deliver best value and ensure the efficient, fair and equitable distribution of resources.	
Headteachers deploy the school's budget in accordance with best value principles and Local Authority procurement arrangements, with appropriate support and guidance from their Local Authority.	
Local Authorities should ensure that devolution is meaningful and empowers school leaders to make appropriate, and informed decisions to best meet their local need in line with legislation and Local Authority policies, guidance and frameworks.	Local Authorities scheme clearly define areas of resources that are not devolved to schools.
Headteachers are expected to ensure school expenditure is in line with the School Improvement Plan supporting the relevant Local Authority strategic plans, priorities and the National Improvement Framework.	
Local Authorities and headteachers must adhere to legislative requirements, SNCT and LNCT agreements and guidance.	

Format and Publication	
Expected	**Recommended**
	Local Authorities are strongly encouraged to utilise the format of the DSM Framework for their scheme. This is available from https://www.gov.scot/policies/schools/devolved-school-management/.
Local Authorities are expected to publish the DSM scheme on the external facing website.	Where a school has a website, it is recommended that it should include a web link to the Local Authority published scheme.
	Local Authorities should consider publishing a summary of the authority's scheme, providing stakeholders summary information in an accessible way, using plain language.
Published schemes should include the criteria and methodology used to create formulae-based allocations, staffing models and other resource allocations as appropriate. If formulae have been applied, the formulae should be included within the scheme.	

Training	
Expected	**Recommended**
Local Authorities should provide specific DSM training to key staff groups including headteachers and Business Managers or associated posts.	It is recommended that training opportunities are made available to depute headteachers, aspiring leaders, elected members, and any other appropriate staff who utilise or influence DSM decisions.
Where school or establishment staff have a delegated budget responsibility they should be aware of the aims and principles associated with DSM, best value and adhere to financial regulations and Local Authority policies for the funds they are responsible for.	Training should be available for new and experienced staff members.
Training should be available on a frequent and recurring basis.	School leaders have access to local and/or national leadership programmes and training which ensures an approach to DSM that encourages confident decision-making to promote better outcomes for learners.

Consultation, Engagement and Transparency

Expected	Recommended
Consultation and engagement at all levels between Local Authorities, headteachers and stakeholders should take place to inform appropriate resource decisions, including: budget, staffing models and savings. This includes consultation on criteria used when determining how a formula is devised or applied and other methodology of distributing resources.	
Local Authorities should form appropriate mechanisms or forums for regular engagement and consultation with headteachers and wider stakeholders as appropriate.	
Consultation and engagement between headteachers and staff groups should take place to inform appropriate resource decisions, including: budget, staffing models, department budget allocations and savings.	Headteachers should form appropriate mechanisms or forums for regular engagement and consultation with staff, parents and wider stakeholders as appropriate.
Headteachers should consult with staff, parent councils, pupils and the wider community on appropriate matters, these may include school staffing models, DSM decisions, allocation of departmental or class resources and include formulae or criteria used within the school.	
Headteachers share and discuss local school decisions, budget and resource allocations with staff groups and wider stakeholders as appropriate.	It is recommended that at school level this includes methodology and distribution of budgets and resources.
Local Authorities make information available to all stakeholders in relation to the Local Authority budget, education budget and delegated budgets to schools, including identifying areas of expenditure that are not devolved to headteachers.	
It is expected that DSM schemes, and information published for stakeholders is accessible and is in plain language.	

Headteachers are to ensure that any costs related to the curriculum are minimised to ensure equality of access.	Where charges exist for pupils, including both curriculum or extra-curricular activities (class materials, school trips, school uniform, etc.) they should be clearly detailed in school information published at the start of the academic session.
	Any potential financial assistance, discounts or exemptions available, for example in relation to pupils in receipt of free school meals, should be included within this information.

Collaboration

Expected	Recommended
DSM schemes should be informed by local priorities to enable it to contribute towards shared agendas and improved outcomes, it should enable stronger partnership working between schools and other agencies and stakeholders.	
Local Authority decisions about education spending are made in a collegiate and transparent way paying due regard to Getting it Right for Every Child (GIRFEC) and the role of Local Authorities as Corporate Parents.	It is recommended that Local Authorities consider empowerment on an area or school cluster basis, enabling headteachers to influence decisions across geographical areas or school clusters.
Headteacher are expected to be collaborative and collegiate in their approach, challenging themselves and stakeholders to be solution focused embracing joint working with the learning community, parents, children and young people, teachers and support staff, partners, other schools and the Local Authority.	It is recommended that headteachers work together to share and maximise resources to influence outcomes across geographical areas or school clusters.

Staffing

Expected	Recommended
Local Authorities should empower headteachers to design a staffing structure to suit the school's context within their delegated budget and in accordance with SNCT and LNCT agreements and guidelines.	Local Authorities consider their approach when devolving staffing, this includes discussing with Headteachers the complexities and risks associated with staffing allocations.

Schemes should seek to devolve the appropriate resources to schools, whilst ensuring that legislative and contractual requirements are met and local circumstances and need taken into account.	
The Local Authority, with headteachers will seek to deliver the most appropriate and efficient use of staff resource ensuring equity, transparency and clarity whilst promoting and supporting collaboration and collegiate working.	
Headteachers should play an active role in designing and reviewing recruitment and staffing approaches, both for their own school/s and for the Local Authority.	
For all staffing matters, headteachers must adhere to the appropriate legislation and Local Authority, SNCT and LNCT agreements and guidelines.	
Headteachers should be consulted on the allocation of support staff to schools.	

Professional Support

Expected	Recommended
Headteachers in all schools should have access to professional support teams and functions.	
There should be transparency in the formulae or methodology in allocating professional support to schools.	

Accounting

Expected	Recommended
Headteachers should have the provision to carry forward budget underspend or overspend in line with agreed and published Local Authority policy and criteria.	Intended use of carry forward of budget underspends are identified in School Improvement Plans or school budget spending plans.
	Procedures for managing carry forward of overspends are included within the scheme.

	Consideration is given towards enabling schools to deposit funds to save budget for planned and agreed future spend.
Headteachers should have the provision to vire budget between budget headings in line with agreed and published Local Authority policy and criteria.	

Scheme Review	
Expected	**Recommended**
Local Authorities undertake a three-year review with stakeholders and a peer Local Authority as they determine appropriate.	Stakeholders may include headteachers, business managers, all staff groups, trade unions, parents, pupils and corporate partners such as finance, human resources and procurement as examples.
	Local Authorities are recommended, as part of ongoing self-evaluation, to update DSM schemes if changes are made which have a consequential impact on a scheme.
	Headteachers are recommended to apply national standards and to undertake self-evaluation drawing upon the most appropriate, and current tools, at date of publication these include, but are not limited to: Education Scotland - HGIOS4 QI 1.5 Management of Resources GTC Scotland - The Standards for Leadership and Management: supporting leadership and management development Scottish Government and COSLA – Education Reform Joint Agreement and Headteachers' Charter

APPENDIX B

RECOMMENDED INFORMATION TO INCLUDE IN A PLAIN LANGUAGE SUMMARY/LEAFLET

Please find below a list of recommended information to include in a plain language leaflet, or information sheet:

- A breakdown of your Local Authority budget and an indication of the Education allocation within this;
- Further to this headline information, a breakdown of this Education allocation;
- A link to where your DSM scheme can be found publicly, be this from your website or hard copies if applicable;
- A short overview of what the Local Authority and Headteachers are responsible for, to demonstrate there are devolved areas;
- Contact details or information on how parents, or stakeholders can comment or find additional information at a Local Authority level;
- A headline summary of key points in the DSM;
- Narrative on staffing, pupil levels, or geographic context if applicable.