

**REPORT TO: EDUCATION COMMITTEE – 15<sup>TH</sup> MARCH 2004**

**REPORT ON: DEVOLVED SCHOOL MANAGEMENT (DSM) SCHEME REVIEW**

**REPORT BY: DIRECTOR OF EDUCATION**

**REPORT NO: 249-2004**

**1.0 PURPOSE OF REPORT**

**1.1** This report advises the Committee on the review of the Council's DSM Scheme and seeks approval to implement and evaluate certain extensions to the Scheme in financial year 2004/2005.

**2.0 RECOMMENDATIONS**

**2.1** It is recommended that the Committee:

- i. note the outcome of the DSM Scheme review and consultation;
- ii. approve the following specific extensions to the Scheme for implementation and evaluation during financial year 2004/2005;
  - a) inclusion of nursery schools (nursery classes have always been included);
  - b) increase in devolved teacher short-term supply cover to schools from two to four weeks; and
  - c) devolving Scottish Qualification Authority (SQA) exam fees to secondary schools.
- iii. instruct the Director of Education to report back on the evaluation of the above specific extensions to the Scheme in March 2005 with a recommendation on their future position; and
- iv. instruct the Director of Education to arrange appropriate training for school staff on the implementation of the extension to the Scheme.

**3.0 FINANCIAL IMPLICATIONS**

**3.1** There are no financial implications arising directly from this report.

**4.0 LOCAL AGENDA 21 IMPLICATIONS**

**4.1** There are no local agenda 21 implications arising directly from this report.

**5.0 EQUAL OPPORTUNITIES IMPLICATIONS**

**5.1** There are no equal opportunity implications arising directly from this report.

**6.0 BACKGROUND**

- 6.1** The DSM Scheme currently operated by the Council was first implemented by Tayside Regional Council in 1994 and was adopted by the City Council at re-organisation in April 1996.
- 6.2** While the Scheme has not been subject of formal review since 1996 updated guidance has been issued on DSM procedures related to staffing, property and financial administration which reflect changes in Council policy in these areas and these are incorporated in the revised draft Scheme.
- 6.3** A commitment to review the Scheme was included in the Department's Development Plan 2002-2005. A short-life working group was established last academic year, involving Head Teachers from the nursery, primary and secondary sectors and representatives from the department's resources management section to produce a reviewed Scheme for consultation.
- 6.4** A draft revised Scheme was agreed by this group in November 2003 and circulated to all educational establishments, the department's senior management team and teacher and support staff unions for consideration and comment. Feedback from this consultation was considered by the working group in January 2004 and comments were taken on board in the final draft Scheme attached as an appendix to this report for consideration by Committee.

## **7.0 CONCLUSION**

- 7.1** From the deliberations of the working group and feedback from consultation it was agreed that in the main the Council's DSM Scheme was providing an appropriate level of delegation and flexibility to meet the policy aims set for the Scheme by the Council. However, there was an indication that there was an opportunity to seek some modest expansion of the Scheme in three areas of provision.
- 7.2** When the Scheme was established in 1994 by Tayside Regional Council nursery schools were not included but nursery classes in primary schools were. For some time nursery schools have sought participation and this was reflected in the HMI report on the Authority. It is therefore, recommended that from financial year 2004/2005 nursery schools should be included in the Scheme.
- 7.3** The definition of teacher short-term supply cover as two weeks is unnecessarily restrictive and results in avoidable administrative work attached to classifying expenditure. Increasing the definition to four weeks will give schools increased budget flexibility and reduce administrative workload for staff.
- 7.4** Devolving Scottish Qualification Authority (SQA) exam fees to schools will improve management and accountability over a significant area of secondary school expenditure. However, the terms of devolving this expenditure ensure that no pupil will be restricted from being presented for examinations for financial reasons.

## **8.0 CONSULTATION**

**8.1** This report has been subject to consultation with the Chief Executive, Depute Chief Executive (Support Services), Depute Chief Executive (Finance), Assistant Chief Executive (Management), Head Teachers and teacher and support staff trade unions.

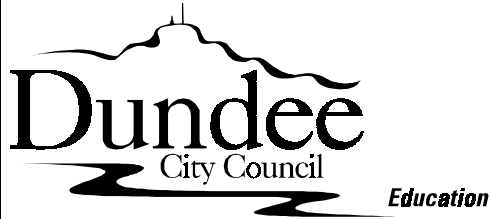
**9.0 BACKGROUND PAPERS**

No background papers, as defined by Section 50D of the Local Government (Scotland) Act 1973 (other than any containing confidential or exempt information), were relied on to any material extent in preparing the above Report.

ANNE WILSON  
Director of Education

Date 1<sup>st</sup> March 2004

AHW/DD



# **DEVOLVED SCHOOL MANAGEMENT SCHEME**

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## **1 Introduction**

The Devolved School Management (DSM) Scheme, first implemented by Tayside Regional Council in 1994, was adopted by Dundee City Council at re-organisation in April 1996.

A fundamental principle of the scheme is that it will be subject to continuing evaluation and review to ensure that with changing circumstances the general principles and aims underpinning the scheme continue to be met.

This revised scheme has been produced following full consultation with stakeholders and takes account of the review of DSM undertaken by the short-life working group set up by the Scottish Executive Education Department which made a number of recommendations to be implemented during the period 2002 to 2006.

The scheme is supported by detailed DSM procedures related to staffing, property and budget virement.

## **2. General Principles and Aims of Dundee City Council Scheme**

The overall aim of this scheme is to improve the teaching and learning process in Dundee schools and nurseries.

The scheme aims to achieve this by providing appropriate delegated powers to schools to enable them to take decisions on certain matters quickly and on their own responsibility while remaining accountable to the Authority. It also provides a framework for giving schools a greater degree of control over the application of their budgets to improving the teaching and learning process.

The main aims of the scheme are:-

- To improve teaching and learning processes
- To develop partnership
- To enable schools to take significant decisions in major areas of their budget assisted by strong central support and without losing benefits of economies of scale
- To allow schools greater flexibility in deciding priorities
- To allow schools to respond more quickly to changing needs and priorities
- To complement the educational role of Head Teacher
- To encourage staff involvement leading to benefits of ownership and increased financial awareness
- To provide more efficient use of educational resources and better value for money
- To provide greater accountability
- To provide consistency and quality rather than uniformity of service

The successful implementation of the scheme depends on the involvement and participation of all teaching and support staff. All schools therefore are required to set up a Committee for consulting their staff. Guidelines on the Consultative Committee within the school have been produced by the Authority and are attached in Appendix 1.

### **3. Expenditure: How it will be Managed in Dundee City Council**

#### **3.1 Education Department Revenue Budget**

The approved Dundee City Council Education Department Revenue Budget is set and approved each year by the full Council. The Director of Education is responsible and accountable for this budget.

The Dundee City Council Education Department Revenue Management Budget consists of School Based and Non-School Based sectors. The following is a breakdown of the sectors:-

- Nursery Schools
- Primary Schools
- Secondary Schools
- Special Schools
- Education other than School (Off-site provision)
- Continuing Education
- Education Management and Support Services  
(Department Administration, Contract Monitoring, Dryburgh Resource Centre, Houses, Educational Development Service, Educational Psychology Service, Home School Support Service, Clothing, Other Organisations and School Crossing Patrols)

The total Education Budget is allocated between the following:

- 1) Non School Based Budget ie. those items of expenditure falling outwith the scope of the scheme, and parts of the service which are not related to statutory school provision.
- 2) School Based Budget which includes the following items of expenditure:
  - Areas of expenditure devolved to Head Teachers
  - Areas of expenditure controlled centrally

#### **3.2 Non School Based Revenue Budget**

The Scottish Executive Education Department (formerly the Scottish Office) guidelines (section 8) indicate that certain areas of expenditure are exempt and as such are not devolved to school level. The following areas of expenditure fall outwith the scope of the scheme:

- School Meals
- Milk within Nursery Classes
- Education Maintenance Allowances
- Clothing Grants
- Expenditure Supported by Central Government Specific Grants
- Home School Transport
- Premature retirement and severance costs
- Psychological and learning support services
- Support for the integration of individual pupils with special educational needs and support for children with records of needs provided by other services (eg. Health Boards)



The following are those items of expenditure, which are not related to statutory school provision:

- Education Maintenance Allowances
- Central Department Administration Non School Expenditure

### **3.3 School Based Revenue Budget**

The Authority's Education Budget that remains after the Non School Based Budget is deducted is the schools' education budget. The SEED Guidelines indicate that at least 80% of the total school education budget is devolved to Head Teachers. The terms of the Dundee City Council scheme ensures that this target is exceeded.

The following is a breakdown of the School Based Revenue Budget allocated between the expenditure headings.

#### *1) Areas of expenditure devolved to Head Teachers*

##### **Staff Costs**

- Dundee City Council Staffing Standard in Nursery, Primary and Secondary Schools
- Foreign Language Assistants in Secondary Schools
- Absence Cover for Teaching staff up to twenty working days
- School Based Administration and Clerical staff including Nursery Nurses, Librarians, Technicians, Auxiliaries, Classroom Assistants and facilities staff

##### **Premises**

- Rates
- Repairs and Maintenance of Buildings
- Furnishings and Improvements
- Energy Costs
- Cleaning Contract

##### **Supplies and Services**

- Per Capita Allowances
- Outwith Per Capita
- Postage and Telephones

##### **Third Party Payments**

- Scottish Qualification Authority Examination Fees

##### **Transport Costs**

- Maintenance of school Minibuses

##### **Income**

- Per Capita Income
- Telephone Income

## 2) Areas of expenditure managed centrally

Areas of expenditure in the Scheme to be controlled centrally relate specifically to the strategic role of the Authority in service delivery and quality assurance and include the following:

### **Staff Costs**

- Staff above Dundee City Council Staffing Standard
- Bilingual Support Staff
- Visiting Specialist Teachers including music instructors and tuition fees
- Special Education staff (this includes classroom assistants (SEN))
- Support for learning teaching staff in Primary Schools
- Staff in excess of complement
- Long term absence cover for teaching staff (in excess of twenty days)
- Staff travel expenses
- Staff Advertising Expenses
- Staff Removal Expenses

### **Premises**

- Insurance Costs
- Vandalism Replacement
- Major Building Improvement and Repair Maintenance
- Water and Sewage
- Ground Maintenance
- Janitorial

### **Supplies and Services**

- Resources for Central Curriculum Initiatives
- Contract Catering
- Insurance

### **Transport**

- Transport to Sporting Facilities

### **Income**

- Lets of Schools (In accordance with School Boards (Scotland) Act 1988)

## 4. Responsibilities

The Education (Scotland) Act 1980 lays the duty on the Education Authority “to secure that there is made for the area adequate and efficient provision of school education”.

In the scheme of devolved school management, it is therefore very important that there be a clear definition of the functional responsibilities of:

- The Education Authority
- The Director of Education
- The Head Teacher
- The School Board

These functional responsibilities, whilst encompassing the principles and aims of the Dundee City Council scheme for Devolved School Management, are set in the context of existing legislation.

#### **4.1 The Education Authority**

The main roles of the Education Authority are seen as strategic planning, enabling and quality assurance. It is essential that the education service as a whole functions efficiently, consistently and at a high level, and that schools and other individual parts of the service are supported in carrying out their responsibilities.

The Education Department Development Plan is intended to provide a framework within which the delivery of a high quality Education service can be planned in a systematic and methodical manner which responds to the needs of schools, learners and the wider community.

The Education Development Plan, which is an integral part of the system of performance review agreed by Dundee City Council identifies the main issues to be taken forward by the service. Its purpose is to help anticipate and guide change. It is about providing a framework within which medium-term planning can take place.

Schools and support services also produce their own development plans, and are involved in staff development and review. It is clearly of importance that the Education Development Plan informs such development plans and vice versa.

The roles and responsibilities of the Education Authority are largely determined and shaped by statute and legislation. In addition to the work of the Director of Education and the Education Department, the service is supported to a large extent by other departmental of Dundee City Council, some of which have their statutory responsibilities.

#### **4.2 The Director of Education**

It is the responsibility of the Director of Education to manage the Education Service within the context of the Local Authority. The principal responsibilities and accountabilities of the post relate to the following:

- development of strategic planning to meet changing demands
- development of draft policy papers and advice to the Education Committee
- ensuring that appropriate quality improvement mechanisms exist throughout the service
- reviewing staff and financial performance
- acting as team leader of all staff within the Education Service

Head Teachers are directly responsible to the Director of Education and the effective co-operation of Head Teacher and the Director of Education is one of the most essential partnerships in the successful delivery of the Education Service.

#### **4.3 The Head Teacher**

The role of the Head Teacher as defined in national Conditions of Service is, within the resources available, to conduct the affairs of the school to the benefit of the pupils and the community it serves, through pursuing objectives and implementing policies set by the Education Authority under the overall direction of the Director of Education. National Conditions of Service list specific duties for which the Head Teacher is responsible. The role of the Head Teacher is also affected by the Education (Scotland) Act 1996 and the Education (Scotland) Act 2000. The role of the Head Teacher as principal adviser to the School Board is most relevant to the scheme for Devolved School Management and crucial to its success.

The SEED guidelines recommend the devolving to Head Teachers' responsibility for the control of at least 80% of the Authority's School Education Budget as referred to in the Guidelines. The terms of the Dundee City Council scheme ensures that this target is exceeded.

#### **4.4 The School Board**

The Dundee City Council Devolved School Management scheme gives responsibility for the management of a range of functions to the Head Teacher, with a requirement to consult the School Board.

When consulted, the School Board should respond to the Head Teacher within what they and the Head Teacher agree is a reasonable timescale for the issue concerned.

If the School Board and the Head Teacher disagree with regard to any matter on which consultation takes place in terms of the Devolved School Management scheme, the decision will normally lie with the Head Teacher but the Board may refer the matter to the Director of Education for resolution.

Where there is no School Board the Head Teacher should consult parents through eg. Parents' Association or the PTA.

#### **5. Devolved School Budget**

All schools shall be given a devolved school budget covering the areas of expenditure detailed above as recommended for devolution to Head Teachers.

##### **5.1 Determination of Devolved School Budget**

The Authority shall each year, after consultation with the Head Teacher, determine the school's devolved budget for the forthcoming financial year.

The Authority will notify the Head Teacher of the budget for the forthcoming financial year no later than 14 April.

##### **5.2 Variation of Budget**

The Authority may, if it appears to them during any financial year appropriate to do so, increase or reduce the school's budget, eg to take account of a variation in the school roll in August.

### **5.3 Monitoring and Controlling of Revenue Budget**

The Head Teacher will be responsible for managing, monitoring and controlling the devolved school budget (with the exception of any items delegated to the School Board under Section 15 of the School Board (Scotland) Act 1988, as amended by the School Board (Scotland) Act 1996).

### **5.4 Capital Expenditure**

Capital expenditure met from borrowing will not be devolved to schools.

### **5.5 Virement**

Provided all relevant legal requirements and all conditions of this Scheme are complied with, the Head Teacher shall have the power to exercise virement across all expenditure and income headings within the devolved school budget.

Prior to proceeding with any virement the Head Teacher shall:

- a) specifically identify and record:
  - the proposed new expenditure
  - the expenditure which will not now take place
  - whether the virement will be recurring or non-recurring (ie whether it will affect the budget for future years)
- b) ensure that the school is not committing the Authority to additional expenditure in future years.
- c) Consult formally with the full staff on proposals for significant virements of funds. A virement is significant if it involves £1,000 or 10% or more of the individual budget head that resources are being vired from whichever is greatest.
- d) Complete a virement form with the relevant details. It should be authorised by the Head Teacher and a copy forward to the Finance Section Education Department for agreement and adjustment to the Devolved Budget.

### **5.6 Carry Forward**

- a) Where there is an underspend of the school's devolved budget for any financial year, such underspend, to the extent that it does not exceed 10% of the budget, may be carried forward to the next financial year.

The Head Teacher must notify the Authority of the best available estimate of any such underspend no later than six weeks prior to the end of the financial year.

- b) Planned overspends in the school's devolved budget must be approved in writing by the Director of Education. Any unapproved overspend will be deducted from the school's budget for the following financial year. Eg energy. Where such an overspend is material, an explanation will be required.

## **5.7 Financial Records**

Each school should maintain appropriate records, process payments and issue receipts in accordance with procedures issued by the Director of Education and the Director Finance.

## **6. Teacher Staffing**

### **6.1 Local and National Agreements**

In addition to complying with the minimum staffing standards for nursery, primary and secondary schools referred to below, schools must continue to comply with national agreements and conditions of service for teaching staff, and with the policies of and agreement made by Dundee City Council. Agreements regarding teachers' Conditions of Service and other matters within their competency will be made by the Scottish negotiating Committee for Teachers (SNCT) for National matters and the Local Negotiating Committee for Teachers Devolved matters as defined in SNCT Circular SNCT/8.

### **6.2 Basis of Devolution**

#### **Staffing Allocation**

The number of teaching staff allocated to nursery, primary, secondary and special schools is determined by reference to the teacher staffing standards approved by the City Council.

#### **Minimum Staffing Standards**

The Nursery, Primary, Secondary and Special Staffing Standards represent minimum standard complements. Head Teachers will not be allowed to vire money in a way which would result in them staffing their school under these levels.

However, in exceptional circumstances, a school may opt to delay the filling of a vacancy. This would only be acceptable if the Head Teacher has consulted appropriately about the proposal through the consultative school mechanism. It should be seen as only appropriate in unusual circumstances and for a short period of no more than approximately one month.

Some schools are allocated additional staff on an annual basis by the Authority for specific purposes, eg annexes, social deprivation, teachers involved in trade union or public activities. These additional staff will be budgeted for centrally and will not be included in individual schools' devolved budgets.

#### **Excess Staff**

Where schools have unplanned excess staff, for instance because it has not proved possible to transfer excess staff or where the actual roll of the school is less than the original projected roll, these staff will be transferred to the Authority's central budget and will not be included in the school's devolved budget.

### **Learning Support and Visiting Teachers in Primary Schools**

In primary schools, learning support teachers and visiting teachers in the expressive arts will not be included in the school's devolved budgets.

### **Contingencies**

Provision is also made in the Authority's central budget for various contingencies. These include the provision of long-term supply cover (that is after a period of four weeks), cover for teachers on maternity leave, secondments etc.

Supply cover staffing will continue to be provided in accordance with the Agreement on Absence Cover. The agreement states the appropriate day that supply cover is required in order to cover periods of absences. In certain circumstances a safety net will be available to ensure that schools do not have to provide money from parts of their budget if their short-term supply allocation is exhausted.

The safety net will operate if a school has adhered to the guidelines and an overspend of their short-term supply allocation occurs. In these circumstances the Authority will fund the overspend centrally. If a school has not complied with the guidelines and an overspend has occurred the authority will only fund the overspend that would have occurred had the guidelines been followed.

### **Calculation of Staffing Budgets**

Actual salaries will be used in costing the school's devolved teaching staff budget. Expenditure will be charged to schools on the same basis.

The Authority remains the employer of all teaching staff and will be the body entering into a contractual relationship with teaching staff.

## **6.3 Appointment Procedures**

The following arrangements will apply for each category of post.

### **Head Teacher and Depute Head Teacher**

Appointments for these posts will continue to be carried out in accordance with the School Board (Scotland) Act 1988 as amended by the School Board (Scotland) Act 1996, by Appointments and the School Boards. In the case of Depute Head Teacher the Head Teacher shall be chairperson of the Appointment Committee.

### **Principal Teacher**

Arrangements for making appointments to these posts will be in accordance with the position prescribed by the Department.

## **Unpromoted Teachers**

For all permanent posts the following procedures will apply:

1. Where a vacancy becomes available, the Head Teacher will contact the Education Resources Manager to ascertain whether the post is to be filled by the redeployment of excess permanent or temporary staff meeting the terms of para 8.5 of the Teachers Scheme of Salaries and Conditions of Service for Teaching Staff in School Education from another school.
2. Where it is confirmed that a new appointment may be made, the post will be advertised in accord with the department's recruitment and selection procedures.
3. The Head Teacher is responsible, in accord with the department's recruitment and selection procedures for arranging the short listing, interviewing of applicants and for the selection of the successful candidate.
4. The Head Teacher will notify the Education Department of the recommendation for the appointment and the Education Department will be responsible for sending out the contract of employment and arranging a starting date.

## **Temporary Staff**

Similar arrangements will operate with regard to temporary staff within the school's establishment. If Head Teachers wish to vire expenditure in order to appoint additional staff, such additional staff will require to be appointed on temporary contracts and Head Teachers will have to notify the Director of Education in writing of their intention to seek any such appointment.

## **Supply Staff**

The devolved school budget includes an allowance proportional to the school's target complement for short-term supply cover. Alternatively Head Teachers can also make their own selection of supply teachers from the list of names available and notify the Education Department. The Education Department will continue to contact supply teachers for schools if requested by the school.

## **6.4 Promoted Post Structure**

Schools will operate in accordance with the Authority's current policy.

Head Teachers may wish to make some adjustment to their entitlement and they should do this in consultation with the Education Resources Manager. Where an additional promoted post is being created by money obtained from virement, the post can only be advertised on a temporary short-term basis.



## **7 Support Staffing**

### **7.1 Local and National Agreements**

In addition to complying with any minimum staffing standards schools must continue to comply with national agreements and conditions of service for Local Government Employees and with the policies of and agreements made by Dundee City Council.

#### **Basis of Devolution**

Support staff – the budget for the following categories of staff is on the basis of the actual approved complement:-

Primary Clerical, Auxiliary and Classroom Assistant Support  
Nursery Nurses  
Supervisory Assistant  
Secondary School Administrative, Clerical and Auxiliary Support  
Secondary school Technician Support Staff  
Secondary Librarians and Librarian Assistants

#### **Minimum Standards**

Dundee City Council have adopted the minimum standards for various categories of support staff in schools applied during Tayside Regional Council. These categories include, for primary schools, clerical and auxiliary support staff and for secondary schools clerical and administration support staff and technical staff in secondary schools. Classroom assistants provided for individual pupils with special educational needs are not included in the schools devolved budget. Appendix 3 details these minimum standards.

Playground supervision is provided in primary schools of over 50 pupils. This is a legal requirement and Head Teachers should not vary present arrangements without consulting their Head of Service.

### **7.2 Appointment Procedures**

With regard to appointment of support staff, the Head Teacher is responsible for selecting candidates in consultation with the Education department and the Personnel Department.

The Authority appoints staff and is their employer. The Authority is responsible for the grading level of staff and any request for regrading, on a temporary or permanent basis, of a member of support staff should be referred in the first instance to the Education Department.

Schools may make temporary appointments above their normal staffing levels, provided there is adequate resources available. This could, for example, include the appointment of additional instrumental instructors.

### **7.3 Calculation of Staffing Budgets**

All non-teaching staffing will be budgeted and charged on an actual salary

basis.

## **8. Staff Training**

Schools will receive an allocation for supply staff, course fees and travel and subsistence, as appropriate, in respect of staff development.

## **9. Property Costs**

### **9.1 General Principles**

The approach to Devolved School Management adopted by Dundee City Council is based on a partnership intended to secure effective operation of the scheme. This partnership involves Head Teacher and the Education Department.

The scheme is designed to meet both the recommendations of the Scottish Executive Education Department guidelines and the objectives of ensuring that the properties included in the scheme are maintained to a standard commensurate with the operational needs of individual Head Teachers and the responsibilities of Dundee City Council.

### **9.2 Relationships and Responsibilities**

The Landlord/Tenant analogy is one means of describing the roles and responsibilities of the parties involved in the use and maintenance of property.

The Director of Education is similar to a Landlord in having an overall interest in the ownership and standard of a number of properties and the Head Teacher is similar to a Tenant in having a detailed interest in the management and use of a specific property.

#### **Director of Education**

The Director of Education's responsibilities are associated with ownership of Dundee City Council's estate. This incorporates establishing the standards and procedures to be followed in relation to property management in order to retain and protect the asset value of the property and its services as outlined in Appendix 4.

#### **Head Teacher**

The Head Teacher's responsibilities are associated with the occupation of the property. This involves making best use of the accommodation available as well as maintaining the condition of the property within the standards accepted by the Council for the areas of devolved responsibilities and the day to day repairs necessary to maintain the operational efficiency as outlined in Appendix 5.

In procuring minor works through the property officer, the Head Teacher will be required to comply with the works procurement practices currently in place in schools.

For more major improvement works the Head Teacher may write to the Property Officer or Property Services Co-ordinator who will advise the Head Teacher on all general aspects of the improvement request. Should the Head Teacher require more detailed design/cost information then the Property Section will, in consultation with and on behalf of the Head Teacher, commission the Council's Architect's department (or other appropriate consultant). The school's devolved budget will be responsible for any fee incurred.

### **9.3 Property Maintenance (and Improvements)**

The property related costs devolved to individual schools relate to certain repairs and maintenance and energy.

#### **Planned Maintenance**

Planned maintenance is "organised and carried out with forethought, control and the use of records to a predetermined plan". Typically, this involves non-devolved major works such as re-roofing, re-wiring and boiler replacement etc and devolved works such as replacement floor coverings and internal repaint.

The Director of Education, and where appropriate in consultation with Head Teachers for devolved work, will prepare an annual programme of planned maintenance work which is prioritised and then implemented on the basis of the finance made available by Dundee City Council.

Two elements of planned maintenance have been included as a devolved responsibility – floor coverings and internal decoration.

This means that there will be no allowance for the cyclical renewal of floor coverings or for the cyclical internal decoration of schools within the planned maintenance budget administered by the Director of Education, who will only deal with floor coverings or internal decoration where they are materially affected by major refurbishment work.

#### **Unplanned Maintenance**

Unplanned maintenance is responsive and not carried out to any predetermined plan. Typically, it involves minor and/or unforeseen repairs arising from wear and tear, breakages or breakdown.

The devolved budget includes an allowance for minor unplanned maintenance work such as detailed in Appendix 5.

#### **Property Improvements**

In addition to planned and unplanned maintenance, schools may have money available from a variety of sources for property improvements.

Depending on their nature, improvements may require to be approved by the Director of Education. Guidance on the type of improvements which do and those which do not require approval is given in Appendix 6.

Any proposed improvement should be discussed in the first instances with the Property Officer who will advise on the viability of the proposal and whether approval is required.

Reasons will be given for any refusal.

If the Head Teacher wishes to contest this refusal then the Head Teacher can formally notify this to the Property Services Co-ordinator.

#### **9.4 Property Maintenance Budget**

The maintenance element of the devolved budget is calculated by taking account of:

- the age and condition of the property
- historical expenditure
- the type and size of the property
- school occupancy
- any other significant factors such as the provision for pupils with special needs
- the revenue budget available to the Education Department for property maintenance

#### **9.5 Property Procedures**

More detailed guidance is contained within the Devolved School Management Procedures related to property including procuring work, annual inspection, liaison within the department, monitoring expenditure and health and safety matters.

#### **9.6 Rates**

Rates are allocated to schools' devolved budgets as per the budgets based on the rateable value of the establishment multiplied by the current rate per £ taking into account any transitional charge or relief.

#### **9.7 Energy**

The whole energy costs of participating schools are included in the devolved budget. (Except where specific units such as kitchens are separately metered when these costs are not included).

The energy element of the devolved budget is calculated by taking account of:

- previous years consumption figures
- any improvement work carried out or to be carried out by the Council
- any savings resulting from revised fuel supply agreements

The devolved energy budget will only be reviewed when account has to be taken of improved tariffs or energy conservation measures carried out by the

Director of Education. The budget will be reviewed with the Head Teacher and the appropriate Assistant Finance Officer before any adjustment is made. No adjustment will be made within a financial year to reflect the benefit of a particularly mild period of winter.

Depending on the circumstances, an overspend must be accommodated by:

- underspending elsewhere within the devolved budgets, or
- an authorised deficit carry-over into next year, or
- a review of the devolved energy budget, or
- any general allowances made by the Council for the effects of severe weather on energy consumption

Any underspend which the school achieves through prudent energy utilisation can be retained by the school and used for any purpose. An underspend that is attributable to a re-negotiation of tariff shall not be available for spending in other budget areas.

## **9.8 Cleaning Contract**

The policy of the Authority is to ensure that schools are cleaned to the specification determined by the Director of Education as detailed in the contract specification. The scheme devolves this item to schools, with the exception of contract variations (eg cleaning after lets). The amount devolved is the approximate value of the contract. Schools shall not be penalised if actual expenditure is greater than projected budget nor will they benefit if the actual expenditure is under the budget.

## **10. Supplies and Services**

### **10.1 Categories of “Supplies and Services”**

The day school Supplies and Services budget provision covers five different headings. They are as follows:

- Per Capita (devolved)
- Outwith Per Capita (devolved/administered centrally)
- Postage and Telephones (devolved)
- Insurance (administered centrally)
- Contract Catering (exempt from DSM)

### **10.2 Criteria for Devolution**

Some of these headings relate specifically to the strategic role of the Education Authority and where this is the case these budget headings are administered centrally. Where no such strategic efficiency saving can be demonstrated budgets will be devolved to the schools.

### **10.3 Central Purchasing Arrangements**

The Authority negotiates central purchasing arrangements and schools are encouraged to participate in Authority/Departmental contracts in order to secure continuity of provision and to achieve the best overall value for money for all schools.

#### **10.4 Description of “Supplies and Services”**

The five headings detailed in 10.1 may be analysed as follows:

##### **(i) School Per Capita Allowances**

These are based on the following policy decisions agreed by the Education Committee:

- the allocation for primary schools and years 1 and 2 of secondary schools is based on the same per capita rate. This equitably reflects the aims and objectives of the 5-14 Development Programme
- the per capita rate for primary and secondary years 1 and 2 forms the base against which the needs of other pupil groups may be measured
- the per capita rate for full-time nursery pupils is set at 80% of the primary/secondary S1/2 rate; part-time nursery pupils per capita rate is set at 60% of the full-time nursery pupils rate
- the per capita rate for secondary stages 3 to 6 is set at twice the primary/secondary S1/2 rate
- the per capita rate for special education pupils with a record of needs is set at twice the primary/secondary S1/2 rate

Schools have the freedom to identify the resources they require and fund the purchases themselves. This allows schools to target support directly at the areas, which have been identified as priorities in the school development plan.

The budget is based on the roll in the previous year's census multiplied by the figure allocated per pupil. The final budget depends on the actual school roll derived by the school census take in September.

Where a special unit is attached to a school the figures include the appropriate per capita allowance for such a unit.

##### **(ii) Outwith Per Capita Allocations**

- a) This budget head includes the repair, maintenance and replacement of equipment. Major expenditure items include the IT Service Level Agreement for computer maintenance, PE equipment maintenance and the replacement of Audio Visual equipment, cookers, etc.

- b) Budget provision administered centrally relates mainly to areas where the authority has retained a strategic role eg. equalisation of access to swimming and recreational facilities, purchase and repair of musical instruments, meeting aspects of Health and Safety requirements and supporting cross city curricular initiatives.

**(iii) Postage and Telephones**

The budget allocation for postage and telephones takes account of fixed costs and reflects the pupil roll and special circumstances.

**(iv) Insurance**

The budget for Public Liability insurance is administered centrally.

**(v) Contract Catering Services**

As indicated earlier the cost of school meal provision is specifically exempted from DSM.

**11.0 Other Budget Heads**

**11.1 Transport**

The budget for repair and maintenance of minibuses is devolved to schools on the basis of actual cost to cover scheduled maintenance and road fund licence.

**11.2 Exam Fees**

The introduction of Higher Still and the relaxation of Age and Stage restrictions have given schools more flexibility on which (and how many) exams/national units pupils should undertake. The budget is devolved to secondary schools on the clear understandings that no pupil will be restricted from being presented for examinations for financial reasons, and that schools will be obliged to operate within any policy guidelines established by the Council's Education Committee. The formula for devolving the budget is based on the current rate per exam, multiplied by the number of pupils to be presented.

**11.3 Income**

*Music*

The fee paid by pupils is set by the Authority, and income is retained centrally.

*Rents and Rates*

These are dealt with centrally.

*Lets*

Both income and expenditure relating to lets is retained centrally, with the exception of energy costs.

*Telephone Recovery*

This is devolved to each school.





# **APPENDICES**

**CONSULTATIVE COMMITTEE IN EVERY SCHOOL  
PARTICIPATING IN THE SCHEME**

**Comprising**

- Head Teacher
- One member of the Senior Management Team where appropriate
- Members of the teaching and non-teaching staff of the school according to the size of the school

**Recommended number of staff represented**

Total Number of Teachers (excluding Head Teacher)	Number of Elected Teacher Representatives
1-5	Whole Staff
6-19	3
20-39	4
40-59	5
60-79	6
80-99	7
100-119	8

In addition, for non-teaching staff, there should be one representative in schools with less than 600 pupils and two representatives in schools with over 600 pupils.

To be effective it is considered that the detailed arrangements for operating these committees should be agreed within the individual school to suit its own circumstances.

The following points are considered essential to Consultative Committees for Devolved School Management:

- All schools participating in the scheme shall set up a Consultative Committee for Devolved School Management.
- Teacher members of the Consultative Committee shall be elected, by teaching members of staff. The non-teacher representative or representatives shall be elected non-teaching members of staff. Arrangements regarding elections should be agreed at school level.
- The Consultative Committee shall meet at least once a term. There shall be provision for the Head Teacher and staff to call additional meetings.
- Meetings of the Consultative Committee should be minuted and minutes retained.
- The timing of meetings should be by agreement between the Head Teacher and other members of the committee and should be incorporated within the working time arrangements for collegiate hours agreed with the school's working time committee.

- Head Teachers will keep the Consultative Committee informed of the general operation of the devolved school budget. They will discuss with the Consultative Committee any significant proposals with regard to the operation of Devolved School Management within their school and the management of their budget. Proposals to vire money from one budget head to another or carry forward deficits or surpluses from one financial year to another will be discussed with the Consultative Committee.
- Head Teachers are required to consult formally, with the full staff, on proposals for significant virement of funds. Proposals must be circulated to staff in advance of any meeting with the outcome of the consultation being recorded. Staff must be advised subsequently of decisions finally taken by the Head Teacher.
- The operation of the school fund will be entirely separate from the management of the devolved school budget.

**SUPPORT STAFFING ENTITLEMENT/GRADING STRUCTURE  
PRIMARY SCHOOLS**

<b>School Roll</b>	<b>Senior Clerical Assistant GS3</b>	<b>Clerical Support for DSM GS1/2</b>
110-139	25.0 hours	25.0 hours
140-169	25.0 hours	25.0 hours
170-199	25.0 hours	25.0 hours
200-299	25.0 hours	25.0 hours
300-399	27.5 hours	25.0 hours
400-499	30.0 hours	25.0 hours
500+	32.5 hours	25.0 hours

<b>School Roll</b>	<b>Auxiliary GS1</b>
110-239	22.5 hours
240-309	27.5 hours
310-369	32.5 hours
370-439	37.5 hours
440+	42.5 hours

<b>Children taking Lunch</b>	<b>Supervisory Assistant Man. Grade 2</b>
109	1
110-199	2
200 & over	3

The above staffing provision is being phased in.

**Supervisory Assistants**

<b>School Roll</b>	<b>Staffing Provision</b>
0-109	1 x 6
110-199	2 x 6
200+	3 x 6

**Classroom Assistants**

Classroom Assistants are allocated to enable schools to reach an adult pupil ratio of 1:15. However, all schools have at least 1 classroom assistant.

**Classroom Assistants (SEN)**

Classroom Assistants (SEN) are allocated on the basis of an audit of pupil needs.

## SECONDARY SCHOOLS

### Support Staff Grading Structure

School Roll	Administrative Assistant (AP2/3)	Senior Clerical Assistant (GS3)	Clerical Assistant (GS1/2)	Clerical Assistant for Devolved School Management (GS1/2)	Clerical Assistant for Truancy Initiative (GS1/2)
<400	-	1	.75	11 hours	0.5
401-500	-	1	1.25	12.5 hours	0.5
501-650	1	-	1.50	15 hours	0.5
651-800	1	-	2	17.5 hours	0.5
801-950	1	-	2.50	20 hours	0.5
951-1100	1	1	2	22.5 hours	0.5
1101-1250	1	1	2.50	25 hours	0.5
1251-1400	1	1	3	27.5 hours	0.5

School Roll	Auxiliary Hours (GS1)	Senior Technician Support (T1/2)	Technician Support (GS1/T1)	General Assistant Support (GS1)
100-599	25 hours		1	0.5
600-1099	28.75 hours	1	1	1
1100-1499	30 hours	1	2	1.5
1500+	30 hours	1	3	2

( ) Additional 0.25 for six year secondary schools only.

### Facilities Co-ordinators/ Assistants

The staffing complement is based on a Facilities Co-ordinator and two Facilities Assistants for each secondary/special school.

Schools which have a swimming pool are allocated a Physical Training Assistant.

### Resources Centre Co-ordinator

Every secondary school is allocated one Resource Centre Co-ordinator.

**DIRECTOR OF EDUCATION'S RESPONSIBILITIES  
(Unplanned Maintenance)**

(under review)

<b>Category</b>	<b>Code</b>	<b>Comments/Example</b>
Asbestos Sampling and Removal		Exposed asbestos insulation
Intruder Alarms		Specification and installation & maintenance and repair
Communication Systems		Telephones, period bells and electric clocks
Emergency Lighting		Repair and replacement, including batteries
Fire Alarms/Smoke Detectors		Generators – repair and replacement
Internal Light Fittings		Excluding bulbs, tubes and diffusers
External Lights		Including bulbs, tubes and diffusers
Lifts		
Electrical Systems		
Demolition		
External Painterwork		
Structure		
Boiler controls		Repair or replacement of auto controls, safety devices
Electrical Heating		
Kitchen Canopies		Including fans, controllers and wiring
Gas Burners		
Heating Systems		
Thermal Insulation		
Kitchen Equipment		
Laundry Equipment		
Oil Burners		
Boilerhouse Control Panels		
Ventilation Systems		
Swimming Pool Plant		
Swimming Pools & Associated Shower Areas		Tiles, pipes and fittings etc.
Mechanical Installations		
Gas Services		Including LPG storage
Internal Water Supply		
Mixing Valves		
Roofing		Asbestos, Felt, Galvanised Steel, Single Ply, Slate, Tile
Security Systems		Electrical, IT components only
Drainage		CCTV surveys excavations, replacement of underground pipes etc.

### HEAD TEACHERS RESPONSIBILITIES (Unplanned Maintenance)

The Head Teacher is responsible under the devolved unplanned maintenance budget for all day to day and emergency repairs of the following items:

(under review)

Category	Code	Example
Brickwork		Minor repairs eg. coping off wall, minor repointing
Builderwork (General)		Repairs to individual concrete steps
Ceilings (suspended)		Replacement of individual missing or damaged tiles
Door ironmongery, closers and locks etc		Repair/replacement
Drainage (Internal)		Minor repairs/unblocking of sinks and drains
Drainage (External)		Unblocking, repair/replacement of LBS covers, toby covers etc.
Fencing, railings & gates and boundary walls		Repair/replacement gates, repairs to timber fences and railings, minor repointing, replacement copes
Fire equipment		Recharging and replacement of fire extinguishers
Fitments (Timber)		Repair of built-in furniture
Ground Maintenance (trees and shrubs)		Planting/replanting of trees and shrubs, litter picking
Joinery		Minor repairs to doors, skirtings and window sills
Light Fittings (internal)		Replacement of bulbs and diffusers only
Metalwork/smithwork		Minor repairs to metal railings, fences and gates
Pipework (Water Supply)		Minor repairs, to internal, exposed pipework and fittings
Plasterwork		Minor repairs to internal plasterwork
Playgrounds and car parks		Repairs to minor potholes
Rainwater goods (rhones, gutters and down pipes) – above ground		Minor repairs/replacement and unblock
Roads and footpaths		Replacement of broken/uneven slabs
Roughcast		Minor patching of rendering
Sand and Salt		Ensuring adequate supplies
Seals and sealants (internal and external)		Renewal of mastic seals around sinks
Sink Units		Repair/replacement
Stainless Steel Fitments		Repair/replacement
Tilework (excluding swimming pools and associated showers)		Replacement of individual broken or crazed wall or floor tiles
Vermin (extermination of)		Removal of wasps nest, ants, pigeons, rabbits etc.
Wash hand basins		Replacement of individual cracked or broken basins
WC's, toilet fitments		Replace cracked or broken pans & cisterns
Window repair		Minor repairs to timber windows
Window ironmongery		Repair/replacement



The Head Teacher is also responsible under the devolved planned maintenance budget for:

Floor coverings – repair and renewal of all floor coverings

Painterwork (internal) – All internal decoration

The Head Teacher should bear in mind the need for adequate 'lead in' time in organising planned maintenance works to avoid disruption to the school.

There is no allowance for the cyclical renewal of floor coverings or for the cyclical internal decoration of schools within the planned maintenance budget administered by the Director of Education who will only deal with floor coverings or internal decoration where they are materially affected by major refurbishment work.

## IMPROVEMENT WORKS REQUIRING PRIOR APPROVAL

The following works require prior approval from the Director of Education and should be procured using the Education Department's Property Section:

- works which require planning permission such as minor extensions or replacement of windows
- works which require a building warrant such as formation of doorways or removal of partitions
- works affecting the building structure
- works affecting electrical installations, including variations to lighting levels\*
- works affecting heating and ventilation installations including changes in the size, form or use of rooms\*
- works affecting fire precautions including travel distances to escape routes
- works affecting health and safety including the provision of toilet facilities
- works affecting intruder alarm systems
- works affecting the aesthetics of the property, internally or externally
- works affecting water supplies or distribution

The following types of work are unlikely to need prior approval although guidance should be sought from the Property Officer who can advise you on fire regulations, health and safety requirements and performance specification:

- replacement of existing floor coverings
- internal decoration
- \*fitting of shelves
- \*fitting of pinboards within classrooms
- blinds and curtains

\*Please remember that many services are concealed within walls, ceiling and floors

The Head Teacher must inform the Property Officer of all proposed works,

All works must comply with current fire and health and safety regulations.